The 2019-2020 FEC membership consisted of Sarah Anderson (chair), Mark Buntaine, Frank Davis, and Roland Geyer. In this report, we identify the primary accomplishments and activities over the year and identify ongoing activities and priorities. The FEC had three major priorities for the year: MEDS Program Implementation, the Professional Degree Supplemental Tuition proposal for the MESM program, and the Strategic Plan for Increasing Student Diversity. In addition to those major priorities, the FEC dealt with ongoing issues regarding COVID-19 and other concerns described here.

Major Priorities

MEDS program implementation

The implementation of a new Masters of Environmental Data Science (MEDS) program at the Bren School was a major focus of time and planning efforts during the year. The faculty began the year with a retreat on the topic of the new degree program. This retreat served to engage all Bren faculty in the planning and governance of the MEDS program with the primary aims of:

- Determining appropriate governance structure for MEDS program.
- Identifying MEDS staffing needs and support for staffing.
- Reviewing the MEDS curriculum and determining strategies to fill teaching gaps.
- Gaining consensus on FTE in environmental data science.
- Developing concept for MEDS capstone proposal process and advising structure.
- Identifying prerequisites and criteria for admission to MEDS program.
- Considering strategies to build the MEDS career development program.

At the retreat, the faculty made governance decisions about the program. In particularly, they decided that the MEDS curriculum will be governed by a combined master’s curriculum committee in order to account for the tradeoffs and synergies between the two master’s programs. Likewise, recruitment and admissions will be governed by the Recruitment, Admissions, and Support (RAS) committee and the Capstone project process will be governed by the Group Project committee. In addition, the faculty agreed on the importance of reputation, came to consensus on the LPSOE search in MEDS and an Assistant Professor search in the coming year, began work on an admissions rubric, and decided on the basic structure of the
capstone project. Individual faculty and committees took the lead on implementation of the portions of the program and reported back to the faculty to gain consensus throughout the year. The MEDS program is now in a position to hire the support staff and to launch for summer 2021.

We anticipate that this will continue to be a priority for AY 2020-2021.

PDST proposal for MESM program

The second major priority for 2019-2020 was guiding the UC Office of the President and UC Regents review of the proposal for professional degree supplemental tuition (PDST) for the MESM program and advising on the allocation of those funds. In January 2020, the UC Regents approved the PDST proposal for implementation in Fall 2020. The rollout of the fee for the existing MESM students was challenging until we became aware that we could remit full fees back to them. The funding from PDST has been allocated to student aid, especially to students from diverse backgrounds, and budgeted toward curricular needs. In a promising development, we have the most diverse incoming MESM class yet to matriculate to the Bren School.

Strategic plan for increasing student diversity

An ad hoc committee of faculty and staff met all year to develop a strategic plan for increasing student diversity. A draft plan was due to be discussed by the faculty at the Spring retreat, which was cancelled due to COVID-19. Progress on the strategic plan has continued over the summer, including discussions with the Black students of Bren and the Bren Alumni Students of Color Association (BASCA). Both groups presented the Bren School with productive demands for reform that will inform further work on the strategic plan.

The Fall faculty retreat will include anti-racism training and be focused on refining the plan and its implementation.

Other Activities

Program Learning Outcome 3 Assessment report

The Curriculum Committee and Assistant Dean led the continued implementation of Program Learning Outcome (PLO) Assessment. In 2013-14, the faculty established PLOs for MESM and PhD programs. The MESM PLOs include 1) Core Knowledge, 2) Specializations, 3) Research Methods and Analysis, 4) Scholarly Communication and 5) Professionalism. For #3, the faculty wrote an assessment plan and created a rubric for evaluation. The staff have deployed the rubric to faculty during 3 years of Group Project faculty reviews. Based on the data gathered, it appears that MESM students are achieving program learning outcomes with respect to PLO3, research methods and analysis, with some improvement needed in a few areas. A report on PLO3 was submitted. Faculty determined that PLO5 would be the learning objective to assess in the next three years because professionalism is key to our brand.

New Bren School website
A new website has been launched for the Bren School. While staff and outside vendors led the website design and development, faculty served on the Web Design Review Committee and made the new website a priority for 2020.

**Ongoing issues from COVID19**

The FEC served as a clearinghouse the many issues concerning faculty that arose from COVID-19. These included use of Bren Hall, teaching online, sick leave, student concerns, and virtual events. We especially want to thank the Pinnacles team, Bruce Kendall, Steve Miley, and Heather Hodges, for guiding faculty through the online instruction transition.

**Revisions to the Bylaws:**

Revisions to the Bren School faculty bylaws were adopted in AY 2018-2019, but not formally incorporated into the bylaws. These were formally adopted, including provisions about conflicts of interest and revisions to Personnel committee responsibilities.

**FEC Election Process:**

With the previous system, faculty may be elected to the FEC with just 4-5 votes. This is a problematic way of aggregating preferences due to the small number of votes needed to be elected. The FEC proposed a new system of voting that will reduce the potential for undue influence of small coalitions over elections. The new system would be a two-stage vote, with nominations in the first round followed by a vote. Faculty voted all in favor of a two-round voting process starting in 2021.

**Bren Governance:**

Two new faculty committees were established in 2020. The Compute team requested a small committee of faculty to work with them on priorities for computing and a new committee was convened to assist with career development and alumni relations.

New oversight procedures were developed for special academic programs (Eco-E, Communication) that streamline personnel reviews. The procedures also prescribe the role for the oversight committees. In the beginning of the fall, the committee should come up with goals for the year, and at the end of the year the committee sends a report to the Master’s Curriculum committee on how the goals were achieved. In addition, the personnel committee would like to have a strategic review every 2-3 years about how the special academic programs are designed, implemented and organized.

**Possible Priorities for AY 2020-2021**

The FEC noted that some priorities remain or were pending at the end of the year. As a result, some possible priorities for AY 2020-2021 FEC are:

- Strategic Plan for Diversity, Equity and Inclusion
• MEDS program implementation
• Revision of PhD core curriculum
• Budget, including budgeting for retentions, reducing lecturer spending
• Reducing MESM specializations and/or courses required for specializations
• PhD program with Environmental Studies, on which there have been ongoing discussions.
• New Environment building proposal, which will be led by Environmental Studies
• Bren Hall space allocations
• Bren School Faculty Computing Hardware Policy

Sarah E. Anderson

Frank Davis

Mark Buntaine

Roland Geyer
To the Faculty Legislature, Santa Barbara Division:

Purpose (per Divisional Bylaw 105):

The Charges Officer considers informal complaints of possible violation of the Faculty Code of Conduct on the part of Senate members, undertaking informal resolution and/or referring complainants to other appropriate campus persons or agencies, as indicated in Appendix IV of the Manual of the Santa Barbara Division. With respect to formal complaints with potential merit, the Charges Officer consults with the Charges Advisory Committee to evaluate the merits of the case and to assess whether or not the complaint should be forwarded to an Ad Hoc Charges Committee for further investigation, consonant with Appendix IV of the Divisional Manual.

During 2019-20, the Charges Officer responded to two formal complaints, and continued ongoing efforts in relation to one complaint that was filed with the Senate during the previous year. The Charges Advisory Committee was consulted regarding the two newly submitted formal complaints.

Based on recommendations of the Charges Advisory Committee, two ad hoc Charges Committees were formed to investigate allegations and determine whether there was probable cause for undertaking disciplinary action. The results of the investigations were communicated to the appropriate parties as defined in the Campus Procedures for Enforcement of the Faculty Code of Conduct.

Along with the Committee on Privilege and Tenure, the Charges Officer and the Charges Advisory Committee responded to recommendations from the University Task Force on Faculty Disciplinary Standards.

Members of the Charges Advisory Committee:
Denise Bielby
Andrew Norris
Jane Mulfinger
Karen Szumlinski

Submitted by Andrew Teel, Charges Officer
COLLEGE OF CREATIVE STUDIES FACULTY EXECUTIVE COMMITTEE
ANNUAL REPORT, 2019-2020

CHARGE OF THE COMMITTEE

To govern the College of Creative Studies in accordance with the provisions of Divisional Bylaw 40A. (Am 25 Oct 01; 27 May 04; 09 Mar 17) specifically:

1. To represent faculty in all aspects of the curriculum of the College.
2. To authorize the Dean, at the committee’s discretion, to enforce all regulations concerning students, including the regulations governing transfer and academic disqualification.
3. To advise and assist the Dean in the administration of the College.
4. To appoint all committees of the Faculty not otherwise provided for.

SUMMARY

The Faculty Executive Committee (FEC) of the College of Creative Studies (CCS) met 7 times during the academic year 2019-20 and addressed many issues. In Spring 2020 meetings were held remotely via Zoom due to the Covid-19 pandemic. Notable issues included:

Admissions audit
Changes in the admissions interface were implemented to provide the least intrusive mechanism possible in order to be in compliance with suggestions from auditors.

Admissions equity
Multiple discussions were held concerning the issues of diversity, equity and inclusion and how they apply to the admissions procedure to CCS

FEC response to request for comments on the Program Review of the Department of Mathematics.
The CCS FEC was broadly supportive of the concept of a data science emphasis in CCS within the existing major. It has been proposed that math’s undergraduate committee undertake a survey on climate.

FEC response to request for comments on the findings of the Ad Hoc Committee on On-Line Course Evaluations.
The CCS FEC was supportive of the move online, but had a mixed response to the recommendation that online surveys be conducted in class and was strongly opposed to the idea of using incentives to encourage participation.

FEC response to request for comments on the report of the Ad Hoc Committee on ESCI evaluations.
The CCS FEC Strongly agreed that the current system is not valid or reliable, but the question remains: how to move forward and what measurements to use in its place.

FEC response to proposal to adopt the NCAA’s requirements for athletic eligibility as a campus standard.
The CCS FEC felt that this is better for the students and was in favor of the new standard.
Concern was expressed that this would be adding more assessment into the K-12 system and about the bias inherent in the SAT. A suggestion was made to recommend engagement with the College Board about issues with the SAT rather than adding another standardized test. Concerns were expressed about how out of state admissions would be handled.

FEC response to the BOARS Recommendation to Eliminate the ACT SAT Essay Requirement
It was noted that it is common knowledge in writing field that timed writing is not indicative of success in writing.

FEC response to pilot proposal to alter the Fall registration timeline
The proposal is welcomed but addresses the symptoms and not the cause - more students than seats. Although the waitlist system has helped in some cases it is now being asked to do things it was not designed for and the waitlist system may need to be reviewed.

COMMITTEE MEMBERS:

John G. Latto, Chair, Senior Lecturer SOE, Ecology, Evolution and Marine Biology, College of Creative Studies
Tengiz Bibilashvili, Senior Lecturer SOE, Physics, College of Creative Studies
Kara M. Brown, Lecturer SOE, College of Creative Studies, Writing Program
Maria Isabel Bueno Cachadina, Senior Lecturer SOE, Mathematics, College of Creative Studies,
Phill Conrad, Senior Lecturer SOE, Computer Science, College of Creative Studies
Sarah Gibson, Lecturer SOE, College of Creative Studies
Leroy E. Laverman, Senior Lecturer SOE, Chemistry and Biochemistry, College of Creative Studies
Jane L. Mulfinger, Professor, Art
Raisa E. Feldman, At-Large Member, Associate Professor, Statistics and Applied Probability
Sharon Tettegah, At-Large Member, Professor Black Studies
Leslie Hogan, Non-Senate Academic Rep
Bruce Tiffney, Ex Officio, Interim Dean CCS, Professor, Earth Sciences
Sara C. Sterphone, Consultant, CCS Student Affairs Officer
Savannah Parison, Consultant, CCS Student Affairs Officer
Lynn Clark, Advisor
Jennifer R. Johansen, Advisor
To the Faculty Legislature, Santa Barbara Division:

The following summarizes the business of the College of Engineering Faculty Executive Committee (FEC) for 2019-2020.

**Summary of Actions:**

**Courses, Curricular Matters and Program Reviews**

1. Chemical Engineering curriculum proposal to add ChE166/266 as new elective – committee approved proposal
2. Committee approved an individual major request
3. Mechanical Engineering curriculum proposal to add ENGR 120A and ENGR 120B to the electives list – committee approved proposal
4. Chemical Engineering curriculum proposal to offer ChE W 5 (online) – committee approved proposal
5. Engineering Sciences curriculum proposal to renew ENGR W 3 (online) as a permanent course offering – committee approved proposal
6. Mechanical Engineering curriculum proposal to add CS/ECE 181 to the electives list – committee approved proposal
7. Chemical Engineering curriculum proposal to revise their Student Outcome – committee approved proposal
8. Computer Science curriculum proposal to remove CS 48 and CS 56 and add CS 148 and CS 156 – committee approved proposal
9. College of Engineering proposal to adjust the Quarterly Honor’s threshold – committee approved proposal
10. Biological Engineering proposal to establish a graduate degree program and academic unit – committee approved proposal
11. Electrical Engineering and Computer Engineering curricular proposal to add ECE 157A and ECE 157B as electives and count as a sequence – committee approved proposal
12. Mechanical Engineering curricular proposal to add ME 154 to electives list – committee approved proposal

**Review of Policies and Proposals**

1. Proposal to adopt NCAA Eligibility Requirements – committee approved proposal
2. ESCI Ad Hoc Committee – committee provided comments
3. ESCI Report of the Ad Hoc Committee on Online Course – committee provided comments
4. UC Washington Center – committee provided comments
5. BOARDS recommendation to eliminate the ACT-SAT Essay Requirement – committee supported recommendation
7. Extending Remote Instruction – committee provided comments
8. P/NP grading for Spring 2020 – committee provided comments
9. EVC Request for Program Review in 2021-22 – committee provided comments
10. Fall 2020 Registration Timeline Pilot – committee approved proposal
11. Questions on Summer/Fall – committee provided comments
12. Draft UCSB 2020-2025 5-year planning perspectives – committee provided comments
13. EVC Call for PRP nominations for 2020-21 – committee provided comments

2019-2020 Committee Members

Rod Alferness, Dean
Glenn Beltz, Associate Dean for Undergraduate Studies
Subhash Suri, Computer Science
Chandra Krintz, Computer Science
Michelle O’Malley, Chemical Engineering
Jim Rawlings, Chemical Engineering
Dan Blumenthal, Electrical & Computer Engineering (Chair)
Pradeep Sen, Electrical & Computer Engineering (Vice-Chair)
Chris van de Walle, Materials
James Speck, Materials
Beth Pruitt, Mechanical Engineering
Igor Mezic, Mechanical Engineering
YiLing Yang, Undergraduate Student Representative
Varun Hegde, Graduate Student Representative
Tiffany Sabado, Staff Coordinator
To the Faculty Legislature, Santa Barbara Division

The charge of the College of Letters and Science Faculty Executive Committee (FEC) is defined in Part III, Appendix II, D1.93A of the Santa Barbara Division’s Bylaws and Regulations as follows: “Each FEC of the Faculty of a College, often abbreviated as ‘FEC of the College,’ is a committee of the Academic Senate. These Committees are authorized by the Bylaws of each Division of the Academic Senate as organizations through which the Faculty of each College can coordinate the academic affairs of their College.” The FEC provides oversight on academic and other matters pertinent to the welfare of departments, faculty, and students within the College of Letters and Science.

The FEC met 12 times during the academic year, four meetings per quarter for two hours each.

Professor James Roney was elected FEC Chair at the meeting on October 10, 2019, and offers this Annual Report for academic year 2019-20.

Executive Summary

Academic year 2019-20 was an unusual and challenging time given both the onset of the coronavirus pandemic and significant social justice issues in the country at large. The university may be entering a period of transition in which it adjusts to continuing effects of these events. The FEC engaged in discussions of many significant issues related to this transition that may be especially relevant to the Faculty Legislature in the near future. This Executive Summary highlights recurring significant issues that the committee discussed in 2019-20.

- Perhaps relevant to all of the issues that follow is the principle of shared governance. What role does the faculty have in determining new directions the college may take during this time of potentially significant transition? This issue was central to our discussion of the Regents’ and Office of the President’s decision to suspend the use of standardized testing in admissions decisions. As noted in our memo from June 15, this decision was contrary to a unanimous vote of the Assembly of the Academic Senate despite the fact that university by-laws state that the Academic Senate shall determine the conditions for admission. Decisions like this raise questions regarding the limits of shared governance, which may be an important issue for the Faculty Legislature moving forward.
- The issue of how to build a more diverse, inclusive, and welcoming college, which was a significant topic of discussion in all department PRP reviews. A recurring suggestion was the possibility of developing a clear, standardized protocol for reporting and investigating
discriminatory statements or behaviors in the service of improving department climates.

- The development of new methods for evaluating teaching effectiveness. The FEC had in-depth discussions of the ad hoc task force reports on student evaluation of teaching. We strongly endorsed the conclusion that ESCI scores and similar assessment devices are not valid or unbiased indicators of teaching effectiveness. Given this, they should be replaced by methods that are supported by evidence. What should these methods be and what role will faculty have in determining this?

- Many discussions were informed by the mass movement of students away from the Humanities and into STEM fields. This has caused some departments to be impacted by rising enrollments to such a degree that their majors are no longer functioning well, in addition to diminishing the academic job opportunities for HFA graduate students. How can L&S produce a coordinated plan to distribute resources and alter graduate training in ways that respond to these shifts? Our view was that this is not a problem that can be solved by individual departments on their own, some of which may be unfairly criticized in PRP reports for what are college-wide problems that require college-wide solutions.

- The FEC reviews online course proposals. There was some discussion of how this approval process should change given the possibility that online or hybrid instruction that began during the pandemic may continue at elevated rates in the coming years. How will the college adjust its course approval processes to this new landscape, as well as ensuring quality control for instruction? This issue will intersect with many of the others listed above, as it carries implications for teaching evaluation, managing large enrollments, and potential inequities in student access to technology.

The FEC would like to acknowledge the contributions of its ex officio members, Executive Dean Pierre Wiltzius and AVC and Dean of Undergraduate Education Jeff Stopple. Their perspectives and extensive background knowledge of campus issues provided important context and greatly facilitated the productivity of the committee’s discussions. We also express great appreciation to Assistant Dean Barbara Gilkes for her indispensable efforts in organizing and ensuring the smooth operation of all FEC business.

**Academic Program Reviews**

Maintaining excellence in College departments, undergraduate programs, and graduate education is essential for the continued excellence of the University. As such, the FEC takes its role in Academic Program Review very seriously. In 2019-20 the committee provided extensive comment during the reviews of the Departments of Communication, Mathematics, and Statistics and Applied Probability as well as a combined review of the Comparative Literature Program, the Department of French and Italian, and the Department of Germanic and Slavic Studies. Many of the significant issues highlighted in the Executive Summary arose within the context of these reviews.

FEC also provided comment on academic units that should undergo program review next and nominated candidates for the Program Review Panel.
At the Graduate Level

The FEC provided input on:
1) An Interdisciplinary PhD Emphasis in Climate Science and Climate Change
2) A request from the Department of Feminist Studies to suspend Graduate Admissions for one year
3) Program name change for the M.A. and Ph.D. from "Theater Studies" to "Theater, Dance, and Performance Studies"
4) Establishment of a Geographic Information Science (GIS) 4+1 Master of Science program
5) Establishment of a Graduate Degree Program and new academic unit of Biological Engineering
6) A request from the Sociology Department to suspend Graduate Admissions for one year.

At the Undergraduate Level

In Winter 2019, FEC expressed its concern and called to the attention of the Undergraduate Council the lack of regulation requiring a syllabus for all courses. The FEC recommends that the UGC formally considers this matter.

The FEC has review authority over the modification of all undergraduate programs (majors and minors) in the College. Due to the sheer volume of academic programs being monitored and changes that occur on an annual basis, modifications are divided into two categories—technical (typos, course title adjustments, removing discontinued courses, etc.) and more substantive (impacting the major or minor program). Technical revisions are reviewed by divisional subcommittees (HFA, MLPS, SOSC). Substantive changes undergo full review by the entire FEC and are then forwarded to the Undergraduate Council for final approval to ensure equitable application of policies across the three colleges offering UG degrees (CCS, Engineering, and L&S).

During 2019–20, the L&S FEC endorsed the following substantive curriculum changes while FEC subcommittees reviewed technical adjustments to 94 major and minor sheets (or, just under 50% of all such academic study sheets), bearing in mind that the same adjustment could appear on multiple major or minor sheets, including emphases.

Significant curriculum proposals:
1) Biopsychology Premajor and Biopsychology Major
2) Museum Studies Emphasis and Minor
3) Pharmacology Major, including a new course
4) Various Biology Majors – Removing organic chemistry as a requirement
5) Curricular changes to the B.S. in Mathematical Sciences and a name change to B.S. in Applied Mathematics
6) Black Studies Major and Minor
7) B.F.A. in Dance
8) Economics Major and Economics and Accounting Major
9) In the Department of East Asian Languages and Cultural Studies, changes to the Japanese High Proficiency Major and the Chinese Minor
10) B.A. and B.S. in Environmental Studies

Other Undergraduate Academic Items
- The FEC strongly supported the Physics Department proposed changes to Transfer Admissions criteria for Physics majors.
- The committee approved an individual student petition to pursue a major and a minor from the same department, adjudging that there were sufficient disciplinary distinctions between the two programs.
- As the final authority on such matters, the FEC ruled on a grade appeal.

At the Level of Individual Courses
The FEC
1) Endorsed a Course Materials Fee for ENST 15BL; this has been forwarded to the Budget Office for further action
2) Endorsed re-unit requests for five courses: RS ST 157A, B, C; BLST 1; WRIT 2LK
3) Reviewed the following online courses, either for an initial offering or renewal based on assessment data:
   - EEMB W 146
   - ESS W 3
   - HIST W 4B
   - HIST W 80
   - INT W 20
   - INT W 188C
   - INT W 188E
   - SPAN W 2
4) Endorsed a pilot hybrid version of ARTHI 6, in anticipation of a proposal for a fully online ARTHI W 6R

Based on its experience reviewing online courses, the FEC sent to CCGE and Instructional Development its recommended Best Practices for Proposing Online Courses. As mentioned in the Executive Summary, this issue may require further discussion and policy development given the increase in remote instruction associated with the pandemic, which began after the FEC submitted this best practices proposal.

