UNIVERSITY OF CALIFORNIA

**BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE
SAN DIEGO • SAN FRANCISCO • SANTA BARBARA • SANTA CRUZ**

VIDEOCONFERENCE OF THE ASSEMBLY OF THE ACADEMIC SENATE

**Wednesday, December 8, 2021
10:00 am - 12:30 pm**

V. ANNOUNCEMENTS BY THE PROVOST (11:00AM)
- Michael T. Brown

VI. ANNOUNCEMENTS BY THE CHIEF FINANCIAL OFFICER (11: 15AM)
- Nathan Brostrom

VII. ANNOUNCEMENTS BY THE PRESIDENT (11:30AM)
- Michael Drake

VIII. UNIVERSITY AND FACULTY WELFARE REPORT [NONE]
IX. REPORTS ON SPECIAL COMMITTEES [NONE]
X. PETITIONS OF STUDENTS [NONE]
XI. UNFINISHED BUSINESS [NONE]
XII. NEW BUSINESS

I. Roll Call
2021-22 Assembly Roll Call December 8, 2021

President of the University:
Michael Drake

Academic Council Members:
Robert Horwitz, Chair
Susan Cochran, Vice Chair
Ronald Cohen, Chair, UCB
Richard Tucker, Chair, UCD
Joanna Ho, Chair, UCI
Jody Kreiman, UCLA Chair
LeRoy Westerling, Chair, UCM
Jason Stajich, Chair, UCR
Nancy Postero, Vice Chair, UCSD (alt for Tara Javidi, Chair, UCSD)
Steven Cheung, Chair, UCSF
Susannah Scott, Chair, UCSB
David Brundage, Chair, UCSC
Madeleine Sorapure, Chair, BOARS
Andrea Kasko, CCGA Chair
Daniel Widener, Chair, UCAADE
John Kuriyan, Chair, UCAP
Mary Lynch, Chair, UCEP
Jill Hollenbach, Chair, UCFW
Karen Bales, Chair, UCORP
Kathleen McGarry, Chair, UCPB

Berkeley (5)
Emily Ozer
Nathan Sayre
Martha Olney
Rosemary Joyce
TBD (1)

Davis (6)
Javier Arsuaga
Joe Chen
Yufang Jin
Hans-Georg Mueller
Robert Powell
TBD (1)

Irvine (4)
Elliott Currie
Michael Cooper
Naomi Morrissette
Bonnie Ruberg

Los Angeles (8)
Carol Bakhos
Hiram Beltran-Sanchez
Nicholas Brecha
Patricia Ganz
William Hsu
Ann Karagozian
Eleanor Kaufman
Shane White

Merced (1)
Justin Yeakel

Riverside (2)
Peter Chung
David Biggs

San Diego (5)
Mariana Cherner
Douglass Forbes
Paoloa Cessi
Virginia de Sa
Kamau Kenyatta

San Francisco (4)
Dyche Mullins
Pamela Den Besten
Stella Bialous
Jae-Woo Lee

Santa Barbara (3)
Cynthia Kaplan
Chuck Akemann
Elizabeth Perez

Santa Cruz (2)
Patricia Gallagher
Susan Strome

Secretary/Parliamentarian
Andrew Dickson

UNIVERSITY OF CALIFORNIA   **ACADEMIC SENATE**

VIDEOCONFERENCE MEETING OF ASSEMBLY OF THE ACADEMIC SENATE

June 9, 2021

MINUTES OF MEETING

I. ROLL CALL OF MEMBERS

Pursuant to the call, the Assembly of the Academic Senate met on Wednesday, June 9, 2021. Academic Senate Chair Mary Gauvain presided and called the meeting to order at 10:00 am. Senate Assistant Director Michael LaBriola 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 14, 2021.

III. ANNOUNCEMENTS BY SENATE LEADERSHIP
- **Mary Gauvain, Chair**
- **Robert Horwitz, Vice Chair**

Apportionment of 2021-22 Assembly: The apportionment of Assembly representatives for the 2021-22 academic year is enclosed in the agenda. Campus representation relative to 2020-21 changed. UCLA gained one seat and UCSF lost one seat.

Mid-Career Leadership Award**:** In 2019, an endowment was created for an Academic Senate Mid-Career Leadership Award, to honor individuals whose records demonstrate an exceptional ability to work effectively with different University constituents and show exceptional promise for further service to the Senate. Nominations for the biennial award are made through Divisional COCs to the UCOC. UCOC, in turn, submits the names of two nominees to the Academic Council. At its May 26, 2021 meeting, the Academic Council decided to honor Professor Tara Javidi of UC San Diego and Professor Steven Cheung of UC San Francisco with the 2021 award.

Re-opening Guidance: In April, the Senate chair and vice chair shared with Senate divisions a memo discussing several topics related to fall campus reopening planning for which systemwide guidance would be useful. President Drake supported the points and recommendations in the memo as references to support a successful reopening.

Instructor Survey: The systemwide Senate recently concluded a survey of UC faculty and instructors about their experiences with remote instruction during the pandemic. More than 4,300 individuals responded. The Senate is now working with the UCOP Office of Institutional Research and Academic Planning to analyze the data and produce a report with both aggregate and campus-level data.

Feasibility Study: Chair Gauvain and BOARS Vice Chair Sorapure co-chair a working group that is studying the feasibility of a role for the Smarter Balanced Assessment in UC admissions, following the Regents' decision to discontinue the use of the SAT and ACT.

COVID Impacts Working Group: A workgroup co-chaired by Senate Vice Chair Horwitz and UCD Provost Croughan is meeting to address the Academic Council's recommendations for mitigating the impacts of COVID-19 on faculty, and particularly its specific impacts on early-career faculty and faculty with caregiving responsibilities.

May Regents Meeting: The Regents accepted the report of the Working Group on Innovation Transfer and Entrepreneurship, which proposes additional recognition of faculty patent and start-up activity in tenure and promotion reviews. An implementation committee with Senate representation will discuss a potential addition to the APM before it is circulated for systemwide review.

Academic Integrity: The Senate chair and vice chair met with the UC Office of General Counsel (UC Legal) to discuss a possible institutional response to faculty concerns about Chegg, Course Hero, and other websites used by students to upload and share course documents in ways that may violate academic integrity policies and intellectual property rights.

UC Health Affiliations: The Academic Council released a letter in May arguing that the University should not engage in contracts with external healthcare providers that include discriminatory policy-based restrictions on health care, including hospitals subject to ethical and religious directives (ERDs) based on religious doctrine and not scientific, evidence-based medical best practices.

IV. REPORTS OF STANDING COMMITTEES

A. Academic Council

1. Nomination and election of the 2021-22 UCOC Vice Chair

ACTION: The Assembly elected Micah Perks (UC Santa Cruz) 2021-22 UCOC Vice Chair by unanimous consent.

2. Ratification of the appointment of the 2021-24 Secretary/Parliamentarian

ACTION: The Assembly ratified Professor Andrew Dickson (UCSD) as Assembly Secretary/Parliamentarian for a second three-year term beginning September 1, 2021.

3. Proposed Revision to Senate Regulation 610

At its May 2021 meeting, following a systemwide Senate review, the Academic Council approved revisions to Senate Regulation 610 proposed by the University Committee on Educational Policy. The intent of the revision is to eliminate an ambiguity in the definition of "residency" to clarify that "residency" is not necessarily linked to physical presence on campus.

ACTION: A motion to approve the revision was made and seconded. Chair Gauvain asked for any objections, and hearing none, announced approval of the revision.

4. Proposed Revision to Senate Bylaw 336.F.3 and 336.F.6.

At its May 2021 meeting, following a systemwide Senate review, the Academic Council approved revisions to Senate Bylaw 336.F.3 proposed by the University Committee on Privilege and Tenure.

The revisions respond to federal regulatory changes that require a Title IX hearing for cases involving sexual violence and sexual harassment (SVSH).

To address concerns about duplication of effort and the burden on parties to go through two full hearings, UCPT adopted a recommendation to accept evidence from the Title IX hearing in SVSH-related discipline cases for subsequent P&T hearings. The revision to SB 336.F.3 emphasizes that new evidence about a potential violation of SVSH Policy, including witness testimony, will not be permitted unless the P&T Hearing Committee determines that the evidence pertains to new facts that were not discoverable at the time of the Title IX that might affect the determination of a violation of the Faculty Code of Conduct.

The Council approved an additional sentence for SB 336.F.3 clarifying the right of the P&T Hearing Committee to conduct any investigation it deems appropriate for the determination of a potential violation of the Faculty Code of Conduct. Council also endorsed an additional change to 336.F.6, which clarifies that exhibits submitted to the Hearing Committee qualify as being presented at the hearing.

➢ Assembly members noted that the revision is effective at aligning Bylaw 336 with federal regulations, while preserving faculty members' right to a hearing by their peers and reducing the potential burden on complainants that may also discourage them from bringing forward a case. It ensures that the P&T Hearing Committee can reopen a case if salient new evidence emerges. One member expressed concern that the revision shifts authority from faculty to administrators and removes the faculty's right to a hearing before their faculty peers.

➢ UC Senior Counsel Meltzer noted that the Title IX hearing includes witness testimony and cross examination. A neutral party who is not part of the Title IX office makes the determination on the case. He noted that the new language in 336.F.3 enables the P&T Hearing Committee to reopen a case if new evidence emerges before, during, or after the Title IX hearing, and that UCPT is drafting guidelines to support implementation of the new process. He noted concern that any possibility of a second hearing could deter complainants from bringing forward cases.

➢ Assembly members suggested that the UCPT guidelines should emphasize that P&T will reopen a case in extraordinary circumstance only. They also felt it would be important for the Senate to monitor outcomes from the new policy and process to see how it is working.

ACTION: A motion to endorse the revisions was made and seconded. The Assembly approved the motion unanimously in a roll call vote.

V.   ANNOUNCEMENTS BY THE PRESIDENT AND PROVOST
- **Michael Drake, President**
- **Michael T. Brown, Provost and Executive Vice President**

Report from President Drake

UC Budget: The Legislature's approved budget includes several key provisions from the Governor's May Budget Revision: a $506m increase in ongoing funding for UC that combines restoration of the $302m cut from 2020 and a $173m increase to the base budget. The budget also includes $325m in one-time funding for deferred maintenance. It also requires UC to reduce nonresident undergraduate enrollment to 18% at three campuses (Berkeley, San Diego and Los

Angeles), which presently exceed this percentage, over a five-year period. The goal is to replace non-resident students with California residents. This reduction is supported with a $30 million annual buy-out of nonresidents.

Admissions: The elimination of the standardized testing requirement was one factor in an increase in fall 2021 UC applications. Preliminary data on Statements of Intent to Register suggest that campuses are on track to meet their enrollment targets and also to increase student diversity.

Campus Safety and Policing: The University has released a Presidential Campus Safety Plan for systemwide review. The Plan is informed by the social justice symposia held earlier this spring. Its key elements include community and service-driven safety, a holistic and tiered response model for safety services, transparency and continuous improvement through data, and accountability and independent oversight. The plan is one step forward in a long-term process and should not be considered an end point.

COVID: The University has completed its review of a proposed vaccine mandate policy and will issue a mandate with or without final FDA approval of the vaccines currently under emergency use authorization. The policy includes narrow religious and medical exemptions. The vaccine certification process will begin around July 15.

Affiliations: The Regents will hold a Special Meeting on June 23 to discuss a draft Presidential Policy on UC Health affiliations.

Report from Provost Brown

Research Symposia: The UC Office of Research and Innovation is sponsoring a series of public symposia to connect policymakers to the University's research and graduate education missions. The first in the series featured UC's cutting-edge research on wildfire resilience and recovery.

Admissions: Provost Brown thanked the Assembly for recommending adjustments to the statewide eligibility index and noted that the right kind of test can add value to UC admissions and also promote greater equity in high schools. The Feasibility Study Group is meeting to determine if the Smarter Balanced test can be modified to align with the University's testing goals and principles.

Master's Program Reviews: Provost Brown said the University should be more efficient in reviewing and approving Master's degree programs, which train people for jobs and generate much needed revenue for campuses. He said the current systemwide review process for Master's programs is too time consuming and, in his view, more appropriately situated on the campuses. The Provost wants to move the delegated approval authority for state- and self-supporting Master's programs from UCOP and the systemwide Senate to the campus chancellors and division Senates.

Discussion

➤ Assembly members thanked President Drake for supporting a vaccine mandate and advocated for improving classroom air ventilation systems using MERV 13 air filtration standards. They noted that a spike in community COVID infections could lead an individual county to shut down a campus regardless of campus infection rates. A member expressed concern that the Legislature's proposal to "buy-out" nonresidents could entrench existing funding inequalities across campuses.

4

- President Drake noted that the 18% cap on nonresident enrollment applies at both the systemwide level and to specific campuses. He said that as some campuses reduce nonresident enrollments to 18%, it could create room for other campuses to increase enrollments to the cap. He added that UCOP is exploring new funding "guardrails" to reduce campus disparities. UCOP wants to avoid harming campuses that rely on nonresident tuition revenue while expanding funding for all campuses.

- Assembly members asked the Provost what problem would be solved by delegating Master's program reviews to the campuses. They noted that the systemwide review provides a multi-campus perspective that improves the academic and financial elements of proposed programs, and CCGA's average review time for programs submitted on-time is three months. They expressed concern that campus-based reviews would be less robust and involve conflicts of interest, and they observed that a failed graduate program is of greater consequence to a student than a failed undergraduate program. Members also expressed concern that campuses were beginning to see Master's programs more as money-making enterprises than as educational enterprises, and that some newer self-supporting programs had yet to achieve self-supporting status and were draining resources from state-supported programs. They encouraged the Provost to think collaboratively with the Senate about this issue going forward.

- Provost Brown responded that there is an opportunity to strengthen campus reviews while also creating a more streamlined process. He acknowledged that the revenue potential of self-supporting programs is one factor driving their creation, but also that those programs, when done well, can help support UC's larger academic mission. He emphasized that his proposal is at an early stage and expressed his desire to work with the systemwide Senate and campus Senates to strengthen campus reviews.

VI.   UNIVERSITY AND FACULTY WELFARE REPORT
- **Shelley Halpain, UCFW Chair**

Mitigating COVID Career Impacts on Faculty: The pandemic has affected nearly every faculty member, with disproportionate effects on those with dependent care duties, women, and single parents. Lost access to research opportunities could have long-term impacts on career advancement. In January, the Council endorsed a joint UCFW/UCAADE letter recommending 21 short- and long-term actions to support faculty. The President responded by forming a workgroup to advise on actions needed to address the recommendations. He also announced that the 2021-22 Advancing Faculty Diversity awards program will prioritize projects that address equity, disparity, and early-career faculty progress, and he established a new "Pay for Family Care and Bonding" program. The University is collecting data to define the issues and track progress.

The Council recommendations include establishing faculty career support committees to oversee implementation of mitigation policies and communications; providing teaching, research, and service accommodations and support for impacted faculty; adjusting academic promotion expectations by assessing accomplishments in the context of pandemic circumstances; encouraging faculty to submit COVID impact statements; and using "stop-the-clock" and deferrals sparingly. In April, Council issued follow-up guidance from UCAP around the preparation and review of academic personnel files impacted by the pandemic. Council's longer-term recommendations include increasing on-campus child care services, strengthening family friendly

policies, providing housing assistance to faculty, and updating how career "excellence" is defined in merit evaluations.

Equity in UC Benefits: UCFW is drafting recommendations for improving faculty access to information about non-compensation benefits such as down payment assistance. One recommendation is to include in faculty onboarding materials a clear statement of available non-compensation benefits and guidance on negotiable benefits.

Healthcare: In May, Council endorsed a letter from UCFW and its Health Care Task Force (HCTF) recommending that UC avoid affiliations with discriminatory healthcare providers, except under limited circumstances that benefit the greater common good, as determined by an independent ethics review board and based on transparent data. In addition, a HCTF subgroup currently is evaluating whether UC's health benefit plans provide adequate access to behavioral health care.

TFIR: UCFW's Task Force on Investment and Retirement (TFIR) is discussing strategies for improving online tools and advisory services that help new UC hires evaluate retirement plan options.

Long-Term Issues: UCFW's long-term priorities include closing the faculty salary gap with UC's Comparison 8 institutions, improving equity in non-compensation benefits like housing assistance and childcare.

VII.   NEW BUSINESS [None]

VIII.   SPECIAL ORDERS [None]

IX.   REPORTS ON SPECIAL COMMITTEES [None]

X.   PETITIONS OF STUDENTS [None]

XI.   UNFINISHED BUSINESS [None]

The meeting adjourned at 1:00 pm
Minutes Prepared by: Michael LaBriola, Assistant Director, Academic Senate
Attest: Mary Gauvain, Academic Senate Chair

Attachments: Appendix A – Assembly Attendance Record, Meeting of June 9, 2021

Appendix A – 2020-2021 Assembly Attendance Record, Meeting of June 9, 2021

President of the University:
Michael Drake

Academic Council Members:
Mary Gauvain, Chair
Robert Horwitz, Vice Chair
Ronald Cohen, 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
Dan Melia (alt for Adair Morse)
Nathan Sayre
David Wagner

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

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

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

Merced (1)
Jessica Trounstine

Riverside (2)
Peter Chung
Isgouhi Kaloshian

San Diego (5)
Mariana Cherner
Seana Coulson
Stephanie Mel
Daniel Widener
Dean Tullsen

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

Santa Barbara (3)
Bassam Bamieh
Isabel Bayrakdarian
Yuedong Wang

Santa Cruz (2)
Patricia Gallagher
Judith Habicht-Mauche

Secretary/Parliamentarian
Andrew Dickson

ACADEMIC COUNCIL
ANNUAL REPORT 2020-21

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. In the 2020-21 academic year, the Academic Council held eleven regular meetings to consider multiple initiatives, proposals, and reports. Council's final recommendations and reports may be found on the Academic Senate website. Matters of particular importance for the year include:

COVID-19 RESPONSES

The COVID-19 pandemic emergency consumed much of the Council's time and energy. All Council meetings were held in a videoconference format. Council issued several reports and letters specifically in response to the emergency and the University's decision to maintain remote instruction through the 2020-21 academic year. The Senate office compiled all actions on a COVID-19 resources and responses website. Several major actions are discussed below.

Mitigating COVID Impacts on Faculty: In January, Council endorsed a joint UCFW/UCAADE letter with recommendations about how best to address pandemic-related disruptions to faculty advancement, morale, work-life balance. The letter emphasized that the disruptions were disproportionately affecting women, underrepresented faculty and others with dependent care responsibilities. It outlined short- and long-term recommendations related to teaching and service loads, academic promotion expectations and file review, childcare and faculty homeownership assistance, and family friendly policies, and it emphasized the importance of effective and transparent communication, and of collecting data to evaluate the success of the measures. Council also endorsed a letter from UCAP with guidance to campus CAPs, departments, and faculty around the preparation and review of academic personnel files impacted by the pandemic.

Faculty Survey: The systemwide Senate circulated a survey to UC faculty and instructors about their experiences with remote instruction during the pandemic. More than 4,300 individuals responded. Chair Gauvain and Vice Chair Horwitz presented the results of the survey at the July Regents meeting. The UCOP Office of Institutional Research helped organize the survey data on the UC Information Center website in a dashboard format.

Policy Modifications: Council issued temporary policy modifications and other recommendations to campuses related to undergraduate and preparatory education in the context of the pandemic. These included recommendations from UCOPE to temporarily modify the passing requirement for the Entry Level Writing Requirement (ELWR) for fall 2020, winter and spring 2021 and for summer and fall 2021; to temporarily waive Senate Regulations mandating the ways a student may satisfy the ELWR; and to permit campuses to approve administration of the Systemwide Analytical Writing Placement Exam as an online exam in 2021. Council also approved a UCEP letter supporting divisional flexibility in defining the number of courses a student may take on a P/NP basis, and a letter encouraging general flexibility in grading due to the pandemic.

CURTAILMENT

Workforce Options and Campus Curtailment: President Drake convened a Task Force in the fall to consider workforce-related options for addressing the financial challenges created by COVID-19, and principles to guide decisions. The Task Force was co-chaired by the Provost and Chief Operating Officer and included Council Chair Gauvain and the chairs of UCPB, UCFW, and UCAP. Council sent President Drake a letter that summarized comments from the Senate's review of the curtailment program proposed by the Task Force. The letter noted that the plan obscured the nature of the curtailment as a pay cut and would generate modest savings that did not justify costs to employee morale. Council encouraged the administration to consider alternative ways to address the budget crisis, such as borrowing and tapping into reserves.

