

COMMITTEE ON PLANNING AND BUDGET

Annual Report 2022-23

To: Academic Senate, Santa Cruz Division

I. Overview

This report is organized by the following sections:

- Shared Governance and Consultation Process
- Faculty FTE Review
- ‘Fresh AIR’: Divisional Resource Modeling
- Space and Capital Planning
- Highlighted 2022-23 Reviews
- Regular Committee Business
- Local and Systemwide Issue Review
- Continuing Issues for CPB in 2023-24

II. Shared Governance and Consultation Process

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

The committee typically has a standing consultation with the CP/EVC at its weekly meetings, and this year consulted with CP/EVC Kletzer during fifteen of these meetings. CPB also schedules formal consultations with the Associate Vice Chancellor for Budget and Planning (AVCBAP) annually for overviews of the campus budget and budget outlook, and other topics as needed (this year, an overview of the planned campus Academic Resource Model [now Fresh AIR] and campus carryforward and deficit balances). Over the summer, the CPB Chair and Analyst will plan to work with AVC Register to make any necessary changes to the consultation calendar for 2023-24 in order to support CPB engagement in key issues of budget and planning, and to efficiently support areas of collaboration between CPB and Office of Budget and Planning (BAP). AVC Register also regularly attended the CP/EVC standing consultations.

CPB consults with the academic deans every fall informally, then again in winter on their division’s faculty FTE requests to the CP/EVC. Graduate Council (GC) and Committee on Educational Policy (CEP) Chairs are also annually consulted in winter on the faculty FTE requests.

In 2022-23 CPB continued to examine consultation processes to ensure transparency and collaboration. We discussed creating clearer guidelines about consultation materials needed for timely and effective decision-making. We often found, when reviewing requests, that we simply didn’t have enough information (either from a division or a department) to make an informed

recommendation. CPB has emphasized that attention to its guidelines for information required prior to personnel consultations will prevent delays in these time-sensitive processes. CPB members were also involved with two newly established groups. The Implementation Task Force for Inclusive Excellence in Graduate Education (ITF) was convened in the fall of 2021 to implement the recommendations of the Joint Senate-Administration Working Group on Graduate Education (JWG). Chair Neuman served as co-Chair of the Steering Committee and Budget Committee; Analyst Bañuelos and member Angelo served on the Student Success and Welfare Subcommittee; and Members Monroe, and Venturi served on the funding sub-committee. The campus also established the University Space Committee, on which CPB member Venturi serves ex officio.

III. Faculty FTE Review

The Committee on Planning and Budget (CPB) has reviewed the divisional faculty recruitment requests for 2023-24. In preparing its recommendations, CPB reviewed the faculty recruitment call to the academic divisions, the requests for faculty recruitment submitted by the divisions, and in addition, consulted with each of the divisional deans, all of whom received a set of questions in advance. CPB invited the Chairs of Graduate Council (GC) and the Committee on Educational Policy (CEP) to attend each of the dean consultations. CPB also consulted with the GC and CEP chairs on their perspectives, related to the implications of divisional recruitment plans for graduate and undergraduate education respectively.

A. Principles for Review

CPB's approach to the FTE call was to first examine and then rate (not rank) the positions within a division. CPB's deliberations about the FTE requests were guided by the campus goals, priorities, and academic indicators outlined in the FTE call letter, chief among them was the aim behind the "Faculty 100" goal of reducing UCSC's undergraduate student FTE to Senate faculty FTE workload ratio (31.2) to be in line with UC averages (27.8). Behind this aim is the fundamental principle that the University of California's educational mission as a research university is to provide a UC quality education, defined broadly as the opportunity for students to work with world class researchers and to therefore gain "closely mentored" research experience in an intellectual and campus environment committed to diversity, equity, and inclusion.^[1] High student to faculty ratios compromise this mission, and while these ratios are increasing system wide, UCSC's ratios are highest. CPB also established its priorities for assessing positions: namely, how the proposed FTE positions would: a) stabilize and strengthen existing undergraduate and graduate programs; and b) support established campus initiatives. With the principles of a UC quality education in mind, as well as the principles of stabilizing and strengthening existing programs and initiatives, the specific factors CPB prioritized when evaluating each FTE request were (in unranked order): a) increasing disciplinary and demographic diversity; b) improving undergraduate and graduate success and experience by reducing impaction and high student-to-faculty ratios; c) strengthening graduate education; and d) supporting programs that are challenged to mount their undergraduate and/or graduate curriculum.

