COUNCIL ON FACULTY ISSUES AND AWARDS
ANNUAL REPORT: 2015-16

Executive Summary

Per Bylaw 60 the purpose of the Council on Faculty Issues and Awards (CFIA) is to study and make recommendations on any matter of interest and welfare of the campus community, and to reward excellence in research and teaching.

Highlights:

- **Academic Freedom**
  An Ad Hoc Committee on Academic Freedom was formed in January to follow the development of issues pertaining to Academic Freedom and the UC Regents statement of “Principles Against Intolerance” and to collaborate a response.

- **Cybersecurity**
  With the February release of UCOP’s statement on cybersecurity across the UC system, the Cybersecurity Working Group was created in June to keep faculty up-to-date and informed of cybersecurity, privacy, and the concerns of UCOP monitoring internet traffic.

- **Faculty Housing Affordability and Wait List Protocol**
  The council explored and discussed the faculty housing wait list protocols and expressed the need of transparency with regard to procedures. In addition, the issue of affordability was presented at the April meeting of Faculty Legislature. The council’s concern is that even below market prices, faculty housing is still expensive in relation to the (junior) faculty salaries. Senior Administrators met with CFIA and expressed that they share the same concern. Council will continue to follow these issues in the coming year.

- **Faculty Leave and Disability**
  Council members expressed concern of unequal treatment between departments due to limited knowledge of policy and practice, and limited terms (chairs) and/or staff turnover. Another concern was the differentiation between HR Disability Services and the Office of Academic Personnel. Often times it is unclear where faculty should go with regard to disability and leave, and CFIA recommended creating a centralized location for guidelines or provisions on campus.

- **New Retirement Benefits Options**
  As a result of the budget agreement between UC and state leaders, President Napolitano appointed a systemwide Retirement Options Task Force (ROTF) of faculty, staff, and administrators to develop a new set of retirement benefits options for new hires on or after July 1, 2016. The new plan offers employees the choice of two pension plans — a hybrid of defined benefits with 401(k)-style supplemental benefits and a stand-alone 401(k)-style plan.

- **Senate Awards**
  Four committees deliberated on Academic Senate awards for research, teaching, and mentoring. The nominations decreased for this year’s teaching awards due to the new requirement of a 200-500 words statement at the time of the initial nomination letter. The council may revisit the requirement for the next cycle.
MEETINGS

The council held nine regularly scheduled meetings during the academic year and consulted with relevant campus administrators regarding issues within its purview. General issues and concerns are summarized below.

SYSTEMWIDE ISSUES AND REVIEWS

Academic Personnel Manual (APM) Revisions – 278, 210-6, 279, 112, 350 – Clinical Series

Along with other Senate councils and committees, members if the CFIA were invited to review this document. The council did not have additional comments for consideration.

Adoptions Benefits Proposal

The CFIA reviewed and supports the adoption benefits proposal. Members commented that the UC prides itself on being family-friendly and this proposal is to move forward with action. One member also suggested extending the support to families that have other childbearing challenges or difficulties.

Best Practices for Diversifying the UC Faculty

Members noted that the UCSB Red Binder has existing language on diversifying faculty through excellence: “an exceptional scholar who would make special contributions to diversity in a particular program or field,” and suggested the statement to be added to the systemwide guidelines as well.

New Retirement Benefits Options

As a result of the budget agreement between UC and state leaders, which placed a requirement on UC to align the maximum pension with that of state employees ($117,000), President Napolitano appointed a systemwide Retirement Options Task Force (ROTF) of UC faculty, staff, and administrators to develop a new set of retirement benefits options for new recruits hired on or after July 1, 2016. Current employees and retirees are not affected by these changes because accrued pension benefits are protected by law and cannot be reduced or revoked.

The Regents approved the new retirement plan in March to offer new employees the choice of two options:

- Option 1 – a hybrid of defined benefits with 401(k)-style supplemental benefits; or
- Option 2 – a stand-alone 401(k)-style plan.

Details about the changes are available on the UCnet website and the facts sheet is available here: http://ucnet.universityofcalifornia.edu/compensation-and-benefits/2016-retirement-benefits/rotf-fact-sheet.pdf.

The council responded that the major concern is the issue of shared governance. The negotiations between President Napolitano and Governor Brown were not in consultation with the Academic
Senate. CFIA expressed concern that the Senate was not a proactive member of the negotiations and this did not allow or encourage careful deliberation on this important matter, and afford the opportunity to analyze unintended consequences. Both options in the Task Force report will dramatically reduce pension benefits for new hires, significantly affect future recruitment and retention efforts, likely affect the financial health of the current plans, and ultimately, erode the quality of education at the University of California.