At the Campus Level
The FEC weighed in on
- Eligibility regulations for student athletes, endorsing campus adoption of NCAA regulations
- Changes to the student registration timeline (to be piloted in F2020)
- Campus instructional responses to the ongoing pandemic (remote instruction, one-time alterations to P/NP regulations, and the like)
• The administration’s report recommending that course evaluations (currently, ESCIs) be conducted online. Here, the FEC recommended that online course evaluations be collected in classrooms (when instruction occurs there) in order to avoid the sampling bias inherent to self-selected samples that occur when students decide whether to respond to e-mail solicitations of course reviews.

• The report of the Senate Ad Hoc Committee on Student Evaluations of Teaching. As mentioned in the Executive Summary, the FEC strongly recommended a moratorium on use of ESCI scores in personnel evaluations, based on results from experiments showing that such evaluations are invalid (quality of teaching evaluations negatively predicted student performance in future courses in these studies) and biased against female and minority instructors. The Chair of the Academic Senate recommended de-emphasis of ESCI scores in personnel reviews (rather than a moratorium), though it appears that there has been no formal guidance to departments from Academic Personnel regarding this issue for the 2020-21 review cycle.

The FEC is pleased to coordinate selection of the Plous Memorial Award recipient. The 2020-21 recipient is Leah Stokes (Political Science). The committee also endorsed the nominations for the 2020 Mochizuki Memorial Awards within the college.

Systemwide Policy and Regulation Review

In 2019-20 the FEC responded to:

• Assessment Report of UCDC
• BOARS Recommendation to Eliminate the ACT-SAT Essay Requirement
• Academic Council report from Standardized Testing Task Force
• Subsequent ruling by the Regents on the use of standardized tests in UC admissions, as described further in the Executive Summary.

Selection of New Members

The FEC is grateful that the Committee on Committees identified collaborative and productive members to fill unexpected vacancies this year until the subsequent FEC election cycle. The first meeting of the year was canceled due to a lack of quorum when a full committee had not yet been appointed, although all deadlines for FEC responses were still met.

In spring 2020 a call for nominations was sent to all L&S faculty and an election was conducted under the regulations of the Senate. The following members were elected to serve on the FEC through August 2022:

   Peter Ford, Chemistry and Biochemistry
   David Paul, Music
   Kevin Whitehead, Sociology
2019-20 FEC committee members

Walid Afifi, Communication
Peter Ford, Chemistry and Biochemistry
Sabine Frühstück, East Asian Languages and Cultural Studies (Vice-Chair)
Laurie Monahan, History of Art and Architecture (through fall quarter 2019)
David Paul, Music (from January 2020)
James Roney, Psychological and Brain Sciences (Chair)
Kevin Whitehead, Sociology

Ex officio members:

Jeff Stopple, AVC and Dean of Undergraduate Education
Pierre Wiltzius, Executive Dean of the College of Letters and Science

Student representatives:

Aimee Wang, Associated Students
Surojit Kayal, Graduate Student Association
To the Faculty Legislature, Santa Barbara Division:

The Committee on Academic Personnel (CAP) met a total of 62 times, approximately 2-3 hours per session, during the 2019-20 term. All meetings were held in executive session; transitioning to secure, remote meetings in March 2020 due to the COVID-19 campus closure. In addition, CAP leadership met weekly with the Associate Vice Chancellor for Academic Personnel throughout the 2019-20 personnel cycle.

EXECUTIVE SUMMARY

The Committee on Academic Personnel serves as a reviewing agency for all “expanded review” academic personnel actions and as an auditing agency for all additional academic personnel actions. The Committee equitably evaluates and reports recommendations for such actions in accordance with campus and systemwide guidelines, and provides advice on UC and campus issues pertaining to academic personnel.

The 2019-20 academic year included the following:

- Reviewed 364 academic personnel cases (including 42 post audits of Dean’s Authority cases), resulting in 406 personnel actions in 2019-20.
- Reviewed the biannual proposed revisions to the Red Binder
- Provided advice to the Senate Chair, the Executive Vice Chancellor (EVC), the Associate Vice Chancellor for Academic Personnel (AVC), and the University Committee on Academic Personnel (UCAP) on a number of UC policy issues.
- Met and consulted with the Deans, the AVC, and the EVC on the academic personnel review process at the beginning of the 2019-20 cycle
- Participated in orientations for department chairs and personnel analysts regarding the academic personnel review process
- Participated in tenure and promotion workshops for faculty members
I. ACADEMIC PERSONNEL ACTIONS

CAP devoted most of its work to reviewing appointments, expanded review merit advancements, and promotions. A total of 406 personnel actions were reviewed; a summary of the workload appears in Tables I and II attached to this report. CAP members recused themselves from cases from their own departments and in cases of conflict of interest, or the potential for perceived conflict of interest, with the candidate. The deans continued the established practice of review of normative merit advancements (Dean’s Authority) and appointments at the rank of Assistant Professor Steps II and III at starting salaries within a defined range, whenever the recommendations of deans and departments agreed. For cases in which salary recommendations between the respective dean and CAP differed by $4,000 or more, or when the recommended step differed between the dean and CAP, the Associate Vice Chancellor issued a Tentative Decision to one or both parties for comment. CAP conducted post audits of all Dean’s Authority merit cases and case deferrals of professors at the Assistant Professor or Lecturer with Potential Security of Employment ranks, subsequent to the actions of the deans. A Post Audit Report was submitted at the end of the cycle.

CAP’s review of individual merit and promotion cases, in accordance with Red Binder policy and APM 210-1-d, focused for the Professor series on the 4 areas of (a) research and creative activities, (b) teaching and mentoring, (c) professional activities, and (d) service, and for the Lecturer SOE series on the 3 review areas of (a) teaching, (b) professional and/or scholarly achievement and activity, and (c) service. In its review, CAP took into account contributions to diversity and equal opportunity, following guidelines in APM 210-1-d and Red Binder I-75-VIII. CAP encourages candidates to submit (when appropriate) optional self-assessments concerning teaching, research, and contributions to diversity. These optional documents often provide valuable information that assists reviewing agencies in making more informed evaluations of personnel cases.

II. REVIEW COMMITTEES

CAP continued to act as its own ad hoc review committee for promotion to tenure cases in which both the dean and the department recommended tenure. In addition, CAP continued the practice of waiving ad hoc review committees for other promotion and career reviews unless deemed necessary for fair and equitable judgment. (No such cases arose in 2019-20.) CAP convened a “Shadow CAP,” appointed by the AVC, to evaluate one Expanded Review merit case of a current CAP member.

III. ACADEMIC PERSONNEL POLICY ISSUES

A number of policy issues were notable in the course of the 2019-20 academic year, some of longstanding concern. These included:

A. Solicitation of Extramural Letters for Appointments, Promotions, & Barrier Steps
In a handful of cases, CAP found the set of extramural letters submitted with the dossier to depart unduly from Red Binder guidelines. CAP (like other reviewing agencies) may request that additional letters be obtained in such cases, which can significantly delay case consideration. Departments are reminded to carefully follow
Red Binder guidelines in soliciting extramural letters, or to provide a compelling explanation when those guidelines cannot be followed.

B. Service
As one of the areas of review, CAP treats service (appropriate to rank) as an integral component in making its recommendations. Thus, CAP expects faculty and departments to give this area appropriate attention. In addition to service on Academic Senate committees, the Office of Academic Personnel has compiled a list of other possible campus service opportunities to assist faculty in this area: https://ap.ucsb.edu/resources.for.academic.employees/service.opportunities.pdf

C. Providing Context
CAP depends on departments and deans to provide context for understanding the nature and scope of a candidate’s service, professional activities, and/or the importance of awards and honors. Without appropriate context, CAP at times finds it challenging to evaluate the differing demands of service positions across departments/divisions as well as the diverse range of campus service roles, especially in connection with UCSB’s many research centers and ORUs. Similarly, without necessary context CAP can have difficulty gauging the workload and significance of professional activities and evaluating accomplishments such as prizes or awards.

D. Collaborative Research
CAP depends on departments to provide sufficient background to allow reviewing agencies to evaluate the nature and scope of a candidate’s contributions to collaborative research. Without such information, CAP can find it difficult to evaluate a candidate’s contributions to scholarly work, especially when there are large numbers of co-authors on publications.

E. Criteria for the Evaluation of Teaching and Accounting for Teaching Load
CAP observes that a number of departments did not fully adhere to Red Binder requirements for the documentation and evaluation of teaching. First, it was not uncommon to find that departments failed to provide an accurate account of candidates’ teaching loads over the review period or furnish clear statements regarding how the candidate met the required teaching load. Red Binder I-27 requires that “The bio-bib should also contain a statement of normal teaching workload for the department overall (e.g., 2-2-1) and a brief explanation of any deviations from this workload (e.g., sabbatical, administrative assignment).” Second, in some cases, an insufficient number of sources for evaluating the teaching record were provided. As Red Binder I-34-VI states: “At a minimum, two sources must be included in the case. ESCI summary sheets and scores for questions A and B are mandatory.” CAP hopes that policy on criteria for the evaluation of teaching and accounting for the teaching load will be closely followed to avoid delays in processing personnel cases. Red Binder states in section I-75-V: “Reviewing agencies will return cases to the departments if they do not conform to these guidelines.”
F. Justification for Early Advancement and Accelerations
   CAP notes with concern that a number of cases deviated from the qualifying criteria
detailed in Red Binder I-36 in recommendations for accelerations in time and/or
off-scale, particularly at the level of Above Scale.

IV. CAMPUS ISSUES

A. Report from ESCI ad hoc Committee
   The ad hoc Committee on Student Evaluation of Teaching conducted a review of the
current ESCI system, which included a study on systems of teaching evaluation both
within the UC system and at other universities. CAP was asked to provide
commentary on the findings of the report.

B. Report from ad hoc Committee on Online Course Evaluation
   The ad hoc committee on Online Course evaluation provided a report on the
background of online course evaluations and suggestions for implementation. CAP
offered feedback on these recommendations.

C. Proposed Changes to Threshold for Dean’s Review Personnel Cases
   CAP reviewed the proposed “Change to threshold for Dean’s Review personnel
cases” from the Chairs of the Division of Humanities and Fine Arts and responded to
the recommendation.

D. Proposed Changes to “Guidelines for Advancements: Academic Senate Titles”
   CAP reviewed the proposed changes to the guidelines for advancements in the
academic senate series and provided feedback and recommendations.

E. COVID-19 and CAP Practice
   Due to the implications of COVID-19 for the campus environment, CAP made a
number of necessary adjustments to ensure the timely completion of personnel cases,
maintaining the highest standards of review. Further, this led to a recommendation
that all materials in subsequent review cycles be submitted electronically, when
possible.

F. CAP FAQ
   CAP updated the newly created frequently asked questions (FAQ) page addressing
the academic review process at UCSB and the role of the faculty senate Committee
on Academic Personnel (CAP). The information is available via the Academic
Senate website and the Academic Personnel website.

G. Revisions to the Red Binder
   The Office of Academic Personnel disseminates to all Senate Faculty and
appropriate administrators and committees any proposed revisions to the Red
Binder, typically biannually in the fall and spring. CAP reviewed the proposed
revisions circulated for comment in January 2020, May 2020, and July 2020.
Additionally, CAP made recommendations for revisions to Red Binder I-36, I-43,
and I-75. Consultations involved updates to several sections, including:
   https://ap.ucsb.edu/policies.and.procedures/red.binder/drafts/
V. SYSTEMWIDE ISSUES

A. Recommendations and Procedures for CAP Discussion and Consideration:

1. At the request of divisional Chair Bohn, CAP reviewed reports, recommendations, and analyses pertaining to:
   a. UC-wide Off-Scale Compensation
   b. UC-wide Above Scale Compensation
   c. COVID-19 exemptions and practices

2. CAP reviewed informational documents regarding ongoing systemwide discussions, as well as pertinent academic personnel approaches at other UC campuses, including:
   a. Proposed Revision of APM 230, Visiting Appointments
   b. Proposed Revision of APM 120, Emerita/Emeritas Titles
   c. Proposed Revision of APM 240, Deans, and 246, Faculty Administrators (100% Time)

VI. CARRY-OVER ISSUES FOR 2020-21

A. Campuswide recommendation for teaching evaluations and ongoing use of ESCIs

B. Evaluation of diversity statements and contributions to diversity

C. Integration of COVID Statements into review process

D. Continued discussion among reviewing agencies of areas of concern from Section III

E. Development of recommendations for optional self-assessments

F. Update of 2012 study on faculty advancement in the Humanities

VII. ACKNOWLEDGMENTS AND APPRECIATION

UCSB’s process for reviewing faculty merit cases is complex and time-consuming, as it is designed to satisfy both UC’s tradition of shared governance and a strong desire on all sides to treat faculty across campus in an equitable and transparent fashion. The practice of having one faculty committee that looks at all campus cases grows from and upholds UCSB’s unique culture of interdisciplinary collaboration and cooperation. The entire complex process works only because of the committed efforts of many different individuals and groups, too numerous to name here.

CAP deeply appreciates the enormous amount of labor that departmental chairs, personnel committees, and analysts expend each Fall in preparing cases for review. CAP also thanks the home departments of this year’s committee for allowing our members to rearrange their own departmental workloads in order to accommodate the rigorous demands of CAP service.

CAP thanks the Academic Senate staff, headed by Debra Blake, its Analyst Jackie Grossberg, and its information technology staff, headed by Andy Satomi, for unfailing support, assistance, and advice in all matters.
2019-20 Committee Members:
Ann J. Adams, History of Art and Architecture
Stanley M. Awramik, Earth Science
Eileen Boris, Feminist Studies
Michael T. Bowers, Chemistry and Biochemistry
Rodney Garratt, Economics
B.S. Manjunath, Electrical and Computer Engineering
Kathleen Moore, Religious Studies
Dar Roberts, Geography
Omar Saleh, Materials, Biomolecular Science and Engineering Program
Sven Spieker, Germanic and Slavic Studies
Janet Walker, Film and Media Studies
Ruth Finkelstein, Molecular, Cellular and Developmental Biology (Vice Chair)
Dana Mastro, Communication (Chair)
### Table I - Summary of All Personnel Actions Reviewed by CAP

#### 2019-20

<table>
<thead>
<tr>
<th>Personal Action</th>
<th>#</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appointments requiring CAP review (includes endowed chair and visiting professor appts)</td>
<td>27</td>
</tr>
<tr>
<td>Promotions (to Lecturer SOE, Associate Professor, Professor)</td>
<td>47</td>
</tr>
<tr>
<td>Merits requiring CAP review (Prof Above, Prof VI, Accel Merits, Lecturers PSOE, SOE, Sr SOE)</td>
<td>222</td>
</tr>
<tr>
<td>Retentions</td>
<td>8</td>
</tr>
<tr>
<td>Formal Appraisals</td>
<td>34</td>
</tr>
<tr>
<td>Career Equity Reviews</td>
<td>0</td>
</tr>
<tr>
<td>Reconsiderations</td>
<td>6</td>
</tr>
<tr>
<td>Terminal Appointment</td>
<td>0</td>
</tr>
<tr>
<td>Search Waivers</td>
<td>20</td>
</tr>
<tr>
<td>Post Audits</td>
<td>42</td>
</tr>
<tr>
<td><strong>TOTAL CAP REVIEWED CASES</strong></td>
<td>406</td>
</tr>
<tr>
<td>Series Transfers</td>
<td>2</td>
</tr>
<tr>
<td>Mandatory Reviews (included in Merits total)</td>
<td>24</td>
</tr>
<tr>
<td>No Change (included in Merits total)</td>
<td>13</td>
</tr>
<tr>
<td>Tentatives</td>
<td>37</td>
</tr>
<tr>
<td><strong>TOTAL PERSONNEL ACTIONS</strong></td>
<td>438</td>
</tr>
</tbody>
</table>
Table II - Faculty Participation on Ad Hoc Review Committees

<table>
<thead>
<tr>
<th>2019-20</th>
<th>0</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAP continued to act as its own ad hoc review committee in promotion to tenure cases in which both deans and departments recommended tenure. In addition, CAP continued the practice of waiving ad hoc review committees for other promotion and career reviews unless deemed necessary for fair and equitable judgment (no such cases in 2019-20).</td>
<td></td>
</tr>
<tr>
<td>Appointments requiring Ad Hoc Review</td>
<td>0</td>
</tr>
<tr>
<td>Promotions requiring Ad Hoc Review</td>
<td>0</td>
</tr>
<tr>
<td>Merits requiring Ad Hoc Review</td>
<td>0</td>
</tr>
<tr>
<td>Other Actions requiring Ad Hoc Review</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total number of Ad Hoc Review Committees</strong></td>
<td><strong>0</strong></td>
</tr>
<tr>
<td><strong>Total number of cases submitted to CAP covering 406 personnel actions:</strong></td>
<td><strong>438</strong></td>
</tr>
</tbody>
</table>
### Table III - 19-YEAR COMPARISON OF ALL PERSONNEL ACTIONS REVIEWED BY CAP

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Appointments requiring CAP review (includes endowed chair appts)</td>
<td>27</td>
<td>-2</td>
<td>29</td>
<td>30</td>
<td>24</td>
<td>31</td>
<td>27</td>
<td>23</td>
<td>24</td>
<td>26</td>
<td>32</td>
<td>15</td>
<td>34</td>
<td>39</td>
<td>50</td>
<td>46</td>
<td>31</td>
<td>36</td>
<td>45</td>
<td>60</td>
<td>43</td>
</tr>
<tr>
<td>Promotions (to Lecturer SOE, Associate Professor, Professor)</td>
<td>47</td>
<td>12</td>
<td>35</td>
<td>35</td>
<td>32</td>
<td>39</td>
<td>32</td>
<td>33</td>
<td>44</td>
<td>42</td>
<td>45</td>
<td>47</td>
<td>50</td>
<td>47</td>
<td>49</td>
<td>59</td>
<td>49</td>
<td>55</td>
<td>45</td>
<td>37</td>
<td>35</td>
</tr>
<tr>
<td>Merits requiring CAP review</td>
<td>222</td>
<td>-1</td>
<td>223</td>
<td>237</td>
<td>205</td>
<td>199</td>
<td>207</td>
<td>197</td>
<td>187</td>
<td>159</td>
<td>201</td>
<td>154</td>
<td>158</td>
<td>171</td>
<td>153</td>
<td>158</td>
<td>164</td>
<td>156</td>
<td>171</td>
<td>117</td>
<td>206</td>
</tr>
<tr>
<td>Retentions</td>
<td>8</td>
<td>-2</td>
<td>10</td>
<td>10</td>
<td>6</td>
<td>11</td>
<td>7</td>
<td>10</td>
<td>9</td>
<td>18</td>
<td>16</td>
<td>16</td>
<td>14</td>
<td>14</td>
<td>18</td>
<td>13</td>
<td>16</td>
<td>12</td>
<td>9</td>
<td>8</td>
<td>42</td>
</tr>
<tr>
<td>Formal Appraisals</td>
<td>34</td>
<td>10</td>
<td>24</td>
<td>10</td>
<td>10</td>
<td>15</td>
<td>8</td>
<td>2</td>
<td>10</td>
<td>14</td>
<td>17</td>
<td>12</td>
<td>6</td>
<td>16</td>
<td>20</td>
<td>14</td>
<td>21</td>
<td>10</td>
<td>7</td>
<td>16</td>
<td>11</td>
</tr>
<tr>
<td>Career Equity Reviews</td>
<td>0</td>
<td>-3</td>
<td>3</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>4</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>10</td>
<td>5</td>
<td>7</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Reconsiderations</td>
<td>6</td>
<td>0</td>
<td>6</td>
<td>1</td>
<td>1</td>
<td>5</td>
<td>3</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>6</td>
<td>2</td>
<td>5</td>
<td>18</td>
<td>7</td>
<td>5</td>
<td>10</td>
<td>3</td>
<td>3</td>
<td>12</td>
</tr>
<tr>
<td>Terminal Appointment</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Search Waivers (prev. EOR's)</td>
<td>20</td>
<td>11</td>
<td>9</td>
<td>14</td>
<td>11</td>
<td>14</td>
<td>23</td>
<td>14</td>
<td>16</td>
<td>9</td>
<td>13</td>
<td>7</td>
<td>2</td>
<td>8</td>
<td>3</td>
<td>12</td>
<td>10</td>
<td>4</td>
<td>2</td>
<td>5</td>
<td>7</td>
</tr>
<tr>
<td>Post Audits of Dean's Authority (prev. Routine) Cases</td>
<td>42</td>
<td>18</td>
<td>24</td>
<td>39</td>
<td>38</td>
<td>34</td>
<td>33</td>
<td>27</td>
<td>17</td>
<td>32</td>
<td>76</td>
<td>60</td>
<td>41</td>
<td>73</td>
<td>60</td>
<td>55</td>
<td>88</td>
<td>118</td>
<td>70</td>
<td>71</td>
<td>77</td>
</tr>
<tr>
<td>All Initial Personnel Actions Reviewed by CAP</td>
<td>406</td>
<td>43</td>
<td>363</td>
<td>378</td>
<td>327</td>
<td>348</td>
<td>343</td>
<td>312</td>
<td>315</td>
<td>307</td>
<td>408</td>
<td>319</td>
<td>312</td>
<td>362</td>
<td>403</td>
<td>359</td>
<td>383</td>
<td>414</td>
<td>340</td>
<td>374</td>
<td>312</td>
</tr>
<tr>
<td>Tentatives</td>
<td>32</td>
<td>12</td>
<td>20</td>
<td>22</td>
<td>21</td>
<td>26</td>
<td>22</td>
<td>17</td>
<td>18</td>
<td>20</td>
<td>14</td>
<td>7</td>
<td>8</td>
<td>27</td>
<td>17</td>
<td>17</td>
<td>16</td>
<td>25</td>
<td>28</td>
<td>41</td>
<td>24</td>
</tr>
<tr>
<td>TOTAL PERSONNEL ACTIONS REVIEWED BY CAP</td>
<td>438</td>
<td>52</td>
<td>383</td>
<td>400</td>
<td>348</td>
<td>374</td>
<td>365</td>
<td>329</td>
<td>333</td>
<td>327</td>
<td>422</td>
<td>326</td>
<td>320</td>
<td>389</td>
<td>420</td>
<td>376</td>
<td>399</td>
<td>439</td>
<td>368</td>
<td>415</td>
<td>336</td>
</tr>
<tr>
<td>OTHER ACTIONS (INCLUDED IN MERITS TOTALS)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mandatory Reviews/No Change (included in merits total)</td>
<td>38</td>
<td>11</td>
<td>27</td>
<td>21</td>
<td>29</td>
<td>26</td>
<td>21</td>
<td>27</td>
<td>23</td>
<td>14</td>
<td>8</td>
<td>8</td>
<td>14</td>
<td>24</td>
<td>19</td>
<td>19</td>
<td>22</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Series Transfers (Transfer completed as part of merit/promotion case)</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### Faculty Participation on Ad Hoc Review Committees