B. Review Process

CPB reviewed the submissions over most of the winter quarter. CPB established teams to review and facilitate discussion of each division's submissions. Each team had two members,

a lead from outside the division, and a second member from within the division. CPB also received and restructured datasets to look at faculty and student growth over a eighteen year period (from 2003-04 to 2021-22) as well as student to faculty ratios from a variety of angles: looking at faculty FTE as budgeted, payroll and senate FTE; and looking at students as total student FTE, undergraduate, majors, masters and doctoral. We examined each variable and the different combinations of workload ratios by department and division, comparing departments to their division and then to the campus average. This data was provided by the Office of Budget and Planning (BAP) and was restructured to present comparative longitudinal analysis.

C. Challenges & Opportunities

CPB would like to note some unique challenges faced by UCSC in conducting the FTE review process this year. Namely, the campus is in the midst of a fundamental restructuring of how core funds get distributed to the disciplinary divisions. One of the proposed changes concerns the flow of open unallocated faculty provisions: Currently, these provisions sit with disciplinary divisions; in the proposed model both the provisions and the dollars associated with them will move to the center, until the next successful hire. CPB understands that this proposed structure is intended to facilitate the hiring of Senate faculty towards and beyond the “Faculty 100” goal by: 1) having the center assume financial responsibility for start-up costs and; 2) removing the incentive for deans to hold onto open faculty provisions for other funding needs. CPB also understands from its consultations with disciplinary deans that many unallocated open provisions are used for a range of critical functions: some are encumbered for Presidential Postdoctoral or Spousal/Partner hires; others are used for operational, staffing, or instructional needs (to name just a few). Deans have expressed concern and uncertainty about if and how those expenses will be covered after the provisions are swept.

While the details of this proposed shift are still being developed, the implications of this change to the FTE process are substantial. In most FTE requests over the years, disciplinary deans have been asked to provide how many open unallocated faculty divisional provisions they would commit towards their overall request. The divisional plus central positions marked a budgetary envelope into which fit a ranking exercise for deans and CPB. Put differently, rankings did not represent the quality of a position relative to others per se (the quality of a position was indicated by whether or not CPB supported the position), but rather the critical urgency of a position relative to a determined, communicated, and therefore a fixed funding envelope. This year, in anticipation of the new Fresh AIR model, the FTE call was explicit in not asking deans to identify divisional provisions with their submissions. Some deans nevertheless committed divisional lines while others did not and, when asked, stated they had none to offer that weren’t already encumbered or committed to other critical needs. Because CPB did not want the variability of the Dean’s responses to serve as a decision-factor or bias in a ranking process, and because a clear funding envelope could not be established, CPB did not rank but instead rated the positions. Specifically, CPB took the following two step approach:

1. CPB assessed the justification of a position relative to the goals and priorities described in the “principles for review” section above. For this first step, CPB gave a binary recommendation: either CPB recommended or did not recommend allocation/authorization^[2];

2. If CPB recommended allocation/authorization, CPB rated the position as either a “high”, “medium” or “low” priority. A high rating represents a critical and urgent need for a search to be conducted in the upcoming academic year (2023/24). A medium rating represents a critical need but for a search that could be conducted a year out (2024/25). A low rating represents a needed position in a department or program, but with a specific description that might benefit from revision in a near-future context: such as with new hires and/or an external review informing the description.

In some instances, CPB provided a conditional rating dependent on the outcomes of ongoing off-cycle recruitments.