Impact of Curtailment on UCRP: Council approved a UCFW letter that asked the University to address the differential impact of curtailment and salary reductions on Savings Choice (defined contribution) participants in the 2016 pension tier. Council also emphasized the need to protect employees' service credit accrual as well as their highest average plan compensation with respect to pension calculations.

Presidential Authority: Council asked the UC General Counsel to provide formal guidance on the legal basis for the President's curtailment program, to address Senate concerns that Regents Standing Order 100.4 (*qq*) requires the President to declare an "Extreme Financial Emergency" before implementing a systemwide furlough or salary reduction program. Council was not satisfied with the guidance provided, and in April issued a letter supporting an independent analysis from a UC law faculty member, which argued that the President and chancellors have limited authority over salary reductions as they pertain to faculty. Council asked that its letter be included in any future discussions about curtailment actions.

CAMPUS RE-OPENING

Guidelines and Recommendations for Re-Opening: Council discussed campus re-opening plans at several meetings and identified several areas for which systemwide guidance would be useful. In May, the Council leadership issued a set of guidelines and recommendations informed by these discussions, which focused on structural and operational issues related to modes of instruction, research, vaccines, and classroom safety.

Vaccines: The Council chair and vice chair participated in weekly meetings about the University's plan for distributing COVID vaccines. In May, Council sent UCOP a letter summarizing comments from the Senate's review of a proposed policy that would require students, faculty, and staff who access campus facilities to be immunized against COVID-19 beginning in fall 2021. The Senate supported the vaccine mandate, noting that it would advance the public health imperative to control the virus and support UC's plan to safely reopen campuses and resume normal teaching and research activities. Senate groups also raised concerns about specific elements of the policy and its implementation.

HEALTH SCIENCES

UC Health Affiliations: Council discussed at several meetings UC's potential affiliation with external healthcare providers that include discriminatory policy-based restrictions on health care. To increase its knowledge of the issue, Council met with several key faculty and administrators:

Lisa Ikemoto, chair of the UCFW-Health Care Task Force and an expert in health care law; Executive Vice President for UC Health Carrie Byington; Lori Freedman, a member of the UCFW-HCTF; and President Drake. In May, Council issued a letter that summarized these conversations, opposed the expansion of UC Health's affiliations with discriminatory entities, and asked the Regents to allow affiliations only under the specific circumstances and with meaningful controls outlined in a UCFW letter. That letter offered five principles to guide an independent panel's consideration of existing and proposed affiliations based on overwhelming evidence of their capacity to support the greater common good.

Equity, Engagement, and Morale: Council held several discussions about equity and morale issues in the health sciences and possible local and systemwide solutions to better engage and provide a voice to non-Senate clinical faculty. UCSF Chair Majumdar briefed Council in November on issues of concern to faculty in the Adjunct and Health Sciences Clinical series who lack Senate titles and privileges such as bridge funding, intramural funds, and housing loans, the ability to serve as primary advisor to graduate students, authority over courses and grades, and participation in shared governance. The Senate assembled a working group to consider the specific problems facing health sciences faculty that affect morale and what the Senate could do to help.

POLICING AND CAMPUS SAFETY

Gold Book Review: In May, Council sent President Drake a summary of comments from the Senate's review of proposed revisions to the University-wide Police Policies and Administrative Procedures (the "Gold Book"). Council's letter conveyed the Senate's general opposition to the policies as inappropriate for a university environment and inconsistent with national conversations about policing and UC's internal discussions about the future of the UC police department.

Campus Safety Plan: Council engaged President Drake in several discussions about campus safety and policing and the President's efforts to engage the UC community and promote positive change, including through two symposia he sponsored in winter and spring 2021. In June, Council sent the president a summary of comments from the Senate's review of a Presidential Campus Safety Plan. Council found the plan to be a positive, though incomplete, step forward in defining broad principles and actions that address Council past recommendations on policing.

UNDERGRADUATE ADMISSION ISSUES

Feasibility Work Group: BOARS Chair Comeaux and Council Vice Chair Horwitz co-chaired a joint Working Group charged with evaluating the viability of a new UC admissions test, following the Regents' May 2020 decision to phase out the use of SAT/ACT in admissions by 2025 and investigate a possible replacement test better aligned with the A-G requirements. The Working Group found that it would be unfeasible for UC to develop a new test by 2025, but it recommended that UC explore the use of a modified Smarter Balanced assessment as a tool. The Working Group's conclusions were then examined and endorsed by the Feasibility Study Steering Committee, co-chaired by Provost Brown and Council Chair Gauvain, and the conclusions were presented to the Board of Regents at the January Board meeting.

Policy Responses to Elimination of SAT/ACT: Council approved several policy actions recommended by BOARS needed to conform with the Regents decision to end the use of the SAT and ACT in UC admissions. These included the approval of BOARS' recommended new model

and minimum thresholds for the Statewide Eligibility Index, which identifies the top 9% of California high school graduates eligible for UC, the suspension of the Admission by Examination eligibility pathway for undergraduate admission described in Senate Regulation 440, and a request to the University to increase budget and staffing support for campus admission offices.

Ethnic Studies: Council discussed a BOARS proposal for a new Ethnic Studies requirement for admission that would require California high school graduates to take a one semester course emphasizing Ethnic Studies as part of the existing 15-unit A-G subject requirement. The proposal will be circulated for Senate review in the fall after a UC faculty workgroup develops policy guidance and criteria for academic content qualifying a high school course for the Ethnic Studies designation.

Transfer: Council discussed several UC initiatives related to undergraduate transfer from California Community Colleges. They included a series of Regents items focused on UC's efforts to increase the number of transfers, improve the transfer experience, and enhance programs and partnerships that support transfer. Examination of and reaction to a California Assembly bill that included several provisions related to transfer of concern to the Senate and the University also occurred this academic year.

Letter on Admissions Audits: In May, Council endorsed a BOARS letter expressing concern about the California State Auditor's request for details about individual campuses' undergraduate admission selection processes.

Other Reports: Council also discussed the BOARS proposal to allow online California high schools to participate in the Eligibility in the Local Context program, a BOARS letter re-affirming federally-recognized tribal membership as an acceptable consideration under comprehensive review, BOARS guidance encouraging potential UC applicants to opt for letter grades in their courses whenever possible, support for the admissions application pre-verification program, a clarification to the BOARS policy on the selection of nonresidents, BOARS Annual Report on Undergraduate Admissions Requirements and Comprehensive Review; and the BOARS 2020 Compare Favorably Report.

UNDERGRADUATE AND PREPARATORY EDUCATION

Online Degree Task Force: In January, Council sent the Provost and Senate divisions a summary of comments from the Senate's review of the report of the Online Undergraduate Degree Task Force, which discussed the feasibility and desirability of offering fully remote online undergraduate degree programs at UC. The Senate expressed cautious support for proceeding with experiments around fully online degree programs that meet all expectations for a UC degree. The letter also encouraged the Senate to examine data on educational outcomes related to the shift to online learning during the pandemic and to develop a clear definition of a "UC quality degree," to guide further discussions.

Academic Integrity: Council discussed concerns raised by faculty about Chegg and other paid website services that some students used during the pandemic to post copyrighted materials and possibly violate expectations of academic integrity on on-line exams, and also what might be done to stop those practices.

Revisions to SR 610 (Residency): In May, following a systemwide Senate review, Council endorsed a revision to Senate Regulation 610 proposed by UCEP. The revision eliminates an

ambiguity in the definition of "residency" to clarify that residency is not necessarily linked to physical presence on campus. The Assembly approved the revision at its June 2021 meeting.

The ELWR: Council approved UCOPE's recommendation to accept an ACT English + Reading score of 63 or higher as a new method of satisfying the Entry Level Writing Requirement (ELWR), effective for new students applying for UC admission in November 2020 and enrolling in Fall 2021. Council also formed a task force to study the ELWR and to make recommendations about possible revisions to Senate regulations governing ELWR administration and oversight.

GRADUATE EDUCATION

Degree and School Approvals: Following recommendations from CCGA, UCPB, and UCEP, Council approved the following degree programs and Schools and name changes:

- Simple Name Change of UCB College of Natural Resources (10/20)
- UCLA Master of Quantum Science and Technology (4/21)
- UCB Master in Analytics (4/21)
- UCSD Online Master of Data Science (7/21)
- UCLA Master of Applied Chemical Sciences (7/21)
- Simple Name Change of UCR Graduate School of Education (7/21)
- Simple Name Change of UCSC College Ten (8/21)

CCGA was responsive and efficient in its reviews and worked closely with the campuses prior to approval to hone and strengthen proposals to ensure they met UC standards for educational excellence.

Master's Program Reviews: Council discussed a proposal from the Provost to move the delegated authority for approving state- and self-supporting master's programs from UCOP and the systemwide Senate to the division Senates and chancellors. In June, Council endorsed a letter from CCGA and UCPB rejecting the proposal. The letter also asked the Provost to appoint a joint work group to assess the current review system. The Provost agreed to this request.

SSGPDP Report: In June, Council endorsed a CCGA/UCPB subcommittee report on self-supporting graduate professional degree programs (SSGPDPs). The report discussed the SSGPDP program's success and effectiveness, impact on educational goals, campus budgets, state-supported programs, diversity, and faculty effort and compensation. The report also included recommendations about the need for a thorough and transparent academic and financial reporting and review process of SSGPDPs.

Joint/Dual Degree Guidelines: Council forwarded to the Academic Planning Council a set of guidelines prepared by CCGA for the review of dual degree graduate programs for inclusion in the CCGA Handbook and the Compendium.

DIVERSITY AND EQUITY

Diversity and equity issues and considerations came up frequently during Council discussions in a variety of contexts. Council approved a clarified and expanded version of its January 2019 recommendations for the use of Diversity, Equity, and Inclusion (DEI) statements in hiring and promotion. The revised recommendations were proposed by UCAADE in consultation with UCAF. Although Council approved the recommendations, they will be discussed next year after

additional consultation with the UC Systemwide Equal Opportunity/Affirmative Action Administrators Group has a chance to review them. This group co-authored the original document. Council also endorsed recommendations for making UC a more supportive environment for neurodiverse students with atypical neurological functioning, including those on the autism spectrum, with ADHD, or dyslexia.

BUDGET ISSUES

Monthly Budget Briefings: The President, Provost, Chief Operating Officer, and other senior leaders met with Council each month and provided updates on the development of the 2021-22 University budget plan and state budget, the progress of budget negotiations and advocacy efforts, the economic impact of campus shutdowns, strategies for bridging COVID-related revenue loses at the campuses and medical centers, and contingency planning based on best-and worst-case scenarios for state funding and enrollment, state legislation affecting the budget, and related issues. Several Council members participated in monthly budget briefing videoconferences for faculty and senior administrators hosted by the Provost that explored budgetary issues in more depth.

Rebenching and Campus Funding: Council discussed UCPB's recommendations for increasing the equitable funding of UC campuses through further study of the rebenching weighting system, regular re-assessments of set-asides, and options for sharing a portion of nonresident tuition revenue across campuses. Council also discussed a 2021 Budget Act provision that would impose a 18% cap on nonresident enrollment systemwide and reduce nonresident enrollment on the three campuses that currently exceed 18%, and its implications for rebenching and campus funding.

Small Business First Policy: In April, Council sent a letter of concern to UCOP about the "Small Business First" program reviewed by the Senate. UC Procurement officials joined Council in May to discuss the concerns and provided Council with written responses to the Senate feedback. Senate leaders worked with Procurement on a summary sheet of resources and campus contacts to support faculty who have questions about the Policy, or who want to request a waiver from the Policy.

CDL Budget Cuts: Council endorsed a letter from UCOLASC expressing concern about budget cuts being considered for the California Digital Library (CDL).

ADDITIONAL ACADEMIC FREEDOM ISSUES

Censorship by Private Platforms: In January, Council endorsed a UCAF letter noting that Zoom's terms of service may lead to instances of censorship that violate UC's academic freedom principles and responsibilities. Zoom in response announced a new policy for higher education users that protects academic freedom by giving content moderation rights to universities.

Academic Events and 18 U.S.C. § 2339B: In April, Council discussed an exception to the new Zoom policy that allows Zoom to refuse to host an event if Zoom determines there is a "legal or regulatory risk" if the company does not act. Subsequently, after Zoom canceled a UC-sponsored event that involved an individual who had in the past been identified by federal authorities as a terrorist risk. Zoom's rationale was the concern that their involvement as the media platform could violate federal law by providing "material support" to a terrorist organization in violation of 18 U.S.C. § 2339B. Council endorsed a UCAF letter asking UC to request clarification from the Department of Justice on the reach of the "material support" statute.

SVSH POLICY

Revisions to Bylaw 336.F.8: In January, following a systemwide review, Council approved an amendment to Senate Bylaw 336.F.8, calling for the use of the "preponderance of evidence" standard in Privilege and Tenure hearings for cases of alleged violation of the UC Policy on Sexual Violence and Sexual Harassment (SVSH). The revision adjusted prior language permitting P&T proceedings to use the "clear and convincing" evidentiary standard for cases involving SVSH. The reason for the change was to align the Bylaw with new federal Title IX regulations requiring UC to use a single evidentiary standard in all SVSH cases, regardless of the respondent's identity (student, staff, or faculty), and California law requiring UC to use the "preponderance" standard in SVSH matters involving students. The Assembly approved the revision in February.

Revisions to Bylaw 336.F.3: In May, following a systemwide review, the Council approved a revision to Senate Bylaw 336.F.3 proposed by UCPT in response to federal regulatory changes that require a Title IX hearing for cases involving SVSH. Given concerns about duplication of effort and the burden on parties to go through two full hearings, UCPT adopted a recommendation to accept evidence from the Title IX hearing in SVSH-related discipline cases for subsequent P&T hearings. The Assembly approved the revision in June.

Revised SVSH Frameworks: In April, following a systemwide review, Council sent UCOP comments on proposed revisions to the University's SVSH Investigation and Adjudication Framework for Senate and Non-Senate Faculty, and the corresponding Staff Framework.

ADDITIONAL FACULTY WELFARE ISSUES

UCFW Letters: Council endorsed a UCFW letter recommending that the University consider additional measures to help faculty and other employees afford to buy a home close to campus; a letter asking the University to develop a standardized, systemwide, and publicly available recruitment and on-boarding packet for new and prospective faculty; and a letter asking the administration to develop a systemwide policy on bullying with definitions, guidelines, resolution strategies, and consequences for bullying and abusive conduct. Council also approved a letter from UCFW/TFIR recommending how UC could better support employees burdened by student loan debt and increase their financial literacy, and a letter supporting a new option in the UCRS 2016 tier that would allow certain Savings Choice Plan faculty participants a chance to switch to Pension Choice.

APM 700 Series: Council sent UCOP a summary of comments from the Senate review of new APM policies related to a new paid family and medical leave program. The Senate supported the changes as a step forward in equity and inclusivity that will better support faculty in balancing the needs of career and family.

Emerita/Emeritus Policy: Council endorsed a revision to Regents Policy 1203 to confer the Emerita/Emeritus suffix automatically on every Senate faculty member at the Associate Professor and Professor rank (or equivalent) upon retirement.

Salary Scales Task Force: Council sent the Provost a summary of Senate comments on the report and recommendations of the Academic Planning Council Faculty Salary Scales Task Force, which recommended moving UC to more competitive, transparent, and equitable faculty salary scales that are uniform across campuses.

RESEARCH ISSUES

Support for Animal Researchers: In March, Council endorsed a UCORP letter expressing concern about the ongoing harassment of UC animal researchers and calling on UC to defend faculty with stronger public support.

Policy on UC Research Data and Tangible Research Materials: In April, Council sent UCOP a summary of comments from the Senate's review of a proposed presidential policy on UC Research Data and Tangible Research Materials. The Senate did not support the policy due to questions and concerns from faculty about its purpose and intent, consequences for faculty workload and campus budgets, intellectual property, and academic freedom.

OTHER ACADEMIC PERSONNEL ISSUES

APP Briefings: Administrators from the Office of Academic Personnel and Programs joined several Council meetings to discuss the University's efforts to support faculty and other academics during the pandemic, campus efforts to develop temporary programs for COVID-related dependent care active service-modified duties, revisions to leave-related APM policies, UC-based and federally-mandated leave options available to faculty, and a new streamlined process for faculty who want to request a third-year extension to the tenure clock. Council also received several confidential briefings on the status of labor negotiations with graduate students and Unit 18 Lecturers.

Mentoring in the APM: Council approved a joint UCAP-CCGA recommendation for a systemwide review of revisions to APM 210 that incorporate new language concerning the consideration of mentorship in the file review process for various academic series. The input of both UCAP and CCGA was critical in the crafting of the APM modification to better address this important component of academic activity.

CAP Evaluations of Health Sciences Faculty: Council distributed to campuses a UCAP letter that summarized the committee's discussions about CAP evaluations of Senate health sciences faculty. The letter offered advice to health science faculty about preparing files for CAPs and provided examples of where more communication and clarity would be helpful regarding advancement criteria, service expectations, and review guidelines.

CLIMATE CRISIS AND SUSTAINABILITY

Climate Crisis Meetings: At several meetings, the Senate chair and vice chair engaged Council in discussions about campus efforts and organizational structures related to combating the climate crisis. The Senate chair and vice chair hosted a series of meetings with campus faculty to discuss campus activities related to the climate crisis and brainstorm on strategies for increasing the Senate role in addressing the crisis. The goal was to build a coordinated Senate effort provide top-down support for bottom-up ventures that connect campus efforts to the Academic Council and Global Climate Leadership Council.

GCLC: Chair Gauvain and Vice Chair Horwitz joined the Global Climate Leadership Council, formed by President-emerita Napolitano to move UC to carbon neutrality by 2025. In February, faculty representatives to the GCLC joined Council to discuss the UC Carbon Neutrality Initiative,

the role of the GCLC, and opportunities to forge closer ties with the Council and campus faculty to highlight and address climate issues.

ESG Criteria in Selecting Insurance Services: Council [approved](#) a UCPB resolution that asks the University to ensure that future RFPs for insurance service vendors include a criterion for eligible institutions to adhere to Environment, Social and Governance principles.

OTHER BRIEFINGS

Senior Managers: President Drake, Provost Brown, and Chief Financial Officer Brostrom joined Council each month to exchange views with Council on budget issues, the pandemic, UC Health affiliations, faculty diversity, health care and benefits, Regents agenda items and presentations, diversity and inclusion, labor relations, standardized testing, a data breach affecting UC employees, and COVID-19 impacts and campus reopening plans.

Regents Visits: Regent George Kieffer attended the November Council meeting to offer his reflections on the Regents, shared governance, fossil fuel divestment, relations with the state, the UC research mission, and other issues and challenges facing the University. Chair of the Regents John Pérez joined the January meeting to discuss state funding and state relations, common goals for access, affordability, and diversity, the University's research and graduate education mission, the University's efforts around the climate crisis, and UC Health affiliations.

Reports from Division Chairs: Time was set aside at several Council meetings for division chairs to discuss campus issues. These updates touched on campus efforts to manage COVID-related disruptions to teaching and research activities, budget and workforce actions taken by campuses to address financial shortfalls, planning around fall reopening and the nature and extent of Senate involvement in planning, views and concerns about vaccine distribution, the safety of in-person instruction, and a vaccine mandate, and local efforts to organize faculty around the climate crisis.

ACSCOLI: Academic Council Special Committee on Lab Issues Chair Michael Todd updated Council in July about the work of the ACSCOLI and the UC-managed national laboratories.

OTHER ISSUES

Discussion of Council Priorities: Chair Gauvain and Vice Chair Horwitz led discussions at the May and June Council meetings about Council priorities and how to use the group and its time together most effectively. The discussions focused on responses to questions the Senate leadership posed to chairs of Senate division and systemwide committees on the most pressing issues facing UC this year, the Senate's effectiveness in addressing the issues, and the most important issues expected next year. The discussions also addressed time allocation at Council meetings and explored strategies for increasing the Senate's effectiveness to help meet its priorities. The Senate chair and vice chair also identified three important issues for Senate attention in the years ahead: the climate crisis, the relationship between the general campuses and the medical enterprise, and the future of higher education, including the role of online instruction.

Mid-Career Leadership Award: Council named Professors Tara Javidi (UCSD) and Steven Cheung (UCSF) recipients of the 2021 Award for Mid-Career Leadership in the Academic Senate.