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of ad hoc committees</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>14</td>
<td>6</td>
<td>16</td>
<td>18</td>
<td>21</td>
<td>29</td>
<td>37</td>
<td>52</td>
<td>52</td>
<td>46</td>
<td>46</td>
<td>67</td>
<td></td>
</tr>
</tbody>
</table>

### Agreement between Reviewing Agencies

<table>
<thead>
<tr>
<th>Cases Submitted - No of Cases</th>
<th>Dean Yes</th>
<th>Dean No</th>
<th>Dean +</th>
<th>Ad Hoc Yes</th>
<th>Ad Hoc No</th>
<th>Ad Hoc +</th>
<th>Ad Hoc -</th>
<th>CAP Yes</th>
<th>CAP No</th>
<th>CAP +</th>
<th>CAP -</th>
<th>Final Yes</th>
<th>Final No</th>
<th>Final +</th>
</tr>
</thead>
<tbody>
<tr>
<td>APPOINTMENTS</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Endowed Chair</td>
<td>7</td>
<td>7</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>7</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>7</td>
</tr>
<tr>
<td>Non-Tenured</td>
<td>8</td>
<td>8</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>8</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>8</td>
</tr>
<tr>
<td>Tenured</td>
<td>12</td>
<td>12</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>12</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>12</td>
</tr>
<tr>
<td>TOTAL APPOINTMENTS</td>
<td>27</td>
<td>27</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>27</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>27</td>
</tr>
</tbody>
</table>

### PROMOTIONS

| Associate Professor/Lecture SOE | 28 | 28 | 0 | 7 | 2 | 0 | 0 | 0 | 6 | 12 | 5 | 7 | 8 | 10 | 5 | 5 |
| Professor/Sr Lecturer SOE | 19 | 19 | 0 | 3 | 3 | 0 | 0 | 0 | 3 | 12 | 3 | 9 | 4 | 11 | 3 | 8 |
| TOTAL PROMOTIONS | 47 | 47 | 0 | 10 | 5 | 0 | 0 | 0 | 9 | 24 | 8 | 16 | 12 | 21 | 8 | 13 |

### EXPANDED REVIEW (PREV. NON-Routine) MERITS

<p>| to Professor V1 | 8 | 8 | 8 | 0 | 4 | 0 | 0 | 0 | 0 | 8 | 8 | 0 | 4 | 8 | 0 | 3 | 7 |
| to or within Professor Above | 41 | 39 | 2 | 30 | 11 | 0 | 0 | 0 | 7 | 23 | 8 | 29 | 9 | 39 | 14 | 27 |
| Other Merits | 222 | 92 | 66 | 23 | 43 | 0 | 0 | 0 | 0 | 39 | 119 | 17 | 102 | 48 | 110 | 16 | 94 |</p>
<table>
<thead>
<tr>
<th></th>
<th>6</th>
<th>6</th>
<th>0</th>
<th>6</th>
<th>0</th>
<th>0</th>
<th>0</th>
<th>0</th>
<th>0</th>
<th>0</th>
<th>5</th>
<th>1</th>
<th>51</th>
<th>0</th>
<th>6</th>
<th>0</th>
<th>6</th>
<th>0</th>
</tr>
</thead>
<tbody>
<tr>
<td>Career Equity Review (CER)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>TOTAL MERITS</td>
<td>277</td>
<td>145</td>
<td>76</td>
<td>59</td>
<td>58</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>59</td>
<td>151</td>
<td>76</td>
<td>135</td>
<td>71</td>
<td>149</td>
<td>39</td>
<td>128</td>
</tr>
</tbody>
</table>

| SERIES TRANSFERS       |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| Professor Series to LSOE Series | 2 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 2 | 0 | 2 | 0 | 2 | 1 | 2 |    |    |
| LSOE Series to Professor Series | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |    |    |
| TOTAL SERIES TRANSFERS | 2 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 2 | 0 | 2 | 0 | 2 | 1 | 2 |    |    |

| SEARCH WAIVERS         |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| Search Waivers         | 20 | 20 | 0 | 0 | 0 | 0 |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| TOTAL SEARCH WAIVERS   | 20 | 14 | 0 | 0 | 0 | 0 |    |    |    |    |    |    |    |    |    |    |    |    |    |    |

| RETENTIONS             |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| Retentions             | 8  | 8  | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 4 | 3 | 0 | 0 | 4 | 3 | 0 | 0 |    |
| TOTAL RETENTIONS       | 8  | 8  | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 4 | 3 | 0 | 0 | 4 | 3 | 0 | 0 |    |

| ALL CASES              | 381| 243| 77 | 69| 64 | 0 | 0 | 0 | 0 | 0 | 110| 182| 84 | 155| 123| 178| 48 | 143|

Table shows the number of instances in which each reviewing agency agreed (Yes) or disagreed (No) with the departmental recommendation. The “plus” and “minus” columns reflect whether a reviewing agency’s recommendation was above the departmental recommendation (+) or below the departmental recommendation (-). Inaccurate totals occur in some instances (bolded) for the following reasons: a number of cases are still pending; in certain cases, the Dean submits the original recommendation; some ad hoc committees opted not to make a specific recommendation; some candidates withdrew before the review process was completed or a reviewing agency may recommend a different step and salary altogether from the department.
Committee on Diversity and Equity  
Annual Report 2019-20

To the Faculty Legislature, Santa Barbara Division:

Committee Charge
The charge of the Committee on Diversity and Equity (CDE) is to work towards attaining the campus goals of diversity and equity and actively pursue the goals of affirmative action.

Membership
The Committee on Diversity and Equity consists of a Chair and at least five members. The Director of the Equal Opportunity and Discrimination Prevention Office and Director of the Title IX and Sexual Harassment Policy Compliance Office serve as ex-officios on the committee. In addition, there is one non-Senate academic representative, one undergraduate student, and one graduate student representative.

Summary of CDE activities over 2019-20
There were a total of fourteen regularly scheduled meetings of the Committee over the 2019-20 term, as well as three meetings regarding specific issues. CDE’s primary areas of focus during the term were: 1) working with the Committee on Academic Personnel on more clear instructions for contributions to Diversity, Equity and Inclusion Statements for promotion and tenure, 2) discussing, researching and proposing a UCSB opt out Stop the Clock policy for faculty during the time of COVID-19, 3) building liaisons with new Faculty Equity Advisors, 4) building more open lines of communication with Student Affairs, 5) reviewing systemwide and divisional policy proposals and revisions, 6) continuing the second year of advertising, reviewing and awarding the Faculty Diversity award on campus as an Academic Senate award.

CDE discussed all of these topics at length and shared its recommendations with Academic Senate Chair Henning Bohn and incoming Chair-Elect Scott when appropriate. Topics and recommendations are briefly described below.

Reviews of Systemwide UC Issues

Systemwide Review of Proposed Presidential Policy on Native American Cultural Affiliation and Repatriation
In September, Chair Morgan Consoli asked members to review the Presidential Policy on Native American Cultural Affiliation and repatriation in preparation for an upcoming University Committee on Affirmative Action, Diversity and Equity discussion. The proposed revisions would vastly change and expand the existing policy. Members had questions including the availability of enough qualified people to serve in some of the specific positions; if spiritual leaders would volunteer their time; and if UC is the only university system with a policy like this.

UC and CSU Anti-Bias Training Program
This year, the two university systems held a UC and CSU Anti-Bias Training Pilot Program. Just Communities was selected to develop the training program. The training program was developed for four specific populations: faculty, senior administrators, students, and staff. Campuses chose 10 participants from each of these four populations to attend an in-person training at a designated location. Chair Morgan Consoli and members Cynthia Benelli and Laurie Freeman attended the training
over March 8-10 in Northridge. Member Freeman thought that there were some useful pieces but that some of the material was not always cohesive. Chair Morgan Consoli thought that this version was more interactive than the pre-pilot version she attended in December with ex-officio member, Ricardo Alcaíno, and that they did a good job making the training non-threatening and applicable to faculty. There were concerns, however, that there seemed to be data collection happening for a research project, but none remembered signing a waiver allowing for this. They provided feedback in their own evaluations.

**Report of the Working Group on Comprehensive Access**
In February, CDE discussed the Report of the Working Group on Comprehensive Access. The Working Group was charged with developing recommendations for UC’s collaborations with other health systems. The Working Group was divided, and two options were presented. CDE members expressed that this is an extremely complex matter and that there will be issues of access for different people no matter which option UC chooses. After much discussion, members agreed that they supported option #2, prohibiting affiliations with non-UC entities that prohibit certain services. It was felt that UC should stand on its own values. Members also expressed that for too long, UC has provided funding, research and training to these healthcare facilities, which has allowed their influence to grow across the state. Members hoped that UC would take a thoughtful look at the scope of damage this may cause to existing medical services, especially for UC faculty, staff and students, and consider a phase-out of some of these affiliations instead of cutting the cord immediately.

**Report of the Academic Council’s Standardized Testing Task Force**
In February, CDE discussed the Report of the Academic Council’s Standardized Testing Task Force, which analyzed UC’s use of standardized test scores for undergraduate admissions. The Committee felt that the most persuasive arguments in the report centered on the ways in which the ACT/SAT legitimize inequality, and how the University of California has supported and promoted systemic discrimination by continuing to use them. Most members were in support of removing the test scores as an admission requirement, and wanted to encourage UC to find a more timely solution other than the current nine-year timeframe to create its own test and expand the Eligibility in Local Context (ELC) program, which only considers high school grades for admission. Academic Chair Bhavnani was present at this meeting and provided additional insights for the members.

**BOARS Recommendation to Eliminate the ACT-SAT Essay Requirement**
In February, CDE reviewed the BOARS Recommendation to Eliminate the ACT-SAT Essay Requirement. Members agreed that if the exam is not being utilized for any admission purposes, and since there has been much controversy around the “test-fairness” with regard to diverse populations, then there is no reason to require it. CDE supported the elimination of this requirement.

**Proposed Presidential Policy: Gender Recognition and Lived Name**
In April, CDE reviewed the proposed Presidential Policy on Gender Recognition and Lived Name, which would expand the gender options on university documents and systems. The majority of members fully supported this proposal, while a couple of members questioned the necessity and purpose of collecting such data.

**Reviews of Campus Issues**

**Faculty Diversity Award**
Over fall and winter quarters, CDE prepared to award the second annual Faculty Diversity Award. The Committee reviewed and revised accordingly the guidelines and scoring rubric. The number of nominee packets received was much less than last year, so members discussed ways to increase publicity next year. The selection committee, comprised of CDE members and last year’s award winner, met in March to select the recipient. The 2020 Faculty Diversity Award was awarded to Kip Fulbeck, Professor in the Department of Art, at the April 30 Faculty Legislature meeting.

Consultation with Executive Vice Chancellor
In October, CDE met with Executive Vice Chancellor David Marshall to discuss the Faculty Equity Advisor (FEA) program. Members had many questions they wanted the EVC to address, including what the overall vision of the FEA program is, what training looks like, and how the FEAs will interact with department equity committees.

EVC Marshall first presented an overview of diversity activities and initiatives in Academic Affairs, including diversity research, extramural funding and grant proposals for diversity initiatives, training, Faculty Diversity Enrichment Awards, and UC Advancing Faculty Diversity Grants. The EVC then explained the history of the FEA program at UCSB. FEAs were envisioned as faculty who would work in the Dean’s office; faculty recruitment would be core of the position. The AVC would be an important convener of the group. The EVC consulted with the Academic Senate last year about Diversity, Equity, and Inclusion Statements. Over this past summer, some constituents, such as Deans and the Chancellor’s Advisory Committee on the Status of Women, made it known that they thought the FEAs should have Associate Dean titles.

The Associate Dean Faculty Equity Advisors were appointed on July 1, 2019. Each college/school/division has one FEA. Deans have the ability to set priorities for their FEA. FEAs were tasked this year to look at including Contribution to Diversity Statements in faculty job applications. The Gevirtz Graduate School of Education agreed to be a pilot program for requiring these statements this year. The program will be assessed at the end of this first year, with the hope of reviewing annually to see what is or is not working. The FEAs have been meeting regularly to be trained, learn best practices, and/or discuss how the program should move forward.

Members had a variety of questions for the EVC, including the possibility of making diversity training mandatory for departments, how CDE could interact with the FEAs, and how the program is being introduced to campus. The EVC assured the CDE they would be involved with the FEAs.

Report of ESCI Ad Hoc Committee
In November, CDE reviewed the Report of the ESCI Ad Hoc Committee. Members wanted the discriminatory and inequitable aspects that have been found in student evaluations (scoring women and underrepresented minority faculty lower) to be highlighted further and more explicitly. Some felt quicker action on removing ESCIs from consideration in personnel reviews is needed. Finally, one member also had deep concerns about the lack of a statistician on the ad hoc committee. It was suggested that the ad hoc committee recruit a statistician.

Report of the Ad Hoc Committee on Online Course Evaluations
In November, CDE discussed the Report of the Ad Hoc Committee on Online Course Evaluations, which was tasked with reassessing the possibility of an online system for course evaluations. Members had concerns about the low response rates in departments currently using online evaluations, accessibility
issues, and the use of incentives. Overall, CDE supported moving the campus to online course evaluations, as long as low response rates and accessibility are meaningfully addressed.

**Consultations with Associate Dean Faculty Equity Advisors**

In December, CDE was joined by three of the Associate Dean Faculty Equity Advisors: Sarah Anderson from the Bren School, Julie Carlson from the Humanities and Fine Arts Division and the Department of English, and Joan-Emma Shea from the Math, Life, and Physical Sciences Division and the Departments of Chemistry and Physics. The FEAs have been meeting every other week and their main focus in the first year is the faculty hiring process, and how best to engage with department search committees from the beginning to end. FEAs are trying to meet with all search committees to make themselves available as a resource. They have created best practices checklists for each step of the process. FEAs from different divisions are focusing on different things; those in smaller divisions with less faculty searches are beginning to dabble with student and staff climate issues. The FEAs are in flux due to there being no Vice Chancellor of Diversity, Equity and Inclusion and no interim until one is hired. Another issue they would like to work on is faculty retention. This is difficult to study as there really is no available data to review. Members and the FEAs discussed issues that CDE and the FEAs could collaborate on, such as improving APM 210 and faculty diversity statements, receiving Academic Program Review and Academic Personnel data, and liaising with each other’s groups on a regular basis.

**Priority Registration**

Winter quarter Associate Vice Chancellor for Undergraduate Education Jeffrey Stopple joined CDE to discuss inequities with undergraduate priority registration. AVC Stopple shared data showing that first-generation and underrepresented minority (URM) students are less likely to be a part of the two largest groups of students that receive priority registration, honors program and Disabled Students Program (DSP). It is a perk now abused by some students who only want to be a part of honors or DSP in order to have priority registration. AVC Stopple wants to propose eliminating all honors students from priority registration (which includes College of Letters & Science honors, College of Engineering honors, all College of Creative Studies students, and Regents Scholars) and some DSP accommodations. There are already plans to change the way that incoming students can use units earned through tests (like Advanced Placement) to have earlier pass times. AVC Stopple has met with the Undergraduate Council and it is supportive of a change. CDE awaits a draft proposal to review.

**APM 210d/ Red Binder I-75**

Winter and spring quarters CDE worked with Committee on Academic Personnel Chair Dana Mastro to suggest revised, more clear and instructive language for faculty including an APM 210d statement in their review files. At UCSB, this is Red Binder Section 1-75-VIII, “Self-Assessment of Contributions to Advancing Diversity, Equity, and Inclusion (“Diversity Statement”). CDE and CAP Chair Mastro met in March to discuss ideas for additional language. CDE members thought that coming up with recommendations for Deans and Chairs, possibly as a set of guidelines, could provide some guidance to departments. Members also agreed that standardization is a critical missing piece, and asked if Divisional Chair Bohn could speak with Academic Personnel about why they say that UCSB cannot require diversity statements. CAP preferred all language regarding APM 210 be in one place.

The new wording was sent to Divisional Chair Henning Bohn and AVC of Academic Personnel Alison Butler for review and approval and subsequent inclusion in the UCSB Red Binder.

**All Gender Restroom Policy Drafting Committee**
Member Laurie Freeman represented CDE on the campus All Gender Restroom Policy Drafting Committee, which was looking at campus policies around gender-neutral bathrooms. There is a desire on the UCSB campus to develop a more robust gender-neutral restroom policy, create more single use bathrooms in buildings, and ensure that new buildings have equal access restrooms. The committee worked on the draft policy, an FAQ, and testimonials. Members asked if they could see the final version of the policy when it is ready. The policy will be distributed widely for comment in the fall.

Consultations with Student Affairs
CDE invited leaders from the Division of Student Affairs to two CDE meetings this year.

In January, Assistant Vice Chancellor and Dean of Student Life Katya Armistead, Coordinator of Equity & Inclusion in the Office of the Dean of Students Enn Burke, and Director of LGBT Resources Craig Leets, joined CDE to discuss some of the diversity initiatives and resources that the Office of Student Life provides. Members learned about the initiatives the Resource Center for Sexual and Gender Diversity (RCSGD) has for students, faculty and staff, and the projects that the Coordinator of Equity and Inclusion works on. Members discussed with the guests how faculty could navigate Student Affairs, if an orientation for new faculty would be helpful, and that hopefully the new Vice Chancellor for Diversity, Equity and Inclusion, when hired, would be able to pull some of the many areas working on diversity issues on campus together.

In May, AVC Armistead and Coordinator Burke returned to discuss with CDE initiatives that Student Affairs has undertaken in response to COVID-19. Students faced a host of challenges, including not having access to technology needed for remote learning, poor home environments, and basic needs insecurity. Undocumented students were not eligible for CARES Act funding. Queer and LGBTQ+ could not access affirming services and may be living with family they are not out to. Suggestions for ways that faculty could help were to keep workload expectations realistic, understand that students feel overwhelmed, and to give positive feedback. Members also discussed ways they are being innovative and flexible with their curriculum.

Stop the Clock Opt Out Recommendations
CDE was alerted by Ex Officio member Ricardo Alcaíno that other UC campuses were requesting opt out Stop the Clock policies for their junior faculty. Currently, an assistant professor can “stop the clock” two times; a request for a third has to be submitted to and approved by the UC Provost. Other universities were granting blanket exceptions, and professional associations were recommending this course of action. The pandemic’s effect on junior faculty productivity will have a disproportionate effect on some populations (specifically women and faculty of color), and some departments are not accepting of the current tenure clock extension policies. Chair Morgan Consoli consulted with the Faculty Equity Advisors, who were also composing a recommendation in this area. The Committee wrote a memo suggesting research and evidence in support of granting automatic tenure clock extensions, and mentioned the endorsement of the FEAs in the letter.

COVID-19 Pandemic
Spring quarter, CDE discussed consequences of the COVID-19 pandemic over multiple meetings. Topics included:

- Academic quality concerns if summer and fall quarter must also be remote.
- Student issues, such as insufficient WiFi access, bad home environments, student mental health, the need for more TA resources, food and housing insecurity, and interruptions to doctoral funding and time-to-degree.
Diversity and equity issues, which included the stop the clock policy concerns, interruptions to attempts to diversify faculty, and potential budget impacts.

Search for Vice Chancellor for Diversity, Equity and Inclusion
CDE participated in the search for the Vice Chancellor for Diversity, Equity and Inclusion. Chair Morgan Consoli had conversations with the search firm, and CDE members participated in the interview process with the four final candidates. At this time CDE is waiting to hear the Chancellor’s view on recommended applicants.

Institutional Racism Letter
Post spring quarter, some CDE members authored and signed a letter that was sent to Senate Chair Bohn and Chair-Elect Scott encouraging proactive steps that the campus should take to combat institutional racism, in the context of current racial injustice protests and call for action around the nation.

CDE Chair Work
Chair Morgan Consoli was involved with numerous campus initiatives, which supported the work of the committee:
- Served as the UCSB representative on the systemwide University Committee on Affirmative Action, Diversity and Equity
- Served on hiring committees for the Student Affairs position of Director of Women, Gender and Sexual Equity
- Met with the Associate Dean Faculty Equity Advisors, Student Affairs leaders, and other campus constituents working with diversity and equity issues
- Served on the UCSB Action Collaborative taskforce
- Served on the Academic Senate Executive Council

Pending Issues for CDE in 2020-21
- Continuing discussions about training for faculty hiring committees, as well as sensitivity training for faculty
- Continuing to expand collaboration with other campus entities doing diversity work, hopefully under the organization of a new AVC for DEI
- Possibly collaborating with Undergraduate and Graduate Councils to work on retention of URM students
- Discussing the creation of an African Center
- Inviting the new director of Black Student Development to meet with CDE
- Reviewing current policies and seeing what updates should be made to be inclusive of all groups
- Reviewing effects of likely reduction of staff support for faculty and student

Members 2019-20
Melissa Morgan Consoli, Chair, UCAADE Rep
Associate Professor, Counseling, Clinical & School Psychology

Bjorn Birnir
Professor, Mathematics

Miroslava Chavez-Garcia
Professor, History

Mhaze Chikwero
Associate Professor, History

Laurie Freeman
Associate Professor, Political Science

Philip Lubin
Professor, Physics

Jason Marden
Associate Professor, Electrical & Computer Engineering
Cynthia Benelli, Non-Senate Economics
Academic Rep

Ricardo Alcaino, Ex-Officio Director, Equal Opportunity & Discrimination Prevention Office

Ariana Alvarez, Ex-Officio Director, Title IX & Sexual Harassment Policy Compliance Office

Paulina Ramirez Niembro, GSA Rep

Jocelyn Tapia, Undergraduate Student Rep

Kelly Rivera, Advisor
To the Faculty Legislature, Santa Barbara Division:

The Committee on International Education (CIE) held nine regularly scheduled meetings during the academic year and consulted with relevant campus administrators regarding issues within its purview.

**EXECUTIVE SUMMARY**

As per the Academic Senate bylaws, the purpose of CIE is “to provide advice and consent on all matters of international education and exchange, including practices that impact exchange students and scholars.”