D. Historical Trends: Central FTE Positions and Asymmetrical Student and Faculty Growth

In another departure from past practices, CPB is not recommending how many central positions should go to each division. Instead, CPB presents the case for each division to receive some central positions. Central positions have tended to be linked to growth: specifically, undergraduate growth, graduate growth, extramural growth, and interdisciplinary growth. As is well known, student and faculty growth at UCSC have been asymmetric. BSOE has driven the most undergraduate and doctoral student growth at UCSC (Figures 1 & 2), and has received the most central lines: since 2008, BSOE has received 62.5 central lines, followed by PBSci (44.5), SocSci (26.5), Arts (23), and Hum (13). Yet, faculty growth has not kept pace with student growth: where BSOE UG and doctoral student FTE have grown 288% and 67% since 2003/4 respectively, BSOE Senate Faculty FTE has only grown 103% in that same time frame (Table 3).

Figure 1: Undergraduate Student FTE from 2003/4 to 2021/22 by Division

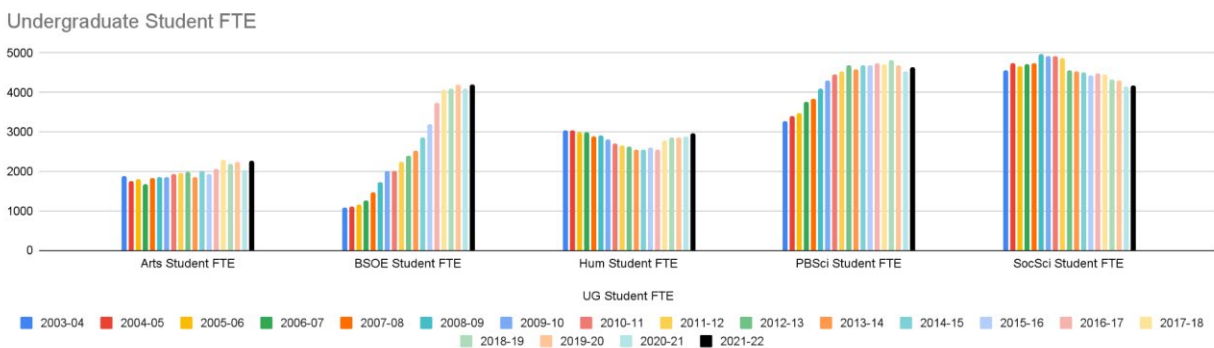


Table 1: Undergraduate FTE Growth from 2003/4-2021/22.

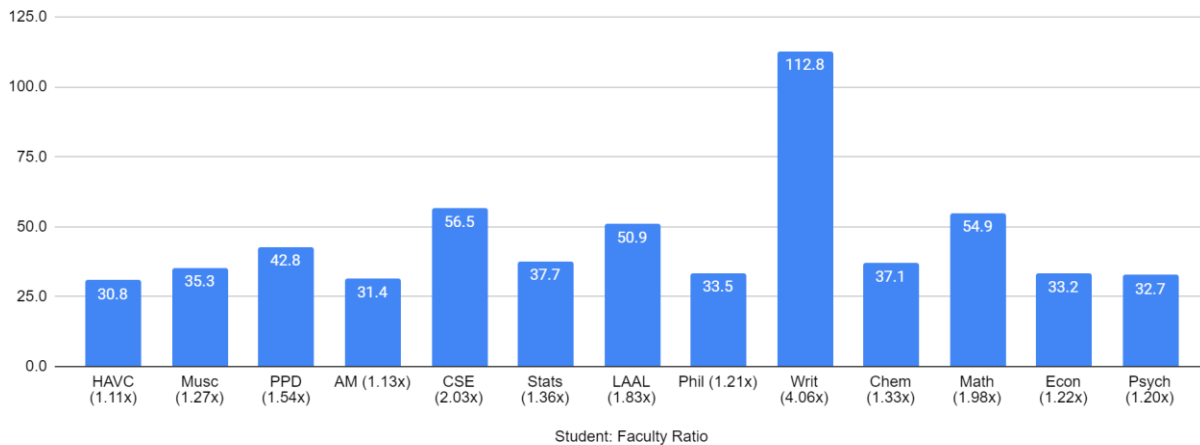
UG Student FTE	2003-04	2012-13	2021-22	% Growth from 2003/4	% Growth from 2012/13
Arts Student FTE	1877.4	1986.8	2263.4	21%	14%
BSOE Student FTE	1085.3	2394.9	4211.7	288%	76%
Hum Student FTE	3046.8	2624.8	2973.2	-2%	13%
PBSci Student FTE	3268.6	4693.5	4628.5	42%	-1%
SocSci Student FTE	4552.6	4563	4182.4	-8%	-8%
UCSC UG Student FTE	13830.7	16263.0	18259.2	32%	12%