**Report from the Joint Committee of the Administration and Academic Senate – Faculty Discipline**

The council reviewed the document and suggested that clear guidelines and statements of departmental personnel actions to be developed with regard to faculty misconduct, and to factor it in during merit reviews. While members commended the efforts of training, it was noted that the Report called for more education, and the council deliberated on its effectiveness. Despite the training already provided in place, many faculty members are not aware of the mandatory reporting requirement or the appropriate reporting channel. The council recommended that the quality of training, rather than quantity, be revisited and that the education of sexual harassment and sexual violence should be a continuing conversation.

**Search Waivers for UC Academic Appointees – Guiding Principles**

Members were generally pleased with having such a document in place to encourage uniformity across campus. However, although there was mention of diversity in the introduction, it was only mentioned as a criterion for Postdoctoral Fellows. It was suggested that “an exceptional scholar who would make special contributions to diversity in a particular program or field” be added to “Target of Excellence” (wording from the UCSB Red Binder). The council also recommended the document to include guidelines about split appointments in the case of one member continuing the appointment when the other member does not.

**Sexual Violence and Sexual Harassment Policy Revisions.v.2**

CFIA discussed the revisions and supports the policy with a few editorial suggestions, which are detailed in the response memo. The council also recommended the document to be carefully proofread for accuracy and appropriate language, and that responsibility and legal terms are to be clearly defined to avoid ambiguity, and to further allow everyone in the university community to understand the policy.

**LOCAL BUSINESS**

**Ad Hoc Committee on Academic Freedom (Ad Hoc CAF)**

Academic Freedom had gained increased attention as of late. In September 2015 the UC Regents debated on this issue in relation to the “University of California’s Statement of Principles Against Intolerance” that was presented earlier in the year. Following the Regents meeting, the UC Regents Working Group on Intolerance was formed to develop a new document on the principles against intolerance and held a forum in October to hear public input. The University Committee on Academic Freedom (UCAF) and the UC Faculty Association issued strong statements defending Academic Freedom, and the CFIA members also debated on speech code and censorship.
In consultation with Chair Awramik and Divisional Chair Bhavnani, an Ad Hoc Committee on Academic Freedom was formed to follow the development of issues pertaining to the Regents’ statement, work with CFIA and UCAF and to collaborate on a response to the UC Regents when the new document is presented. Another part of the charge of the Ad Hoc Committee is to respond to concerns surrounding Academic Freedom.

In March 2016 the UC Regents approved an amended statement of the “Principles Against Intolerance” and the Working Group’s report was released. The UCAF and the Ad Hoc CAF have yet issued responses and will continue to follow the development of this issue next year.

Additionally, there had been discussions regarding the creation of a standing committee on Academic Freedom independent of CFIA. A memo with the recommendation was submitted to Divisional Chair Bhavnani for consideration. In the meantime, the Ad Hoc CAF will continue in the 2016-17 year under the current structure and provide suggestions on how to move forward.

**Child Care at UCSB**

In June 2015, CFIA submitted a report to Divisional Chair Bhavnani with concerns and recommendations for child care on campus. The report, which specifically asked that a joint Senate-Administration Task Force on this matter be established, was subsequently sent to the Executive Vice Chancellor Marshall for consideration. EVC Marshall has asked COC for names and it is hoped that the task force will meet this coming year, review the report, and make recommendations.

**Cybersecurity Working Group**

With the February release of UCOP’s statement on cybersecurity across the UC system, and the device installed at the UC Berkeley campus (and later confirmed that the device was installed at all campuses), questions and concerns emerged, and more importantly there was great deal of distrust amongst faculty with UCOP due to the lack of consultation.

CFIA discussed and supported the idea of forming a Cybersecurity Working Group to work with CIO Matt Hall and to keep faculty up-to-date and informed of cybersecurity, privacy, and the concerns of UCOP monitoring internet traffic. The proposal was presented and endorsed by the Faculty Legislature at the meeting of April 21.

**Community Housing Authority (CHA) Guidelines**

Members discussed the guidelines and agree that the structure seems adequate. The council endorses the proposed document with one recommendation that the board also develop written guidelines for waitlist management, as it is an important aspect of recruitment and retention.

**Faculty Leaves and Disability**

After consultation with Human Resources, council members expressed concern of unequal treatment across campus departments due to limited knowledge of policy and practice, and limited terms (chairs) and/or staff turnover. Another concern is the differentiation between HR Disability Services and the Office of Academic Personnel; often times it is unclear where faculty should go with
regard to disability and leave. A draft memo to Divisional Chair Bhavnani was developed with recommendations for clarity and transparency of easily accessible policies for faculty. It was mentioned that UCSB may be the only campus without a centralized location for guidelines or provisions, and there should be one.