_During the 2019-2020 academic year, CIE:_

- Provided review of Memorandums of Understanding with international institutions.
- Prepared for survey presentation of international undergraduate students results and biennial workshop.
  - Analysis of the results were distributed in Winter 2020. Reviewed systemwide policy concerning UC international activities.
- Consulted with administration as needed including:
  - Simran Singh (Director, Office of International Students)
  - Leesa Beck (Registrar)
  - Juan Campo (Director, UCSB Education Abroad Program)
  - David Marshall (Executive Vice Chancellor)
  - Lisa Przekop (Director, Office of Admissions)
  - Tricia Rascon (Director of Orientation Programs & Parent Services)
International Agreements

1. Memorandum of Understanding between UCSB and the Max Planck Institutes for Empirical Aesthetics, for Psycholinguistics and for Human Development

   CIE reviewed and endorsed the MOU. However, the committee recommended MOU include explicit information regarding any funding obligations that it may incur.

2. CIE Response to the Memorandum of Understanding between UCSB and the Tohoku University Graduate School of Science

   CIE reviewed and endorsed the MOU between UCSB and the Tohoku University Graduate School of Science.

3. MOU between UCSB and the University of Newcastle and Automation and Control Global Research Network

   CIE endorsed the proposed MOU between UCSB and the University of Newcastle and Automation and Control Global Research Network. CIE noted that, due to the multilateral nature of this agreement, it is unclear how individual collaborations and exchanges between the various institutions named within the MOU would be arranged. CIE suggested that this be clarified within the MOU, and endorsed with the understanding that any such arrangements will be negotiated via appropriate campus channels.

Survey of International Undergraduate Students and CIE Workshop

Last year, CIE conducted its 5th biennial survey of international undergraduate students between May and June 2019. The survey was commissioned by the Academic Senate, carried out by the Office of Budget and Planning, Institutional Research, Planning & Assessment (IRPA), with support from the Office of the Executive Vice Chancellor. The online questionnaire was distributed via email to undergraduate international students, of which 461 completed the survey, resulting in a final response rate of 21.8%. The survey results were analyzed by a graduate student in the Statistics and Applied Probability Department and further comparative analysis continued over the summer.

In February 2020, CIE began preparations for the biennial CIE Workshop. The committee had planned to present on the results of the survey.

*Three leading factors that correlated with satisfaction in overall social experience:*

1. Opportunities to make friends, meet people from a different country, and to make friends with American students
2. Overall academic experience
3. Satisfaction with help received to develop English language proficiency.
There were four top factors that correlated with satisfaction in overall academic experience:

1. Overall social experience
2. Opportunities to make friends, meet people from a different country, and to make friends with American students
3. Effectiveness of UCSB communicating information and guidance about academic standards, expectations of a US research University
4. Overall sense of being a valued member of the UCSB community.

CIE was unable to present the results and the CIE Workshop (expected to take place in April 2020) was cancelled due to the COVID-19 crisis.

Information Items

- Report of the Ad Hoc Committee on Online Course Evaluations
- BOARS Recommendation to Eliminate the ACT-SAT Essay Requirement
- UCIE internationalization memo

Local Issues

1. Evaluation System for Courses and Instruction (ESCI)

   The Committee found the Report of the ESCI Ad Hoc Committee to be comprehensive and well documented. While the Ad Hoc Committee’s report addressed inherent biases against certain groups of instructors, CIE felt that it did not explicitly consider biases that arise from differences in English language proficiency or nationality. These biases may negatively affect international faculty members or international students in instructional roles. Therefore, it seemed valuable to consider concerns that are specific to this population when considering a potential redesign of the instructional evaluation process. It may also be important to recognize cross-cultural differences in the way students perceive the evaluation process.

   International students seem to have a different view on student-teacher relationships which is often manifested in different (i.e., more formal and impersonal) styles of communication. These views may also manifest within the teaching evaluation process. CIE believed improved guidance for students regarding the nature of the teaching evaluation process, and suggested that a brief discussion of UCSB’s expectations about teaching evaluations within the student orientation programs provided by the Office of International Students and Scholars (OISS) be included.

2. CIE Response to the Internationalization Memo

   CIE reviewed the Internationalization Memo: Recognizing International Activities as Part of the Merit, Tenure, and Promotion Process at the University of California. The proposal was prepared with input from UC Senior International Officers (SIOs) across all UC campuses, with the exception of UC Santa Barbara, which does not have an SIO. In response to the memo, the committee supported recognizing international activities as
part of merit, tenure, and promotion processes. In addition, the committee would also like to reiterate the importance of having an SIO to oversee internationalization efforts at UC Santa Barbara.

Systemwide Issues

3. **CIE Response to Systemwide Review of BOARS Recommendation to Eliminate the ACT/SAT Essay Requirement**

The committee reviewed and discussed the report on the Systemwide Review of BOARS Recommendation to Eliminate the ACT/SAT Essay Requirement. In response to the report, the committee felt that this should not affect international students and does not see issues arising due to other comprehensive assessments of international students such as Test of English as a Foreign Language (TOEFL), English Language Proficiency (ELP), and the Analytical Writing Placement Exam (AWPE).

4. **CIE Response to the Standardized Testing Task Force (STTF) Memo**

The Committee reviewed and discussed the report on the Standardized Testing Task Force (STTF). The committee found the report to be comprehensive and well-grounded in evidence. After consulting with the local admission office, the committee expressed that standardized testing played an important role in the admission of international students and in the assessment of the “Compare Favorably” policy required for nonresident domestic and international students admitted to a UC campus. The committee stressed that changes in the use of standardized testing will require a restructuring of admission policies for international students.

**Coordination with Administration**

*Simran Singh, Director, Office of International Students & Scholars (OISS)*

The Director of OISS is a frequent attendee of meetings and is a valuable resource to inform CIE of current OISS initiatives, as well as news and policies that relate to the international community on campus.

*Leesa Beck, Registrar, Office of the Registrar*

The Registrar was consulted for clarification on the proposal concerning student conduct and degree clearance.

*Juan Campo, Director, UCSB Education Abroad Program*

The Director of EAP is an ex officio member of the Committee and acts as a resource regarding information about EAP.

*David Marshall, Executive Vice Chancellor, UCSB*
The Office of the Executive Vice Chancellor provided continued support for CIE’s biennial survey of international undergraduate students. CIE worked with EVC Marshall to add several new questions to the survey for 2019.

Lisa Przekop, Director, UCSB Office of Admissions

The Director was consulted regarding admissions procedures for international students and methods for testing English proficiency for international students.

Tricia Rascon, Director of Orientation Programs & Parent Services

The Director was consulted regarding orientation programs and procedures for international students, with particular attention to the registration process and programs to help inform students about the standards for academic integrity at UCSB.

**Carry-over Issues and Future Initiatives**

- Responses to results and committee recommendations for Survey for 2020-21
- Addressing COVID-19 impacts International Students
- Campus resources for international students
- Preparation for Biennial International Student Survey, including COVID-19 related impacts to questions.
- Monitor needs of international scholars and visiting faculty

**MEMBERS:**

Javier A. Birchenall, Chair and UCIE Representative
Maurizia Boscagli
Erika D. Felix
Werner Kuhn
Cyrus Safinya
Spencer Smith
Candace Waid
Thomas Weimbs
Haochen Long, Undergraduate Student Rep
Juan E. Campo, EAP Campus Director, Ex Officio
Marsha G. Bankston, Associate Registrar, Consultant
Cristina M. Carney, OISS, Consultant
Sara A. Cook, Assistant Registrar, Consultant
Simran Singh, OISS, Consultant
To the Faculty Legislature, Santa Barbara Division:

The Committee on Privilege and Tenure (P&T) considers grievances, disciplinary cases, and early termination cases. When called for, the Committee conducts hearings to determine fair and equitable outcomes on matters before it.

During 2019-20, P&T responded to four new grievances and continued processing two disciplinary cases initiated the previous year.

Along with the Charges Advisory Committee and the Charges Officer, P&T responded to recommendations from the University Task Force on Faculty Disciplinary Standards.

P&T Chair Eckart Meiburg represented UCSB on the University Committee on Privilege and Tenure.

2018-19 Members:
Risa Brainin
Nancy Collins
Kip Fulbeck
Barbara Harthorn
Matthew Potoski
Todd Squires
Richard Startz
Toshiro Tanimoto
Vesna Wallace
Eckart Meiburg, Chair
Committee on Rules, Jurisdiction and Elections  
Annual Report 2019-20

To the Faculty Legislature, Santa Barbara Division:

The Committee on Rules, Jurisdiction and Elections (RJE) provides clarification and interpretation of Senate legislation and Divisional procedures. It also exercises formal supervision over Senate elections and proposed modifications to the Senate manual, prior to action by the Faculty Legislature. Business is generally conducted via email. The committee and Senate staff processed the following proposals during 2019-20.

**Student Conduct-Degree Clearance Proposal**
RJE reviewed a revised proposal to add the language “the candidate shall be in compliance with Student Code of Conduct” to various Senate Regulations governing conferral of degrees. There had been some additional questions sent back and responded to by the initiator. RJE was in support of the proposed revisions to Senate Regulations 175A, 175B, 190, 200A, 200B, 200C, 225 and 255, but requested that the language be modified to “The candidate shall be in compliance with the UCSB Student Code of Conduct”. The Faculty Legislature approved the revisions at its meeting of January 9, 2020.

**Proposed Revisions to Bylaw 87 – Committee on Admissions, Enrollment and Relations with Schools**
RJE reviewed proposed revisions to the Committee on Admissions, Enrollment and Relations of Schools Bylaw 87. The revisions added an Athletics-Admissions Review Committee in response to a campus audit of Admissions. RJE approved of the language. The Faculty Legislature approved the additional language at its meeting of January 9, 2020.

**Guidance on Replacing Committee on Committee Members**
RJE was asked by the Senate Executive Director, on behalf of the Divisional Chair, to advise on a matter concerning membership of the Committee on Committee. The Committee on Committees (CoC) is composed of elected members. Bylaw 90.C.2 explains how CoC may replace CoC members in case of an “inability to complete the prescribed term of service”, but is silent on a procedure if a CoC member is on extended leave but does not wish to resign. After careful consultation, RJE recommended that CoC appoint a replacement member when a member is on an extended leave, in order to make the workload more manageable and ensure fair representation.

**Regulation 35**
RJE was asked by the Divisional Chair to assess Divisional Regulation 35, which imposes limitations on undergraduate students’ ability to take courses on a Passed/Not Passed (P/NP) basis. Due to the COVID-19 pandemic, many universities, including other UC campuses, were waiving P/NP restrictions for the spring term. Undergraduate Council reviewed the P/NP restrictions and concluded that one-time waivers of the 7th week deadline and major limitations on P/NP graded courses should be implemented. RJE agreed that Undergraduate Council could implement these one-time waivers. RJE did, however, suggest that a formalized set of rules be drawn up for emergency situations in the future.

**College of Engineering – Proposal to Modify Senate Regulation 235A2 (Quarterly Honors)**
RJE reviewed a proposal from the College of Engineering to modify Senate Regulation 235.A.2, governing their quarterly honors. The proposal would increase the GPA requirement from 3.50 to 3.75. RJE approved of the revised language. The Faculty Legislature approved the revision at its meeting of April 30, 2020.
Senate Manual Revisions
RJE held two meetings with the Senate staff policy workgroup to discuss a wide array of potential revisions to Senate Bylaws and Regulations. The policy workgroup has been tasked with a thorough review of the Divisional Senate Manual, which has not been updated in quite some time. RJE was presented with many editorial and conforming changes that they approved, along with some more substantive changes. Some Bylaw revisions were to be sent to Faculty Legislature for final approval, and some would continue to be worked on throughout the following year.

Proposed Revisions to Divisional Bylaws 15, 20 and 105
Based on the Senate Manual revision meetings, RJE put forward revisions to three Divisional Bylaws: 15 - Chair, 20 - Vice Chair, and 105 - Faculty Code of Conduct Charges Officer. The revisions reflected current Senate practice and consistency with systemwide Bylaws. The revisions were presented to Faculty Legislature at its meeting of June 11, 2020, and approved.

2019-20 Divisional Election
In consultation with RJE, the Academic Senate Office conducted its annual nomination process in an effort to seek candidates for the election of one Academic Senate Divisional Chair, three Senate Assembly Representatives, and four members of the Committee on Committees.

Divisional Chair
A total of five Senate members were nominated for the position of Divisional Chair; two nominations were declined. Three candidates accepted nomination and received the requisite five endorsements. A ballot was conducted over the period from February 19 through March 4, 2020, with the following results:

- **Eric Matthys** (Mechanical Engineering) – 13.91% (48 votes)
- **Susannah Scott** (Chemical Engineering) – 57.97% (200 votes)
- **Jianwen Su** (Computer Science) – 28.12% (97 votes)

Total Votes – 345 (26.34%)

Susannah Scott will serve as the next Divisional Chair.

Senate Assembly Representatives
A total of two Senate members were nominated for the position of Senate Assembly Representative; one nomination was declined. As there were three open positions, a ballot was not conducted. Isabel Bayrakdarian of Music received the requisite number of endorsements and was appointed to serve as Senate Assembly Representative. The Committee on Committee filled the remaining open positions.

Committee on Committees
A total of four Senate members were nominated to serve on the Committee on Committees; one candidate declined to accept. Three candidates were nominated, accepted the nomination, and received the requisite number of endorsements.
<table>
<thead>
<tr>
<th>Name</th>
<th>Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jean-Pierre Fouque</td>
<td>Area A: College of Letters and Science</td>
</tr>
<tr>
<td>(Statistics &amp; Applied Probability)</td>
<td>Mathematical, Life and Physical Sciences Division and Donald Bren School of Environmental Science and Management</td>
</tr>
<tr>
<td>Peter Sturman</td>
<td>Area C: College of Letters and Science</td>
</tr>
<tr>
<td>(History of Art and Architecture)</td>
<td>Humanities and Fine Arts Division and College of Creative Studies</td>
</tr>
<tr>
<td>Linda Petzold</td>
<td>Area D: College of Engineering</td>
</tr>
<tr>
<td>(Mechanical Engineering)</td>
<td></td>
</tr>
</tbody>
</table>

As there were no faculty nominations for the position in Area B (College of Letters and Science Social Sciences Division and Gevirtz Graduate School of Education), this position was filled by an appointment by the Committee on Committees.

**RJE Members, 2019-20**

- **Paul Leonardi, Chair**
  - Professor, Technology Management Program
- **Charles Akemann, Parliamentarian**
  - Professor, Mathematics
- **Simonetta Falasca-Zamponi**
  - Professor, Sociology
- **Ruth Hellier-Tinoco**
  - Professor, Music
- **Ross Melnick**
  - Associate Professor, Film & Media Studies
- **David Sherman**
  - Professor, Psychological & Brain Sciences
- **Kelly Rivera**
  - Advisor
To the Faculty Legislature, Santa Barbara Division:

Executive Summary

Per bylaw 60, the Council on Faculty Welfare, Academic Freedom, and Awards (CFW) is tasked with studying and making recommendations on any matter of faculty or broader campus community welfare and academic freedom, and rewarding excellence in research and teaching.

Highlights:

- CFW identified affordable, convenient, and quality childcare for faculty, as a priority for ongoing attention.
- The Committee on Academic Freedom discussed the definition of Academic Freedom and an executive order by President Trump.
- CFW subcommittees presented 14 awards in recognition of outstanding achievements in teaching, research, and mentorship. In their deliberations, subcommittees took into account issues of diversity and gender.

Council and Committee Meetings

CFW held nine regularly scheduled meetings during the academic year, with the last two meetings conducted via Zoom due to the COVID-19 pandemic. General issues and concerns are summarized below.

Systemwide Issues and Reviews

All system-wide issues CFW responded to are listed below. Issues that CFW reviewed but chose not to opine on are not included.

Draft Recommendations of the Task Force on Faculty Disciplinary Standards

CFW was largely supportive of efforts to increase uniformity and consistency across campuses in faculty disciplinary SVSH cases. Some members were pleased to see a general framework provided that still left campuses with the authority and flexibility to determine individual outcomes.

Proposed Revised APM 120 Emerita-Emeritus Titles

CFW members were overall supportive of proposed revisions to APM 120.

Proposed Revised Presidential Policy on Copyright Ownership

CFW members overall approved of the revisions to the Presidential Policy on Copyright Ownership.

Local Business

Revision of Powered Scooter Policy

CFW members generally endorsed the revisions. One member, however, pointed out that given the shortage of parking on campus and the difficulty for some faculty to get across campus, the revised policy should be more inclusive and open to alternative transportation options. Some members expressed interest in expanded flexibility for personally-owned scooters as compared to the shared, company-owned scooters. On page 3 of the revised document, at the end of Section II.3, a clearer definition of what constitutes ‘near University Property’ is needed.

Video Camera and Video Surveillance Policy
CFW members unanimously recommended faculty participation in the Video Camera Committee. The faculty representative should be a member of the Senate Committee on Information Technology. Members expressed a desire to see a map of existing cameras on campus. They had questions about who maintains the cameras, what the archival policy is for them, and how the program is funded.

**Report of ESCI Ad Hoc Committee**
CFW members agreed with the findings of the ESCI Ad Hoc Committee that ESCIs are not reliable assessments of teaching and changes are desirable. Members expressed confusion about what exactly ESCI is measuring and whether students understand the purpose of ESCIs. Members strongly disapproved of incentives suggested to increase participation. They wanted to see a clear definition of excellence in teaching. They agreed ESCIs should not be used in personnel cases and expressed interest in peer evaluations in teaching assessments.

**Proposed Automated License Plate Reader (ALPR) Policy**
CFW reviewed the proposal for automated license plate reader implementation. Members wanted more information about the functionality of the surveillance system and the overall cost.

**Report of the Ad Hoc Committee on Online Course Evaluations**
CFW Members agreed with the Committee that the move to online evaluations presents tremendous savings in paper use and staff time. However, they noted the irony in changing the delivery format of a course evaluations system that is already acknowledged to be flawed. Members discussed the value of deploying evaluations in class and agreed the deployment method has to be consistent. Response rates go way down and/or are taken less seriously online. Members suggested encouraging faculty to inform students, possibly by listing on the syllabus, when the evaluation is scheduled so they can plan to be in class.

**Childcare Access**
CFW identified childcare for faculty as a priority issue. The chair and analyst met with representatives from the Chancellor’s Advisory Task Force on Childcare; subsequently the chair joined the task force as a faculty liaison. Divisional Chair Bohn attended a CFW meeting to brief the council on the current childcare landscape. Since childcare is overseen by Student Affairs, Margaret Klawunn (Vice Chancellor for Student Affairs), Annette Muse (Early Childhood Care & Education Services Program Coordinator), and Jesse Rosenzweig (Early Childhood Care & Education Services Business Officer) attended a CFW meeting to discuss the campus childcare setup. Members unanimously endorsed the following measures:

a) Revisiting some of UCSB childcare centers’ current policies, especially the "first come first served" policy, and the priority given to siblings. The Council also noted the need to identify more precisely the community members (beyond faculty, staff, and students) who are being served by UCSB facilities.

b) Having Senate members on the board of the childcare facilities. Currently the program is administered by Student Affairs.

CFW members strongly support the allocation of temporary relief resources to Assistant Professors. This is a strategic factor when it comes to hiring faculty and is also important in retention cases. To be true to its commitment to families, it is critical for UCSB to provide affordable, quality childcare, not only for its untenured faculty, but also for its tenured faculty, staff, students, lecturers, and post-doctoral scholars.

CFW discussed additional potential mitigation strategies such as:

- the creation of an online bulletin board to help parents make cooperative arrangements with one another or connect with students who might be willing to provide emergency childcare services.
- the creation of break rooms for *general use* (not specifically for daycare) strategically placed around campus to allow nursing mothers to have their baby nearby, and where the baby and sitter can go when the parents are busy teaching, meeting with students, or working in their office.
- allocating the annual cost of preschool/infant care to Assistant Professors who have infants or toddlers to help them choose directly the services that suit best their priorities as parents and accommodate their work schedules, which might not necessarily include campus childcare options.
- planning new faculty housing projects with space set aside for childcare.
The majority of CFW members endorsed the proposal from the Chancellor's Advisory Task Force on Childcare for a new childcare facility as soon as possible.

Classroom Recording Policy
The members discussed the Classroom Recording Policy that their council drafted several years ago and has been under consideration by the Campus Regulations Committee for inclusion in the Student Code of Conduct. The Campus Regulations Committee raised questions regarding clarification for specific circumstances. Chair Skenazi solicited changes to the existing language at the end of Spring quarter, but the members did not think changes were necessary. This issue will be revisited in the 2020-21 year.

Committee on Academic Freedom
Statement on Academic Freedom
The University Committee on Academic Freedom proposed the adoption of a statement defining Academic Freedom with the goal of posting it to its website and disseminating it to individual campuses for inclusion in training, discussion, and syllabi. CFW reviewed this and made suggestions on a draft statement.

Executive Order on Combating Anti-Semitism
The Committee on Academic Freedom was approached by several faculty members about the Executive Order on Combating Anti-Semitism issued by President Donald Trump in December 2019. They expressed concern that the Order would have the effect of threatening free speech and academic freedom on UC campuses. The Order adopts a controversial redefinition of anti-Semitism from the International Holocaust Remembrance Alliance (IHRA) that has been criticized for conflating opposition to Israeli policies with anti-Semitism. The stated purpose of the Order is to “combat the rise of anti-Semitism and anti-Semitic incidents in the United States and around the world.” The Order, however, does not just target acts of anti-Semitism or discrimination based on religion or national origin but speech that some may construe as anti-Semitic. CFW issued a statement disavowing the Executive Order, noting that a similarly problematic definition of antisemitism had been previously rejected in 2016 by UC Regents Working Group on Principles Against Intolerance. The CFW statement was unanimously approved and sent to Divisional Chair Bohn, Chancellor Yang, and EVC Marshall.

Senate Awards
CFW made no significant changes to the awards guidelines this year. They recommended the establishment of best practices to provide guidance for, but not strictly govern, selection committee operations.

Four committees reviewed nomination packets for Academic Senate awards for research, teaching, and graduate student mentorship. The table below outlines the number of nominations for each award per academic year.