Senate Faculty FTE	2003-04	2012-13	2021-22	% Growth from 2003/4	% Growth from 2012/13
Arts Student FTE	55.5	64.6	74.6	34%	15%
BSOE Student FTE	58	75.5	117.5	103%	56%
Hum Student FTE	100.1	93	101.5	1%	9%
PBSci Student FTE	131.6	144.9	171.8	31%	19%
SocSci Student FTE	141.4	136.5	156.5	11%	15%
UCSC UG Student FTE	486.6	514.4	621.9	28%	21%

And yet, the last ten years have also seen a change in overall trends. With regard to UG FTE, the Arts and Hum have grown, and PBSci has stabilized (Table 1). With regard to doctoral and MFA FTE, four of the five divisions have shown substantial growth. The net effect is that all five divisions have robust doctoral and/or MFA student FTE numbers. Perhaps most significantly, all five divisions have at least two departments or programs that are substantially above the UC average of UG student: faculty ratios. Since campus practices no longer attach proposed positions to growth vs replacement “lines,” a case can be made that all divisions should receive at least some central positions so as to address the Faculty 100 goal of reducing undergraduate student to faculty ratios. In this way, Divisions can address critical curricular

needs, disciplinary growth, and undergraduate and graduate student growth, without having to structurally pit one department (or division) against the other.

Figure 2: Departments with a student:faculty ratio at least 1.1x larger than the UC average of 27.8.



E. Summary of Recommendations

In summary, CPB gave high ratings to 36 positions (42 including those targeted for off-cycle hires). While there is a clear envelope of 10-12 central positions, it is not clear how many divisional provisions will ultimately be committed towards this recruitment cycle. CPB does not believe divisions should be either rewarded or punished for the number of divisional provisions they offer: If the Fresh AIR process leads to the center asking the divisions to put forward more divisional positions to bridge the gap, the process should be done equitably, and with due attention to what might go unfunded in the divisions, and the implications of those decisions.

The table below summarizes CPB’s recommendations.

Rating Count	High	Medium	Low	Conditional	CPB Does not support
Arts Division	9	3	0	0	0
BSOE	6	7	0	0	2
Hum	8	2	0	0	2
PBSci	8 (+2 conditional)	2	2	2	1
SocSci	5 (+ 4 conditional)	1	0	4	0
Campus Total	36-42	15	2	6	5

IV. ‘Fresh AIR’: Divisional Resource Modeling

The Committee on Planning and Budget (CPB) reviewed the draft Academic Instructional Resources (AIR) proposal for Instructional Support (IS; formerly Temporary Academic Support) and TA allocations on January 12, 2023. This included the proposals and rationale for TA and IS allocations, and example spreadsheets.

CPB notes that the overarching goal as stated is that “[h]aving a comprehensive, value-driven and metric-based academic resource allocation model that provides predictability, transparency and accountability is the main goal of the AIR initiative.” CPB commends the considerable time and effort leading up to these draft models. CPB noted that the models have met the goal of being metric-based and transparent, and that the proposed models make it clear how funds are allocated and subsequently spent by the divisions. CPB also agrees that the models can adjust relatively quickly since resources are allocated based on annual projections of student enrollment, and spending is also reviewed annually. An overarching concern raised by CPB, however, is the lack of direct connection between the AIR models and campus values. Specifically, it would be beneficial if the documents contextualized the AIR model as implementation of the goals and values that are being articulated as part of the current Strategic Plan themes.

Developing a Forward-Looking Model

CPB is concerned that the Senate faculty undergraduate teaching expectations (17.5 and 15.5 UG FTE for the Professor Series and 55 and 75 for the Teaching Professor series) are based on recent (~5 year) averages, rather than articulating campus goals. These are crucial numbers which represent both Senate faculty instructional workload AND articulate values regarding appropriate class sizes and the quality of faculty/undergraduate relationships. Therefore, these numbers should be actively discussed rather than simply calculated based on recent practices.