**Faculty Housing**

CFIA explored and discussed the faculty housing wait list protocols and expressed the need of transparency with regard to procedures. It appears the original guidelines were developed by the Chancellor’s Committee on Faculty Housing quite a few years ago, and under the current structure inquiries are to be directed to department chairs and the Office of Academic Personnel. Council members noted that there may have been breaks in communication, which led to confusion and misconception, as a result of not having a clear set of guidelines or protocol published for faculty and staff access. No conclusion was reached and the council would like to continue the discussion next year.

In addition, the issue of affordability was presented at the April meeting of Faculty Legislature. During that conversation it was discovered that there is inconsistent information with regard to the 40-year MOP (Mortgage Origination Program) loans. Senior administrators met with CFIA in May and expressed that they share similar concerns of the faculty regarding housing prices. It was reiterated that housing is a self-supporting program with no campus subsidy and the limitations of construction climate was part of the formula when calculating costs. Furthermore, Phase III was designed to be higher-end, single family homes. The future development of Phase IV and V (72 units) will be designed as smaller homes, at lower prices, to provide some relief to the needs and demands.

The council’s concern is even at 10-15% below market rate, faculty housing is still expensive in relation to most (junior) faculty salaries. It was confirmed systemwide that the 40-Yr MOPs are available, but it is up to the Chancellors at each campus to implement the loans. They are not available at UCSB and discussions will be on-going with the Administration on this matter.

**Red Binder Revisions, Fall 2015**

The council reviewed the revisions and discussed [7-1] Policies on Open Recruitment for Academic Appointments. Members commented that the section on diversity should be emphasized and the suggested language to be: “...an exceptional scholar who would make special contributions for diversity and to diversity a particular program of field....” The councils did not have additional comments regarding this document.

**ACADEMIC SENATE AWARDS**

Four committees deliberated on the Academic Senate awards for research, teaching, and mentoring. Per recommendations by last year’s committees to CFIA, the awards guidelines were updated and implemented this cycle. One of the significant changes for the teaching and mentoring awards was the requirement of a 200-500 words statement of the initial nomination. The change resulted in a significant reduction of nominations for both of the teaching awards. However, the
change did not seem to have affected the mentoring awards, as there was an increase in nominations. The table below summarizes the number of nominations by year:

<table>
<thead>
<tr>
<th>Year</th>
<th>DTA Senate</th>
<th>DTA Non-Senate</th>
<th>DTA Total</th>
<th>OTA</th>
<th>FRL</th>
<th>GMA</th>
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<td>47</td>
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<td>7</td>
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Notes:
- **DTA** - Distinguished Teaching Awards
- **OTA** - Outstanding Teaching Assistant Awards
- **GMA** - Graduate Mentor Awards
- **FRL** - Faculty Research Lecturer (beginning in 2010, nominations were held on file for two additional years)

**Consultations with the Administration and Others**

- **Chuck Haines**, Director, Capital Development, Office of Budget and Planning
- **Elizabeth Delo**, Manager, Disability Services, Human Resources
- **Henning Bohn**, Professor, UC Retirement System Representative
- **Joel Michaelson**, Chair, Chancellor’s Advisory Committee on Faculty and Staff Housing
- **Matt Hall**, Associate Vice Chancellor for Information Technology and Chief Information Officer, Enterprise Technology Services
- **Richard Watts**, Faculty Advisor, Office of the Chancellor
- **Todd Lee**, Assistant Chancellor, Office of Budget and Planning

**Carry-Over Issues**

1. **Ad Hoc Committee on Academic Freedom**
   The Ad Hoc Committee will continue one more year under the current structure and provide suggestions on how to move forward.

2. **Faculty Housing Wait List Protocol**
   There is interest amongst council members to continue to explore the protocol and guidelines of faculty housing waitlists, which were developed by the Chancellor’s Committee on Faculty
Housing quite a few years ago, and it was suggested that the Office Academic Personnel be invited to meet with the council for consultation.

(3) Faculty Leave and Disability
CFIA members recommended the creation of a centralized location for guidelines or provisions on campus for faculty leave and disability and may follow up next year.

(4) Student Loan Forgiveness for Faculty
At the June meeting one member inquired about the possibility of student loan forgiveness and noted that it may benefit junior faculty. After some research, it was clarified that there is an existing Public Service Loan Forgiveness (PSLF) program offered by the Department of Education. No conclusion was reached on what actions to take, if any, due to the timing being at the end of the academic year.

MEMBERS
S.J. Allen, Emeritus Representative
Frank Brown
Sharon Conley
James Cooper, Emeritus Representative
Tommy Dickey
Teofilo Gonzalez
Sreenivasa Rao Jammalamadaka
Gene Lerner
Samir Mitragotri
Erika Rappaport, UCAF Representative
Heather Stoll
Cristina Venegas
Volker Welter
Ilan Ben-Yaakov, Non Senate Academic Representative
Saline Lay, Associated Students Representative
Sarah Cline, Vice Chair
Stanley Awramik, Chair, UCFW Representative