ADDITIONAL SYSTEMWIDE REVIEWS

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

➢ ILTI Assessment Report and Recommendations (3/21)
➢ Presidential Policy, Business and Finance Bulletin, IS-12 IT Recovery (3/21)
➢ Presidential Policy on Native American Cultural Affiliation and Repatriation (v.3) (5/21)
➢ Presidential Policy on Classification of Gifts and Sponsored Awards (5/21)
➢ Presidential Policy on UC Health Participation in the End of Life Option Act (6/21)
➢ Presidential Fee Policy for Graduate Students *In Abstentia* Registration (7/21)

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 the Committee of the Whole. Chair Gauvain 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 Committee: Council selected Professor Sonia Ramamoorthy (UCSD) as its nominee for Senate Representative to the Regents Committee on Health Services. Her term began January 20.

Health Benefits Programs: Professor Richard Kronick (UCSD) was selected as the Senate Representative to the Executive Steering Committee on Health Benefits Programs (ESC). His two-year term began June 1.

ACKNOWLEDGEMENTS

We express our gratitude to UCOP staff 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 Michael Drake; Provost and Executive Vice President Michael Brown; Chief Financial Officer Nathan Brostrom; Executive Vice President Carrie Byington; Vice Provost Susan Carlson; Associate Vice President David Alcocer; Title IX Director Suzanne Taylor; Diversity, Labor, & Employee Relations Director Amy K. Lee; Director of Undergraduate Admissions Han Mi Yoon-Wu; Director of Academic Preparation and Relations with Schools Monica Lin; Director of Academic Policy and Compensation Kimberly Grant; Associate Vice President William Cooper; Special Programs Manager Stephanie Lopez; Managing Counsel Hoyt Sze, Deputy General Counsel Allison Woodall; and Senior Counsels Josh Meltzer, Angus MacDonald, and Chad Pimentel.

We also express our gratitude for the outstanding and dedicated work of the systemwide Senate staff throughout this very difficult year. We thank Executive Director Hilary Baxter, Assistant Director Michael LaBriola, Analysts Brenda Abrams, Kenneth Feer, Fredye Harms, Stefani Leto, and Joanne Miller, Executive Assistant Mona Hsieh, and Committee Assistant Tenneh Fallah.

Respectfully submitted:

Mary Gauvain, Chair
Robert Horwitz, Vice Chair

Divisional Chairs:
Jennifer Johnson-Hanks, UCB (*Sept- May)*
Ronald Cohen, UCB (*June-Aug*)
Richard Tucker, UCD
Jeffrey Barrett, UCI
Shane White, UCLA
Robin DeLugan, UCM
Jason Stajich, UCR
Steven Constable, UCSD
Sharmila Majumdar, UCSF
Susannah Scott, UCSB
David Brundage, UCSC

Senate Committee Chairs:
Eddie Comeaux, BOARS
Amr El Abbadi, CCGA
F. Javier Arsuaga, UCAADE
Susan Tapert, UCAP
Daniel Potter, UCEP
Shelley Halpain, UCFW
Richard Desjardins, UCORP
Sean Malloy, UCPB

Council Staff:
Hilary Baxter, Executive Director
Michael LaBriola, Assistant Director

UNIVERSITY COMMITTEE
ON
ACADEMIC COMPUTING AND COMMUNICATIONS

ANNUAL REPORT 2020-2021

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 met four times during the academic year. All meetings were conducted remotely via videoconference due to the Covid-19 pandemic. This report highlights the committee's activities in 2020-21.

CYBERSECURITY

Cyber-Risk Working Group

Cyber-Risk Working Group was convened by UCOP early in the fall in response to a ransomware attack at UCSF that involved digital research data. The group included Vice Chancellors for Research and IT administrators; the Academic Senate was represented on the Working Group by UCACC Chair David Robinowitz and UCACC Vice Chair Susan Cochran, as well as the Chair and Vice Chair of the Academic Council (Mary Gauvain and Robert Horwitz). Chair Robinowitz led the workstream concerned with "Working with the Academic Senate to develop and deliver guidance to researchers on appropriate security efforts" and solicited UCACC input. UCACC also received updates on the Working Group from interim CIO Mark Cianca, and reviewed a draft of the final report. The core recommendations in the report were:

- Establish location-based research data protection workgroups.
- Develop awareness campaigns for faculty.
- Provide a scalable back-up service for all UC researchers.

The final report and recommendations ("Recommendations to Protect UC's Digital Research Data") were sent to President Drake, who requested the development of an implementation strategy.

Threat Detection Audit

UCACC learned about the results of an internal audit of UC's threat detection and identification (TDI) system conducted last year by UC's Ethics, Compliance and Audit Services (ECAS). The audit concluded that the use of FireEye as UC's systemwide TDI service has enhanced the university's ability to detect attacks and to respond quickly. The audit also suggested some corrective actions and improvements, including changes to the cybersecurity advisory and governance structures at campuses and systemwide.

Cybersecurity Events

In December, FireEye, the company that UC contracts with for IT security, announced that it had been the victim of a cyberattack and that its tools were stolen. The company offered some mitigating strategies and a process for moving forward. Shortly afterward, the software company SolarWinds which is also a UC provider, informed its 18,0000 customers that an update of its software had been compromised. In the spring, the Accellion cyberattack impacted UC and over

a hundred organizations worldwide. The attack exposed personally identifiable information (PII) of employees and dependents via UCPath. In response, UC offered free credit monitoring and security alerts through Experian, and strongly encouraged everyone to sign up. Many UC faculty and staff found UC's response unsatisfactory. UCSD's Committee on Academic Information Technology (CAIT) drafted a letter to the UCSD Academic Senate that was shared with UCACC and will likely be taken up next year.

In April, UC Associate Director for Systemwide Export Controls Marci Copeland joined the meeting to provide UCACC with an update on export control guidance related to supercomputing centers appearing on the federal "entity list." Vice Chancellors for Research receive alerts, but the faculty are the folks most likely to know if the centers are being used by colleagues. UCACC suggested contextualizing the situation by inviting faculty to participate in group educational activities hosted by campus data centers or similar organizations that focus on multiple aspects of export control.

UC DATA MANAGEMENT
Director John Chodacki from the CDL joined UCACC's December meeting to review CDL's partnership with the Dryad Data Repository. Dryad is a researcher-led, open source initiative that allows data to be discoverable, reusable, and citable. After one year, the CDL feels that the relationship is exceeding its goals of providing a service that is integrated into workflows, connects UC to the global research community, and supports researcher needs. UC researchers are using Dryad and the repository is connecting UC researchers to open access curated datasets worldwide. The repository is geared toward data that is ready to be published, generally along with a scholarly paper, and it is not intended as an active data space or meant for fields that already have discipline-based repositories. Most faculty find out about Dryad via word of mouth, and UCACC members were encouraged to bring information about the repository to departmental meetings, and discipline-based discussions.

REMOTE TEACHING AND LEARNING
At the beginning of the academic year, ILTI Directors Ellen Osmundson and Mary-Ellen Kreher joined UCACC to talk about online courses and the latest news regarding remote proctoring services and online course evaluations. The Covid-19 pandemic required most faculty to quickly adjust to fully online teaching. In some disciplines, it was felt that cheating was rampant. In response, the campuses contracted with proctoring services such as ProctorU, Examity, or Respondus. Most campuses established agreements with ProctorU, which is the biggest proctoring service, and issued advise to faculty around using remote proctoring services. The biggest proctoring concerns were privacy, equity, and data security, since proctoring services are able to connect to learning management systems. Berkeley – and possibly other campuses – strongly advised faculty to use alternative forms of assessment.

UC's IT Strategic Sourcing Associate Director Tom Trappler joined the December meeting to provide an update on data security appendix (Appendix DS) that is used when UC licenses software and services and provides protection. Appendix DS was revised last year in a process that included representatives from UC's IT security, legal, and procurement offices.

In April, UCACC welcomed UC Irvine Vice Provost of Teaching and Learning Michael Dennin, who discussed online teaching and the need for faculty to be more involved in decision-making and policy. He also noted that summer term has been partially online for years now, and that it

demonstrates the possibility of giving faculty and students flexibility while maintaining quality, as well as equity for students who may not be able to physically be on a campus.

RESEARCH INFORMATION MANAGEMENT SYSTEMS (RIMS)
In January, 2020, 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 is co-chaired by UC Irvine Vice Chancellor for Research Pramod Khargonekar and UCSD Professor (and former UCACC Chair) Maryann Martone, and has representation from UCACC, UCOLASC, and UCORP. Research information systems are generally used to aggregate data and generate metrics and statistics for universities and other institutions. They offer sophisticated evaluation tools, but also present a concern as many are licensed by third parties, including big publishers who already collect faculty data. After conducting an inventory of the systems, the Working Group will develop a survey about use of the systems and will produce a report and recommendations.

POLICIES

- *Electronic Information Security Policy (IS-3)*
The Electronic Information Security Policy (IS-3) was revised last year. UCACC continued to receive updates on implementation and minor clarification updates.

- *IT Recovery Policy (IS-12)*
The Continuity Planning and Disaster Recover Policy (IS-12) was distributed for formal systemwide review and received nearly 100 comments. UCACC was kept informed throughout the policy development, and submitted supportive comments for the final review. The IT policy staff are preparing a FAQ and visual aid to accompany the policy when it is officially issued.

- *Proposed Presidential Policy on UC Research Data and Tangible Research Materials*
UCOP Research Policy Manager Agnes Balla jointed the February UCACC meeting to discuss the proposed Policy on UC Research Data and Tangible Research Materials. The policy calls upon campus leadership and researchers to work in partnership to manage, retain, preserve, protect, access and share data. UCACC has discussed data preservation over the years and the need for a UC data ownership policy. UC ownership of faculty data is currently enshrined in "Reg. 4" of the Academic Personnel Manual, although some faculty may not be aware of the specifics. The proposed policy does not intend to change current practices, other than to align with current discipline-based or funder-mandated practices.

ADDITIONAL BUSINESS

Impacts of Covid-19: UCACC discussed impacts of the Covid-19 pandemic throughout the year, focusing on implications for IT infrastructure due to online-only instruction, the extra work for instructors, and security, privacy, and academic integrity concerns around testing and evaluation. Other issues were the recording of courses and lectures for asynchronous learning and assistance for instructors with technology for large classes.

Information Technology Leadership Council (ITLC) updates: Interim CIO Mark Cianca provided regular updates on the concerns of the IT Leadership Council. In addition, Chair David Robinowitz participated in ITLC meetings as an ex-officio member.

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.

SYSTEMWIDE REVIEWS AND CORRESPONDENCE
- President's Proposed Curtailment Program for 2020-21 (October 26, 2020)
- Academic Planning Council Faculty Salary Scales Task Force Report and Recommendations (February 17, 2021)
- IS-12: IT Recovery Policy (February 17, 2021)

REPRESENTATION
UCACC Chair David Robinowitz, 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. UCLA member Susan Cochran served in a dual role as vice chair, and also represented UCACC on the Provost's Research Information Management Systems (RIMS) Working Group. Chair Robinowitz and Vice Chair Cochran served as Senate representatives to the Cyber-Risk Governance Committee (CRGC) and ad-hoc Cyber-Risk Working Group.

ACKNOWLEDGEMENTS
UCACC is grateful for the contributions made by the consultants and guests who attended meetings in 2020-21, including:
- Agnes Balla, Research Policy Manager, UCOP Office of Research & Innovation
- Alexander Bustamante, Senior Vice President and Chief Compliance and Audit Officer
- Mark Cianca, Interim UC CIO
- John Chodacki, Director, UC Curation Center (CDL)
- Marci Copeland, Associate Director Systemwide Export Controls, UCOP
- Michael Dennin, Vice Provost, UC Irvine
- Shanda Hunt, Research Compliance Manager
- Mary-Ellen Kreher, ILTI Director of Course Design and Technical Development
- Greg Loge, Systemwide Cybersecurity Audit Director
- Ellen Osmundson, Program Director, Innovative Learning Technology Initiative (ILTI)
- Monte Ratzlaff, Cyber-Risk Program Manager, UCOP
- 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,
David Robinowitz, Chair
Susan Cochran, Vice Chair (*and* UCLA)
Avideh Zakhor (UC Berkeley)
Matt Bishop (UC Davis)
Nader Bagherzadeh (UC Irvine)
Emily Jane McTavish (UC Merced)
Manu Sridharan (UC Riverside)
Ian Galton (UC San Diego, Fall)

Avi Yagil (UC San Diego, Winter, Spring)
Jenson Wong (UC San Francisco)
James Frew (UC Santa Barbara)
Brent Haddad (UC Santa Cruz, Fall & Winter)
Leila Takayama (UC Santa Cruz, Spring)
Mary Gauvain, Chair, Academic Senate *(Ex Officio)*
Robert Horwitz, Vice Chair, Academic Senate *(Ex Officio)*
Andrea Kasko, CCGA Vice Chair *(Ex Officio)*
Dan Potter, UCEP Chair *(Ex Officio)*
Mimi (Derjung) Tarn, UCOLASC Vice Chair *(Ex Officio)*
Joanne Miller, Committee Analyst

ACADEMIC COUNCIL SPECIAL COMMITTEE ON LAB ISSUES ANNUAL REPORT 2020-21

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.

ACSCOLI met three times during 2020-2021 academic year (AY). Due to the Covid-19 pandemic, all meetings were held via videoconference. A summary of the committee's discussions is below.

UC OFFICE OF THE NATIONAL LABORATORIES
At each ACSCOLI meeting, Vice President Craig Leasure provided updates on the national labs and the work of the UC Office of the National Laboratories. Alan Wan, UCNL's new Executive Director for Laboratory Programs, joined the May meeting.

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 Triad are overseen by the National Nuclear Security Administration (NNSA), an agency within the U.S. Department of Energy. The UC Office of the National Laboratories coordinates this work for the University.

NATIONAL LABORATORIES UPDATES
Using the ACSCOLI checklist as a guide, Vice President Craig Leasure updated the committee at each meeting on the status of the three national laboratories. ACSCOLI learned how the labs were dealing with remote work during the Covid-19 pandemic. All labs had a portion of their workforce working from home for most of the year.

A national order regarding foreign visitors will require more vetting of non-US citizens who visit the labs. LANL and LLNL already have processes in place, so the change will primarily be felt at the Berkeley Lab. LBL is hoping to focus on the small percentage (around 10%) of visitors to the lab who might be exposed to sensitive areas.

There is a proposed change the way the Department of Energy Inspector General controls the process for sub-contractor incurred cost. The change will add unnecessary administrative burden to the labs, and the lab directors are working with UC's Office Federal Government Relations and national organizations to address their concerns.

Each year, the US Department of Energy conducts an evaluation of the scientific, technological, managerial, and operational performance of the contractors who manage and operate its national laboratories. These evaluations provide the basis for determining annual performance fees and award term extension, if applicable. For FY 2020, LLNL received the top overall rating of Excellent (91%) and LANL received a rating of Very Good (88%).

In the spring, ACSCOLI learned that $200,000 of the fees the UC earns for managing the national labs will be used for a new postdoctoral fellowship in Technology and International Security. Planning for the fellowship was done in conjunction with the Institute on Global Conflict and Cooperation (IGCC), based at UCSD. LLNL and LANL will share the cost. As approved by the Board of Regents, the first cohort will comprise six postdoctoral fellows based in Washington, DC.

UC LAB FEES RESEARCH PROGRAM
ACSCOLI provided input on the three thematic areas for this year's Collaborative Research and Training (CRT) award competition. The themes are chosen collaboratively by a group consisting of deputy directors for science from LANL and LLNL, VP for the UC Office of the National Labs Craig Leasure, VP for Research & Innovation Theresa Maldonado, and directors from UCOP's Research Grants Program Office. ACSCOLI suggested that there could be more emphasis on renewable energy and carbon neutrality within the thematic areas. Full proposals are due at the end of summer, with review and selection in the fall. The campuses and labs hosted workshops for each of the three thematic areas, each of which drew over 100 participants. A separate videoconference was held for the in-residence graduate fellowship award to allow prospective applicants to talk to current participants and representatives from the labs. ACSCOLI asked to see assessment measures for the LFRP, such as feedback from fellowship program participants and statistics on how many graduate students and post-docs that were funded by LFRP go on to be employed at the labs.

JOINT APPOINTMENTS
The issue of joint appointments between UC and the labs has been discussed over the years by ACSCOLI and other Academic Senate committees. This year, ACSCOLI made progress in trying to formalize joint appointments between UC and the national labs. In May, Vice Provost for Academic Personnel and Programs Susan Carlson joined the ACSCOLI meeting to offer the personnel policy perspective. Carlson noted that campuses have many types of faculty appointments, and existing titles may be suitable for outlier situations such as joint appointments. Ideally, UC would like to see joint appointments work both ways, enabling lab employees to join UC and UC faculty to more seamlessly work at the labs. In addition, all parties should be able to take advantage of the existing relationship between the labs and UC when developing joint proposals, hiring students and post-docs, obtaining funding for R&D projects, and providing faculty with the opportunity to do classified work. Los Alamos already has joint appointments with the University of New Mexico consortium and with Texas A&M. Sticking points for

moving forward at UC include uncertainty about oversight and locus for the agreements. Institutional agreements – between a campus and a lab for example – might reside with the VC for Research, while an individual appointment plan might reside within Academic Personnel Office. Funding for appointments is another issue to be worked out.

To move forward, ACSCOLI members are working on developing examples of successful agreements that can be used as models. One such "test case" agreement is being prepared for ACSCOLI member Eric Mjolsness (UCI) to have a joint appointment at LANL; ACSCOLI Chair Michael Todd (UCSD) has also been proposed by LANL for AY 21-22 development of another agreement. VP Carlson and VP Theresa Maldonado agreed to work together to determine a central location for the model agreements. The next step after establishing joint appointment agreements will be to spread the word amongst faculty and lab personnel that the option exists.

BOARD OF REGENTS NATIONAL LABORATORY COMMITTEE
The Chair of the UC Board of Regents' National Laboratory Committee Charlene Zettel joined ACSCOLI's October meeting to provide an update on the work of her committee, including the search for a new Director for Lawrence Livermore National Lab and the interest in potentially expanding UC's portfolio to other labs. Regent Zettel was appointed to the Board of Regents by Governor Arnold Schwarzenegger and her term ends on March 1. [Regent Jay Sures assumed the chair of the National Laboratory Committee on May 1st.]

REPRESENTATION AND OTHER UPDATES
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.

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

In 2020-21, ACSCOLI Chair Michael Todd served on the Screening Task Force (chaired by previous LANL Director Charles MacMillan) in the national search for the open LLNL Director position. The Screening Task Force was primarily responsible for identifying a short list of vetted, viable candidates for the Search Committee to interview and make recommendations

UC Vice President for Research & Innovation Theresa Maldonado regularly joined ACSCOLI meetings to discuss areas of common interest, including joint appointments and the research enterprise.

ACKNOWLEDGEMENTS
ACSCOLI wishes to acknowledge the contributions of its consultants and guests:
- Bart Aoki, Executive Director, Research Grants Program Office (UCOP)
- Kathleen Erwin, Director of UC Research Initiatives (UCOP)

- Craig Leasure, Vice President for the National Laboratories
- Theresa Maldonado, UC Vice President for Research & Innovation
- Alan Wan, Executive Director for Laboratory Programs
- June Yu, Associate VP for the National Laboratories

Respectfully submitted,
2020-21 ACSCOLI members:
    Michael Todd, Chair (UCSD)
    Mary Gauvain, Academic Council Chair
    Robert Horwitz, Academic Council Vice Chair
    Kum-Kum Bhavnani, Academic Senate Past Chair, 2019-20
    Javad Lavaei, UCORP Representative
    Darrell Long, UCSC
    Sean Malloy, UCPB Chair
    Eric Mjolsness, UCI
    William Newman, UCLA
    Peggy O'Day, UCM
    Ivan Schuller, UCSD
    Robert Powell, UCD
    Ram Seshadri, UCSB

    Staff: Joanne Miller, Academic Senate Committee Analyst

UNIVERSITY COMMITTEE ON ACADEMIC FREEDOM
2020-2021 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:
The University Committee on Academic Freedom (UCAF) met five times by videoconference in Academic Year 2020-2021 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.

CONCERNS ABOUT CENSORSHIP BY ZOOM AND OTHER PRIVATE PLATFORMS
At the beginning of the academic year, UCAF learned that the video communication platform Zoom had canceled academic discussions at other institutions after receiving complaints and finding violations of their terms of service. The committee's primary concern was the dangers evident in UC's own contract with Zoom because the University routinely violates Zoom's terms and standards in the course of regular instruction, research, and extracurricular activities, and because under the contract, the power to decide what content to allow lies with Zoom, not the University. Following consultation with Information Technology and Academic Affairs at the Office of the President, UCAF submitted a memo to Academic Council with three recommendations which included negotiating with Zoom for contractual terms that protect the academic freedom of UC faculty and other teachers and researchers. The memo was endorsed by Council in January and transmitted to the Provost's Office. Provost Brown subsequently reported that the Office of the President and the UCAF Chair were actively negotiating with Zoom and that a revised Zoom policy was under review. On April 13th, Zoom announced a new content moderation policy for higher education users that—with limited exceptions—gives content moderation rights to universities and, thereby, protects academic freedom.