<table>
<thead>
<tr>
<th></th>
<th>DTA Senate</th>
<th>Non-Senate</th>
<th>DTA Total</th>
<th>OTA</th>
<th>FRL</th>
<th>GMA</th>
</tr>
</thead>
<tbody>
<tr>
<td>2019-20</td>
<td>15</td>
<td>2</td>
<td>17</td>
<td>32</td>
<td>10</td>
<td>14</td>
</tr>
<tr>
<td>2018-19</td>
<td>14</td>
<td>6</td>
<td>20</td>
<td>29</td>
<td>12</td>
<td>10</td>
</tr>
<tr>
<td>2017-18</td>
<td>13</td>
<td>6</td>
<td>19</td>
<td>36</td>
<td>13</td>
<td>12</td>
</tr>
<tr>
<td>2016-17</td>
<td>8</td>
<td>2</td>
<td>10</td>
<td>30</td>
<td>11</td>
<td>12</td>
</tr>
<tr>
<td>2015-16</td>
<td>15</td>
<td>5</td>
<td>20</td>
<td>33</td>
<td>17</td>
<td>18</td>
</tr>
<tr>
<td>2014-15</td>
<td>47</td>
<td>24</td>
<td>71</td>
<td>67</td>
<td>7</td>
<td>9</td>
</tr>
<tr>
<td>2013-14</td>
<td>39</td>
<td>22</td>
<td>61</td>
<td>64</td>
<td>7</td>
<td>10</td>
</tr>
</tbody>
</table>
The winners were announced at the Faculty Legislature meeting of April 30, 2020 (conducted via Zoom). They are as follows:

**Distinguished Teaching Award (DTA)** – Diba Mirza (Computer Science); Claudia Moser (History of Art and Architecture); Matt Rioux (Earth Science); Tyler Susko (Mechanical Engineering); Mike Wilton (Molecular, Cellular and Developmental Biology); Kay Young (English)

**Outstanding Teaching Assistant Award (OTA)** – An Bui (Ecology, Evolution, and Marine Biology); Jordan Tudisco (Comparative Literature); Daniel Martini (Comparative Literature); Stephenson Brooks Whitestone (Communication)

**Graduate Mentor Award (GMA)** – Jin Sook Lee (Education); Thuc-Quyen Nguyen (Chemistry and Biochemistry); Stuart Sweeney (Geography)

**Faculty Research Lecturer (FRL)** – Alison Butler (Chemistry and Biochemistry)

**Carry-Over Issues**

Classroom Recording Policy
Council Members
Craig A. Carlson
Leila Carvalho
Sarah Cline
Leda Cosmides, UCAF Representative
Michael Furlong
Krzysztof W. Janowicz
Hunter Lenihan, UCAF Representative
William Patrick McCray
Yukari Okamoto
Cheng-Zhong Qin
William Robinson
Denise A. Segura, Vice Chair
Ziad Matni, Non-Senate Academic Representative
Raphael Chinchilla, GSA Rep
Casey Hankey, Advisor
Cynthia Skenazi, Chair, UCFW Representative

Committee on Academic Freedom
Krzysztof Janowicz
Hunter Lenihan, UCAF Representative
Leda Cosmides, Chair, UCAF Representative

Award Committee Membership

Outstanding Teaching Assistant
Tamara Afifi, Grad Council Rep (Communication)
Craig Carlson, CFW Rep (Ecology, Evolution and Marine Biology)
Andres Consoli, Grad Council Rep (Counseling, Clinical & School Psychology)
Olga Faccani, 18-19 recipient (Classics)
Ashlee Kalauli, 18-19 recipient (Mathematics)
Yukari Okamoto, Chair & CFW Rep (Education)

Outstanding Graduate Mentor Award
Silvia Bermudez, 18-19 recipient (Spanish & Portuguese)
Heather Blurton, Grad Council Rep (English)
Karen Nylund-Gibson, 18-19 recipient (Education)
Mark Rodwell, Grad Council Rep (Electrical & Computer Engineering)
Susanne Stemmer, 18-19 recipient (Materials)
Cheng Zong Qin, Chair & CFW Rep (Economics)

Distinguished Teaching Award
Felice Blake, 16-17 recipient (English)
Randi Browning, 18-19 recipient – non-Senate (Writing Program)
Allison Horst, 18-19 recipient – non-Senate (Environmental Science & Management)
Joe McFadden, 17-18 recipient (Geography)
Scott Price, 17-18 recipient – non-Senate (Chemistry)
Heather Royer, 18-19 recipient (Economics)
Denise Segura, Chair & CFW Rep (Sociology)

Faculty Research Lecturer
Nelson Lichtenstein (History) (18-19 recipient)
Patrick McCray, CFW rep (History)
Linda Putnam, 14-15 recipient (Communication)
Chuck Samuel, 16-17 recipient (Molecular, Cellular, and Developmental Biology)
Denise Segura, CFW rep (Sociology)
Cynthia Skenazi, CFW rep (French and Italian)
John Tooby, 11-12 recipient (Anthropology)
Umesh Mishra, Chair & 17-18 recipient (Electrical and Computer Engineering)
Purpose of the Council: To initiate, coordinate and implement academic planning that promotes the quality and diversity of the academic experience; provide advice on the campus budget, capital planning and allocations of resources and space.

Highlights: Council

- participated in the academic program review of six academic units;
- studied FTE plans from each department and college/division, met with the Deans about their unit’s FTE needs, and made recommendations to the Executive Vice Chancellor about new FTE allocations;
- reviewed several campus-specific proposals, including proposals to establish new centers and new degree programs;
- considered nineteen requests for Academic search waivers and two requests for an inter-departmental FTE transfer;
- reviewed four proposals to establish endowed chairs;
- sought to understand relations among its primary focus, Academic Affairs, and the division of Administration as that affects academic activities, and to improve the exchange of information and ideas;
- met with Design, Facilities & Safety Services (DFSS) and Facilities Management (FM) to understand and improve relations between academic planning and facilities maintenance and renovation;
- pursued comprehensive permanent faculty FTE accounting over multiple years
- clarified criteria used to evaluate exceptions to existing search allocations, for use in departmental planning; and
- sought to reconnect planning to budgeting by increasing the availability and circulation of budget data.
I. Overview

The Council on Planning & Budget (CPB) met for 23 regularly scheduled sessions (six in fall, seven in winter, and ten in spring). Spring quarter meetings were held on Zoom because of COVID-19.

CPB’s agendas typically included the following items:
- Academic program reviews
- Review of campus issues (proposed centers, policies, procedures, reports, etc.)
- Review of systemwide issues (reports, proposals, etc.)
- Review of departmental and college/division FTE plans
- Consultations with Deans and other University administrators
- Requests for faculty recruitment Search Waivers
- Endowed chair proposals

CPB engages with longer-term structural and policy issues that concern academic affairs and its relations to other sectors of the University. This year’s efforts will be described below. We note that Academic Affairs is directly affected by operations in Administrative Services, Institutional Development, and Student Affairs. Council structure, with its three main Committees, reflects its members’ aim to see the campus as a whole, and to improve understanding, communication, and collaboration between Academic Affairs and adjacent divisions for the mutual benefit of all.

II. Academic Program Reviews

CPB participated in the academic program review of six academic units:

1. Department of Communication
2. Joint Review:
   - Comparative Literature Program
   - Department of Germanic & Slavic Studies
   - Department of French & Italian
3. Department of Mathematics
4. Department of Statistics & Applied Probability

Initial reviews of these units were first conducted by CPB’s respective area subcommittee: Humanities & Fine Arts / Creative Studies (Comparative Literature; Germanic & Slavic Studies; and French & Italian); Social Sciences (Communication); and Mathematical, Life, & Physical Sciences / Bren (Mathematics and Statistics & Applied Probability). There were no academic program reviews in Engineering. As per the review procedures, in fall quarter CPB studied the data notebooks and submitted a list of suggested questions to the Program Review Panel (PRP) for consideration by the respective External Review Committee (ERC). During winter quarter, the CPB chair (or designate) attended a luncheon with the External Review Committee. In spring quarter, CPB reviewed each of the External Review Committee (ERC) reports and department responses and provided further comments to the Program Review Panel (PRP).
In addition to the specific commentary provided in each of CPB’s memos, Council members noted two recurring issues: patterns of racial and gender bias (in some of the reviewed departments) that will require sustained attention and oversight; and acute resource shortages that are undermining instructional quality and putting research ambitions at risk (in all of the reviewed departments).

The Academic Senate was asked by the Executive Vice Chancellor to provide recommendations for the review by PRP in 2021-22. CPB’s recommendations were based on the length of time since the last review and consisted of: Computer Science; East Asian Languages & Cultural Studies; Music; Environmental Studies; and Anthropology. As a lower priority, CPB also suggested that Film & Media Studies and Sociology be considered for a review.

The five academic units that were ultimately chosen for review were:

<table>
<thead>
<tr>
<th>Department / Unit</th>
<th>Last Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anthropology</td>
<td>2011-12</td>
</tr>
<tr>
<td>Computer Science</td>
<td>2010-11</td>
</tr>
<tr>
<td>East Asian Languages &amp; Cultural Studies</td>
<td>2010-11</td>
</tr>
<tr>
<td>Environmental Studies</td>
<td>2011-12</td>
</tr>
<tr>
<td>Music</td>
<td>2010-11</td>
</tr>
</tbody>
</table>

Five units had previously been selected for review in 2020-21: Chemistry & Biochemistry; Computer Engineering; Economics; Linguistics; and Philosophy.

III. Academic Search Waivers and FTE Transfers

The EVC authorized 25 new searches for 2019-20 across campus. This number was in addition to 46 searches carried forward, although not all carryforwards were active. We estimate that 41 searches were conducted in 2019-20, not counting the search waivers that came in during the course of the year.

CPB reviewed 19 requests for search waivers from the following units:
- Bren
- Chemistry & Biochemistry
- Chicana & Chicano Studies
- Computer Science
- Counseling, Clinical, & School Psychology (CCSP)
- Earth Science
- Ecology, Evolution, & Marine Biology (EEMB)
- Economics
- Education
- English
- Environmental Studies
- Film & Media Studies
- Geography
- Mathematics
- Philosophy
Of these, eight were for partner hires, eight were for exceptional opportunities, and three were for Presidential Postdoctoral Fellows (PPFs). CPB also reviewed two requests to make an additional hire from an open search. CPB followed the guidance of the Policy on Open Recruitment (*UCSB Academic Personnel Policies & Procedures, Section VII-1-III*) in making its recommendations to the EVC. CPB offered either a full or qualified endorsement in 17 cases and withheld support for two requests.

In addition, CPB supported the following requests to permanently transfer FTEs:
- 0.50 FTE transfer from Black Studies to English
- 0.50 FTE transfer from English to Global Studies

CPB endorsed the requests with the understanding that these FTEs would revert to the original Dean upon the sitting professor’s retirement/separation.

Although not all search waivers will result in hires, CPB notes that a fairly high proportion of hires originate outside of the planning process. These exceptions should be carefully monitored as a matter that can affect the shape and quality of the UCSB faculty.

**IV. Review of Endowed Chair Proposals**

In accordance with UCSB’s *Policy on Endowed Chairs* (Section VIII-11 of UCSB’s Academic Personnel Policies & Procedures, “Red Binder”), CPB was consulted on endowed chair proposals, regarding the appropriateness of the proposed subject areas and the conformity with the academic mission of our campus. Council received requests for four endowed chair proposals and submitted final recommendations to the Executive Vice Chancellor via the Office of Academic Personnel.

1. **Arnhold Director of Performance in Theater & Dance**: This position will be endowed by a $1 million gift to establish an administrative chair to be attached to the department’s Director of Performance. The Director will work “... with faculty and students in dance, theater, and design to formulate the department's schedule of performances,” and play a “key role in devising the design and production budgets of each show.”

2. **Sorensen Director of Choral Music**: The Chair will be endowed through a pledged gift from Stephen Sorensen in the amount of $1 million (paid in full by 2024) to create an administrative chair to help realize the research, teaching, and programmatic mission of the Music Department.

3. **Vimalnath Endowed Chair in Jain Studies**: The *Bhagvan Vimalnath Endowed Chair in Jain Studies*, a true endowment, will be established through an irrevocable three-year pledge of $1,000,000 to the UC Santa Barbara Foundation. The primary purpose of the Chair is to support the research, teaching, and programmatic activities of an appointed faculty member in Jain and South Asian Studies in the Department of Religious Studies,
and it will serve as a permanent tool to ensure strong faculty in the department by attracting and retaining top scholars.

4. **Zimmer Chair in the Gevirtz Graduate School of Education:** This position will be endowed by a $1 million gift to establish an administrative chair to be attached to the Dean of GGSE “…to further the mission and excellence of the Gevirtz School by allowing the incumbent to make strategic investments in research, teaching, and public service, as well as the flexibility to address the School’s most important needs and opportunities.”

V. Campus Issues

The Council on Planning & Budget participated in reviews of the following campus issues during the 2019-20 academic year.

**FTE Planning**

The Council on Planning & Budget was consulted by the Executive Vice Chancellor for its recommendations on academic positions ("FTEs" = Full-Time Equivalent appointments). The EVC’s call for academic FTE plans was sent to the Deans in November, and it included FTE templates that called for requested authorizations to recruit new faculty during the upcoming recruitment cycle. CPB consulted with Deans during the winter and early spring quarters.

In the midst of CPB’s review, the campus budget was severely affected by the COVID-19 pandemic, which added much uncertainty to the planning process. A stay-at-home order in mid-March prevented in-person meetings for the rest of the academic year, although meetings continued virtually through Zoom. In April, the EVC asked Deans to revise their FTE plans in light of the current conditions. CPB received updated FTE plans in May, and it was understood that previously-authorized, unfilled positions were no longer guaranteed.

CPB spent a great deal of time in spring quarter deliberating over the Deans’ and departmental FTE plans. To the extent possible, CPB took into account additional information concerning separations, retirements, or other events that may have taken place since department plans were submitted at the end of February.

CPB provided the EVC with its final FTE recommendations in early July, which included feedback and considerations for future years.

It should be noted that CPB renewed its periodic efforts to obtain systemic academic budget information as the appropriate context in which to conduct FTE planning. Council seeks to link the two halves of its planning-and-budget purview. Early in the year, the current Chair and Immediate Past Chair visited Institutional Research in order to see whether their new Tableau-based system would allow us to get department and division-level budgetary data to use as context for our FTE assessments. The Tableau system has user-friendly data about student enrollments and movements. It does not have budgetary data, and the online Planning Data Book ([http://bap.ucsb.edu/institutional.research/planning.data.book/tables/](http://bap.ucsb.edu/institutional.research/planning.data.book/tables/)) stops with 2016-17. This basic budgetary data resource should be available to CPB and other planning
bodies on campus, where financial data is integrated with enrollment and other data. We strongly urge that this problem be fixed for the 2020-21 year.

Each Dean does bring enrollment as well as some limited budgetary information to CPB during their regular visits. We can review teaching loads by department, see comparative FTE growth patterns, and the like. With some Divisions, we are shown individual budget categories in isolation. Usually these categories tell a story of shortfalls in allocations compared to expenditures. For example, MLPS spends $909,000 for the typical ladder faculty hire from an allocation of $603,600. That Division has a temporary sub-0 (mostly TAs and lecturers) instructional allocation of $1.8M in 2018-19, and a temporary sub-0 expenditure of $14.4M. (The term “temporary” is a misnomer, since the funds cover permanent workloads.) This enormous gap is filled on an ad hoc basis every year, rather than changing the allocation to match the division’s consistent instructional needs. There are two problems with such data (in addition to the clear problem of budgeting practice): they are isolated from other parts of the divisional, college, and campus budget; and the allocational imbalance blocks rational budget decision-making (a $12.6M temp sub-0 shortfall logically suggests no ladder faculty hiring should take place in the following year, but this should not and does not happen).

Overall, CPB does not have the budgetary data that it needs to assess FTE requests properly. We can judge the coherence, consistency, and scope of academic plans in the context of instructional need, but we do not know whether the department or division have the fiscal resources to carry them out. We cannot fully respect either departmental thinking or campus resource constraints without being able to compare the resources required to the resources available.

At a minimum, Council needs data on:
1. the Division’s allocated but unfilled permanent sub-0 budget;
2. the share of that budget the Dean is able to fill that year;
3. the dollar value of the FTE referred to as “dean’s inventory” in search waiver requests—presumably (1) minus (2) with identified exceptions;
4. the Division’s start-up budget, including renovations;
5. start-up costs estimates given that division’s cost history and the mix of junior and senior positions under search; and
6. revenue shortfalls and anticipated fluctuations in the division for the coming year.

This is a short list of the information that would allow CPB to make planning judgments in the context of resource constraints. Such data would form a more valid and functional base for decision-making than our current practice. CPB has heretofore used the Deans’ plans as a baseline and made adjustments on academic planning grounds, without knowing how our (or the Deans’) recommendations affect budgets (and the many related activities budgets affect control). CPB needs the systemic budget data described above to do its job properly.

**BioEngineering Program**

In April, CPB reviewed the proposal to (1) create the Biological Engineering Program within the College of Engineering and MLPS in the College of Letters and Science and (2) establish a new graduate degree, a PhD in Biological Engineering, which the Program would administer. CPB felt that the strong interdisciplinary research climate at UCSB may position it to be a leader in
biological engineering, a relatively new discipline combining “engineering for biology and engineering from biology”. The Program and the new degree lie at the interface between engineering and the sciences. Together they will benefit from and complement the strong, existing research relationships between these communities at UCSB.

The Council expressed several concerns regarding the allocation of faculty and resources. The first involved the new resources that would be required to meet the challenges presented by start-up and ongoing administration of the Program, including faculty FTE, Teaching Assistants, staff resources, and space. CPB also provided feedback regarding the BioEngineering’s relations with other programs, noting that the loss of FTE from other units without replacement would cause “devastating negative impact” on the revitalization and rebranding efforts now underway in BMSE and could create competition for resources in a tight budgetary climate.

Overall, CPB strongly endorsed the proposal’s vision and plan for the new Program and associated PhD in Biological Engineering, while asking that the deans, core Program faculty, and other affected parties weigh the budgetary and planning implications together in the new post-COVID environment.

**Geographic Information Systems (GIS) 4+1 Degree**

In February, CPB reviewed the proposal to establish a Master of Science degree in Geographic Information Systems (GIS). The degree is a 4+1 format, where the additional year of graduate work links to an existing BA in Geography with an emphasis in GIS. The proposed degree builds on the outstanding reputation of the department in this field and is unanimously supported by the faculty. The proposal addresses a growing need in the workforce for advanced training in GIS – including employers who specify a desire for a Master’s degree in GIS – that is not currently served within the UC system.

While finding the proposal well-crafted with important and achievable goals, CPB communicated two minor concerns. The Council endorsed the proposal and fully supported the department’s projected resource needs.

**M.Ed. in School Psychology**

In January, CPB reviewed the proposal to reinstate the M.Ed. in School Psychology. The M.Ed. program was suspended in 2013 to allow the Department of Counseling, Clinical, & School Psychology (CCSP) to streamline course requirements and to ensure more robust funding for its doctoral students. With those tasks completed, the department plans to rebuild (and expand) its terminal M.Ed. program to meet the growing need for practicing school psychologists at local, state, and national levels. The Council found the proposal well-articulated and compelling in its vision and goals.

In March, the Graduate Council Graduate Council (GC) considered feedback on the proposal by a number of reviewing agencies and determined that there were a few areas of concern that needed to be further addressed. GC was generally supportive of the initiative but offered an opportunity for further refinement of the proposal before moving forward.
In May, CPB reviewed the additional materials regarding the proposal to reinstate the M.Ed. in School Psychology. While CPB previously found the proposal well-articulated and compelling in its vision and goals, we appreciate the additional information. CPB was satisfied by the initiator’s response to the Graduate Council memo, and supported the proposal.

**Bren Professional Degree Supplemental Tuition (PDST)**

In October, CPB reviewed a request to add a Professional Degree Supplemental Tuition (PDST) fee to Bren’s Master of Environmental Science & Management (MESM) degree. The members of CPB were concerned about the impact on diversity and inclusion of the proposed additional $10,000 annual tuition fee increase, though we understood the School’s need for it. Dean Gaines’s visit helped diminish our concerns, and we would like to emphasize the importance of the following components:

- A large portion of the professional fee is dedicated to providing tuition relief for students from disadvantaged backgrounds and/or in underrepresented groups. CPB feels that this investment is very important to preserving access to the program as its costs to students increase. It is pleased with the revised targets for underrepresented students in the program.
- The majority of the additional funds are to be used to hire job placement personnel of various kinds. As Bren graduate incomes are modest, at least at first, the fee supplement places additional responsibility on the School to pursue full employment for its graduates.
- The allocated funds do not total to the revenue raised. CPB suggests that more clarity be provided as to the disposition of the unallocated amount.

CPB appreciated the Bren School’s pursuit of the highest quality program and its deep concern for student employability, but also suggested that more reviewing agencies should weigh the long-term implications of this epochal shift in the financing of the Bren School’s flagship program. We also commended Dean Gaines for the high quality of the School’s data collection and internal analysis, and the candor and completeness of the presentation. The fee increase has since been approved.

**Graduate Student COLA Strike**

CPB expressed concern about the genuine “rent burden” experienced by a large proportion of UCSB’s graduate students. We noted the impact of graduate student frustration and lowered morale on UCSB’s instruction and research programs. Before the strike issue was overwhelmed by COVID-19, we identified two financial issues:

- A doctoral wage survey indicated that grad stipends vary by as much as 50% across UCSB departments. These data are not definitive, but such inequality could aggravate grievances unnecessarily.
- The campus cost of alleviating rent burden is likely much lower than UAW union figures suggest. The chair calculated that the additional “rent-COLA” supplement is $524 per month in Santa Barbara. Even if all off-campus doctoral students (55% of 2977 grads)
were rent burdened, the cost would be 1627* $524 = $852,548 per month, or $8.5M over 10 months, and $10.2M over 12 months.

Council recognized that this is serious money for the campus ($10.2 M is about $2 million less than all mandatory cost increases for the campus in 2020-21). Council made no recommendation here, but did note that graduate student living costs is an issue that is likely to resurface when COVID-19 is under control.

VI. Systemwide Reviews

The Council on Planning & Budget participated in the following systemwide reviews during the 2019-20 term:

APM 240 and 246

In January, CPB reviewed the proposed revisions to Sections 240 and 246 of the Academic Personnel Manual (APM) which would make changes regarding the salaries and reporting of compensated and uncompensated activities of Deans and Faculty Administrators as well as technical changes to improve language and correct errors. The Council discussed these revisions and had no objections to the changes.