Given recent studies on the declining numbers of Senate faculty, CPB is concerned that the proposed IS model will solidify and make permanent an unquestioned but non-ideal ratio between Senate FTE and UG FTE. While we can agree that Senate faculty should be teaching approximately 70% of UG FTE, hitting this target while also enabling the small class sizes and high-quality faculty/undergraduate relationships that are proven to support student success will likely require additional numbers of Senate faculty. Rather than using the current numbers as the set point around which all future budgets will be made, CPB recommends a robust discussion of what the ideal Senate faculty undergraduate teaching expectation numbers should be so that campus planning can simultaneously address the shortfall in Senate faculty needed to achieve those numbers while still teaching 70% of UG FTE as well as the appropriate amount of IS funding required for each division to fill its instructional gap.

There are several other examples where the model is based on ratios largely tuned to the last few years of data (e.g. Tables 1-4).

Lack of Curriculum

As presented the AIR models do not align with any specific curriculum; resources are allocated based on UG enrollment, making the assumption that all classes are equal. The expectation is that there is enough flexibility at the divisional and departmental level to adjust as needed. CPB is concerned that this could lead to unintentional consequences, such as favoring large lower-division courses with high student:TA ratios to generate more resources, such as asynchronous on-line

classes. This is contrary to the general trend of more experiential and hands-on learning with lower student:TA ratios that many divisions are working towards. The lack of explicit connection to a curricular model and pedagogical goals also results in rational decisions, such as moving GSI funds to IS rather than TA funds, could impact programs that use TA/GSI funds as training opportunity for graduate students.

Flexibility in Programming

The proposed models centralize funding such as FTE course release that is currently allocated by divisions and departments. While the model makes a rational argument that sabbatical releases are embedded in the calculations and that some unforeseen course releases are expected, divisions and departments use course release for a variety of reasons, including retention, incentivizing (for example) proposals for large training grant programs, service that is not directly compensated by existing academic senate policy, etc. Current TAS funds are also used for curricular reasons to hire more TAs than the existing model allocates, rather than (as in AIR) purely as a measure to close the gap between faculty availability and instructional need. Allocating funds from a central pool may have the unintended consequence of limiting new or trial initiatives and reducing flexibility at the divisional and departmental level. Given the lack of a corresponding model for how those funds are allocated is also contrary to the goal of developing a predictable and transparent model, leading to the potential for a “first come first serve” attitude.

Related to this general concern we note that there may be unintended incentives to be less fiscally prudent. The annual updates to the model include carryforward of unspent funds implemented as reductions in the following year. At the same time, it is stated that negative balances would be trued up at the end of each year. This could encourage spending regardless of need in order to avoid following-year reductions as a mechanism for providing some stability and predictability at the division and department levels.

Adjustments to the Models

We understand that there are “glide paths” built into the models so that adjustments can be made in the initial stages of implementation. There are also several instances in the document where it is noted that aspects are “pilot programs” or will be adjusted as necessary. It is unclear who, how often, and with what goals these changes would be made. AIR is a response to our current model which is flawed or broken, but it was presumably effective when rolled out. The AIR model will also certainly drift over time, and CPB recommends that there be clear articulation of how and when the model would be updated moving forward. This could, for example, be a mechanism to roll out AIR with existing historical data while incorporating a broader discussion and plan towards achieving a more optimal model that reflects UCSC values and aspirations.

Summary

CPB again commends the effort to develop a fair, transparent, and metric-driven model for resource allocation tied to centralization of FTE provisions. The focus on metrics has separated this model from our core goals and values, and adjustments now will enhance the potential for successful implementation.

V. Space and Capital Planning

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

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

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

- Regular lecture time was reduced to accommodate one extra teaching slot each day, thus impacting the syllabus and total instructional hours.
- The campus is challenged to approve or support innovative new programs and sometimes even new courses due to classroom space constraints.
- Faculty FTE recruitment is now constrained by space shortage, including laboratory space and, more recently, office space. This shortage, in conjunction with increasing undergraduate enrollment, is causing significant strain on faculty and students.