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

RESPONSE TO UCORP MEMO ON ANIMAL RESEARCHERS
During UCAF's March meeting, the committee discussed a request from the Committee on Research Policy (UCORP) to sign onto its memo in support of animal researchers who are targets of harassment by animal rights organizations. These organizations have inundated UC faculty with a record number of Freedom of Information and Public Records Act requests which are extremely burdensome to both researchers and legal staff, and are clearly aimed at eliminating animal research at UC. UCAF supported UCORP's recommendation that UCOP establish a Presidential Task Force, or some similarly proactive response, to address these ongoing threats, rather than being reactive to pressures from the animal rights movement. Council endorsed the memos from UCORP and UCAF and transmitted them to the President's Office in April.

ACADEMIC FREEDOM IN TIME OF CRISIS

Last year, UCAF sent Council a [Statement on Grading, On-line Teaching, and Shared Governance in Time of Crisis](#) which was not considered, so this March the committee agreed to resubmit the memo. The memo expressed concerns about some measures taken by administrators related to grading policy and remote instruction to address the pandemic. Specifically, UCAF pointed out that these issues are academic matters and, importantly, decisions made regarding them may impinge on the rights and responsibilities of faculty and academic freedom. Council declined to endorse the memo but agreed that UCAF's concerns were relevant to discussions about reopening UC campuses in the fall and recommended that the memo should be posted on the UCAF website. As planning for returning to campus went on, concerns emerged about getting faculty back into the classroom, so Council asked UCAF to consider the academic freedom issues at stake in decisions about teaching online versus in person as UC moved beyond the COVID era. In tandem with Council's [Systemwide Guidelines and Recommendations for Fall Campus Re-Opening](#) a statement from UCAF on [Academic Freedom and the Return to In-Person Instruction](#) was transmitted to the divisional Senates in May.

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

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

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

Additionally, UCAF devoted part of each regular meeting to reports on issues facing local committees and ideas for raising awareness and understanding of academic freedom throughout the University.

Respectfully submitted,

Brian Soucek, Chair (D)	Leda Cosmides, Vice Chair (SB)
Ty Alper (B)	Benjamin Highton (D)
Terry Dalton (I)	Eugene Volokh (LA)
Carolin Frank (M)	Fred Wilhelm (R)
Farrell Ackerman (SD)	Melike Pekmezci (SF)
Paul Amar (SB)	Minghui Hu (SC)
Valeria Orue (Graduate Student)	Perry Meade (Undergraduate Student)

Mary Gauvain (Chair, Academic Senate, *Ex Officio,* (R))
Robert Horwitz (Vice Chair, Academic Senate, *Ex Officio*, (SD))
Brenda Abrams, Principal Analyst

UNIVERSITY OF CALIFORNIA   **ACADEMIC SENATE**
UNIVERSITY COMMITTEE ON ACADEMIC PERSONNEL
ANNUAL REPORT 2020-2021

TO THE ASSEMBLY OF THE ACADEMIC SENATE:
The University Committee on Academic Personnel (UCAP) had four videoconferences during the Academic Year 2020-2021 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:

APM 210 AND MENTORING
This year, UCAP continued to collaborate with the Coordinating Committee on Graduate Affairs (CCGA) on how best to increase the prominence of mentoring in APM 210. Based on feedback from Academic Personnel to the committees' 2020 proposal to simply rename the Teaching category in the Criteria for Appointment, Promotion, and Appraisal section to "Teaching and Mentoring," UCAP and CCGA worked on a more comprehensive set of revisions to multiple sections of APM 210. The revisions included a focus on mentoring of faculty as well as students, distinguishing between the mentoring that falls under "Teaching" and mentoring that falls under "University and Public Service," and providing a more substantial description of what should be considered mentoring in the file review process. In July, UCAP approved the proposed revisions and transmitted them to Academic Council. Council endorsed the proposal, which was then submitted to Academic Personnel with a request for a systemwide review in fall 2021.

COVID-19 IMPACTS
In January and March, the committee discussed providing guidance to divisional CAPs about reviewing files that include the period of the COVID-19 pandemic because of how it is likely to impact research, teaching and service. Given the variability across the campuses, UCAP's goals were to promote some uniformity and equity in faculty reviews and to ensure CAPs appreciate that the pandemic will impact certain faculty more than others. The committee's thinking was informed by ideas put forth by the Committee on Faculty Welfare and the Committee on Affirmative Action, Diversity and Equity in a July 2020 memo to Council. UCAP's guidelines highlight issues campuses should consider during file review, and were a useful follow-up to Council's January 2021 Recommendations for Mitigating COVID-19 Impacts on Campuses. The guidelines were endorsed by Council in March and transmitted to divisional Senate chairs. In addition, UCAP's vice chair was appointed to the Provost's Mitigating COVID Impacts Work Group, which began meeting in the spring and is expected to complete its work in the fall.

OPEN ACCESS PUBLICATIONS AND CAP EVALUATIONS
Following last year's discussions about open access publications and personnel evaluations, UCAP considered the need for equitable access to funds across disciplines and how to encourage junior faculty to publish in open access venues. The committee consulted with the California Digital Library to learn about the funding UC Libraries provide to faculty who need funding to support publishing in open access and about the transformative agreements that have been established with certain publishers. In the next academic year, UCAP will look at how to help CAPs assess the quality of open access publications.

RECOGNITION FOR INTERNATIONAL ACTIVITIES
The Committee on International Education (UCIE) asked UCAP to consider how to recognize international activities in personnel reviews. The APM currently has language about international activities in the review criteria for promotion to full professor and for above scale, but UCIE suggested that international activities should be a factor at earlier steps as well. After consulting with the divisional CAPs about this matter, UCAP concluded that the existing framework for file evaluation includes

mechanisms to reward achievements in the international realm, and that these activities should not be a separate category of their own. A memo to UCIE recommended that faculty should delineate any challenges particular to their discipline or due to the pandemic that may have affected their international work or should be factored into how their work is assessed by CAPs, and that files should include evaluations and other concrete objective measures of international teaching.

OHER ISSUES AND ADDITIONAL BUSINESS
In response to requests for formal comments from the Academic Council, UCAP submitted views on the following:
- Proposed curtailment program for 2020-2021
- Proposed revisions to the leave-related policies of APM 700 series
- Systemwide review of the Faculty Salary Scales Task Force Report
- Report on the second year of the Negotiated Salary Trial Program Phase Two

CAMPUS REPORTS
UCAP devoted part of each regular meeting to a discussion of issues facing local committees including dual appointments on divisional Senate committees and changing the merit review cycle for full professor to four years instead of three.

UCAP REPRESENTATION
UCAP Chair Tapert 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, as well as a Strategic Planning Task Force on furlough and curtailment and her campus Senate Administration and Senate Councils.

COMMITTEE CONSULTATIONS AND ACKNOWLEDGMENTS
UCAP benefited from regular consultation and reports from Susan Carlson, Vice Provost, Academic Personnel; Amy K. Lee, Associate Vice Provost for Academic Personnel and Programs, Academic Personnel and Programs; and Kimberly Grant, Director, Academic Policy & Compensation, Academic Personnel and Programs. UCAP occasionally consulted the Academic Senate Chair Mary Gauvain and Vice Chair Robert Horwitz about issues facing the Senate and UC.

Respectfully submitted,
Susan Tapert, Chair (SD)   John Kuriyan, Vice Chair (B)
Rhonda Righter (B)   Lisa Tell (D)
Lisa Naugle (I)   Ali Behdad (LA)
Ashlie Martini (M)   Srikanth Krishnamurthy (R)
Steve Briggs (SD)   Margaret Wallhagen (SF)
Francis Dunn (SB)   Junko Ito (SC)

Mary Gauvain (Chair, Academic Senate, *Ex Officio,* (R))
Robert Horwitz (Vice Chair, Academic Senate, *Ex Officio,* (SD))
Brenda Abrams, Principal Policy Analyst

University Committee on Affirmative Action, Diversity, and Equity (UCAADE)
Annual Report 2020-21

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Affirmative Action, Diversity, and Equity (UCAADE) met four times during the 2020-21 academic year via videoconference. 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.

COVID-19 Crisis

The continued COVID-19 crisis garnered much of UCAADE's attention. Ongoing challenges of remote learning for students facing technological difficulties, caregiving responsibilities, and mental health challenges were discussed extensively. With UCFW, UCAADE created a set of recommendations for mitigating COVID-19 impacts on faculty advancement, morale, work-life balance, and dependent care responsibilities. The recommendations included immediate steps the University could take as well as long-term, structural changes to support equity, inclusion, recruitment and retention. The recommendations[1] were endorsed by Council and sent to President Drake. Provost Brown formed a workgroup comprised of Academic Senate representatives, including the UCAADE chair and campus leaders. The trifold charge for the group included: reviewing the 15 immediate recommendations; creating an inventory of all actions and pronouncements made on campuses; and advising on the best methods to measure the negative impacts of the pandemic and progress moving through them. The Working Group plans a report with recommendations for action in December.

Statements on Contributions to Diversity, Equity, and Inclusion

UCAADE worked with UCAF on a clarified and expanded version of the January 2019 recommendations for the use of Diversity, Equity, and Inclusion (DEI) statements in hiring and promotion, jointly authored by UCAADE and the systemwide EEO/AA/Diversity Administrators' Group. The revised document includes new best practices emphasizing that questions put to faculty members and applicants about DEI contributions should focus on the actions, experiences, or plans of the individual and should not assume there is a correct point of view or "right answer"; that faculty have the primary responsibility for evaluating DEI contributions within their discipline; that faculty hiring and review committees, not administrators, should create and employ the rubrics to judge DEI statements; and that neither the administration nor Senate should establish fixed DEI rubrics and numerical grading systems for search and review committees. The Academic Council endorsed the revised document in June. Subsequently, UCAADE asked the EEO/AA/Diversity Administrator's Group to review the revised document prior to its distribution.

Department of Graduate, Undergraduate, and Equity Affairs (GUEA)

In October, Vice President and Vice Provost Yvette Gullatt and Associate Vice Provost Liz Halimah provided an update on UCOP's internal restructuring of units focused on student academic success and institutional equity. The restructuring combined the departments of Diversity and Engagement,

---

[1] https://senate.universityofcalifornia.edu/_files/reports/mg-md-mitigating-covid-impacts-on-faculty.pdf

Student Affairs, Graduate Student Affairs, and the Innovative Learning Technology Initiative (ILTI), to form the Department of Graduate, Undergraduate, and Equity Affairs (GUEA). GUEA focuses on student readiness programs such as Mathematics, Engineering, Science, Achievement (MESA); the Puente Project; UC Leads; the UC-Historically Black Colleges and Universities Initiative (UC-HBCU); and the UC Hispanic-Serving Institutions Initiative (UC-HSI). Director Pamela Jennings also updated UCAADE in June on GUEA initiatives to add and diversify faculty and graduate students, through programs such as the President's Postdoctoral Fellowship Program (PPFP), grants to departments for diversity hiring, and Grad Slam, an annual research competition, professional development and outreach event. UCAADE learned that the Presidential Pre-Professoriate Fellowship, offered through the UC-HSI Doctoral Diversity Initiative, along with the Growing Our Own and Diversifying the UC PhD Pathways Initiatives, are showing some positive effects.

Advancing Faculty Diversity Initiative
At each meeting UCOP updated UCAADE on the progress of the Advancing Faculty Diversity (AFD) program, now in its fifth year. UCAADE learned that UCOP cut the AFD budget 10 percent this year, due to COVID-19 budget concerns and converted all awards to two-years to provide ample time to fully use of grant funds. Several AFD project proposals focus on faculty recruitment, climate improvement and retention efforts, and five include at least two campuses. For AY 2021-22, the program has a $3M budget, with hopes for additional state money. UCAADE understands that measuring the long-term impact of the program has been challenging, because most awards have funded short-term proposals.

Faculty Equity Advisors
UCAADE discussed the roles and responsibilities of Faculty Equity Advisors (FEAs) on UC campuses, and received updates on the program from Vice Provost Susan Carlson. UCAADE was concerned that the roles of FEAs differ widely across campuses. Some campuses FEAs are appointed by administrators and report to Deans, while others report to campus Equity and Inclusion administrators. Some FEAs are also administrators, and can find their dual roles challenging. UCAADE was also concerned that FEAs might experience expanding areas of responsibility, and systemwide clarification of their expected roles would be helpful. UCAADE plans to revisit its August 2019 recommendations for FEAs[2] to ensure they remain relevant as FEA programs expand and mature.

President's Postdoctoral Fellowship Program Initiative (PPFP)
In October, UCAADE received an update from PPFP Program Director Mark Lawson about the status of the program, whose mission is to support postdoctoral fellows who will contribute to overall University diversity through up to two years' salaried postdoctoral research appointments. Due to the ongoing COVID-19 crisis, program activities were held remotely. The Spring Academic Retreat had higher than usual attendance, and the format created cost savings. GUEA Executive Director Pamela Jennings noted in June that the program is having positive effects on professorial diversity. This year, the program has hired at least 25 faculty members, including eight humanities hires added through the Mellon Fellowship.

Campus Policing

---

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

UCAADE sent comments[3] to the Academic Council in April in response to the systemwide review of proposed Revisions to Universitywide Police Policies and Administrative Procedures (the "Gold Book"). UCAADE expressed a variety of concerns about the revision and general opposition to the Gold Book policies as inappropriate for a university environment and inconsistent with national conversations about policing. UCAADE was particularly concerned about the lack of representation of faculty/students/staff, or consultation with campus experts in policing, such as Public Safety Advisory Committees, the lack of provisions for implicit bias training, and a perceived emphasis on militaristic training of campus police. UCAADE also recommended banning firearms as standard equipment for campus police. In June, UCAADE submitted comments[4] to the Council on a draft Presidential Campus Safety Plan.

Neurodiverse Students
UCAADE met with representatives from the UC Davis Aggie Neurodiversity Committee, whose goal is to create awareness across campuses about neurodiversity, to discuss research background and policy suggestions for for making UC a more welcoming place for neurodiverse students with atypical neurological function, including those on the autism spectrum, with ADHD, or dyslexia. UCAADE authored a set of recommendations on neurodiversity[5] to Council which Council approved and forwarded to the Provost.

Mentorship
UCAP consulted UCAADE on proposed revisions to APM 210 that incorporate new language concerning the consideration of mentorship in the file review process for various academic series. UCAADE provided feedback to UCAP and supported the revisions, noting that mentorship duties often impact female, minority, and early-career faculty to a greater degree than others. Council approved UCAP's recommendation for a systemwide review of the recommendations.[6]

Affiliations with Ethical and Religious Directives (ERDs)-affected Catholic Hospitals
UCAADE discussed UC's existing and proposed affiliations with hospital systems following ethical and religious directives (ERDs) that include policy-based restrictions on health care. In June, UCAADE received a briefing on the history of UC Health hospital affiliations from UCFW-HCTF member Professor Lori Freedman, who noted causes for such affiliations and concerns regarding them. UCAADE generally opposed such affiliations, but agreed to wait until the Regents addressed the issue before taking a public stance.

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

REPORTS AND RECOMMENDATIONS
To the Academic Council:
- Concerns regarding proposed systemwide curtailment program (October 30, 2020)
- Recommendation that the University increase funding support for the UC-HIS DDI (April 13, 2021)

---

[3] https://senate.universityofcalifornia.edu/_files/reports/mg-md-gold-book-revisions.pdf
[4] https://senate.universityofcalifornia.edu/_files/reports/mg-md-campus-safety-plan.pdf
[5] https://senate.universityofcalifornia.edu/_files/reports/mg-mb-recs-neurodivergent-students.pdf
[6] https://senate.universityofcalifornia.edu/_files/reports/mg-sc-revisions-to-apm-210-mentoring.pdf

- Non-endorsement of UCAF Letter on DEI Statements (April 22, 2021)
- Comments on the "Gold Book" proposed revisions (April 22, 2021)
- UCAADE/UCAF Joint recommendations on the use of DEI statements in faculty hiring and review (June 8, 2021)
- Statement requesting actions to make UC a more welcoming place for neurodiverse students (June 16, 2021)

To the UCSC Provost and the Chair of the UCSC Academic Senate:
- An endorsement of the proposal by the UCSC CAAD to implement the Faculty Equity Advisor (FEA) program on their campus (February 18, 2021)

REPRESENTATION
UCAADE Chair Javier Arsuaga served on the Provost's Task Force on Mitigating the Impact of COVID-19 on Faculty and the Advancing Faculty Diversity Advisory Committee. UCAADE Vice Chair Daniel Arsuaga served on the BOARS Ethnic Studies Working Group.

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, Director of Academic Program Coordination Patricia Osorio-O'Dea, UC Davis graduate students and representatives Patrick Dwyer, Kristin Mifsud, Erica Mineo, Chris Lindholm, Dierdre Spillane-Jiminez, UC Davis Professor Luis G. Carvajal-Carmona, UCSF Professor Lori Freedman, PPFP Director Mark Lawson, Graduate Studies Executive Director Pamela Jennings, Associate Vice Provost Liz Halimah, and Vice President and Vice Provost Yvette Gullatt. The committee also thanks the faculty members who served as alternates during the year.

Respectfully submitted,

Javier Arsuaga, Chair	Melissa Morgan (SB)
Daniel Widener, Vice Chair	Sylvanna Falcon, (SC)
Julianna Deardorff, (B)	Doreen Joseph, Graduate Student
Jose Torres, (D)	Representative
Louis DeSipio, (I)	Mary Gauvain, Chair, Academic
Richard Yarborough, (LA)	Senate *(Ex Officio)*
Jesus Sandoval-Hernandez, (M)	Robert Horwitz, Vice Chair,
Xuan Liu, (R)	Academic Senate *(Ex Officio)*
Jennifer Burney, (SD)	Stefani Leto, Committee Analyst
Andreea Seritan, (SF)	

BOARD OF ADMISSIONS AND RELATIONS WITH SCHOOLS (BOARS)
ANNUAL REPORT 2020-21

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The Board of Admissions and Relations with Schools (BOARS) met ten times in Academic Year 2020-21 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 2014–2020; first-year UC performance outcomes for students who entered UC in fall 2019; 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 2020 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

1

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 extended 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.

ETHNIC STUDIES REQUIREMENTS

In response to changing state and intersegmental curricular changes to establish ethnic studies requirements for high school graduation and for graduation from the California State University, BOARS approved the formation of working groups to develop curricular and academic standards for each level of requirement. Both groups will report to BOARS their recommendations.

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. BOARS continues to monitor the outcomes of the Pathways+ program.

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 2020 and June 2021 to discuss the "Compare Favorably" policy implementation, augmented review implementation, transfer issues, reader training innovations, and recruitment efforts designed to increase enrollment of students from disadvantaged and underrepresented backgrounds. BOARS and the campus Admissions Directors also discussed outcomes from the 2020 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 of admissions absent standardized tests.

STANDARDIZED TESTING

In May of 2020, the Regents unanimously adopted the President Napolitano's recommendations 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 Provost convened a group to study the feasibility of creating new assessments that can be implemented beginning with fall 2025 admissions. BOARS, meanwhile, continued to develop and share with the campuses additional guidance for implementing a test-optional or test-free approach to admissions for the short-term.

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; over-enrollment in STEM fields; the on-going impacts of COVID-19 on admissions practices; and changes to local bylaws.

Senate Leadership Briefings: The Academic Council chair and vice chair attended a portion of each BOARS meeting to brief the committee on business from the Academic 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 planning for campus reopening as the COVID-10 pandemic continues.

Graduate, Undergraduate, and Equity Affairs: The Office of Graduate, Undergraduate, and Equity Affairs 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 BOARS about transfer policies, initiatives, and legislation; admissions messaging; feedback from counselor conferences; high school and online A-G course accreditation issues; recruitment programs targeting the ELC cohort and other specific populations; California high school accreditation, including for online schools; analysis of PIQ responses; and other topics.

OTHER REPORTS AND RECOMMENDATIONS

In addition to the above, BOARS issued recommendations and opinions on other topics of interest, such as the report of the undergraduate degree task force.