Seismic Safety Policy

In June, CPB reviewed the proposed revisions to the UC Seismic Safety Policy which moves Policy implementation procedures to the UC Facilities Manual, updates the technical seismic engineering standards to reflect current California Building Code, and reorganizes sections for clarity. The revision clarifies that all retrofit and abatement projects require a funding plan and schedule, including incorporation into the Capital Financial Plan when applicable. The Council had no objections to the changes.

UC Washington Center

In February, CPB reviewed the report and proposal for the future state of the UC Washington Center. The UC Washington Center and the UCDC Academic Program provide the opportunity for undergraduates in the University of California, from all disciplines, to study and intern in Washington, DC. Students enrolled in the UCDC Academic Program are housed in the 276-bed center. The report followed President Napolitano’s wish to explore the possibility of transitioning selected systemwide programs, including UCDC, to individual campuses.

CPB concluded that the program has not been well-managed over the years. We put forth the following recommendations: (1) that UCDC stay at UCOP; (2) that UCDC receive a top-to-bottom administrative restructuring that (3) cuts some administrative staffing and moves other staff to direct student services. Council also recommended, (4), that UCSB explore extricating itself from its UCDC contract in order to place its students directly with Washington-area universities that could offer both courses and an internship. UCDC has a very high expenditure level of
approximately $29,000 per student; UCSB could spend less to purchase high-quality student support services from an outside provider while covering local university fees.

VII. Committees

The Council has three standing committees, per Senate Bylaw III-3-70:

1. Committee on Academic Planning & Resource Allocation (CAPRA)
   Chair: Doug Steigerwald
2. Committee on Development & Community Relations
   Chair: Joao Hespanha
3. Committee on Capital & Space Planning
   Chair: Shelly Gable

Most of the business of these committees was conducted by email; after UCSB’s closure in March, email became the primary medium of deliberation. Issues were delegated to the appropriate committees for prior review, and recommendations were then forwarded to the full Council for deliberation.

The principal issues under review by CPB were spearheaded by CAPRA. These included systemwide reports and reviews, as well as many of the local issues under review. The Committee on Development & Community Relations conducted a preliminary review of endowed chair proposals.

The Council also continued a tradition of four ad hoc “area subcommittees,” based on Colleges and Divisions:

- Division of Social Sciences and Gevirtz Graduate School of Education
- Division of MLPS and Bren School of Environmental Science & Management
- Division of HFA and College of Creative Studies
- College of Engineering

The area subcommittees were primarily tasked with conducting preliminary analyses of the academic program reviews. In addition, Academic search waiver requests were first sent to the respective area subcommittee for initial consideration before review by the full Council. Finally, the subcommittees took the lead in reviewing Deans’ and departmental FTE plans and developing the respective parts of the overall FTE recommendations for 2020-21, presenting recommendations for full Council discussion.

VIII. Council Representation

The Council Chair served as a member of the Academic Senate Executive Committee, as Vice Chair of the Campus Planning Committee, as a member of the Chancellor’s Coordinating Committee on Budget Strategy, and consulted with the Risk Assessment/Audit Committee. The CPB Chair, along with the Chair of the Committee on Development & Community Relations, served as Trustee of the UCSB Foundation.
IX. CPB Relationship with University Committee on Planning & Budget (UCPB)

The CPB Chair served as the UCSB representative on UCPB and regularly reported on UCPB business conducted at the monthly meetings in Oakland, soliciting comments from Council members on pending UCPB issues.

X. Coordination with the Administration

The Council on Planning & Budget consulted with several members of the Administration during the 2019-20 term, including: the Executive Vice Chancellor; Assistant Chancellor for Budget & Planning; Director of Capital Development; the Deans of the College of Letters & Science; Dean of the Gevirtz Graduate School of Education; Dean of the College of Creative Studies; Dean of the Bren School for Environmental Science & Management; and Dean of the College of Engineering.

The Council Chair and Vice Chair held regular (bi-weekly) consultations with EVC David Marshall. These meetings provided an opportunity to discuss issues and concerns informally and play an effective role in shared governance.

The Council engaged in several informative discussions with Assistant Chancellor for Budget & Planning Chuck Haines. A list of questions was developed in advance of his meetings to help facilitate the discussions. The conversations addressed a number of budget-related issues: budget overview of the campus; income & expenditures; new initiatives; research; unfunded mandates; undergraduate enrollment surge; and staff support.

This year’s main domains of interaction are listed below.

Academic Personnel and EVC’s Office for FTE Accounting

CPB improved its picture of hiring patterns across multiple years. AP appears to have a hard time identifying in which year a particular search was authorized. But we are making progress towards an understanding of the timing of authorizations, the number of FTE already authorized by Divisions in the current year, and FTE resources past and present on a departmental level.

Comprehensive Budget Data and Communication

As noted in the section “FTE Planning,” Council does not have adequate budgetary information to place FTE planning in the appropriate resource context. To this end, the Chair used UCOP’s Financial Schedules to create a preliminary picture of UCSB’s overall budget and to identify data gaps. These data were presented in the form of Sankey charts. The Chair and Vice Chair held several meetings with Associate Chancellor for Budget & Planning Chuck Haines and several of his colleagues to try to understand cash flows on campus, to put academic resources in a broader campus resource context. After three meetings, we had made some progress, but B&P was unable to provide data integrated across control points: we were told that monies that leave B&P and enter Academic Affairs are not tracked at the unit level that would allow Council to link FTE requests to available resources. COVID-19 interrupted these budget sessions, and they should be continued in the coming year.
This effort to get a full picture of the campus budget was motivated in part by testimony we heard from a number of key senior administrators about their lack of essential budgetary information. Meetings with the EVC, multiple deans, and administrators in other divisions all revealed serious, chronic gaps in basic budget data. Several officials described the budgeting process as “irrational.” We heard accounts of budget information being withheld from academic officers, with the Office of Budget and Planning being most often named. A situation in which one floor of Cheadle doesn’t tell the other what it is doing impressed us as a kind of managerial dysfunction that no campus can afford. It can be fixed, and should be at a time when COVID-19 threatens the campus’s fiscal stability.

One simple improvement would be for the Deans to share their plans and budgets directly with each other. As it is, the EVC and CPB see all of the Deans’ plans, but the Deans see only their own. Overall planning could be improved by Deans pooling all of their plans and related information with one another, and collaborating on the basis of shared data.

Chancellor’s Coordinating Committee for Budgetary Strategy (Chair only)

The problem of limited and incomplete budget data also affected CCBS, putatively the campus’s top-level budget policy group. This committee began to meet every two weeks or so in late spring and summer. Several of the meetings provided better budgetary information that CPB was able to obtain on its own: this information covered COVID-19 revenue loss projections for the campus, distinguished between the situation in “core” vs. “non-core” sectors of campus, itemized some puzzling aggregate categories, and offered useful airing of varying perspectives. Perhaps most usefully from the Chair’s point of view, members headed off an exercise of ranking the value of 19 separate units on campus as a first step to allocating different percentage cuts on the basis of the total scoring (Student Affairs might rank 4, and Facilities Management 6, and Deferred Maintenance 12, so DM would be cut 12% and Student Affairs only 3%?). Members objected to a process that would artificially label something like DM as “less important” when a campus needs both Student Affairs and deferred maintenance, and likely increase internal competition and decrease cooperation at a time when the latter was particularly needed.

Concern was increased by the fact that, at least in Academic Affairs, the cuts following the 2007-10 financial crisis, coupled with inadequate revenue growth thereafter, left all Divisions with very little to cut for 2020-21. Concern was sustained by the absence of shared budget information that would allow joint deliberation on the best ways to get through the next couple of years. The summer meetings did not complete the budget picture or identify budget options. For example, CCBS had not discussed the Chancellor’s decision of August 28th to convert fall quarter to all-online instruction or analyze its fiscal implications.

CCBS would be more effective with the following changes: the co-chairs, the EVC and the Divisional Senate Chair, should issue an agenda in advance of the meeting, along with systematic budget data and supporting materials so that members can study these materials in advance. A shared “Box” archive could be set up for members to consult materials in between meetings. B&P should answer questions about budgetary detail promptly and respectfully, and the answers should be aggregated so that members can continuously improve their understanding of the overall budget situation. The Committee co-chairs should formulate budgetary options for
discussion as the meetings continue, and preferences for some options over others should be deliberated and formalized by a predetermined deadline.

Universities are systems of distributed intelligence, and CCBS can increase this intelligence among its members with a more organized approach to budget data and meeting materials.

**Capital Planning and Facilities**

The CPB Chair served as a Vice Chair of the Campus Planning Committee (CPC), which reviewed or discussed several issues and campus projects. A 10-Year Capital Financial Plan has not been reviewed by CPB in several years, although Capital projects presentations by the Deans were made to CPC over the past year.

CPC had no significant projects to discuss this year. We reviewed a donor-funded upgrade of the campus tennis facility and a Student Affairs bicycle shop, which apparently has been in the works for many years. At the same time, the campus student population has surged—UCSB has arrived at its 25,000 enrollment cap 5 years ahead of schedule. Classrooms, offices, and laboratory space are in chronic short supply. In the Chair’s view, CPC should take a much more active role in generating essential new facilities and discussing—and identifying—funding sources for them.

CPB also looked into the two additional issues of renovation and of maintenance of existing facilities. Departments whose research depends on laboratory space are generally unhappy with the lab renovation process. While most campus departments face space shortages of various kinds, including faculty offices, all campus departments face deteriorated and dilapidated physical conditions, many of which have persisted for years. No one on Council disagreed with the statement that the condition of UCSB facilities is a burden on its academic ambitions.

To improve Council’s understanding of the situation, CPB set up several meetings with representatives of the Division of Administrative Services. In the first, CPB was joined by four members of the Design, Facilities, & Safety Services (DFSS) team:

1. Julie Hendricks, Director of Design & Construction Services
2. Kerry Bierman, CFO of Business & Financial Planning
3. David McHale, Interim Director of Environmental Health & Safety
4. Chris Kelsey, Interim Director of Facilities Management

The group gave an overview of their work and discussed their major projects. They noted that the campus has about $600 million in deferred maintenance items and continues to fall farther behind. The Chair observed that the $3.5 million allocated in the previous year to the DM backlog would, if doubled, require 100 years to complete. One result is that FM has had to give up on some major repairs, such as restoring central heating in the six-story South Hall office building. A list of urgent items that are expected to fail in the next 1-5 years adds up to about $200 million.

CPB members asked questions about the related issue of lab renovations for new faculty. FM representatives noted that those are sometimes delayed by the need to conduct underlying repairs to the building where the upgraded lab will be located (HVAC system upgrades were mentioned as a common example). The discussion included problems caused by the recharge
system, in which Deans need to pay DFSS for renovation advice, which makes Deans and departments minimize communication with DFSS (which costs money), which means a common lack of coordination between recruitment promises and renovation planning. Senate-Facilities communication improved notably during our series of meetings, suggesting that blockages between DFSS, deans offices, and departments can be resolved. Budgeting remains an issue, affected by both the recharge practices noted above and recharge rates, (too high for departments, too low for real FM solvency), along with the role of Indirect Cost Recovery (ICR).

In April, a follow-up meeting was held via Zoom between CPB leadership (Chair, Vice Chair, and Chair of Committee on Capital & Space Planning) and DFSS representatives (Julie Hendricks, Chris Kelsey -- Associate Director of Operations & Maintenance, and David McHale). The Chair met again with DFSS in May. These meetings were opportunities for DFSS staff to meet with campus stakeholders to discuss ways to improve processes and outcomes; this consultation with Academic Senate representatives was to specifically connect with faculty. Much of the April meeting was spent giving updates to CPB about COVID-19 response, and they also shared updates on capital projects, a planned power outage in September, and deferred maintenance. CPB asked about the following:

- Investigating a more rational budget structure for start-ups and deferred maintenance.
- Increased reliance on core campus funds and less on interdepartmental recharges.
- Increased communication with Vice Chancellor of Administrative Services Garry MacPherson and Associate Vice Chancellor Rene Bahl.

In sum, UCSB recharge practice has imposed a cost on collaboration and communication in design and renovation (in addition to its inhibiting effect on routine maintenance). It quite literally costs deans and departments money to coordinate offers with facilities expertise.

We recommend that the campus explore one of two remedies: (1) paying for design and renovation planning centrally, so divisions can plan early and often for hiring needs; (2) giving each dean a “design planning budget” for each hire likely to require renovation (say $10,000), so that DFSS can start early on a systematic design process. Council prefers solution 1, as the recharge system separates units and impairs communications, a point which returns below.

XI. Carry-Over Issues

Issues that CPB and UCPB should expect to revisit in the coming year include the following:

- UC Budget crisis
- UCSB Budget transparency, communication, and deliberation
- Accounting of FTEs and Deans’ discretionary budgets
- Campus-wide Capital Planning priorities
- Campus facilities and deferred maintenance

Council Membership:

<table>
<thead>
<tr>
<th>Christopher Newfield</th>
<th>Chair / UCPB rep</th>
<th>English</th>
</tr>
</thead>
<tbody>
<tr>
<td>Douglas Steigerwald</td>
<td>Vice Chair</td>
<td>Economics</td>
</tr>
<tr>
<td>Jean Carlson</td>
<td></td>
<td>Physics</td>
</tr>
</tbody>
</table>

Page 14 of 18
The Academic Senate invited participation of representatives from Associated Students and the Graduate Students Association but did not receive replies. CPB believes student representation is very important in senate councils and committees. CPB is eager to include representatives from these bodies in the future.

Final comments from the Chair.

UCSB has always had high academic aspirations, ones which have generally exceeded its material resources. As one campus in the UC system, it is also unable to control the policy environment that determines its revenues and expenses. This environment has been shaped by three rounds of state cuts since 1990, and a fourth bout of revenue declines likely in 2020-22; and on the expenditure side, by an underfunded “surge” of resident undergraduates in the 2010s).

However, the campus does control administrative practice, including standards of communication and interaction. This year, Council and its Chair (in other meetings) witnessed a pervasive difficulty, in virtually all administrative units we spoke with, to plan openly, to freely and systematically share financial and other information, and to engage in data-driven, collaborative problem solving across unit boundaries. UCSB’s systemic problems cannot be addressed by any unit operating in isolation. And yet information isolation has become a pervasive feature of UCSB’s administrative culture. It can lead to a kind of administrative Stockholm Syndrome, in which campus leadership, and the Senate, resigns itself to lowered quality, reduced outputs, and the permanent “kludging” of problems that remain unresolved for years or decades. Examples we encountered this year include chronically unmaintained facilities, understaffing of instructional programs so severe as to damage their reputations with their own majors, and the ad hoc filling of revenue shortfalls in divisional temporary sub-0 budgets, the latter being one example of opaque budgeting that impairs academic planning. Most of these problems cannot be fixed overnight, but they can be addressed in a sustained way through open

<table>
<thead>
<tr>
<th>Anne Charity-Hudley</th>
<th>Linguistics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Noah Friedkin</td>
<td>Sociology</td>
</tr>
<tr>
<td>Ken Goodearl</td>
<td>Mathematics</td>
</tr>
<tr>
<td>Joao Hespanha</td>
<td>Electrical &amp; Computer Engineering</td>
</tr>
<tr>
<td>Dawn Holmes</td>
<td>Statistics &amp; Applied Probability</td>
</tr>
<tr>
<td>Shane Jimerson</td>
<td>Counseling, Clinical, &amp; School Psychology</td>
</tr>
<tr>
<td>Nuha Khoury</td>
<td>History of Art &amp; Architecture</td>
</tr>
<tr>
<td>George Legrady</td>
<td>Media Arts &amp; Technology</td>
</tr>
<tr>
<td>Martin Moskovits</td>
<td>Chemistry &amp; Biochemistry</td>
</tr>
<tr>
<td>Shelly Gable Nayak</td>
<td>Psychological &amp; Brain Sciences</td>
</tr>
<tr>
<td>Constance Penley</td>
<td>Film &amp; Media Studies</td>
</tr>
<tr>
<td>Ram Seshadri</td>
<td>Materials; Chemistry &amp; Biochemistry</td>
</tr>
<tr>
<td>Subhash Suri</td>
<td>Computer Science</td>
</tr>
<tr>
<td>Libe Washburn</td>
<td>Geography</td>
</tr>
<tr>
<td>Rene Weber</td>
<td>Communication</td>
</tr>
<tr>
<td>Francis Zok</td>
<td>Communication</td>
</tr>
</tbody>
</table>
collaboration among the many affected units and their complementary experts. This culture of information isolation can and should be changed.

I would also like to commend UCSB’s administration, faculty, and staff for decades of tireless effort to fulfill their ambitions with fewer resources than their ambitions and capabilities deserve. These individual efforts, under the circumstances, have been impressive. This has been especially true during COVID-19 Spring and Summer, where nearly everyone stayed in continuous crisis mode without a break. The same goes for the members of CPB, who brought unflagging energy, intelligence, and insight to the work we did this year. Working with them has been a pleasure, and has helped keep me optimistic about UCSB’s future.
APPENDIX A

Protocol for CPB Review of Search Waivers
August 2020

UCSB has an elaborate process for planning academic hiring. It starts with departmental discussions that lead to requests for permanent faculty lines, which are reviewed by deans, who make recommendations to the EVC, who makes the final decision. As part of this process, CPB reviews the departmental and decanal priorities and makes recommendations of its own. For CPB, the process of analyzing and making recommendations for regular FTE allocations takes four to six weeks of analysis.

Each year, departments and deans also make a number of requests for hires in addition to their existing allocations and outside of this planning process. Some of these are requests to make second offers in a concluded search, and thus emerge directly from an approved academic plan; others are requests for search waivers that form at least partial exceptions to the existing departmental or divisional plan. Waiver requests are often numerous; in 2019-20, they added 19 potential hires on top of 28 new allocations.

While acknowledging the special circumstances involved in requests for additional hires and waivers, CPB would like to ensure that departments and deans explicitly link such cases to their existing academic planning process, and that the integrity of academic planning be sustained. We have thus articulated planning questions that clarify and elaborate the Red Binder’s requirement for such exceptions, namely, that there be “discussion of three major issues: 1) the candidate’s qualifications; 2) the candidate’s programmatic fit within the departmental academic plans; and 3) the source of the FTE and the impact of the appointment on the departmental FTE plan” (VII-1-III-B). CPB’s purview consists of the 2nd and 3rd of these questions. To address them, we plan to ask a series of questions of future requests for exceptions to authorized searches.

1. Does the department enthusiastically support the proposed hire as a waiver? Is there evidence from the vote and from the chair’s comments about the candidate’s scholarship? (If the answers are “no,” consideration of the request stops here.)

2. What is the key argument as to why the department should be allowed to go outside of the standard resource allocation process? The Red Binder allows the categories of exceptional scholar, President’s Postdoctoral Fellowship Recipient, and partner hire (VII-1-III-B)

3. Does the department identify an FTE source for the appointment that is either a currently authorized search or a pre-authorized position for a future search year?

4. "Does the dean endorse the use of the authorized FTE, or if the department does not have an authorized search, does the dean commit an FTE to the position requested by the department? (If the answers to both (3) and (4) are “no,” consideration of the request stops at this point.)

5. Does the requested faculty position
   A. add to an established, acknowledged departmental strength in a national or international context?
   B. address an important diversity objective?
   C. fill a curricular or research gap at a high level of quality?
   D. start a new, important, promising, and/or original area where the department has a real shot at near-future distinction?

6. If at least one of the subquestions in (5) cannot be answered strongly in the affirmative, will the position created by the newly-authorized search be part of a multi-departmental initiative, one that has
● received formal support from a dean or deans?
● already been under development and has some documented interdepartmental plan?
● a real chance at future distinction, both because of the exceptional personnel involved and the research agenda?
● Commitment of campus financial resources over a period of years to put this initiative on the map? (CPB is most likely to approve exceptions justified by (6) if the answer to all four questions be “yes.”)

CPB requests that this protocol for reviewing exceptions to authorized searches be conveyed to deans and departments. Council also believes that these questions could usefully inform regular departmental planning processes.
To the Faculty Legislature, Santa Barbara Division:

Executive Summary

Per bylaw 65, the purpose of the Council on Research and Instructional Resources (CRIR) is to promote an optimal research and educational environment, to manage Senate resources and provide advice in a manner that fosters quality and diversity of research and instructional programs.

Highlights:

- UC resumed negotiations with Elsevier publishing in July 2020 after an encouraging approach from the publisher. An Open Access agreement with Cambridge University Press began in September 2019, and another with Springer Nature was announced in July 2020.
- The Committee on Faculty Grants awarded $999,978.00 to 114 proposals submitted for the Faculty Research Grant and $12,000 to two proposals for the Pearl Chase Research Grant. Proposal submission was up 22% from last year, with 126 total proposals compared to 99 in 2019-20.

Council and Committee Meetings

CRIR consists of three standing committees: Committee on Research Policy and Procedures (CRPP), Committee on Library, Information, and Instructional Resources (CLIR), and Committee on Information Technology (CIT). The Council met once as a whole during both fall and winter quarters, but regularly convened in its respective subcommittees. Both CRPP and CLIR met seven times over the course of the year and the Committee on Information Technology met eight times.

The Committee on Faculty Grants (FG) met four times during spring quarter; all CRIR members participated as part of their CRIR service, with additional members added by Committee on Committees for divisional balance.

System-Wide Issues and Reviews

All system-wide issues that CRIR responded to are listed below. Issues that CRIR reviewed but chose not to opine on are not included.

Foreign Influence on Research

CRPP reviewed information from the Office of Research (OR) on international collaborations. In recent years, there has been increasing concern at the federal level about potential “attempts by foreign governments to unfairly exploit U.S. researchers for that country’s gain” (OR website). Faculty were notified about this issue. Researchers must report any conflicts and collaborators properly and should contact OR if they have any questions. Proposals may not go forward if they are not compliant with the new policy.