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

VI. Proposed Faculty Salary Equity Program

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

advocacy by home departments/deans, etc. From this perspective, a salary equity program seems equitable towards faculty who had a disproportionately lower starting salary.

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

VII. Systemwide Senate Regulation 630

The Committee on Planning and Budget (CPB) has reviewed the proposed amendment to Senate Regulation 630. CPB viewed this proposed amendment from two vantage points. One, as a policy to close a loophole whereby an in-residence program might develop, incrementally and without Senate oversight, into a de facto online degree program. Two, as a stop gap measure for the UC system to gain time to properly think through the place or non-place of online undergraduate degrees at UC.

Regarding the first, CPB strongly agrees that the Senate needs to find a way to close the stated loophole. However, CPB finds the proposed amendment to be flawed and insufficiently thought through. To take one example, the UCSC Registrar would have difficulty implementing (and UCSC students would have difficulties verifying) the new regulation: UCSC does not normally track the mode of delivery on student transcripts. We expect the Committee on Educational Policy (CEP) will address other difficulties with policy implementations as well as problematic policy implications.

CPB argues the proposed amendment measures are flawed because they are, in fact, designed to solve a separate problem: how to slow down the emergence of online undergraduate degree programs at UC. CPB won't rehash the arguments for or against online undergraduate degree programs. CPB does recommend, however, that systemwide Senate directly address one of the implied concerns regarding undergraduate online degrees: namely, that if one undergraduate degree program is approved, then others might no longer need to come before systemwide Senate review.

In summary, CPB finds that the proposed revisions to Systemwide Senate Regulation 630 to be urgently needed but, as presently written, flawed: the proposed revisions offer a solution to a problem (a premature opening of the UC's to undergraduate online degree programs) that is related to, but separate from the explicit problem of closing the loophole.

VIII. Special Salary Practice (SSP)

The SSP proposed changes seek to disentangle advancement towards promotion from salary increases: whereas the former occurs with the latter, the latter is not limited to the former. All CPB members appreciate the complexity of the problem. Some agreed that the proposed changes help clarify that an increase in step should mark advancement towards promotion, whereas the proposed off-scale increases are adequate pathways to recognize excellence during a review period. Others

members expressed concern that amplifying the off-scale variance only complicates another problem: measuring potential equity imbalances (see next).

IX. Salary Equity Review (SER)

CPB members are supportive of a formal SER policy that is formed with the primary goals of what the SER is meant to address (redress) in mind. Members hope for a policy that addresses inequities, implicit and explicit biases, the loyalty tax, and timing-based institutional policies. With those lofty goals in mind, members found that they had more framing questions than they had suggestions for answers to the questions—with one exception: **SER should not be tied to a personnel action—nor should it require outside letters.** What members were unsure about was the administrative burden of the SER, the scope of allowed input, eligibility for SER, appropriate comparison sets, and whether or not salary inequity could be detected programmatically or generalized to apply to more than one person after one finding.

Administrative burden. Having the committee that has the widest understanding of possible salary inequities involved (the Committee on Academic Personnel, or CAP) seems ideal, but would SER push CAP beyond their service capacity? Will implementing SER be a burden on beleaguered department managers—or just on the requesting faculty? Limiting the number of times, or the frequency—of any faculty member’s right to ask for SER—perhaps once per major review period or once per half-decade of service—seems necessary, but if SER does not turn out to be a burden, perhaps no such limitation is needed. Perhaps there might be an initial special committee—something on the order of shadow-CAP—that could do preliminary work on requests before they are passed to CAP.

SER Scope. Another topic of discussion was making sure faculty could point to personnel policies and practices during their career. For example, did the faculty member get promoted during a period when faculty experienced a salary cut? Did they move up the ranks before the special salary practice? Did they miss more than one of the more generous special salary periods? Were they at UCSC when off-scale salaries were leveled?

Exclusion from consideration. Some members felt that some faculty members should be excluded from consideration, and others felt that was a dangerous pathway. For example, the exclusion of someone receiving retention offers or, conversely, excluding faculty who have not received merit raises in their departments could lead to some sticky cases. Members did feel strongly that consideration should be given apart from research and publication record: teaching and service are important factors in appropriate compensation.