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. 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 and Academic Planning Director 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)	Rebecca Plant (SD)
Madeleine Sorapure, Vice Chair (SB)	Michael Stryker (SF)
Sameer Srivastava (B)	Mike Gordon (SB)
Deborah Swenson (D)	David Smith (SC)
Sergio Gago-Masague (I)	Jose Marquez Cuevas, Undergraduate Student
Barbara Knowlton (LA)	Carlos Galan, Graduate Student
Abbas Ghassemi (M)	
Sheldon Tan (R)	Kenneth Feer, Principal Analyst

4

COORDINATING COMMITTEE ON GRADUATE AFFAIRS (CCGA)
Annual Report 2020-21

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

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.

Review of Proposed Graduate Degree Programs

During the 2020-21 academic year, CCGA approved 16 program proposals and declined two; one was pulled back by the campus for additional work. Five of the approved proposals were Self-Supporting Graduate Degree Programs (SSGPDPs), and one proposal had PDST (Professional Degree Supplemental Tuition). Six proposals are currently under review and will carry over to the 2021-22 year. All of these carryovers were received after May 1.

Programs Decided Upon During the 2020-21 Year

Campus	Program	Date Received	Date Approved	SSGPDP
UCB	Master of Analytics	2/23/21	4/7/21	Yes
UCD	MS in Genetic Counseling	12/1/20	7/7/21 (pulled back by UCD)	No
UCD	DNP/NFP	1/4/21	3/3/21	No
UCLA	Master of Quantum Sci. and Technology	12/1/20	3/3/21	Yes
UCLA	MS/PhD in Planetary Science	3/4/21	6/2/21	No
UCLA	Master of Applied Chemical Sciences	4/21/21	7/7/21	Yes
UCR	MS in Robotics	12/18/20	3/3/21	No
UCSB	Master of Education in School Psychology	11/25/20	4/7/21	No
UCSB	PhD in Biological Engineering	2/2/21	5/5/21	No
UCSD	MS in Health Informatics	5/29/20	5/5/21 (rejected)	Yes
UCSD	Online MS in Drug Development and Product Management	7/22/20	2/3/21 (rejected)	Yes
UCSD	MS in Computational Social Science	6/10/20	1/6/21	Yes
UCSD	MS in Data Science	2/4/21	6/2/21	No
UCSD	Online Master of Data Science	2/4/21	7/7/21	Yes
UCSD	PhD in Data Science	3/22/21	7/7/21	No

UCSD	PhD in Astronomy	5/7/21	6/2/21	No
UCSF	Certificate in Health Data Science	3/1/21	8/11/21	No
UCSF	MS in Health Data Science	3/1/21	8/11/21	Yes
UCSF	Certificate in Equity in Brain Health	5/5/21	8/25/21	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.

Proposals Under Review to be Carried Over to 2021-22

Campus	Program	Date Received	Status	SSGPDP
UCB	COLLEGE: Computing, Data Science, and Society	7/13/21	Under Review	No
UCB	Master of Nutritional Sciences and Dietetics	7/20/21	Under Review	Yes
UCI	PhD in Film and Media Studies	7/29/21	Under Review	No
UCR	Microbiology BS/MS 4+1	6/9/21	Under Review	No
UCSD	Dual Degree MAS in International Affairs	5/12/21	Under Review	No
UCSD	PhD in Biochemistry and Molecular Biophysics	6/29/21	Under Review	No

Topics of Note During the 2020-21 Year

COVID-19 and Committee Meetings
Because of the coronavirus pandemic, the committee met remotely during the entire 2020-21 year. Despite this, CCGA was able to efficiently complete its work of reviewing proposals and also was able to undertake several larger issues, some in collaboration with other systemwide committees.

Dual Degrees Considerations
At the end of the 2019-20 year, the committee began to discuss the development of guidelines for the review of dual degree proposals. 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 existed. WASC has some policies on dual degree programs, but those guidelines are very minimal.

CCGA formed a sub-committee to create some guidelines for the submission and review of dual degree proposals. This sub-committee looked at WASC policies, campus guidelines, and past practice to develop a set of considerations for campuses to use in the development of dual degrees. The final document – submitted to Academic Council - reflected input from various campus Graduate Councils (UCLA, UCSC and Berkeley) as well as UCEP and UCPB. Council endorsed the Considerations and forwarded them to the Provost for review by APC and possible inclusion in a future revision of the Compendium. The Considerations will be incorporated in the CCGA Handbook for the 2021-22 year.

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 – together with UCAP - discussed various rewordings of APM 210. In 2019-2020, CCGA and 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. CCGA and UCAP worked again throughout the 2020-21 year to provide edits to APM Section 210-1 ("Instructions to Review Committees That Advise on Actions Concerning Appointees in the Professor and Corresponding Series") to ensure that the important responsibility of mentorship would be appropriately covered. The committees incorporated feedback from UCFW and UCAADE, and submitted the draft revisions to Vice Provost Carlson for review in the spring.

SSGPDP Sub-Committee
A joint working group of CCGA and UCPB re-convened in the 2020-2021 academic year to examine emerging issues surrounding cost accounting, financial transparency, and spill-over effects for self-supporting graduate professional degree programs (SSGPDPs). The sub-committee met five times throughout the year. The sub-committee centered its study on seven topics: financial return to campuses, hidden costs of SSGPDPs, faculty compensation in SSGPDPs, rapidly changing programs, effects of SSGPDPs on the long-term reputation of UC, how to define and track success for SSGPDPs, and financial supporting from SSGPDPs. The sub-committee came up with a list of nine recommendations which it submitted to Council. Council, in turn, submitted the sub-committee report, findings, and recommendations to Provost with its own letter.

Systemwide Master's Proposal Reviews Process
In the spring, the Provost made an announcement that he was considering proposing to the President to delegate Master's degree approval to the Chancellors of the individual campuses. This proposal was very concerning to CCGA, UCPB, and the Senate, all of whom believe strongly in the immense value systemwide review brings to the campus proposals. UCPB and CCGA each invited the Provost to one of their monthly meetings so that they might share their views and concerns. Ultimately, the two committees jointly authored a letter to the Council advocating for systemwide review. This letter was endorsed by the Council, which sent a letter of its own to the Provost. This letter advocated a joint administrative/Senate assessment of the current system. It also endorsed the CCGA/UCPB proposal to form a joint working group to evaluate the Master's proposal review process. As of this time, systemwide review is still in place.

Respectfully submitted,

Amr El Abbadi, Chair (UCSB)	Hrant Hratchian (UCM)
Andrea Kasko, Vice Chair (UCLA)	Erith Jaffe-Berg (UCR)
Candace Yano (UCB)	Partho Ghosh (UCSD)
Dean Tantillo (UCD)	Bjoern Schwer (UCSF)
Arvind Rajaraman (UCI)	Tamara Afifi (UCSB)
Fernando Torres-Gil (UCLA)	Donald Smith (UCSC)

UNIVERSITY COMMITTEE ON COMMITTEES
ANNUAL REPORT 2020-21

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 five times in 2020-21. Due to the Covid-10 pandemic, all meetings were held via videoconference. 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 2021-22. Three vice chair positions (BOARS, UCEP and UCACC) will be finalized in the fall.

As proposed last year, UCOC updated its process for choosing its own vice chair. At the winter meeting, the chair and vice chair encouraged current members to self-nominate for the position of vice chair for the coming year. This seemed to work well, and two experienced members expressed interest. The current chair and vice chair spoke to both candidates and an agreement was reached to select one and give committee members a chance to approve via email. This process will be used again next year.

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 within the systemwide Academic Senate
- Editorial Committee – UCOC appointed four new members.
- Academic Council Special Committee on Lab Issues (ACSCOLI) – Two new members were appointed; one current member was reappointed for a second 3-year term
- University Committee on Planning and Budget (UCPB) Task Force on Agriculture and Natural Resources (TF-ANR)
- UC Entry Level Writing Requirement (ELWR) Task Force

Selection of Senate Representatives to Other Committees
UCOC is responsible for selecting Senate representatives to various groups that are proposed by the President, Provost, or other senior administrators. UCOC nominated or reviewed nominations of representatives to serve on joint administration-Senate task forces, external councils, and other groups in 2020-21. These included:
- Knowledge Transfer Advisory Committee (KTAC)
- UC National Center for Free Speech and Civic Engagement Academic Advisory Board

- California Air Resources Board (CARB) Scientific Review Panel – Three subject matter experts in each of three categories: 1) atmospheric science, 2) oncology, and 3) pathology
- UC Observatories Executive Director Search Committee
- A-G Ethnic Studies Faculty Workgroup

Academic Council Chairs Mid-Career Award
Based on nominations from Divisions, UCOC recommended Tara Javidi (UC San Diego) and Steven Cheung (UC San Francisco) to the Academic Council as recipients of the 2021 Academic Council Chairs Mid-Career Award. The Academic Council subsequently approved both nominations.

Academic Senate Service: Expanding Participation, Diversity, and Issues of Representation
At several meetings, UCOC members shared practices used by their campuses for expanding participation in Senate service, increasing diversity, and building leadership. Campus CoCs employ various techniques such as meeting with department chairs, interviewing committee chairs, and matching junior faculty members with more senior colleagues. UCOC members recognize that faculty from underrepresented groups, especially women, are often over-tapped and over committed already, and need to be cautious about over-committing their time.

The committee briefly talked about monetary or other forms of compensation for engaging in Senate service. There is generally no direct payment for Senate service, but some schools or departments may offer course release or other indirect compensation. There is no standard across campuses for committee service.

In April, Academic Council Chair Mary Gauvain, brought to UCOC her interest in ensuring that faculty who are appointed to administrative or advisory committees to represent the Academic Senate understand their role. It has become apparent that not all Senate representatives are clear about whether they represent their campus, their discipline, or another constituency. UCOC will work on making this representation role clearer in its materials.

Other UCOC Discussions
- Staff members from the UCOP Office of Research and Innovation joined the December UCOC meeting to explain UC's legal requirement to nominate a minimum number of representatives to state-level review panels that the state relies on for expertise. This is part of UC's service to the state.
- UCOC received regular updates from the Academic Senate chair and vice chair about important issues facing the faculty and the university.

Respectfully submitted:

Cynthia Passmore, UCOC Chair
Jennifer Nájera, UCOC Vice Chair
Ula Taylor (UCB)
Niels Gronbech-Jensen (UCD)
George Tita (UCI)
Chris Colwell (UCLA)
Wei-Chun Chin (UCM)

2

Jonathan Eacott (UCR)
Elsa Cleland (UCSD)
Thomas Chi (UCSF)
Lisa Hajjar (UCSB)
Micah Perks (UCSC)
Mary Gauvain, (Council Chair, ex-officio)
Robert Horwitz (Council Vice Chair, ex-officio)
Joanne Miller (Committee Analyst)

UNIVERSITY COMMITTEE
ON
EDUCATIONAL POLICY

2020-2021 ANNUAL REPORT

TO THE ASSEMBLY OF THE ACADEMIC SENATE:
The University Committee on Educational Policy (UCEP) met by videoconference eight times in Academic Year 2020-2021 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.

RESPONSE TO THE COVID-19 PANDEMIC
In March and May 2020, in response to the rapid pivot to remote learning under COVID-19, Academic Council endorsed letters from UCEP providing guidance to divisions around the use of the Pass/No Pass grading option during spring and summer 2020. In September and December 2020. Council endorsed new UCEP guidance to divisions on issues to keep in mind when considering whether to extend divisional flexibility for grading options to the fall 2020 and winter, spring, and summer 2021 academic terms. In addition, the committee recommended that divisions should have the flexibility to modify the provisions of Senate Regulation 782, which defines the upper limit on courses a student may take on a Pass/No Pass basis. This recommendation was endorsed by Council at its December 2020 meeting.

INTERCAMPUS RECOGNITION OF TRANSFERABLE MINORS
The committee was asked by UC Berkeley's Summer Sessions program to consider if students could receive credit at another UC campus for a minor completed at a different campus. This would apply to any minor offered by one campus that is not available at another campus. UCB's Summer Minors are developed to enrich students' areas of study by offering high quality, innovative academic courses, and experiential education opportunities during the summer. Students at other UC campuses are interested in programs like Berkeley's, but the completed minor does not appear on the transcript at their home UC campus. While recognizing minors would be advantageous for students, based on the feedback from the divisional Committees on Educational Policy/Undergraduate Councils, UCEP found that campuses would prefer to entertain specific proposals on a case by case basis and concluded that there is no interest in establishing a systemwide policy for the intercampus recognition of transferable minors.

ONLINE UNDERGRADUATE DEGREE PROGRAMS
Following the systemwide review of the Online Undergraduate Degree Task Force (OUDTF) Report in December, Senate Chair Gauvain asked UCEP to identify principles that might shape future online degree programs for undergraduate students. In April, the committee began deliberating the potential criteria for such programs that will ensure a high standard is set and so departments will know what information should be included in a proposal. The principles or guidelines will be informed by both the recommendations from the OUDTF and the experience with remote instruction during the COVID-19 pandemic, and the committee will begin by defining what constitutes a fully online degree program. There is agreement that development of online undergraduate degree programs should be driven by faculty rather than administrators. Additionally, members agreed upon the importance of disciplinary rigor and the essential need to provide students with support services such as behavioral health care. Members also agreed that UCEP should review and approve proposals for online degree programs for several years, not just for the first of its kind in the system, and the committee will work on adding this requirement to the Compendium and the committee's bylaw next year. Development of the principles will continue in 2021-2022.

1

REVISIONS TO SYSTEMWIDE SENATE REGULATION 610
In recent years, UCEP has debated the question of whether or not online courses are included in how residency for undergraduate and graduate students is defined in Senate Regulation (SR) 610. This year, the committee revisited the liberal interpretation of SR 610 adopted by the Committee on Rules and Jurisdiction (UCRJ) with a 3-2 vote in 2011: "residency [is] determined by course approval by the relevant Faculty and Senate governing entities of the University of California, not linked to the physical presence of a student on campus." The committee concurred with UCRJ's opinion and with the recommendation that the language of the existing regulation is sufficiently ambiguous as to allow for a more literal interpretation, in which residency is linked to physical presence on campus. In February, UCEP approved revisions to the regulation, which were then endorsed by Council and sent out for systemwide review. Senate reviewers expressed broad support for the proposal, although there was also some concern that it could open the door to fully online degrees and suggest a student could earn UC degree without setting foot on campus. Council endorsed the proposed revisions to SR 610 in May and the revisions were approved by the Academic Assembly in June. In the year ahead, UCEP will attempt to address the loophole in the Senate regulations which could allow students to earn an online degree outside of an approved program.

ACADEMC INTEGRITY VIOLATIONS AND INTELLECTUAL PROPERTY RIGHTS
Over the past few years, UCEP has considered problems related to academic dishonesty and integrity as well as infringement on the intellectual property rights of faculty. This includes issues related to contract cheating whereby students pay others to complete their course work and the posting of course materials on third-party social learning websites. In May, the committee met in Executive Session with five representatives of the website Chegg. Members were largely dissatisfied with the discussion with Chegg, pointing out that it and other social learning websites should be doing more to prevent cheating instead of incentivizing it. UCEP agreed to issue an annual reminder to faculty to increase awareness of the infringement on their intellectual property, to inform them about the steps they can take to address it, and to direct them to campus resources. The annual reminder was approved by the committee in June, and the plan is to transmit the reminder to Council each September for dissemination to the campuses. During the June meeting, UCEP was joined by the director of the UC San Diego Academic Integrity Office to learn more about the scope of the problem and current efforts to mitigate academic dishonesty.

SELF-SUPPORTING GRADUATE PROFESSIONAL DEGREE PROGRAMS
In March, the committee discussed the 2020-2025 Five-Year Planning Perspectives report, and members expressed concerns about what the expansion of the Self-Supporting Graduate Professional Degree Programs (SSGPDPs) means for undergraduate programs, especially in terms of the financial and other resources. In April, UCEP was joined by the co-chairs of a joint Committee on Planning and Budget (UCPB) and Coordinating Council of Graduate Affairs (CCGA) workgroup on SSGPDPs. There are no accurate estimates of the true costs of SSGPDPs in any given discipline nor of the funds redirected from undergraduate programs, and the workgroup recommended that an analysis of the true costs to implement a full program without any campus resources is needed. The report of the CCGA/UCPB Workgroup on SSGPDPs was endorsed by Council in June and subsequently transmitted to the Provost.

OTHER ISSUES AND ADDITIONAL BUSINESS
In response to requests for formal comment from the Academic Council, UCEP issued views on the following:
- Simple name change for UC Berkeley's College of Natural Resources to the Gordon Rausser College of Natural Resources
- Systemwide Senate review of the Online Undergraduate Degree Task Force Report
- Proposed revisions to Universitywide Police Policies and Administrative Procedures

2

- Simple name change for UC Riverside's Graduate School of Education to the School of Education
- Systemwide Senate review of the Innovative Learning Technology Initiative Assessment Report and Recommendations for the Future
- Simple name change for UC Santa Cruz's College 10 to the John R. Lewis College

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 Potter represented the committee at meetings of the Academic Council and the Academic Assembly. Chair Potter also participated on the Provost's monthly budget briefing teleconferences, the Academic Planning Council, quarterly meetings of the University Committee on Academic Computing and Communications, and bimonthly (every other month) meetings of the Intersegmental Committee of Academic Senates. UCEP was represented by Chair Potter on the UC Washington Center's Academic Advisory Council and the University Committee on Planning and Budget's Task Force on Agriculture and Natural Resources UCANR. Katheryn Russ served as UCEP's representative on the UC Education Abroad Program Advisory Committee.

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; and Ellen Osmundson, ILTI 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,

Daniel Potter, Chair (D)	Mary Lynch, Vice Chair (SF)
Tony Keaveny (B) (Fall)	Dana Carney (B) (Winter/Spring)
Katheryn Russ (D)	Charles Anthony Smith (I)
Megan McEvoy (LA)	Matthew Hibbing (M)
Juliann Allison (R)	Geoffrey Cook (SD)
Jose Gurrola II (SF)	Mary Brenner (SB)
Tracy Larrabee (SC)	Zola Hayes (Undergraduate Student)

Mary Gauvain ((R), Chair, Academic Senate, *Ex Officio)*
Robert Horwitz ((SD), Vice Chair, Academic Senate, *Ex Officio)*
Brenda Abrams, Principal Policy Analyst

3

UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW)

2020-21 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 eleven times during the 2020-10 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 Lisa Ikemoto (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 IMPACTS TO **A**DVANCEMENT, **W**ORK-**L**IFE **B**ALANCE, AND **I**NSTRUCTIONAL **D**ELIVERY

UCFW members uniformly agreed that a central issue for this year was how to mitigate the negative impacts of the pandemic on faculty career trajectories and overall morale, especially given the unequal impacts of job disruption on a) individuals and members of specific types of scholars, namely those whose research or scholarly activities experienced severe and lengthy disruptions due to campus and performance venue closures, and b) individuals or members of specific demographic groups for whom the pandemic markedly increased their dependent care duties, especially single parents, women, and persons of color whose communities were hard hit by the pandemic. UCFW devoted time at each meeting to hearing in detail from the campuses about their efforts, short-comings, and surprises in dealing with COVID-19 impacts to advancement, work-life balance, and instructional delivery. Implementation of revised active duty/modified service guidelines was closely monitored, and revealed common patterns of underutilization by female faculty and those from underrepresented backgrounds. Junior faculty and those with caregiving responsibilities reported the highest levels of stress. Long-standing deficits in child care access and affordability were made visible and amplified by the pandemic. Multi-format and asynchronous instructional delivery significantly increased workloads, while compensation remained flat during fiscal year 2020-21. Negative impacts to research productivity and creative output deserve special consideration in academic reviews. UCFW

summarized its findings in a letter to Council and, with input from UCAADE, provided a list of potential actions that could help mitigate the negative impacts on faculty career success and promote retention of impacted faculty. Senate-generated guidelines building on the UCFW suggestions were forwarded by the Academic Council to the divisions and the President and Provost. Joint Senate-administration working groups at the systemwide and local level continue to address these issues, and UCFW will continue to monitor outcomes.

Campus reopening planning continues, but discussions to date have focused on medical specifications, eschewing humanistic considerations that may affect logistics of guideline implementation. The enforcement of mandates in the classroom or laboratory raises questions about the responsibilities of faculty and concerns about privacy. UCFW will continue to monitor outcomes and faculty experiences.

FACULTY WELFARE

Housing: UCFW met with the Chief Financial Officer and the Office of Loan Programs to discuss housing issues that represent significant recruitment and retention challenges 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. Discussions focused on shared-equity loans, renter subsidy options, and

other non-single family dwelling programs. UCFW/TFIR supplied a letter and presentation to Council describing the issue and outlining potential options to address it

Retirement Transition: Inadequacies stemming from both software changes and staffing shortages have led to chronic unresolved concerns with the Retirement Administration Service Center (RASC); 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. A newly appointed Vice President has pledged to address these issues.