Revised Presidential Policy on Copyright Ownership

CRPP members agreed the revised policy was an improvement over the original. They sought clarification on how the policy regards software code produced by a project that is intended to be shared with researchers at other institutions and what procedures should be followed for compliance when the university exerts ownership. They also expressed concern over the use of “Significant University Resources” and whether it might unfairly render some projects property of the university, specifically in the cases when faculty receive Academic Senate Faculty Research Grants. They expressed a wish for the parameters to be clarified such that campus-based funding would be excluded from the criteria.
The members of CLIIR also found the revision to be an improvement overall. Like CRPP, they took issue with the use of “Significant University Resources” and wanted the policy to exclude Faculty Research Grants from the criteria. They sought more information as to how exactly disputes of ownership would be resolved. Lastly, they recommended that all campuses establish or maintain a copyright office to assist with questions regarding academic use of copyrighted materials as well as ownership.

Office of Science and Technology Embargo Policy
The University Committee on Library and Scholarly Communication (UCOLASC) solicited campus letters of support for its appeal to the Office of Science and Technology Policy to remove the one year embargo on public access to peer-reviewed scholarly publications, data and code resulting from federally funded research. The UCOLASC draft letter was unanimously endorsed by Academic Council. CLIIR Chair Berkowitz brought the issue to both CLIIR and CRPP. The committees both had broad discussions that included disagreements about whether the embargos were necessarily bad and whether benefits varied by discipline, whether datasets ought to be included in the policy, as well as the merits of open access overall and whether the transition to OA is disproportionately harmful to those with less resources. Overall, the letter received majority support and was sent by Divisional Chair Bohn to the Office of Science and Technology.

Composite Benefit Rates
The Composite Benefit Rates Workgroup announced its recommendations for mitigating the negative impacts of the implementation of composite benefit rates for postdoctoral scholars across the UC. The plan is for the Budget and Planning Office to issue a call for those whose projects were impacted. They recommended $2,000 as the minimum mitigation amount for eligible projects i.e. projects that suffered a smaller loss would not be eligible. The threshold at UC Berkeley and UCLA was set at $5,000; $2,000 is the lowest in the system and is being utilized by UCSC. CRPP, in hopes of minimizing impacts to faculty as much as possible, recommended a lower threshold of $500. This would impact grants from the near term to the next four years. Composite rates do not significantly hurt UCSB as a campus; our rates are lower than most other campuses. The recommendations were sent to Finance Management for implementation. The workgroup included Senate representation from CRPP members Liming Zhang (co-chair) and Forrest Brewer, along with Claudio Campagnari in 2019-20, and Harry Nelson (co-chair), Arturo Keller, and Liming Zhang in 2018-19.

Fireeye Audit
Alex Bustamante, Chief Compliance and Audit Officer at UCOP, took steps to request unfettered access to the FireEye system for members of the UCOP Cybersecurity Audit Team (CAT). The request cited regental policy but was made without limitations on scope or timing and it was not presented in the context of an audit. The CAT team subsequently withdrew their request. Following that, the CAT team initiated a systemwide audit of the FireEye system at all locations. The audit consisted of two phases. The first examined configuration and procedures related to the system. The second included a hands-on examination of two FireEye operational consoles by multiple members of the CAT team and their external auditor, Deloitte. The audit is now complete. All access granted to the internal and external auditors has been revoked.

Report of the Academic Council’s Standardized Testing Task Force
All CRIR members reviewed this report within their respective subcommittees. All agreed that although standardized testing is a complex issue, they felt this report was thoughtful and made reasonable recommendations. They expressed overall support for the recommendations of the report.

CRPP members took issue with the follow up letter from select members of the Task Force advocating for a more expeditious timeline to eliminate standardized tests in admissions consideration. They did not feel that this minority statement provided sufficient evidence to support its opposition to the recommendations of the Task Force.
ORU reviews were postponed for a year by the Office of Research due to COVID-19.

Proposed Presidential Policy on the Protection of Human Subjects in Research
CRPP felt the proposed policy seemed reasonable and did not identify any aspects that seemed radically different from the current structures in place. Members noted a potential discrepancy in which the policy referred readers to the website for procedures, but none were there.

Local Business

Proposal to Establish a Biological Engineering Graduate Degree Program and Academic Unit
CRPP members were supportive of the program overall. They felt that the proposed program and academic unit make sense for the future of the university. The members are concerned over the extent to which this program will compete with the existing Biomolecular Science and Engineering program. The members would like to ensure that the program has a strong start. Given the significant effort to start a program, and the current climate and budgetary adjustments related to the COVID-19 pandemic, they expressed reservations about the 2021 start date. Members questioned why none of the core faculty had appointments greater than 50% and whether that might hinder the success of the program. Finally, members would like to see an explanation of the Center for BioEngineering (CBE)’s role in the program and academic unit and an explanation of whether they are to remain separate entities.

CLIIR members noted that the program seems strong and needed by campus. They had no concerns as the proposed program does not require additional demand for library or instructional resources. The committee was unanimous in support of the proposed program and academic unit. They did note that the main issue with the proposed program seems to be how to support students but considered that issue outside their purview.

Proposal to Establish a 4+1 Master of Science in Geographic Information Science
CRPP members overall supported the proposed program. The rationale was strong and the request for one additional LSOE was reasonable. Members wanted to see data to justify the eligible GPA as well as a clearer illustration of the overlap in courses that shows the difference between the two year master’s and the 4+1 program.

CLIIR was likewise overall supportive of the program. Members wanted to see issues of space addressed in further detail. The proposal indicated that some offices would be commandeered by this program; where will those people go? The committee rejected the request for priority access to active learning space as unreasonable; these spaces are heavily scheduled, popular spaces under general assignment by the Registrar. The committee was concerned by the proposed budget. Assumptions of funding contributed by Collaborate seem lofty. However, a campus-level commitment to funding is necessary. The proposal highlights a systemic problem of increasing enrollment; until the classroom building comes online, there doesn’t seem to be sufficient space. Like CRPP, CLIIR members were unclear that the program had sufficiently outlined the requirements for students currently earning a master’s as compared to the 4+1 students; they must all follow the same requirements and it was not clear that they would in terms of final exams.

Proposal to Establish a Master of Education in School Psychology
Overall CRPP was supportive of the proposed program. In its initial review, CRPP felt that the justification of expanded enrollment was weak; given that the program was previously canceled due to floundering enrollment, members wanted to see a more detailed strategy for recruitment and discussion of what is different in 2020 that would avoid a repeat problem. Members also expressed a preference to see one ladder faculty added rather than the teaching professors requested in the proposal. They expressed concern over the trend of hiring teaching professors in lieu of research professors and felt that a master’s program would benefit from an increase in research activity.

CRPP received responses to its comments. Several members remained skeptical regarding the demand for the program and whether assumptions of student enrollment were overly optimistic.
One member was likewise dissatisfied with the response to the question of LSOEs but acknowledged the possibility that the department is different. Although the response clarified the need for LSOE’s to manage practicum work, the members still felt they would not be a replacement for ladder faculty research capacity and they would still like to see ladder faculty included in growth plans. Members agreed this was necessary to support a robust research mission within the department and they maintained their recommendation of half ladder faculty.

CLIIR also reviewed the proposal to add a Master’s of Education in School Psychology. They were satisfied with the contention that no new library resources would be necessary to support the program. The proposal contained $10k for assessments and some members worried this amount was unrealistically conservative. Members also felt that the explanation of why this program was previously suspended was not sufficiently detailed and questioned whether the demand exists as projected.

Members received responses to their concerns regarding enrollment potential and costs for assessments which they deemed satisfactory.

**Report of the Ad Hoc Committee on Online Course Evaluations**

CLIIR overall supported the move to an online evaluation format. Members noted the difficulty of lowered return rates online and the significant impact this drop had for small classes; however, with more students having access to laptops/smartphones, this is not as big a problem as it used to be. The members had significant concerns about potential administrative efforts to incentivize evaluation participation, particularly tying the completion to grades or final exam scores which they considered unethical. Members noted that enrollment impacts and staff time to deal with ESCIs has been hugely mitigated by the move to online deployment. They also were in agreement that departments should deploy a consistent evaluation method, as opposed to a hybrid model of paper and online.

**Report of the ESCI Ad Hoc Committee**

CLIIR was supportive of the short and long term goals identified by the ESCI Ad Hoc Committee. Members acknowledged the difficulty of developing an effective course evaluation process but also the necessity of doing so. They appreciated the report’s fairly strong statement about the lack of correlation between ESCIs and teaching success and the suggestion to deemphasize the relevance of ESCI scores in personnel reviews. Members noted the discrepancy in evaluation scores of required versus elective courses, the latter of which are often more popular. They appreciated the effort to solicit information on students’ engagement and level of commitment. They also commended the lack of any suggestion to incentivize participation. The members recommended continued follow-up by the Ad Hoc ESCI committee.

**Proposed Automated License Plate Reader Policy**

Overall, CIT members were supportive of the program. They commended campus efforts to realize cost savings and convenience for users. There was a question as to whether uses of the data/technology were possible that might not be detailed explicitly in the proposal. They sought more information regarding deployment logistics and expressed a desire for more transparency. They noted that the provisions listed in paragraph 3.K. “Sharing” are quite broad. Members were curious whether a greater buffer time between data collection and review could be useful to protecting privacy. They also noted that data retention itself is a liability and questioned the extent to which the data could be anonymized as the policy intends. Members were interested to learn more about the costs as compared to the perceived benefits, particularly those of data retention.

**Video Cameras and Video Surveillance Policy**

CIT agreed to endorse the policy with the recommendation that the Video Camera Committee add a faculty representative to provide guidance on research issues. Members commended the policy’s specifics about different camera uses for research, for example the remote monitoring of instruments. At the end of the school year, Chair Frew solicited a CIT representative to join the Video Camera Committee.
Library Updates

Reorganization
In Spring 2019, faculty and subject librarians raised concerns about the planned reorganization and requested a one-year moratorium on changes in the library. However, some aspects including recruitments were already underway and some actions could not be put on hold. Librarian Antelman continued to meet with department chairs to address concerns in the 2019-20 school year. Collection development purchasing duties have not changed. Allocations are tied to majors, number of faculty, number of grad programs/students. The numbers are calibrated annually, but the overall approach has not changed in a long time. A greater focus on collections strategy is needed.

The reference desk was eliminated in late Summer 2019. Overall use of librarian time on the desk was not efficient. Reference transactions had decreased by about 85% in the past two decades as traffic has moved to the internet. Staff also decreased by 20% during that time. There was substantial similarity in the questions that were formerly asked at the Service Desk and Reference Desk. An integrated service point has been established at the Service Desk. The library assesses student responses to the changes by surveying graduating students. The number one issue for students is insufficient power in the parts of the library that were not renovated as well as crowding during dead week and finals. In response, the policy was changed last year to require student ID earlier for access during dead and final weeks, which should decrease the number of non-UCSB students present. The amount of space open for 24 hours was also increased.

Open Access
Meetings continued with Elsevier and Wiley this year but no deals have been announced. An Open Access agreement with Springer Nature was announced in July 2020.

Annex 2 Site Change
Annex 2 is the last remaining offsite storage facility for library materials. The UCSB Library is in the process of leaving the site, with the goal of finishing by October. It costs $23,000 per month to rent the facility and the library is looking for a more sustainable storage solution. The storage includes some music materials which will be returning to campus; compact shelving is being built for these materials now. LPs are coming back to the library. Additionally, Art and Architecture materials, map cases and a GIS photo collection will be going to Iron Mountain for climate-controlled storage. The library is considering space under Harder Stadium for special research collections; it would require security and climate control. All materials are being retained, just their location is changing.

Hathi Trust
Hathi Trust, as a result of the COVID-19 pandemic, began providing temporary collections access to members (4.5-5 million volumes) digitized by Google. This is controlled digital lending that has already been vetted by lawyers and experts; the access will only be provided until the stacks are able to be reopened. The Hathi Trust is open to the world, but additional benefits are extended to members, including UC affiliates.

Reopening the Library
The vision for reopening the library includes three phases. The first is part of the research ramp-up in consultation with VCR Incandela in which the library will initiate request and pickup service – “curbside delivery.” Materials may also be mailed if someone is not in town or unable to come to campus. The second phase entails opening the building to researchers to come in and obtain materials. Librarian Antelman intends to continue the paging service, however the current Hathi Trust access terms require that physical copies of digital material are not available. Therefore, the library cannot circulate those books in order to avoid losing digital access, but will provide books (not digitized) that are not available through Hathi Trust access. Book drop boxes were reopened at the main library as well as at the Music library to collect materials before people left for the summer. Returned books were left to sit for a while, even though the CDC released updated guidance that the potential for disease spread through surface contact is quite low. There is no need to urgently re-shelve since no one is there. Minimal staff completed a significant amount of scanning for course
reserves in preparation for summer courses. The third phase is for staff and students to be able to safely re-enter the building. Though plans are not definitive, the assumption is for at least some human presence in Fall and the library wants to provide services and collections access when that time comes. All departments are tracking expenditures related to COVID-19; the library has installed plexiglass for the service desk and procured a massive amount of wipes and hand sanitizer. The major costs are access fees for electronic collections, streaming media, and online experiments.

**Instructional Development Updates**

**Classroom Building**
The campus secured a general contractor for the new classroom building who is working with architects on the design phase (unusual for the campus). Proposals were sent to the Office of the President to obtain the next round of funding. The architects finalized plans for external materials, treatments, some of the interiors, and provided an updated construction schedule. Preconstruction activity commenced during Winter and Spring 2020 quarters to prep the site. The bike path is being rerouted toward the UCEN. The barracks building by Psychology will be razed; contaminated soil will need mitigation. Redwood will be removed for access. Groundbreaking is intended by the end of summer, with Winter or Spring 2023 the intended date for opening.

**Assistive Listening System Upgrade**
ID undertook the Assistive Listening System (ALS) Upgrade Project. Any space that seats over 50, per CA building code must have adaptive listening capability. The project is done and was under budget with funding from the Campus Accessibility Committee.

**Infrastructure for Remote Instruction**
The transition to remote instruction highlighted the need for a new registration system, based on how course ‘crashing’ took place in Spring quarter. This period has added impetus to move to a commercial student information system. The current system was produced in house. For normal operations, it does what it’s supposed to; however, commercial outfits like Banner have more options to handle special needs, as in the current extreme situation. The most vexing issue is Zoom bombing. Instructional Development has provided simplified instructions for how faculty can safeguard against these intrusions.

There was a question of whether Gauchospace would be able to handle the volume of traffic; there were some freezing issues at the beginning of Spring quarter. High-traffic times are being targeted by administration to give the server more resources to handle the load. Between midnight on Monday March 30 until 4pm Thursday April 2, Gauchospace received 4.5 million hits. Gauchocast had 1.3 million hits of video viewed or downloaded in one week. An increased ability to handle mass traffic is one of the benefits of having moved to the cloud.

One element not yet in place is a chat facility such as Slack. Such a tool must be FERPA compliant and easy to populate with course enrollments. The campus is adopting Nectir. The Library, ID, and Collaborate have committed funds and the contract is in place.

One challenge has been the ability of classroom services staff to assist remotely. Staff have been trained to use the Zendesk ticketing system to provide online tech support since they cannot do so in person. The average response time in Spring quarter was no more than five hours compared to the industry average of 23 hours.

**Information Technology Updates**

**Campus IT Assessment**
Every three years the Chief Information Officer (CIO) undertakes an intensive assessment process to examine information technology across the UCSB campus. He completed the first assessment in
June 2016, and the second concluded in December 2019. This assessment focuses on major accomplishments, expenditures, management effectiveness, governance, the campus IT labor force, the present state of technology on campus, and business and mission attainment risks associated with IT.

A comparison of the 2016 and 2019 assessments revealed rising expenses, consumption, and complexity across UCSB’s IT ecosystem. UCSB’s present IT capabilities related to support, easy-to-use services, and a complete portfolio of digital capabilities remain out of sync with rising societal expectations and increased use. Matching societal and community expectations to the skills and capabilities of our labor force requires the Office of the CIO to put substantial efforts into labor force transformation, engagement, satisfaction, and professional development.

Security
Multiple funding sources have contributed to improving the campus security posture. The Chancellor funded the Palo Alto Unified Threat Management system in FY 2016-17. UCOP funded a FireEye device. The Common Good Fee (CGF) has funded a Lastline appliance, Splunk, Sophos Server & Endpoint Malware Protection, a new VPN, and a UCOP Risk Assessment in addition to adding one new Security staff member.

Zoom
There were 8,000 instructional sessions in the first week of spring quarter with 6 “zoom bombing” incidents. Although members of the UCSB Faculty Association expressed concern about security infrastructure with Zoom, the numbers demonstrated a fairly successful experience with the platform in terms of security controls. Moreover, per the CIO, Zoom has been fairly responsive to critiques. At the start of the shutdown, Zoom announced it was pivoting its internal focus entirely to security improvements, with other feature development on hold. The program has 70 “common vulnerabilities.” All programs have these; Skype has 69 for comparison. The more standardized a tool becomes, the more hackers can concentrate their attacks on that tool. More than 50% of UCSB Zoom users are accessing the program through macs, which have additional security vulnerabilities within the program. Zoom’s encryption level is something to be concerned about but not in the short term. Currently it is considered “breakable” which is why governments advise against using Zoom to communicate sensitive information. The CIO does not see substantive security issues for the campus apart from “pilot” error or broader sociological issues. The controls are fairly reasonable, though there is a large learning curve. For the things we are doing on campus, it is not worrisome from a FERPA or intellectual leakage aspect. Zoom is as secure as any tool is going to get right now.

Some faculty reported struggling with the extensive options for configuring Zoom settings and requested that the campus produce a document pointing to recommended settings. “Keep Teaching Keep Learning” (https://keepteaching.id.ucsb.edu/) exists as a resource run by Instructional Development providing tools for faculty in the remote teaching realm.

Faculty Grants

Policy and Procedures Updates
The following updates were approved or discussed:
- The committee agreed to update the guidelines to reflect that postdocs cannot be funded using Faculty Research Grant money. This reflects a consistent position that this money should not be used to pay benefits.
- The committee discussed the computer funding policy and agreed to leave it as is. Occasionally requests are made for laptops that are described as necessary for the research, but will be used for work beyond the life of the research project. Members agreed to continue to leave this to both the proposer, to make the case for the needed item, and to the reviewers to decide.
- New phrasing was introduced to specify travel restrictions in accordance with University Policy AB 1887 prohibiting use of state funds for travel to certain states.
The committee did not find it necessary to stipulate encyclopedias in the list of what is considered or not in publication charges, and leave the decision to the reviewers if an argument is made that the work is a research or creative publication.

The committee stipulated that journal fees are not eligible for FRG funds. Requests have been made more recently for the high cost of open access journals; there is a fund set up through the library that can offset these costs.

The committee considered whether a PI could apply for a grant autonomously in addition to applying as a Co-I. The members determined that only one proposal per PI is acceptable; if co-PI’s want to apply independently for different components of the same project, they can, but there cannot be multiple proposals for the same professor.

Travel Grants

- The committee approved clarifying language to the Travel Grant Frequently Asked Questions document adding, “session chair” as an example of a position that is not supported by travel grants. The Senate has received an increasing number of applications for travel grants for roles/purposes that are not explicitly covered. CRPP members agreed that it is not possible to rule on any blanket exceptions by discipline; within a given field, a position generally considered a non-presenter may rise to the standard of funding, but that does not mean every request will be appropriate. If faculty requests are denied, they have the opportunity to appeal their situation to the co-chairs of the Committee on Faculty Grants.

- In recent years, travel grants had been erroneously awarded to those traveling internationally in back to back years, even though the rule only allows funding for international travel every other year. Because domestic travel is funded annually, some faculty had argued that they should receive the domestic rate and choose whether to spend the lesser amount on international travel. The committee ruled to keep the policy as is and only fund international travel every other year, regardless of whether a domestic trip is taken.

- The committee considered the policy designating a professor ineligible for a travel grant due to being on unpaid leave from the University. The committee upheld the current policy but pledged to revisit the concept at a later date.

- CRPP considered a revised structure for faculty travel grants i.e. dropping the tiers of international travel in favor of simplified domestic and international rates. Members weighed the pros and cons and, because of the uncertainty of the travel landscape, decided that any changes should be tabled and revisited in the 2020-21 year.

- The members clarified the current reimbursement policy as follows: if a conference is postponed to next year, that can still be counted/funded as a trip from 2019-20; in practice that may mean some people receive funding to take two trips next year. The current caps apply, based on the destination. However, if a non-refundable ticket was purchased with grant money and the trip was not completed, a second trip cannot be funded for the given term.

Summary of Grant Applications and Awards

The Faculty Research Grant (FRG) budget allocation for the 2019-2020 cycle was $1,000,000 and the Pearl Chase Research Grant (PC) budget allocation was $32,000. During this cycle, 126 completed applications were reviewed by the Committee on Faculty Grants; 116 proposals were fully or partially funded.

Due to the COVID-19 pandemic, the co-chairs allowed extensions to the submission deadline (March 29, 2020). Upon request, or if an initiated application was discovered as incomplete in the submission portal, faculty were given through April 8, 2020 to submit an application. It was announced by email that the opportunity for special accommodations existed for those in need.