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 wait list times on UC campuses. UCFW submitted a resolution to the Academic Council calling for child care to be an enumerated systemwide priority of the Senate and the administration.

Bullying: UCFW considered a model from UC San Diego that sought to establish standardized prevention training and resolution mediation for cases of bullying, which have been reported widely in campus climate surveys. UCFW wrote to the Academic Council asking for the development of systemwide practices and policies.

On-Boarding and Recruitment: A lack of standardized recruitment and on-boarding practices has led to differential information about benefits, pay practices, and

support and perquisite programs being provided to candidates and new hires. UCFW asked the Academic Council to partner with relevant administrative and divisional offices to develop a standard package and presentation.

CASH COMPENSATION

A 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 in 2020, salaries were frozen (except for merits). Budget improvements for the state allowed a 3% increase to faculty and staff on July 1, 2021, but it is now expected that the plan to close the salary gap will be extended by several years.

Previously, UCFW engaged with Vice Provost Susan Carlson's group to create a new model 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 more programmatic salary adjustments, UCFW believes that the principles used to craft this plan have lasting value.

Prior to improvements in the state budget, the University planned for "curtailment", including possible salary cuts. The President claimed the authority to unilaterally cut faculty salaries, and the Senate and UCFW objected strenuously. Although no decision was required this year, UCFW will continue to monitor this situation.

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. HCTF also engaged with UC Care to analyze the benefits survey conducted in the fall of 2020. Although assessment continues, findings of dissatisfaction in the mental health area were on-trend, unfortunately. TFIR hopes that future surveys, whether from UC Care or Human Resources, can include financial awareness and preparedness questions, including the impact of student loans.

A Human Resources Transition Advisory Committee was formed this year, and assisted by external consultants Mercer. This followed years of vacancies in senior systemwide human resources leadership. HCTF reviewed the Committee's report and recommendations and generally supported them, emphasizing that consultation and shared governance should be a continued value within any reorganization of system-wide Human Resources. The hiring of a new Vice President and their next steps will be closely followed.

Comprehensive Access returned as a topic before the Senate this year, stimulating much discussion at HCTF and UCFW. HCTF and UCFW re-endorsed their previous positions as articulated in the report of the 2019 Non-Discrimination in Health Care Task Force, and, in a letter submitted to Council, outlined its argument for implementing procedures to avoid conflicts of interest when UC considers affiliations with discriminatory entities. The Regents adopted language aimed at balancing access to UC quality care and non-discrimination principles. HCTF will monitor implementation closely.

HCTF formed two working groups, one for focus on behavioral health access and outcomes, and one to make recommendations for improving the Health Sciences

Compensation Plan. Both groups' final reports and recommendations will be received next year.

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 applauded the launch of Qualified Longevity Annuity Contracts (QLACs) to the investment window.

TFIR worked to improve communications and planning tools related to the "Second Choice" window of the 2016 UCRP Tier, wherein certain eligible employees may change their initial pension election from defined contribution plan to defined benefit plan. This year is the first year the new election provision is available as this is the first fifth year of the Tier. For both initial elections and the "Second Choice" window, improvements to financial modeling tools were explored extensively, and Fidelity communications and webinars were evaluated. Work will continue next year.

OTHER POLICY ISSUES AND SYSTEMWIDE REVIEWS:

Academic Personnel Manual Revisions: UCFW opined on the following:
- 700 Series (Leaves)

CORRESPONDENCE:

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

- Academic Planning Council Faculty Salary Scales Task Force Report and Recommendation**s**

- Draft Presidential Campus Safety Plan

- Proposed Presidential Policy on Classification of Gifts and Sponsored Awards

- Innovative Learning Technology Initiative (ILTI) Review with Update

- Proposed Revisions to Presidential Policy, Business and Finance Bulletin, IS-12: IT Recovery

- Presidential Policy on Native American Cultural Affiliation and Repatriation (v. 3)

- Online Undergraduate Degree Task Force Report

- Presidential Policy on UC Research Data and Tangible Research Materials

- Proposed Revisions to Senate Bylaw 336.F.8 (Evidentiary Standards)

- Proposed Revision to Senate Regulation 610 (Defining Residency)

- Proposed Presidential Policy BFB-BUS-43 Purchases of Goods and Services; Supply Chain Management

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

Human Resources: COO Rachael Nava, Interim Vice President Cheryl Lloyd; Senior Director of Health and Welfare Benefits Susan Pon-Gee;

Office of the Chief Financial Officer: CFO Nathan Brostrom;

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

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

Respectfully yours, UCFW 2020-21

Shelley Halpain, Chair

Jill Hollenbach, Vice Chair

Terry Odean, UCB

Vladimir Filkov, UCD

Terry Dalton, UCI

Huiying Li, UCLA

Jayson Beaster-Jones, UCM

Pat Morton, UCR

Shantanu Sinha, UCSD

Lindsay Hampson, UCSF

Denise Segura and Lisa Parks, UCSB

Nico Orlandi, UCSC

David Brownstone, TFIR Chair

Lisa Ikemoto, HCTF Chair

Harry Powell, CUCEA Chair (ex officio)

Henning Bohn and Terry Hendershott, UCRS Advisory Board Faculty

    Representatives (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 Proposed in 2020-21

Korea University - Approved

Program Review Reports/Reviews

One-Year Follow-Up Report for the 2018-19 10-Year Barbados Review
One-Year Follow-Up Report for the 2018-19 10-Year Singapore Review
One-Year Follow-Up Report for the 2019-20 Taiwan Review
2020-21 10-Year New Zealand Review – Approved
Three-Year Review of Summer Physics for Life Sciences in the UK – Approved

Program Discontinuances/Closures

Physics for Life Sciences Program, Hong Kong University of Science and Technology (HKUST)
Brunel University London
Leiden University College
University of Tasmania

Topics of Note During the 2020-21 Year

UCEAP

Because of the COVID-19 pandemic during the 2020-21 year, UCEAP had only 29 students abroad. Spring quarter and late start semester programs were cancelled. As of October, the program was planning on running virtual programs both full- and part-time. Because of the loss of regular programming abroad, UCEAP began to run at a deficit. The Provost agreed to a small loan from UCOP to cover necessary costs.

By March 2021, UCEAP had very few students overseas; most of them that were abroad were in China. The program continued to receive cancellations for fall. Summer programs were all cancelled except for virtual attendance. The one exception was Cambridge, which announced that it would be doing both in-person and virtual instruction. However, UCEAP said that it would not do in-person.

The program's application numbers for 2021-22 were very high. The Director met with the student health and safety team to discuss the protocols for returning to in-person instruction. UCEAP said it will not have in-person programing next year unless it feels that the protocols are reasonable and effective. In addition, the President decentralized the decision about "essential travel;" however, it was initially unclear if UCEAP would have to follow UCSB campus rules or if it will have a degree of autonomy. The program was not able to proceed until it received an exception from the President to relaunch its programs. UCEAP requested conditional exceptional approval by May 15 so that it could allow students to plan.

Visas for students to go to China were very hard to obtain. One condition for issuance was that students be given the Chinese vaccine and it is not FDA-approved. Because the vaccines being used in the US have only been given emergency approval, UCEAP could not require students to have them. The program expected that some countries would be requiring proof of vaccination to enter, and airlines might require them as well.

On July 15, The University issued its final policy regarding COVID-19 vaccinations. The policy requires (with few exceptions) that all students be vaccinated against COVID-19 if they are to be on campus, to enter a UC facility or office, or to participate in a UC program. UCEAP students are covered by – and must adhere to – this policy. UCEAP did not send students abroad in the summer, but will be sending students to a host of select countries in the fall.

There were some tensions between the campuses and UCEAP during the year. These issues were aired at UCIE and committee members discussed it from their division perspectives. The Director responded with her thoughts on the various situations and the misrepresentations she thought were held at the campus level. She asked that UCIE weigh in on what UCEAP is and how it adds value to the system.

Supporting International Students

In fall, international students were faced with Trump administration rules and regulations. The Ninth Circuit Court of California affirmed an injunction against the Trump ruling, which would have had a detrimental effect on international students. The Trump administration also proposed a rule that would have forced the University to verify the immigration status of everyone who works for UC. It would have switched from allowing students to study for a period of time and would have replaced that with a gate; students would have needed to apply for an extension. The incoming Biden administration kept the rules from coming through.

Some campuses investigated the possibility of including global contributions in the merit and promotion

process. A proposal for introducing mechanisms for recognizing international activities in merit and promotion process was brought to UCIE by Professors Regulska and Lazzara, and after several discussions, UCIE endorsed the proposal for consideration at the level of the Academic Council and UCAP.

Many campuses decided that NRST would be waived during the pandemic. Several also extended the amount of time that students could TA. On some campuses, the decision about whether to offer pass/no-pass (P/NP) grading was left to the departments. Academic advisors helped advise students interested in using a P/NP for classes for their major or minor and informed them on how such decisions might impact their financial aid.

There was concern for international undergraduates who may be expected to attend classes or take exams in the middle of the night, particularly international freshmen. The other option, to offer asynchronous exams, is very susceptible to academic dishonesty. Some international students asked for accommodations, such as office hours that are offered during non-standard times and exams during local waking hours.

With campuses returning to on-campus instruction in fall 2021, members expressed concern about international students and their ability to get visas. Some students also may be unable to come to the US because their consulates are closed due to COVID. As of the May meeting, much was still undecided with regard to international students.

Respectfully submitted,

Sathya Guruswamy, Chair	Michelle Leslie(UCM)
Julian Schroeder, Vice Chair	Heidi Brevik-Zender (UCR)
Richard Kern (UCB)	Alex Orailoglu (UCSD)
Atul Parikh (UCD)	Alan Shindel (UCSF)
Victoria Bernal (UCI)	Erika Felix (UCSB)
Andrea Goldman (UCLA)	Nina Treadwell (UCSC)

<div align="center">

UNIVERSITY COMMITTEE ON
LIBRARY AND SCHOLARLY COMMUNICATION

2020-21 ANNUAL REPORT

</div>

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.
2. Perform such other appropriate duties as may be committed to the Academic Senate by proper authority.

UCOLASC met three times in 2020-2021 via videoconference.

Elsevier Agreement
UCOLASC discussed the progress of negotiations with academic publishers around subscription contracts, and alternative paths to journal access supported by the UC Libraries. In March, after protracted negotiations, the University reached an open access agreement with Elsevier, the world's largest academic publisher. The agreement accomplished the University's two goals: enabling universal open access to all UC research, and containing the excessively high costs associated with journal licensing. The agreement doubles the number of articles covered by UC's open access agreements.

Alternative Access due to COVID-19

UCOLASC discussed the extension of last year's HathiTrust Emergency Temporary Access Service (ETAS) for all campuses due to the ongoing COVID-19 pandemic. HathiTrust is a large-scale digital repository that includes over 17M volumes, with shared access by a community of over 150 academic and research libraries. Usage peaked in February 2021, and remained constant with an average 1,000 daily users. Lending through ETAS followed Controlled Digital Lending Principles, which limit usage based on the number of physical volumes available. As libraries planned to open to in-person use, questions arose regarding the deactivation of emergency access. The CDL plans additional analyses of the program once University libraries fully reopen.

Council of University Librarians (CoUL)
UCOLASC met with the Council of University Librarians at each meeting. Major topics of discussion included the following:

Coronavirus Pandemic Responses: The UC Libraries focused much energy on responding to the COVID-19 crisis. Ongoing access to library materials was facilitated through the HathiTrust's Emergency Temporary Access Service, and use increased throughout the year. Some libraries enabled curbside access to materials. Interlibrary loans will resume once libraries are open.

Contingency plans are in place should another COVID-19 surge take place. Budget concerns continue with varying levels of severity across many campuses.

Systemwide ILS Project: The Systemwide Integrated Library System (SILS), now known as UC Library Search, was implemented beginning in March 2020, and became available to UC faculty, staff, and students in July 2021. It provides a single, unified system for searching all UC libraries.

Consultation with the California Digital Library (CDL)
UCOLASC met with leadership from the California Digital Library at each meeting. Major topics of discussion included the following:

Budget Issues: In November, the CDL reported that it faced serious budget constraints, both pandemic-related and structural, and was being asked to model a 15% budget cut. In order to safeguard collections funding from an ongoing budget crisis at UCOP, CDL's collection budget moved to UCSD under an MOU. UCOLASC wrote a letter to the Academic Council expressing concern about the budget cuts and urging protection of the CDL budget. The Council endorsed the letter and forwarded it to Provost Brown. The letter positively impacted budget negotiations and was recognized as an example of shared governance and advocacy. By the end of the academic year, CDL was asked to model a three percent budget cut. The restoration of the full UC budget by the Governor should somewhat ease financial concerns for the CDL and UC libraries.

Project Transform Working Group: Project Transform, developed to negotiate and implement a set of transformative agreements with publishers of scholarly journals, reported continued success this year. Open-access agreements had been negotiated with a wide range of publishers, including Springer-Nature. This year's negotiations with Elsevier successfully concluded with an agreement, greatly increasing the number of UC research articles eligible for open-access publication. UCOLASC voted to approve the Elsevier agreement.

eScholarship Publishing: The UC's eScholarship Publishing program continues to provide comprehensive publication services for UC-affiliated researchers. The eScholarship program published 85 journals by the end of the 2020-21 academic year. Challenges of scale now confront the program, as budget constraints impact its ability to provide publishing services for a wider range of scholarship.

Systemwide Licensing: Beginning early in the pandemic, CDL worked to negotiate cost reductions in vendor licenses systemwide, while minimizing cancellations; locked in favorable licensing terms; shifted acquisitions to ebooks; and began a solution-focused dialogue with publishers. A total of $1.2M in cost savings resulted from reductions, cancellations, and concessions based on new open access agreements.

Systemwide Library and Scholarly Information Advisory Committee (SLASIAC)
UCOLASC received an update on the SLASIAC final report investigating collaborative work by UC Libraries.[1] UCOLASC agreed that both qualitative and quantitative assessments were needed

---

[1] https://escholarship.org/uc/item/5174k245https://escholarship.org/uc/item/5174k245

to assess the impact of any cuts in libraries' budgets on faculty's research and teaching responsibilities.

Dryad Partnership
UCOLASC discussed the University's continued partnership with Dryad, a cross-disciplinary data repository with data preservation. The partnership has saved UC researchers $70k in fees compared to subscription models. Data submissions have increased 800% since the beginning of the partnership in 2019, serving faculty and students across disciplines.

Cyber-Risk Governance Committee
In May, UCOLASC received a briefing from Systemwide Chief Information Security Officer David Rusting about a ransomware attack on UCSF. The Cyber-Risk Governance Committee is working to raise awareness of safe data storage options and cyber-security offerings and requirements. The group has proposed location-based research data protection workgroups and a scalable local data backup service.

Consultation with Senate Leadership
The Academic Council Chair and Vice Chair attended a portion of each UCOLASC meeting to brief the committee on business from Academic Council and Board of Regents meetings, and other systemwide issues, including news about Senate and University responses to COVID-19, curtailment proposals, a survey of instructor experiences with remote instruction, the effects of a systemwide data breach of the Accellion file transfer appliance, the effects of websites facilitating cheating and the theft of intellectual property, the work of various Senate task forces, and the University's response to the climate crisis.

Campus Reports
UCOLASC set aside a portion of each meeting for updates from members about issues under discussion on campuses and local library committees. These briefings touched on a wide array of topics, including ongoing plans for reopening to in-person service, library budget concerns, efforts to increase acceptance of open publishing on campuses, concerns regarding increasing prices for electronic books, and efforts to ensure that library committees are consulted in campus academic and budget planning. The graduate student representative was an active participant in a wide range of committee discussions, effectively conveying his personal views and concerns, as well as those of his student peers and colleagues.

Scholarly Communication Education Librarian Martin Brennan, Systemwide Chief Information Security Officer David Rusting, and graduate student Guy Robinson.

Respectfully submitted:

Marta Margeta, Chair (UCSF)	John Hildebrand (UCSD)
Derjung Mimi Tarn, Vice Chair (UCLA)	Keith Mostov (UCSF)
Ellen Sims (UCB)	Karen Lunsford (UCSB)
Eric Rauchway (UCD)	Jin Zhang (UCSC)
Bryan Reynolds (UCI)	Mary Gauvain, *ex officio*
Gregory Leazer (UCLA)	Robert Horwitz, *ex officio*
Maria DiPrano (UCM)	Stefani Leto, Committee Analyst
Alejandra Dubcovsky (UCR)	

UNIVERSITY COMMITTEE ON PLANNING AND BUDGET
(UCPB) ANNUAL REPORT 2020-21

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Planning and Budget (UCPB) met ten times in Academic Year 2020-21 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 2021-22 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 the changing insurance landscape for the UC, the outlook for the UC Retirement Plan, 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 ongoing COVID-19 pandemic continued to impact the University's budget plans and UCPB agendas. Committee meetings were via videoconference format, and discussions continued to focus on the economic impact of campus shutdowns, the state budget crisis, expected cuts to the University's budget, and ultimately, post-pandemic planning.

The short-term financial effects included $2.2 billion in losses and expenses at the UC medical centers, which deferred medical procedures to focus efforts on pandemic management, and approximately $600 million in lost income at campus auxiliaries. However, the University received $900 million from the Coronavirus Aid, Relief, and Economic Security Act (CARES) Act to help offset these losses. Hospital revenues stabilized as the medical centers addressed deferred procedures, and there was no expectation of a long-term drop in demand for on-campus student housing.

President Drake convened a Task Force in fall 2020 to consider workforce-related options for addressing the financial challenges created by COVID-19, and principles to guide decisions. The Task Force was co-chaired by the Provost and Chief Operating Officer and included Council Chair Gauvain and the chairs of UCPB, UCFW, and UCAP. It proposed a University-wide curtailment program. UCPB expressed concern that the program was essentially a pay cut and would generate modest savings that did not justify costs to employee morale. UCPB also asked for clarification regarding the President's power to set faculty salaries, given that Regents Standing Order 100.4 (*qq*) requires the President to declare an "Extreme Financial Emergency" before implementing a systemwide salary reduction program. The President's office maintained that a declaration of emergency is not necessary to give the President power to set salaries. University administration continued to plan for an austerity budget, while making cost-saving furloughs optional for campuses.

The effects of the COVID-19 crisis on the state budget were not as expected. The year began with the Legislative Analyst's Office (LAO) predicting a deep recession, but as state revenues continued to outpace predictions, the University turned to requesting a full restitution of the 2020-21 $300M cut to the University budget. The outcome of the Presidential election opened the opportunity for

the UC to receive additional stimulus funds to address COVID-related losses.

As the greater-than-expected state revenues changed the budget calculations, UCOP administrators turned to planning to distribute federal stimulus funds and the restitution of the 2019-level budget cut in the current state budget, along with a regular base budget increase and substantial one-time funding for capital improvements and deferred maintenance. UCPB expressed concern over legislative attempts to shape University policy through trailer bills attached to the budget. The request that the University cap nonresident enrollment at 18 percent as a condition of state funding was the most impactful of these attempts. Additionally, the final budget restored the assessment model for the UC Office of the President (UCOP) budget, while retaining line-item appropriation for Agriculture and Natural Resources (ANR). The legislature included "intent language" in the budget asking the University to increase California undergraduate enrollments beginning next year. However, funding for this enrollment growth would not be provided until the 2022-23 academic year.

As COVID-19 vaccines became widely available, Senate leadership worked to center the practical needs of faculty in reopening, rather than an entirely clinical approach. The University instituted a vaccine mandate for all students, staff, and faculty.

THE COVID-19 CRISIS AND BUDGET PRINCIPLES
UCPB employed a historical perspective on University budget decisions, inviting past chairs of UCPB and emeritus faculty to illustrate the paths the University had taken to its current budget choices. UCPB considered the University budget situation to be a research issue, posing questions leading to solutions to budget conundrums. The committee stressed that adequate funding for the University was the only way to provide California's current diverse student population with the same quality education as the prior majority-white student body, and challenged University administration to demonstrate a commitment to continued excellence along with increased access and racial justice. The restitution of the base budget was welcomed, although longer-term and more structural losses reflect reduced state general funding.

UCPB referred to earlier University budget crises and hoped to heed the lessons learned from them; it also challenged the notion that the University can continue to provide world-class education to an increasingly diverse student body, and world-class research benefitting an increasingly diverse state, with continued degradation in the amount of support provided by the state.

Committee members noted the importance of communicating the true costs of continued cuts across the campuses. Chair Malloy suggested that UCPB author another in-depth report in the tradition of the "Futures Report (2006)," "Cuts Report (2008)," and "Choices Report (2010)." Members noted that the University should emphasize that the state funded the University at a higher level when it had many fewer minority and underrepresented students and that budget cuts harm inclusion and access. The legislature expresses concern about inclusion and diversity; it should be challenged to provide the same level of support to a much more diverse student body. Some legislators see online teaching as a cost-conscious approach to the University's funding. Faculty accomplished an almost complete pivot to online instructions in three weeks at the beginning of the pandemic. UCPB noted that this is not the same as high-quality remote instruction, which has not been shown to be less expensive than in-person instruction, and, there were negative impacts to students.

INVESTMENT AND RETIREMENT ISSUES
Consultation with UC Investments: UC Investments Vice President Bachher and Investments staff briefed UCPB on University investment strategy and outlook in May. They noted climate change as

a persistent risk to investments, and as the primary motivation for a movement to a sustainable investment framework. Because UC Health had provided early warnings of the pandemic, an early focus on liquidity in investments allowed UC Investments to offer campuses loans at favorable rates, fund the pension, and react to market events. UCOP urged adoption of a principled stance on carbon disinvestment, rather than a financial risk-based approach.

Consultation with TFIR Chair: UCFW Task Force on Investments and Retirement (TFIR) Chair Brownstone briefed UCPB at each meeting on a variety of investment and retirement topics, including the ongoing reorganization of Systemwide HR, UCOP messaging regarding both initial retirement plan election and a one-time option to change between Pension Choice and Savings Choice retirement plans, a deferred annuity for purchase to employees of a certain age, and a low-cost fossil free retirement fund. In addition, he called on the administration to provide free financial counseling for faculty and staff making pension election choices.

COHORT TUITION
UCPB discussed a proposed cohort tuition plan that would increase tuition by the rate of inflation plus 2% for each incoming freshmen and transfer class, but then keep that rate flat for each cohort for six years. UCPB understood the benefits of the cohort tuition model to be increased cost predictability for students and families and increased revenue predictability for campuses. The committee did not take a position on cohort tuition. UCPB's undergraduate student representative emphasized the Associated Students of the University of California's (ASUC) opposition to tuition increases as discussion of cohort-based tuition models continued. Students objected to a model which fixes tuition increases for future students without their input. The Regents adopted cohort-based tuition at their July 2021 meeting.

NEGOTIATED SALARY TRIAL PROGRAM PHASE II REPORT
Vice Provost for Academic Personnel Susan Carlson, Director of Academic Data and Compensation Gregory Sykes, and Analyst Kaylin Jue briefed UCPB on the Phase II Report of the Negotiated Salary Trial Program (NSTP), which began in 2013 as an experiment to help supplement the salaries of some faculty who bring in money from varied sources. The program is seen as a retention device for faculty, and a way to provide for faculty while directing state funds elsewhere. The report provided a breakdown by gender and race of NSTP participants. UCPB expressed concern that the program may exacerbate existing inequalities among disciplines and genders. The program will be either ended or established formally next year.

UC PATH
In November, UCPB received a briefing from Vice President Mark Cianca and Interim Executive Director Peggy Huston on the status of UC Path deployment and implementation, including cost-saving measures, plans for stabilization, simplification, and standardization. UC Path is moving towards a fee-for-service model, away from partial legislative funding.

COMMERCIAL INSURANCE RESOLUTION
In January, following a presentation by UCSD Professors Aron and Halgren in December, UCPB transmitted a resolution to the Academic Council requesting that UCOP to include a criterion for eligible institutions to adhere to Environment, Social and Governance (ESG) principles in all future RFPs for insurance vendors. The resolution was endorsed by Council and sent to Executive Vice President Brostrom.

SELF-SUPPORTING GRADUATE PROFESSIONAL DEGREE PROGRAMS (SSGPDPS)

CCGA/UCPB Working Group on Self-Supporting Graduate Professional Degree Programs
UCPB Vice Chair McGarry co-chaired a working group with CCGA Vice Chair Kasko, examining emerging issues surrounding cost accounting, financial transparency, and spill-over effects for self-supporting graduate professional degree programs. The group authored a report in June, investigating returns to campuses, hidden costs of SSGPDPs, faculty compensation in SSGPDPs, proposed programs which change rapidly once launched, effects of SSGPDPs on the long-term reputation of the UC, how to define and track success for SSGPDPs, and financial reporting from SSGPDPs. The workgroup's report contained nine recommendations to facilitate the effective evaluation of issues surrounding these graduate programs. UCPB supported the joint committee report and it was endorsed by the Academic Council in July and sent to Provost Brown.

Provost's Proposal to Delegate Authority to Approve Master's Degrees
UCPB discussed a proposal from the Provost to move the delegated approval authority for state- and self-supporting master's programs from UCOP and the systemwide Senate to the campus chancellors and division Senates. Provost Brown met with UCPB in July to discuss the proposal. UCPB strongly opposed the proposal, and worked with CCGA on a joint letter to the Academic Council urging the Senate to reject the proposal. The letter also asked the Provost to appoint a joint work group to assess the current review system and resolve issues in contention around Master's level degree program approvals. In June, Council endorsed the joint letter. The Provost agreed to the request for a work group.

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 seven SSGPDPs this academic year.

- ➢ UCSD Master in Health Informatics (MS)
- ➢ UCSD Master in Computational Social Sciences (MS CSS)
- ➢ UCLA Master of Quantum Science and Technology (MQST)
- ➢ UCB Master of Analytics
- ➢ UCSF Master of Science in Health Data Science (MiHDaS)
- ➢ UCLA Master of Applied Chemical Sciences (MACS)
- ➢ UCSD Online Master of Data Science (MDS)

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 indirect cost (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 noted concerns around issues such as 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.

As noted above, UCPB was concerned about assessment of financial performance of SSGPDPs after they are established, lack of methods for terminating programs which do not meet their financial or educational goals, and effects of rapidly-proliferating SSGPDPs on the reputation of the University. Efforts by the joint Coordinating Committee on Graduate Affairs (CCGA)-UCPB subcommittee to evaluate the SSPDGPs program were welcomed by UCPB.

GRADUATE STUDENT FUNDING AND SUPPORT
The graduate student wildcat strike of 2019-20 and pandemic-related student job losses highlighted for UCPB structural issues that threaten the financial security of UC graduate students and the UC graduate education and research mission. In May, Professor Neuman reported findings from the UCSC Working Group on Graduate Education. UCPB further discussed the report in July and requested a "toolkit" so that other campuses can perform similar analyses and reports. UCPB sent the Council chair the report and encouraged adoption of the recommendations therein. The graduate student representative gave a presentation on graduate student employment during the pandemic, and UCPB asked for an expanded report next year.

UCPB TASK FORCE ON AGRICULTURE AND NATURAL RESOURCES (TF-ANR)
Eleanor Kaufman chaired TF-ANR, which met four times by videoconference. In January, ANR Governing Council Chair Chancellor Kim Wilcox (UCR) discussed the role of the ANR Governing Council, and its Senate representatives. Senate leadership emphasized that Senate representatives to the Governing Council should represent Senate interests, and expressed concern over the lack of a provision and mechanism for Senate representatives to report to the Academic Council.

Also in January, ANR Vice President Humiston and ANR Chief of Staff Kathy Eftekhari provided an overview of ANR's budget and budget process, and an update on two concurrent ANR Strategic Plan updates. In April, Senate leadership met with TF-ANR, UCPB, and UCORP leadership to discuss concerns regarding the role of the task force and its relationship with the ANR Governing Council. UCPB supported the continuation of TF-ANR as a task force reporting to UCPB, and UCORP concurred.

Later in April, the task force met with CFO Brostrom to discuss the history of funding models for ANR. Members suggested assembling a group of outside expert consultants to evaluate the impact of ANR. ANR Chief of Staff Eftekhari updated the task force on the Hub for Urban living, intended to build partnerships among diverse groups interested in addressing challenges related to the sustainability of urban living. Vice President of Research Teresa Maldonado reported on efforts to evaluate the structure and oversight of seven Multi-Campus Research Units (MRUs) and the California Institutes for Science and Innovation.

A TF-ANR subcommittee, chaired by UCORP Vice Chair Karen Bales, discussed increasing integration between Agriculture Experiment Station (AES) campuses and non-AES campuses. The subcommittee met three times and drafted a seed grant program proposal for integrated research among campuses. It also explored the relevance of such a program to the National Laboratory Fees Research Program, and participated in a UCORP discussion of this matter with the VP of the National Laboratories, Craig Leasure.

OTHER BRIEFINGS AND ISSUES

Salary Scales Task Force Report: Professor Senear reviewed on behalf of UCPB the report and

recommendations of the Academic Planning Council Faculty Salary Scales Task Force, which makes recommendations for achieving competitive salaries with eight comparator institutions, while maintaining equity, transparency, and routine adjustments. UCPB sent a memo to Council expressing concern about the implementation of some of the report's findings, and suggested that all campuses ensure that faculty play a formal role in all off scale decisions.

Rebenching: In March, Chief Financial Officer Brostrom, Associate Vice President Alcocer, and Professor Emeritus Chalfant provided UCPB with an overview of rebenching at the University. UCPB sent a memo to Council with recommendations for increasing the equitable funding of UC campuses through further study of the rebenching weighting system, regular re-assessments of set-asides, and options for sharing a portion of nonresident tuition revenue across campuses. UCPB later noted that the cap on non-resident students, imposed by the legislature in the final budget package, complicates efforts to reform rebenching.

Online Degree Program Task Force: UCPB Committee member Neuman reviewed on behalf of UCPB the report of the Online Undergraduate Degree Task Force, which discussed the feasibility and desirability of offering fully remote online undergraduate degree programs at UC. UCPB conveyed its observations about the report to the Academic Council. UCPB declined to endorse any of the presented options, believing that more research, in light of the coronavirus pandemic experience with remote instruction, is needed. It also noted the difficulty of separating the work of the Task Force from the current remote learning landscape caused by the COVID-19 crisis.

Consultation with UC Health: In January, Executive Vice President of UC Health Byington joined UCPB to present an overview of coronavirus impacts on UC Health. At that point, the hospitals were working at or near capacity, vaccine distribution was beginning, and the arc of the pandemic was unknown. EVP Byington discussed the work of a systemwide task force that made recommendations for pandemic responses, including vaccine distribution and future return to in-person instruction. She discussed the hoped-for expansion of UC Health, including a medical school at UC Merced and expansion of mental health services to students, staff, and faculty.

UC Health Affiliations: UCPB discussed the issue of UC Health's affiliations with hospitals that follow Ethical and Religious Directives (ERDs) that include policy-based restrictions on health care. In March, UCPB member Grandis presented to UCPB a history of UC Health affiliations, noting causes for such affiliations and concerns regarding them. UCPB generally opposed such affiliations, but agreed to wait until the Regents addressed the issue before taking a public stance.

Innovative Learning Technology Initiative (ILTI): Professor Ng reviewed on behalf of UCPB the Innovative Learning Technology Initiative (ILTI) assessment report and recommendations for the future. UCPB sent a memo to Council conveying observations and concerns. It noted that the University's experience with online and remote instruction had changed substantially since the ILTI report was completed in 2018, that online instruction is not a less expensive alternative to in-person instruction, and that while faculty successfully pivoted to remote instruction to support students during the pandemic, there were many financial and educational costs to the change.

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; campus approaches to cost-cutting furlough plans; faculty participation in budget and academic planning; the status of campus structural deficits; campus experiences with spoke and hub budget models; graduate student funding and unionizing; returning to in-person instruction; effects of the 18 percent cap on non-resident students; and cybersecurity concerns.

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; curtailment proposals, UC Health and affiliation with hospitals imposing religious restrictions on medical care; the Draft Presidential Campus Safety Plan; the Feasibility Working Group's report and next steps for a possible admissions test/assessment; a survey of instructor experiences with remote instruction; the effects of a systemwide data breach of the Accellion file transfer appliance; the effects of websites facilitating cheating and the theft of intellectual property; the work of various Senate task forces; and the University's response to the climate crisis.

University Policing: UCPB discussed proposed revisions to the Universitywide Police Policies and Administrative Procedures (the "Gold Book"). Although UCPB found no direct budget impacts, it expressed strong reservations about the use of force policy and the lack of reimagining policing and campus safety. In June, President Drake released a draft Presidential Campus Safety Plan for response.

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 the impacts of COVID-19 on students, tuition, financial aid, graduate student support, and the importance of preserving affordability and educational quality.

UCPB REPRESENTATION

Chair Sean Malloy represented UCPB at meetings of the Academic Council, the Assembly of the Academic Senate, Academic Council Special Committee on Lab Issues (ACSCOLI), and the Provost's monthly budget Zoom meeting. Vice Chair McGarry served as co-chair for the joint CCGA/UCPB Working Group on Self-Supporting Graduate Degree Programs; and Eleanor Kaufman led the Task Force on Agriculture and Natural Resources.

Respectfully submitted:

Sean Malloy, Chair (UCM)	Jennifer Grandis (UCSF)
Kathleen McGarry, Vice Chair (UCLA)	Doug Steigerwald (UCSB)
Holly Doremus (UCB)	Dard Neuman (UCSC)
Bruno Nachtergale (UCD)	Bailey King (Undergraduate Student)
Donald Senear (UCI)	Jazz Kiang (Graduate Student)
Tim Groeling (UCLA)	Eleanor Kaufman (TF-ANR chair), *ex officio*
Patricia LiWang (UCM)	Mary Gauvain, *ex officio*
Katherine Kinney (UCR)	Robert Horwitz, *ex officio*
Kwai Ng (UCSD)	Stefani Leto, Committee Analyst

UNIVERSITY OF CALIFORNIA   **ACADEMIC SENATE**
UNIVERSITY COMMITTEE ON PREPARATORY EDUCATION
ANNUAL REPORT 2020-2021

TO THE ASSEMBLY OF THE ACADEMIC SENATE:
During the 2020-2021 Academic Year, the University Committee on Preparatory Education (UCOPE) held four videoconferences and UCOPE's English for Multilingual Students Advisory Group met once, also by videoconference. 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 ongoing COVID-19 pandemic and the continuation of stay at home orders issued in March 2020 led UCOPE to recommend extending the temporary modification of the passing requirement for the Entry Level Writing Requirement (ELWR) in Senate Regulation (SR) 636.C, first approved by Academic Council for Spring and Summer 2020 sessions, to Fall 2020 to Summer 2021 and for Fall 2021. Council approved these recommendations in September 2020, December 2020, and July 2021 and this allowed the divisions the flexibility to determine if a grade of C- or above or a grade of Pass to satisfy the ELWR. UCOPE also requested that Council extend the June 2020 waiver of 636.C and add a new and retroactive waiver of 636.B to allow campuses to use alternative placement processes for new UC students enrolling in Fall 2021, Winter 2022 and Spring 2022 and this recommendation was approved by Council in December 2020. As of July, UCD, UCI, UCSB and UCSC opted to not participate in the systemwide Analytical Writing Placement Exam (AWPE). As of July, UCD, UCI, UCSB and UCSC opted to not participate in the systemwide Analytical Writing Placement Exam (AWPE) and, along with UCSD, to use alternatives to the AWPE once students had enrolled at their campus. In May 2021, the systemwide AWPE was administered online for a second year and approximately 8400 domestic U.S. students took the Exam, which was not proctored.

THE ENTRY LEVEL WRITING REQUIREMENT TASK FORCE
As a result of several UCOPE discussions and consultation with campus Writing Program Administrators last year, UCOPE submitted a proposal to Council to establish a task force to examine the ELWR. Council endorsed the committee's proposal in December 2020 and in February 2021 the ELWR Task Force was charged with developing recommendations for updating Senate Regulation 636. The campus representatives for the Entry Level Writing Requirement Task Force (ELWRTF), which will report to Council, were appointed by the systemwide Committee on Committees and the ELWRTF began meeting in March 2021. The Task Force is expected to report to complete the first stage of its work and report to Council by the end of December, 2021. The second stage is expected by May 2022, and the Task Force co-chairs may provide informal updates to UCOPE over the course of the effort.

SYSTEMWIDE REPLACEMENT FOR THE ANALYTICAL WRITING PLACEMENT EXAM
In April, the committee began considering if a new process that meets the needs of the nine undergraduate campuses could replace the systemwide AWPE and during the June meeting, the committee began to focus upon the principles and values for placement shared across the campuses. The major themes that emerged from these initial discussions included the need for authentic placement that reflects the campus curriculum and is grounded in research, the importance of equity and student self-efficacy, and maintaining a role for systemwide oversight. The committee identified the need the change the narrative around the Entry Level Writing Requirement and to determine what UC faculty value about writing. UCOPE will continue to build on the principles and values document in 2021-2022.

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, instruction, and budget, the Advisory Group discussed how remote instruction has affected the work with international and multilingual students.

UCOPE REPRESENTATION
UCOPE Chair Gagnon represented the committee at meetings of the Intersegmental Committee of Academic Senates.

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, Under-graduate Admissions Laura Hardy; Executive Director of Undergraduate Admissions Han Mi Yoon-Wu; Institutional Research Analyst Matt Reed; and Tongshan Chang, Director, Institutional Research and Academic Planning.

Respectfully submitted,

Jeff Gagnon, Chair (SD)   Hector P. Rodriguez (B)
Rebekka Anderson (D)   Daniel Gross (I)
Megan McEvoy (LA)   Eileen Camfield (M)
Jingsong Zhang (R)   Phoebe Bronstein (SD)
Brian Dolan (SF)   Elisabeth Weber (SB)
Tanner WouldGo (SC)   Madeleine Sorapure (*Ex Officio*, BOARS
Representative)   Jennifer Reifman (Graduate Student)
Maryam Amin (Undergraduate Student)

Mary Gauvain (Chair, Academic Senate, *Ex Officio,* (SR))
Robert Horwitz (Vice Chair, Academic Senate, *Ex Officio*, (SD))
Brenda Abrams, Principal Policy Analyst

UNIVERSITY COMMITTEE ON PRIVILEGE AND TENURE
2020-21 Annual Report

TO THE ASSEMBLY OF THE ACADEMIC SENATE:
Under Senate Bylaw 195 and consistent with Bylaw 40, the University Committee on Privilege and Tenure 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 2020-21 Year

Title IX and P&T Hearings
In SVSH cases, there is a mandated Title IX process that involves an investigation and a hearing where the accused and the accuser confront each other, call witnesses, and are advised by attorneys. Since there is now a mandated Title IX process in SVSH cases that involves a hearing, there was a question as to whether the committee should change anything about the P&T process which also requires a hearing. There was a worry that having two hearings would place an undue burden on complainants.

The Chair asked for volunteers to create a task force to decide what should be done about this issue. The task force created a report which was reviewed by the committee. Members discussed how hearings were handled on the various campuses. The Chair added that the next task before the committee was to develop guidelines regarding what kind of questions would rise to the appropriate level, who is determining that decision, and why were those questions not asked before. The committee formed a task force of members Tucker, Guthman, Hankamer, Ferrero and Gill to develop guidelines for hearing committee chairs with specific attention to SVSH cases.

Revisions to Bylaw 336
Last year's requirement from the Department of Education that SVSH cases be decided according to the same standard of evidence for faculty, staff, and students, together with the California law that states that the standard for students be "preponderance of the evidence," put Bylaw 336 in non-compliance. In response, UCPT needed to make a decision. One possibility was to revise the Bylaw and leave it to be understood that the discipline recommended might depend on how strong that case was. The other possibility was to explicitly say in the Bylaw that in a case where the committee has determined that the argument has been made by a preponderance of the evidence, the committee can decide what discipline to recommend - whether or not it had been established by the "clear and convincing" standard.
The committee decided to change the wording of the Bylaw. In February, the Assembly approved the committee's amendment to Bylaw 336.F.8 to allow for the "preponderance of evidence" standard to be used in in P&T hearings that involve violations of the SVSH policy.