The total amount of FRG funds awarded was $999,978.00. PC funds awarded totaled $12,000.
<table>
<thead>
<tr>
<th>Division</th>
<th>Amount Requested</th>
<th>Amount Awarded</th>
<th>Funding Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>ENGR</td>
<td>$175,506</td>
<td>$115,526</td>
<td>65.82%</td>
</tr>
<tr>
<td>ESMS</td>
<td>$18,000</td>
<td>$9,455</td>
<td>52.53%</td>
</tr>
<tr>
<td>GGSE</td>
<td>$137,163</td>
<td>$76,833</td>
<td>56.02%</td>
</tr>
<tr>
<td>HUFA</td>
<td>$390,482</td>
<td>$247,291</td>
<td>63.33%</td>
</tr>
<tr>
<td>MLPS</td>
<td>$622,783</td>
<td>$424,238</td>
<td>68.12%</td>
</tr>
<tr>
<td>SOSC</td>
<td>$137,222</td>
<td>$126,635</td>
<td>92.28%</td>
</tr>
<tr>
<td>TOTAL</td>
<td>$1,481,156</td>
<td>$999,978</td>
<td>67.51%</td>
</tr>
</tbody>
</table>
Membership (Organized by Committee)

Committee on Research Policy and Procedures (CRPP)

Jennifer Kam
Heejung Kim
Greg Mitchell
Yasamin Mostofi
Liming Zhang, UCORP Rep
Joseph Incandela, Ex Officio
Jennifer Smith, Non-Senate Academic Rep
Jianwen Su, Chair of CRIR and CRPP

Committee on Library, Information and Instructional Resources (CLIIR)

Forrest Brewer
Hilary Bernstein
Kathleen Foltz
Karen Lunsford
Kristin Antelman, Ex Officio
Kathryn Baillargeon, Non-Senate Academic Rep
Richard Caldwell, Library Rep
George Michaels, Consultant
Paul M. Berkowitz, Vice Chair of CRIR, Chair of CLIIR, UCOLASC Rep

Committee on Information Technology (CIT)

Dirk Bouwmeester
Ignacio Esponda
Lisa Jevbratt
Francis Macdonald
Kenneth Rose
Matthew Hall, Ex Officio
James Frew, Chair

Committee on Faculty Grants (FG)

Hilary Bernstein
Dirk Bouwmeester
Forrest Brewer
Gary Charness
Dorothy Chun
Samantha Daly
Ignacio Esponda
Kathleen Foltz
James Frew
Lisa Jevbratt
Jennifer Kam
Maryam Kia-Keating
Heejung Kim
Rachael S. King
Xiaorong Li
Karen Lunsford
Francis Macdonald
Greg Mitchell
Kenneth Rose
Greg Siegel
Gevirtz Graduate School of Education Executive Committee Annual Report: 2019-2020

According to Academic Senate Divisional Bylaws and Regulations, the Executive Committee of the Gevirtz Graduate School of Education is a committee of the Academic Senate authorized as an organization through which the Faculty of the School can coordinate the academic affairs of the School. The Committee reports to, and is responsible to, the Academic Senate and its officers. The Executive Committee is distinguished from Administrative Committees that are created by the Administration and are responsible to, and report to, Administrative Officers.

2019-2020 Members
Andrew Fedders, Chair – GGSE Credential Leadership Committee Representative, Teacher Education Program Representative, Department of Education
Tarek Azzam – Department of Education Representative
Andrew Maul – Department of Education Representative
Ty Vernon – Department of Counseling, Clinical and School Psychology Representative
Maryam Kia-Keating – Department of Counseling, Clinical and School Psychology Representative
Victoria “Tory” Harvey – Non-Senate Faculty Representative (Teacher Education Program)
Shane Jimerson, Vice Chair – Department of Counseling, Clinical and School Psychology Representative
Stephanie Arguera, Student Representative - Department of Education
Vacant, Student Representative - Department of Counseling, Clinical and School Psychology
Jeff Milem, Dean
Aaron Ballett, Advisor
Briana Villasenor, Advisor

Executive Summary
The Faculty Executive Committee met seven times during the 2019-2020 academic year and addressed policy matters, curricular and academic matters, and Gevirtz Graduate School of Education (GGSE) matters presented by the Academic Senate and members of the GGSE.

Policy Matters:
- ESCI Ad Hoc Committee
  - The FEC appreciates the Ad Hoc committee’s work and began to look at alternatives or augmentations to the ESCI also
- Report of the Ad Hoc Committee on Online Course Evaluations
The FEC echoes the concerns about low response rates of online course evaluation though we understand the inordinate amount of staff time required for paper evaluations. Potential changes or augmentations to the ESCI could help alleviate concerns about response rates and skewed results by providing more context and data on the quality and effectiveness of our instruction.

- **NCAA Eligibility Requirements**
  - The FEC supports UCSB adopting the NCAA eligibility requirements.

- **BOARS Recommendation to Eliminate the ACT-SAT Essay Requirement**
  - The FEC approves the recommendation to eliminate the SAT/ACT Essay requirement for undergraduate admission.

- **Report of the Academic Council’s Standardized Testing Task Force**
  - The FEC also agree with the additional recommendation by Glater, Gardana, Lynch, Maul, Cai, and Francis that the UC system consider “eliminating consideration of scores on these standardized tests in admissions in a shorter time period than the nine-year span contemplated by the Report and potentially before an alternative suite of assessments is developed”.

- **Flexibility of Grading Options**
  - The FEC did not have a planned meeting in time for the deadline on this item, and requested feedback email did not meet a quorum, but those that offered feedback did so in support of the proposed changes.

- **Units for Program Review in 2021-22**
  - The FEC recommends that programs that have not undergone reviews in ten or more years be prioritized. This would include Computer Science, East Asian Languages and Cultural Studies, Film and Media Studies, Media Arts and Technology Program, Latin American and Iberian Studies Program, Environmental Studies Program, Anthropology, Sociology, and Military Science.

- **Fall 2020 Registration Timeline Pilot**
  - The GGSE opted not to opine.

---

**Curricular and Academic Matters:**

- **UG Ocean Literacy Course**
  - The FEC approved the creation of this proposed new course.

- **Master of Education in School Psychology**
  - The FEC approved the reinstatement of the M.Ed in School Psych.

- **ED Minor Changes**
  - The FEC approves the creation of a new undergraduate course: ED 196, a general practicum course as an elective in the Educational Studies minor.
We also approve the increase of ED 128, ED 129, ED 130, and ED 131 to be increased from 3 to 4 units. This also will result in an increase in the units required in the Science and Mathematics Education minor tracks. This increase will be from 24 to 26 upper-division units in the Elementary Track and from 22 to 23 upper-division units in the Secondary Track.

**GGSE Matters:**

- Syllabi Statements for GGSE
  - In the 2017-18 school year the FEC worked to draft school wide language to be used in all syllabi. After further review, discussion, and vetting with other campus offices, the FEC voted to adopt the language and use it in all syllabi.

- ESCI
  - There have been repeated critiques that ESCI scores reflect implicit bias against racial minorities and women. In an effort to explore alternatives, the FEC has been reading and discussing research pertaining to teacher evaluation, other efforts on campus to find alternatives/additions to the ESCI. This work is ongoing and will be explored more fully in the next academic year.
To the Faculty Legislature, Santa Barbara Division:

The Graduate Council met for fourteen regularly scheduled two-hour sessions and one additional session during the 2019-20 term.

Executive Summary
The Graduate Council’s purpose is to set standards for and policy on graduate education; to ensure the viability and quality of graduate programs; and to provide advice and consent on all matters of policy, planning, programs and practice that impact the quality and diversity of UCSB’s graduate students and their educational experience.

The Graduate Council discussed and took action on a variety of key issues during the 2019-20 term, among them:

- Responding to the impacts of the COVID-19 pandemic on graduate students by approving exceptions to current policies and practices, including extending time-to-degree by one year for all graduate students and allowing more flexible S/U grading for spring quarter.
- Approving the establishment of: a terminal Master of Education in School Psychology; a graduate degree program in Biological Engineering; and an Interdisciplinary Ph.D. Emphasis in Climate Sciences and Climate Change.
- Commenting on various divisional draft policy documents including: proposed addition of language stipulating that students must be in compliance with the Student Code of Conduct to have their degree conferred; reports of ad hoc committees on ESCIs and Online Course Evaluations; part-time study and part-time tuition for graduate students; and a proposed graduate program name change for the Department of Theater and Dance.

I. Graduate Course Requests
Graduate Council authorizes, supervises, and regulates all graduate courses except such courses exempted by action of the Regents. During the period between 7/1/2019 and 6/30/2020, Council processed a total of 262 course requests, including new courses, modifications, and discontinuations.

II. Review of Academic Programs and Research Units
In cooperation with the Program Review Panel, Graduate Council participated in the Academic Program Review of the following departments and programs during the 2019-20 term: Communication; Comparative Literature Program/French and Italian/Germanic and Slavic Studies; Mathematics; and Statistics and Applied Probability.

Graduate Council recommended four departments and one program for Academic Program Review in 2021-22.

III. Proposals to Establish Programs, Emphases, Academic Units and Research Units
- Issued its support for a proposal from the Bren School to charge Professional Degree Supplemental Tuition (PDST) to its Master of Environmental Science and Management graduate program.
- Reviewed, sent back two rounds of questions to the initiators, and ultimately approved a proposal to establish an Interdisciplinary Ph.D. Emphasis in Climate Sciences and Climate Change.
● Considered, sent questions back to the initiators, and ultimately approved a proposal to establish a terminal Master of Education in School Psychology in the Department of Counseling, Clinical and School Psychology.
● Reviewed and sent feedback to the initiators of a proposal to establish a 4 Plus 1 Master of Science in Geographic Information Science (GIS).
● Reviewed and approved a proposal to establish a graduate degree program in Biological Engineering, and supported the establishment of an academic unit in Biological Engineering.

IV. Name Changes
Approved the name change of the graduate programs in the Department of Theater and Dance from “Theater Studies” to “Theater, Dance, and Performance Studies”.

V. Changes to Existing Programs
● Approved request from the Department of Feminist Studies to suspend graduate admissions for one year.
● Approved removing the oral dissertation defense requirement for the Ph.D. tracks in Hispanic Languages and Literatures in the Department of Spanish and Portuguese.
● Approved the creation of a course subject code for the Master of Environmental Data Science.
● Approved the addition of the Department of Philosophy to the participating units of the Interdisciplinary Ph.D. Emphasis in Cognitive Science.
● Approved the proposed changes to the degree requirements for the Department of Molecular, Cellular and Developmental Biology graduate programs.
● Approved the proposed curricular changes to the Master of Technology Management.
● Approved removing the shorter time-to-degree for the Ph.D. in Physics.
● Approved curricular changes to the Ph.D. in Theater, Dance and Performance Studies.
● Approved revisions to the Ph.D. qualifying exam in Portuguese and Brazilian Literatures in the Department of Spanish and Portuguese.
● Approved changes to required courses in the Teacher Education program.
● Approved proposed changes to the D.M.A. curriculum.
● Approved the addition of a field to the graduate program in the Department of History.
● Approved curricular changes and an increased Ph.D. time-to-advancement and time-to-degree for the Department of Chicana/o Studies.
● Approved curricular changes to the graduate programs in East Asian Languages and Cultural Studies.
● Approved conforming curricular changes in Biomolecular Science and Engineering.
● Approved the proposed changes to the Interdisciplinary Ph.D. Emphasis in Cognitive Science.
● Approved the proposed curricular changes to the M.A. in Global Studies.
● Approved changes to the Composition emphasis in the Department of Music.
● Approved changes to the qualifying exams for the Comparative Literature Program.
● Approved request from the Department of Sociology to suspend graduate admissions for one year.

VI. Student Petitions
Graduate Council did not receive any student petitions for 2019-20.

VII. Local Business
Faculty Graduate Student Mentoring Guidelines
Graduate Council continued work on the graduate mentoring guidelines started last year. Dean Genetti explained that graduate mentoring has been “under the radar” and something that faculty have not
been thinking about explicitly. Some members voiced the ongoing concern that mentoring looks very different among disciplines, while other members thought GC’s document was broad enough to apply to all faculty. Some ideas discussed included having the document as a way to spark discussions within departments; requiring departments to address mentoring within the Academic Program Review process; and presenting the guidelines as being part of a more holistic approach to mentoring on campus.

A draft was sent to a selection of graduate advisors (one from each college/school/division) for feedback. Comments received were generally very positive. Overall, members felt that the document encourages mentoring efforts from many different angles, is not prescriptive, and helps the campus be more proactive in regards to mentoring. There is a sense that student mental health issues are increasing, which faculty feel ill-equipped to handle. There is also evidence, through Academic Program Review surveys and national reports, that students are finding it increasingly difficult to find effective mentoring. Consultation with the Senate Chair is ongoing and the hope is to distribute this document in this next academic year.

**Student Conduct-Degree Clearance Proposal**

Graduate Council was joined by Leesa Beck, University Registrar, to discuss the proposal to require that students be in compliance with the Student Code of Conduct in order to have their degree conferred. GC reviewed the proposal last year, and had some serious concerns about students being “guilty until proven innocent”. Registrar Beck explained to GC that revisions to the UC Policies Applying to Campus Activities, Organizations and Students (PACAOs) now require that campuses withhold awarding degrees to students who are in the middle of an investigation. This proposal would allow withholding degrees for students who commit a serious conduct violation near the end of their academic career, and complete their coursework before a sanction takes effect.

Ultimately, members agreed that this policy would address the current inequities in the sanctioning process, and GC voted unanimously to endorse the proposal.

**Part-Time Study and Part-Time Tuition for Graduate Students**

Dean Genetti presented a proposal to implement part-time study and part-time tuition for graduate students. A 1981 Presidential Policy allowing part-time study for graduate students was recently discovered; UCSB was one of two campuses that had not implemented this. The implementation policy would allow terminal master’s degree students, teaching credential students, and doctoral students who have not yet advanced to candidacy be eligible for part-time status. Part-time status would reduce half of tuition and non-resident supplemental tuition fees. Allowable reasons for part-time status would be limited to health, specific occupation and family responsibilities. Overall, GC was supportive of Graduate Division implementing a policy to adhere to the 1981 Presidential Policy.

**Report of ESCI Ad Hoc Committee**

GC discussed the Report of the ESCI Ad Hoc Committee. Members had a great degree of recognition of the problem, and thought the report disturbing, but well-founded. GC agreed that the ESCI system has had detrimental effects on instruction. There was concern about how the Committee on Academic Personnel uses ESCI scores and written comments for merit and promotion cases, and how one or two student comments can be used to represent a whole class. Members discussed how other institutions use faculty visits and peer review.

In terms of the effect on graduate education, members discussed how ESCIs are effectively the record of
teaching for graduate students and postdoctoral students. ESCI scores are used for TA and associate appointments, as well as when a student enters the job market. Many graduate courses are small, and some departments effectively erase graduate student feedback because of this. Graduate students may also be fearful to provide comments, as they worry faculty will be able to identify them and they could face repercussions. Council agreed that it would like to see the report address graduate students as a constituency of concern, as they are not mentioned. GC sent forward a memo with its main concerns.

Report of Ad Hoc Committee on Online Course Evaluations
Graduate Council reviewed the Report of the Ad Hoc Committee on Online Course Evaluations. Members overwhelmingly agreed that this ad hoc committee should speak with the ad hoc committee tasked with completely overhauling the current ESCI system. There was discussion about accessibility and students with differential access; the need for the online system to adapt to new or revised questions; having a system that would allow faculty to create their own additional questions; concern about the likely drop in response rates; and the environmental impact of continuing to use paper. The Council voted and by majority agreed that the plan to move campus course evaluations online should proceed, after areas of concern are addressed. GC sent forward a memo with a summary of members’ comments.

Fall 2020 Registration Timeline Pilot
Graduate Council reviewed the Fall 2020 Registration timeline pilot, which would adjust registration timing and unit thresholds to address numerous issues with the current registration process. Members were overall supportive of this pilot, but pointed out that there should be a contingency plan for new student registration during the summer if orientation programs must be moved online.

Winter NG Resolution
Winter quarter, graduate students at UCSB joined graduate students at UCSC in a wildcat strike for a Cost of Living Adjustment. Some striking students withheld winter quarter grades for undergraduate students. Associate Vice Chancellor of Undergraduate Education Jeffrey Stopple circulated a memo that asked faculty members to get involved in obtaining those grades. Multiple members referenced a memo sent from the Office of the Registrar on March 24, which stated that missing grades would not be converted into F grades until the end of Fall Quarter 2020. It turned out that this communication was incorrect, and missing grades would be converted into F grades at the end of spring quarter. While many members objected to the tone and message of the memo, some members expressed a need to provide constructive input to help resolve the current situation. The suggestion was to instead inform the undergraduate students “that they can request the grade from their respective Teaching Assistant or the Instructor on Record”. There was also a minority suggestion that in addition to extending missing grades until Fall Quarter, all such grades should ultimately be converted into a Satisfactory (S) grade.

With the onset of the COVID-19 pandemic, the Graduate Student Association detached themselves from the movement. Most if not all missing winter quarter grades were eventually submitted.

Nominations for Program Review Panel
Graduate Council submitted the names of five Senate faculty members to the Committee on Committees for consideration for service on the Program Review Panel (PRP) beginning in 2020-21.

COVID-19 Graduate Student Issues
Graduate Council held its last meeting of winter quarter right before the California Stay-at-Home Order went into effect. Graduate Council held all of its spring quarter meetings via Zoom, and held an
additional meeting in early April in order to address urgent issues affecting graduate students. Action that Graduate Council took in spring quarter:

- **Satisfactory/Unsatisfactory (S/U) grading.** Graduate Council voted to allow departments to relax their requirements for letter-graded courses for spring quarter (Senate Regulation 30). Departments could offer any graduate course for an S/U grade and courses taken for an S/U grade could count towards departmental requirements.

- **Time-to-degree extensions.** Graduate Council approved an automatic one-year extension to time-to-candidacy and time-to-degree norms, available to all current master’s and doctoral students. Members recognized that students extending their time would need additional funding, but that this could not be guaranteed.

- **Approving a statement to be sent from Graduate Division encouraging departments to consider not requiring the GRE for admissions for the next cycle and reiterating the importance of holistic admissions to prospective graduate students.**

- **Encouraging deferments be granted more liberally this year, but on a student-by-student basis.**

Graduate Council also discussed many other issues due to COVID-19, including:

- **The possibility of summer sessions and fall quarter moving online.** Members were concerned about how to uphold academic quality and standards, how they could create adequate online courses for future terms, and what criteria was being used to evaluate proposals for new online courses. Members also talked about the impracticalities for graduate students to learn, teach and conduct research online, while at the same time trying to take care of their own family and financial responsibilities.

- **The well-being of graduate students.** Graduate students serving as Teaching Assistants and Teaching Associates had an immense responsibility to move instruction from in-classroom teaching to remote teaching. Many students had field travel and research cancelled, which would delay progress to their degrees. Graduate students with children were affected by the closures of schools and childcare providers. Many graduate students were already vulnerable in terms of food and housing, and this pandemic only exacerbated this vulnerability. Graduate students who augmented their income by working for hourly and temporary wages both on-campus or off-campus saw their income sources disappear.

- **Extending the 18-quarter limit for serving as a Teaching Assistant.** This is a UC policy, and discussions were happening systemwide. Eventually, it was decided that the COVID affected quarters would not count towards the 18-quarter limit.

- **In May, meeting with Vice Chancellor of Research Joseph Incandela and Librarian Antelman to discuss research and Library reopening plans.**

- **The Presidential Proclamation issued by President Trump on May 29 that would implement further restrictions on foreign nationals affiliated with the People’s Republic of China and the People’s Liberation Army.** There are a handful of Chinese institutions affected, but it is likely there are current and incoming students from those.

- **Whether international students who enroll remotely this fall will be eligible to be employed.** There are a number of issues such as taxation and payroll for students who have not actually stepped foot into the U.S. UCOP sent out in-depth guidance during the summer.

- **Potential cancellation of courses that serve as graduate program requirements.**

- **Some departments exploring suspending admissions for the 2021-22 year.** Some departments are keeping ABD students on, if they have not gone over time-to-degree, in order to provide some funding for these students who would be entering a terrible job market.
VIII. **Systemwide Business**
Graduate Council was not asked to formally comment on any systemwide issues this year.

IX. **Committees**
Over the past several years, Graduate Council has opted to handle the vast majority of its business in full Council sessions, rather than delegating issues to the subcommittees. The subcommittees are called to meet only on an ad hoc basis.

X. **Carry Over Issues for 2020-21**
- Dealing with the effects of the COVID-19 pandemic and addressing its impacts on graduate students.
- Widely distributing the faculty graduate student mentorship guidelines.
- Conducting a review of the policies and procedures for establishing new interdisciplinary Ph.D. emphases.
- Reviewing a revised proposal to establish a 4 Plus 1 Master of Science in Geographic Information Science (GIS).

---

**Members 2019-20**

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Divyakant Agrawal, Chair, CCGA Rep</td>
<td>Professor, Computer Science</td>
</tr>
<tr>
<td>Tamara Afifi, Vice-Chair</td>
<td>Professor, Communication</td>
</tr>
<tr>
<td>Omer Blaes</td>
<td>Professor, Physics</td>
</tr>
<tr>
<td>Heather Burton</td>
<td>Associate Professor, English</td>
</tr>
<tr>
<td>Hector Ceniceros</td>
<td>Professor, Mathematics</td>
</tr>
<tr>
<td>Andres Consoli</td>
<td>Associate Professor, Counseling, Clinical &amp; School Psychology</td>
</tr>
<tr>
<td>Karen Gibson</td>
<td>Associate Professor, Education</td>
</tr>
<tr>
<td>Konstadinos Goulias</td>
<td>Professor, Geography</td>
</tr>
<tr>
<td>Cynthia Kaplan</td>
<td>Professor, Political Science</td>
</tr>
<tr>
<td>Peter Kuhn</td>
<td>Professor, Economics</td>
</tr>
<tr>
<td>Hua Lee</td>
<td>Professor, Electrical &amp; Computer Engineering</td>
</tr>
<tr>
<td>Eric McFarland</td>
<td>Professor, Chemical Engineering</td>
</tr>
<tr>
<td>Karen Myers</td>
<td>Professor, Communication</td>
</tr>
<tr>
<td>Norbert Reich</td>
<td>Professor, Chemistry &amp; Biochemistry/Bimolecular Science &amp; Engineering</td>
</tr>
<tr>
<td>Dwight Reynolds</td>
<td>Professor, Religious Studies</td>
</tr>
<tr>
<td>Mark Rodwell</td>
<td>Professor, Electrical &amp; Computer Engineering</td>
</tr>
<tr>
<td>Adam Sabra</td>
<td>Professor, History</td>
</tr>
<tr>
<td>Jennifer Sorkin</td>
<td>Associate Professor, History of Art &amp; Architecture</td>
</tr>
<tr>
<td>Ann Taves</td>
<td>Professor, Religious Studies</td>
</tr>
<tr>
<td>Sarah Thebaud</td>
<td>Associate Professor, Sociology</td>
</tr>
<tr>
<td>Sara Pankenier Weld</td>
<td>Associate Professor, Germanic &amp; Slavic Studies</td>
</tr>
<tr>
<td>Carol Genetti, Graduate Dean, Ex-Officio</td>
<td></td>
</tr>
<tr>
<td>Alexander LeBrun, GSA Rep</td>
<td></td>
</tr>
<tr>
<td>Paige Digeser, Associate Dean, Consultant</td>
<td></td>
</tr>
<tr>
<td>Robert Hamm, Assistant Dean, Consultant</td>
<td></td>
</tr>
<tr>
<td>Kelly Rivera, Advisor</td>
<td></td>
</tr>
</tbody>
</table>