Later in the year, another change to the Bylaw was suggested. Given concerns about duplication of effort and the burden on parties involved to go through two full hearings, a task force of UCPT members considered proposed changes to P&T roles in SVSH-related discipline cases. UCPT adopted the task force recommendation regarding acceptance of evidence from the Title IX process and what may be subsequently permitted for P&T hearings. This formed the basis of the proposed Bylaw revision. The intent was to align Senate Bylaws with new federal Title IX regulations while preserving the APM 016 right to a hearing for a faculty member facing discipline. In June, the Academic Council approved

1

UCPT's proposed change to Bylaw 336.F.3 with some slightly amended language:

> For cases in which there was a hearing at the Title IX stage regarding violation of the University's policy on Sexual Violence and Sexual Harassment ("SVSH Policy"), the Hearing Committee shall accept into evidence the record and written determination from the Title IX process. Other evidence, including witness testimony, regarding whether there was a violation of the SVSH Policy will not be permitted unless the Hearing Committee determines before the hearing that the evidence pertains to newly discovered facts or circumstances that might significantly affect the determination of whether there was a violation of the Faculty Code of Conduct and that were not reasonably discoverable at the time of the Title IX process. The P&T Hearing Committee may carry out any investigation it deems appropriate for the determination of a potential violation of the Faculty Code of Conduct.

The language places a responsibility on the hearing committee and the chair to pay attention to the need to avoid duplicative evidence and the calling of witnesses who have already testified. However it also makes clear that a hearing committee has the authority to investigate allegations of violations of the Faculty Code of Conduct.

Simultaneous Misconduct Charges and Merit and Promotion Considerations
A member raised an issue as to what to do when a campus is encountered by a simultaneous misconduct hearing and promotion review process. The interim action was to pause the personnel action until the misconduct case was completely resolved. The personnel action could then be run retroactively. This is just one solution that was on the table. Members discussed the possibilities. The Chair remarked that the issue could be taken up in 2021-22.

Guidance re Standard of Proof
In August, the Chair and Vice Chair worked with Adviser Meltzer to create guidelines for cases where the charges are filed with the new standard in place, but the alleged conduct occurred when the "clear and convincing" standard was in place. The three developed this language to address the issue:

> On February 10, 2021, the Academic Assembly approved a revision to Senate Bylaw 336.F.8 specifying that, whereas the Chancellor or Chancellor's designee normally has the burden of proving allegations in disciplinary cases by clear and convincing evidence, "for allegations of a violation of the University's policy on Sexual Violence and Sexual Harassment [SVSH], the Chancellor or Chancellor's designee has the burden of proving the allegations by a preponderance of the evidence." This change was prompted by the combination of the 2020 Title IX regulations requiring the use of a consistent evidentiary standard for faculty respondents and student respondents for certain SVSH cases, and state law requiring use of the preponderance of the evidence standard in an overlapping set of SVSH cases with student respondents. *See* 34 C.F.R. § 106.45(b)(1)(vii); Cal. Educ. Code § 67386(a)(3). In drafting this revised bylaw language, it was the University Committee on Privilege & Tenure's ("UCPT") intent that this updated standard of proof apply to all cases alleging SVSH violations in which disciplinary charges were filed by the Chancellor on or after February 10, 2021, the effective date of the bylaw revision, regardless of when the underlying alleged conduct took place or when the Title IX investigations took place.

> UCPT therefore is issuing this guidance to confirm that campus Hearing Committees should use the preponderance of the evidence standard for all allegations of a violation of the University's SVSH policy where the charges were filed on or after February 10, 2021, regardless of when the

2

underlying alleged conduct took place or when the Title IX investigations took place.[1] However, in cases where the Hearing Committee finds that the Chancellor or Chancellor's designee has met their burden of proving such allegations by a preponderance of the evidence, and the alleged conduct took place prior to February 10, 2021, the Hearing Committee may, at its sole discretion, separately indicate whether the allegations would also satisfy the clear and convincing evidence standard. Disciplinary recommendations in such cases, however, should be based only on whether the preponderance of the evidence standard is met.

Possible Amendment to the Title IX Regulations – Graduate Council
A member asked the group if it felt P&T can be bypassed with a decision made by the graduate councils to remove an individual out of his/her graduate group when that individual has been charged with an SVSH case, but has not yet had discipline imposed. Director Taylor and Attorney Adviser Meltzer agreed to look into this question. The committee discussed the option of paid administrative leave. They also discussed the erosion of faculty rights and the need to protect due process.

Reports to UCPT from Chancellors in Discipline Cases
The Chair informed the committee that in Bylaws 335 and 336, the section on hearing and post-hearing procedures says that the hearing committee will promptly make its finding of facts and forward these to the to the parties in the case, the chancellor, the chair of the divisional P&T committee and the chair of the systemwide P&T committee. He asked if divisional committees are complying with this requirement. The committee discussed confidentiality concerns of such a collection versus its utility, and whether the collection would be "searchable." A member suggested that five years of files be requested from the campuses. The Chair added that – moving forward – such submissions to the systemwide UCPT chair need to also be copied to the systemwide UCPT analyst for recordkeeping.

<u>Acknowledgements</u>
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 and Deputy to the Vice President Amy K. Lee, Senior Counsel Joshua Meltzer, Senior Counsel Mark Morodomi, Senior Counsel Chad Pimentel, and Systemwide Title IX Director Suzanne Taylor. Special thanks to Academic Council Chair Mary Gauvain, Vice Chair Robert Horwitz, and Senate Executive Director Hilary Baxter.

Respectfully submitted,

Jorge Hankamer, Chair (UCSC)	Lin Tian (UCM)
Luca Ferrero, Vice Chair (UCR)	Roya Zandi (UCR)
Samuel Otter (UCB)	Philip Gill (UCSD)
Julia Simon (UCD)	Daniel Bikle (UCSF)
Irene Tucker (UCI)	Eckart Meiburg (UCSB)
Vilma Ortiz (UCLA)	Julie Guthman (UCSC)

---

[1] Allegations not related to a violation of the SVSH policy continue to be evaluated under the clear and convincing evidence standard.

University Committee on Research Policy

Annual Report 2020-21

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 seven times during the 2020-21 academic year. Due to the Covid-19 pandemic, all meetings were held via videoconference This report summarizes the committee's activities during the year.

REVIEWS OF MULTI-CAMPUS ENTITIES

There were no MRU reviews during the 2020-21 academic year. Instead, UCORP used its time to focus on the big picture of multicampus research entities at UC. The committee gathered information on the broader portfolio of cross-campus initiatives, which includes non-MRU systemwide programs, non-MRUs at the campus level, and statewide research programs, as well as the Multicampus Research Programs and Initiatives (MRPI) award, which offers competitive grants to multi-campus groups in two- and four-year cycles. In the process of gathering information, UCORP learned about two previous reviews of the systemwide research portfolio, the "Portfolio Review Group" in 2012-14 and a partial review conducted as a result of an audit of UCOP in 2017.

Related to the discussions held at UCORP meetings, the Office of Research & Innovation proposed an interim Multicampus/ Systemwide Research Review Working Group that would develop guidelines for review and oversight of systemwide research entities and plan the relaunch of the Council on Research that existed prior to 2014. The interim group, which convened in the spring, included five Vice Chancellors of Research, VP Theresa Maldonado and staff from the Office of Research & Innovation, and the UCORP Chair and Vice Chair. The new Council on Research is expected to be established in the fall.

UCORP acknowledged that the effort and resources required to provide proper oversight are substantial, but that it is necessary for multicampus research entities to have ongoing review individually and as a portfolio of activities by UC faculty and administration. A sustainable process for assessment that includes transparency, communication, and coordination is needed. In addition, UCORP agreed that Senate efforts should be focused on discretionary programs and funding, and working with the administration to develop guiding principles for strategic and prioritized use of discretionary funds.

ANIMAL RESEARCH

Vice Chair Karen Bales introduced the topic of animal research as an important issue for UCORP to address. The university spends an enormous amount of time defending individual researchers and labs against harassment disguised as requests for information. UCOP Research Policy Manager Dragana Nikolajevic joined the November UCORP meeting to talk about UCOP's work in this area, including the convening of a new "Transparency in Animal Research Working Group" composed of administrators and faculty who work in animal research. UCORP Vice Chair Karen Bales joined the working group and reported back to UCORP on its progress. In March, UCORP sent a letter to the

Academic Council conveying its concerns and asking for Presidential-level support for animal research and researchers, including increased coordination between campuses, a proactive legal strategy, increased lobbying of state and federal government, and a public information campaign to counter widespread misinformation regarding animal research. The letter was endorsed by the Academic Council and forwarded to President Drake on April 6, 2021.[1]

CLIMATE CRISIS

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.

COMMUNICATING THE VALUE OF UC RESEARCH

UCORP spent some time this year talking about how to more effectively communicate the research mission of the university to the legislature and the general public. One idea was to connect UC research with the message of UC as a mechanism for social mobility. In December, Victoria Slivkoff from UCOP's Office of Innovation and Entrepreneurship joined the UCORP meeting. Slivkoff provided a quick review of the Knowledge Transfer Advisory Committee (KTAC) and her role in leading a working group charged with recommending a communications strategy roadmap for disseminating the results of UC research and entrepreneurial endeavors, including reports to the Board of Regents. UCORP members noted that research that is not related to entrepreneurial or commercial success should be included as well.

RESEARCH INFORMATION MANAGEMENT SYSTEMS (RIMS)

At each meeting, UCORP heard from Michele Guindani (UCORP's UC Irvine member), who volunteered to represent UCORP on the Research Information Management Systems (RIMS) Working Group. Research information systems are generally used to aggregate data and generate metrics and statistics for universities and other institutions. They offer sophisticated evaluation tools, but also present a concern as many are licensed by third parties, including big publishers who already collect faculty data. Based on the Working Group's survey that was sent to Vice Chancellors of Research in January, the use of commercial RIMS software is not as widespread as anticipated. Of the 31 reported systems, about 10-15 were from commercial vendors. The Working Group will continue through the summer on understanding the systems reported in the survey and how they are used, e.g., for promotion and tenure, program reviews, or other ways. Additional topics to be addressed by the Working Group are faculty awareness of the systems and usage of UC data by third-party venders.

CANCER RESEARCH COORDINATING COMMITTEE

Last year, UCORP discussed modifications to the grant-giving program of the Cancer Research Coordinating Committee, a systemwide faculty-led granting agency administered by the Research Grants Program Office at UCOP. There was interest in using a portion of the $2 million that comes from bequests, donations, and a California voluntary tax form contribution, as funding for cross-campus cancer research collaborations. Until now, the

---

[1] https://senate.universityofcalifornia.edu/_files/reports/mg-md-support-for-animal-researchers.pdf

center has given seed grants of $75,000 to individual researchers. In the fall, UCORP learned that the CRCC is willing to make $375,000 available as matching funds for cross-campus programs between campus cancer centers. CRCC faculty leaders started meeting with UC cancer centers to talk about options. UCORP will follow up next year.

COR SURVEY

At the beginning of the year, members gathered information on their faculty research award funding, and whether there was a desire for additional guidance on flexibility during the pandemic. Most CORs were able to be flexible.

OFFICE OF RESEARCH AND INNOVATION – UPDATES AND CONSULTATION

As consultants to the committee, members of the Office of Research & Innovation joined UCORP each month to provide updates and solicit feedback. Vice President for Research & Innovation Theresa Maldonado provided regular updates on personnel searches and hires, new and ongoing working groups, and the "ramp-up" of research labs after the pandemic shutdown. In April, UC hired a new Executive Director of Research Policy Analysis and Coordination (RPAC), Deborah Motton from UC Merced.

Briefly, updates from the Office of Research & Innovation included:

Foreign Influence – "Foreign influence" – the term used as shorthand for improper foreign government influence – is a bipartisan issue that has gained momentum over the past few years. Concerns from the federal government center around loss of intellectual property to foreign governments. At UC, as at other institutions, the focus is on disclosure of conflict of interest and conflict of commitment. Federal funding agencies are cracking down on improper disclosures, whether due to innocent oversight or intentional misrepresentation. The Office of Research and Innovation will release guidance for faculty on reporting conflict of interest and conflict of commitment later in 2021.

U.S. Innovation and Competition Act (formerly Endless Frontier Act) – In June, UCORP learned about the "U.S. Innovation and Competition Act," a bi-partisan science and technology funding bill that provides billions of dollars in funding to NSF, DOE, DARPA and others. But the bill also includes research security provisions that create multiple administrative burdens for academic institutions and researchers that are related to conflict of interest and conflict of commitment. UC's Office of Federal Government Relations (FGR) is working with national education organizations to push back against some of the requirements.

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 the spring, UCORP was invited to provide feedback on the proposed themes for this year's Collaborative Research and Training (CRT) award competition. In June, 38 letters of intent had been received for the CRT; full proposals are due in August. In addition, 24 letters of intent were received for the in-residence graduate fellowship

Multicampus Research and Programs and Initiatives (MRPI) – MRPI Program Awards are intended to stimulate novel and compelling multi-campus or systemwide research. Program awards may support new collaborations or established multi-campus endeavors that make significant contributions to advancing the UC systemwide research mission. All proposals must include collaboration between at least three UC campuses, with additional partners encouraged. In 2021, the competition received 226 letters of intent, which were narrowed down to 94 full proposals. Out of the 94 proposals, fifteen projects were selected and will receive a total of $18.8 million.

Policies:
NAGPRA – Although an interim Presidential Policy on Native American Cultural Affiliation and Repatriation was adopted last July, the Native American Heritage Commission (NAHC) and the governor asked for more time to receive input on the policy due to the Covid-19 pandemic. California law mandates the establishment of UC NAGPRA Oversight Committees at each campus that holds Native American artifacts, plus a UC-wide committee. Nominations for the oversight committees, which will review items and cases, come from the NAHC, although UC provided names of UC faculty members to NAHC.

New UC Data Policy – UCORP provided input to the development of this policy last year. Although many faculty were surprised to learn the extent to which UC owns research data, that was one of the intentions of crafting the policy. The policy also calls upon campus leadership and researchers to work in partnership to manage, retain, preserve, protect, access, and share data.

Openness in Research Policy – A renewed effort to develop an "Openness in Research Policy" for UC. The primary goal of the policy is to aggregate the disparate campus-based statements on UC's open academic environment, but also to use the opportunity to review the current state of research funding and determine whether there is interest in more flexibility at UC around accepting research funding that comes with publication and/or citizenship restrictions. Some researchers are hitting barriers due to these restrictions, while others feel there are no circumstances when UC should accept restrictions.

Classifications of Gifts and Sponsored Awards Policy – UCORP members had no concerns with the clarifications in this revised policy.

AGRICULTURE AND NATURAL RESOURCES (ANR)

In November, ANR Vice President Glenda Humiston and Associate Vice President Wendy Powers joined UCORP to provide updates on the latest work of the Division of Agriculture and Natural Resources, including a key part of the ANR strategic plan to develop new partnerships within UC and beyond. One element of this is the "Adopt a county/Adopt a campus" program that was proposed to the Vice Chancellors of Research to better understand ANR's programs and their impact on local communities. In June, Director of South Coast REC and UCCE Orange Darren Haver joined VP Humiston at the UCORP meeting to present and discuss a proposal for a new "Hub for Urban Living" that would facilitate partnerships between UC and other educational institutions, the private sector, and government agencies. Examples of issues related to sustainable urban living included water, forestry, and human/wildlife interaction, and bigger-picture concerns such as climate

change, community engagement, economic development, and diversity, equity and inclusion.

UC OFFICE OF THE NATIONAL LABORATORIES

Vice President for National Labs Craig Leasure and Associate Vice President June Yu joined UCORP's March meeting to provide an update on the work of the Office of the National Laboratories and the status of the three national labs managed by UC: Lawrence Berkeley National Lab, Lawrence Livermore National Lab, and Los Alamos National Lab. VP Leasure talked about the efforts to enhance collaboration between the campuses and the labs through the Lab Fee Research Program (LFRP), the UC/LANL Entrepreneurial Postdoctoral Fellowship Program, and a new postdoctoral fellowship in technology policy in Washington, DC. With support and encouragement from the Academic Council Special Committee on Laboratory Issues (ACSCOLI) VP Leasure is working with administrators at UC and the labs to facilitate joint appointments between the campuses and the labs, in the hope of making it easier for lab employees to work at a campus, and for UC employees to visit the labs.

SYSTEMWIDE SENATE ISSUES, CAMPUS REPORTS, LIAISON 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. Liaisons to other committees and working groups also provided updates at each meeting.

SYSTEMWIDE REVIEW PARTICIPATION AND CORRESPONDENCE

- Online Undergraduate Degree Task Force Report, November 30, 2020.
- Innovative Learning Technology Initiative (ILTI) Review with Update, February 17, 2021.
- Proposed Revisions to Presidential Policy on IT Recovery, February 17, 2021.
- Academic Planning Council Faculty Salary Scales Task Force Report and Recommendations, February 17, 2021.
- Support for Animal Research at the University of California, March 29, 2021.
- Proposed Presidential Policy BFB-BUS-43 Purchases of Goods and Services; Supply Chain Management, March 23, 2021.
- Proposed Presidential Policy on UC Research Data and Tangible Research Materials, March 23, 2021.

UCORP REPRESENTATION

As Chair of UCORP, Richard Desjardins served on the Assembly of the Academic Senate, Academic Council, and the Academic Planning Council. Chair Desjardins and Vice Chair Karen Bales are members of the interim Multicampus/Systemwide Research Review Working Group. Vice Chair Bales represented UCORP on the UCPB Task Force on Agriculture & Natural Resources (TFANR), UC Berkeley member Javad Lavaei represented UCORP on the Academic Council Special Committee on Lab Issues (ACSCOLI), and UC Irvine member Michele Guindani represented UCORP on the Research Information Management Systems (RIMS) Working Group.

UNIVERSITY COMMITTEE ON RULES AND JURISDICTION (UCRJ)
ANNUAL REPORT 2020-21

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

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 systemwide 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 in academic year 2020-21, and its major actions are reported below.

Advice to Divisions and Committees

Bylaw 335
UCRJ provided advice to a UC Santa Cruz faculty member who requested an informal interpretation of the Code of the Senate as it pertains to his ability to act as a Privilege and Tenure advisor on behalf of a Division (in accordance with SB 335.B.1) while also representing an individual grievant separately at his home campus. UCRJ advised that the Bylaws do not necessarily prohibit a P&T advisor on one campus from representing a "grievant" in a different Division from their own.

Bylaw 55
UCRJ provided advice to the San Diego division on the question of whether Lecturers with Security of Employment (LSOEs) serving on the Divisional CAP and evaluating files of ladder rank faculty, would constitute a violation of Bylaw 55. (Departmental Voting Rights). UCRJ advised that LSOE voting rights are restricted to actions concerning their own series, unless explicitly extended by an individual department. UCRJ also noted it is unclear that LSOEs are necessarily considered to be "holding tenure rank"; however, their associated rights and privileges are similar, and Bylaw 55 does not make any statement about voting per se, so UCRJ assumes that the any lawful Senate member of a CAP is able to vote.

Bylaw 35
UCRJ provided advice to Senate members from the UC Davis School of Veterinary Medicine (SVM) on the question of whether it is permissible to exclude specific committees from the

1

requirement in Bylaw 35.D.3 that the Chair and Vice Chair of any Standing or Special Committee must be members of the Academic Senate. UCRJ opined that it would not permissible to apply Bylaw 35.D.3 to specific committees on a discretionary basis.

UCEP Inquiry on Online Degrees
UCRJ provided advice to the University Committee on Educational Policy (UCEP) on several questions regarding the development of fully online degree programs at the University. UCRJ advised that neither the Senate regulations nor the Compendium are definitive about a mandatory UCEP or systemwide review of fully online undergraduate degree proposals, including those deemed "first of its kind," on a campus or for the UC system, or those involving the conversation of an existing degree program to a remote format. UCRJ encouraged UCEP to clarify expectations in the Compendium concerning the systemwide review of such proposals in these and other scenarios, and to conduct additional studies, as needed, on the issues as they relate to educational policy.

Evaluation of Proposed Bylaw and Regulation Changes
UCRJ confirmed the following Bylaw and Regulation changes put before the Assembly, as consistent with the Code of the Academic Senate:

➢ Revision to Senate Bylaw 336.F.3 and 336.F.6 (Privilege and Tenure Hearings)
➢ Revisions to Senate Bylaw 336.F.8 (Privilege and Tenure Hearings)
➢ Revision to Senate Regulation 610 (Residency)
➢ Revisions to Senate Bylaw 160 (Editorial Committee)
➢ Revisions to Senate Bylaw 125.B.14 (Regents Committee on Health Services)

Legislative Ruling

None

Variance

None

Respectfully submitted,

Andrew Dickson, Chair (UCSD)
Andrea Fascetti, Member At Large (UCD)
Gary Horowitz, Member At Large (UCSB)
J. Keith Gilless, Ex Officio, Divisional R&J Chair (UCB)
Katherine Yang, Ex Officio, Divisional R&J Chair (UCSF)
UCRJ Staff: Michael LaBriola, Principal Analyst