Comparison sets. Faculty members requesting an SER would likely have a comparison set in mind, though members thought that certain comparators would be much more convincing (UC salaries) than others (private institution salaries). The question of whether comparators should be in similar or different fields was divisive. Some members felt that market forces make it important to pay members of some fields more, but others felt that was unfair in the face of our similar duties. Many members found the very idea of comparing specific faculty members (or at least their salaries) problematic. Would it be possible to do any of this programmatically? That is, for statistical analysis of faculty salaries to identify outliers? This would address the oft-cited problem of certain classes of faculty being less likely to avail themselves of practices (in the way that some faculty

would never go through the trouble of getting an outside offer that would allow them to ask for a lucrative retention offer). If the SER must be initiated by individual faculty members, the guidelines will need to be clear and well-advertised.

CPB members find that limiting SER to major actions comes far too late for many faculty (such as Associate Professors) who are stuck at rank. CPB suggests that the SER be triggered by a time frame (e.g., every five years) instead of major actions. CPB strongly agrees that the SER should not be governed by a competitive process: The setting of budgetary targets at the school/division (and the subsequent nomination process that would follow) would reproduce the very inequity the program is trying to address. CPB finds the comparators to be vague and overly complicated. The campus already has information about departments, divisions, norms, and standard deviations from norms. APO and CFW regularly conduct the analysis necessary for these equity assessments, in theory relieving the administrative burden on others. CPB also questioned if comparators should be discipline specific. If there are long standing inequities between divisions and disciplines (excluding Engineering and Economics), such a policy would reproduce such inequities. CPB recommends that department chairs also be authorized to initiate SERs, as they are often more knowledgeable than Deans about the details of each faculty member.

X. Leading the Change

CPB reviewed the five Leading the Change (Strategic Plan) Reports: 1) Unparalleled Undergraduate Education and Student Experience; 2) Envisioning Graduate Education for the Future; 3) Distinction in Research, Scholarly, and Creative Activities; 4) Inclusive and Thriving Campus Community; and 5) Climate Change, Sustainability, and Resilience. CPB also reviewed the Mission and Vision Statements forwarded with the reports.

While CPB's comments might be construed as critical, CPB wants to recognize the extraordinary effort and breadth of engagement by the five subcommittees. The challenges we face as a campus are immense. The subcommittee charges were correspondingly broad.

CPB observes that in both the interim and final report, there were references to a lack of campus engagement. This is unsurprising. The UCSC community has faced nearly two decades of financial, environmental, and now epidemiological crises of global historical proportions. As a campus, we have grown accustomed to a scarcity mindset, and are growing accustomed to a crisis-as-norm mindset. It is difficult to envisage ambitious strategies and corresponding investments when budgetary support for basic needs (affordable housing for all), curricular and research necessities (classroom and lab space), as well as staff and senate faculty lines have been consistently cut and compromised in some areas, or inadequately restored or grown in other areas. If there is a lack of engagement, that does not mean we as a community are unengaged. Indeed, CPB considers the campus to have been deeply committed, against unrelenting challenges, to our students and our overall mission.

In its FTE recommendations and end of year reports, CPB has argued for a broad strategy of stabilizing and strengthening existing programs and units, followed by focused investment. CPB's assessment from the many self-studies, external reviews, FTE and resource call requests it has reviewed, is that far too many faculty, staff, academic student employees, and administrators are overworked, stretched thin, and deal with multiple challenges in getting everyday UC mission-

oriented work done, let alone responding to new initiatives and crises. Turnover is high, staff and faculty levels are insufficient, and infrastructure from buildings to equipment is dated and deteriorating. Even efforts towards the hard decisions of making cuts often happen incrementally, over many years, and outside the context of explicit strategies, goals, rationales, and campus consultation. Students suffer, while staff and faculty are often on the front lines bearing the burden. We speculate that the many instances of interpersonal conflicts between faculty, staff, administration, and students are not unrelated to the constant state of pressure faced by all to do more with less, under circumstances of precarity for many and existential threat by all.

CPB views the recent efforts at growing faculty lines (the Faculty 100 goal), as well as staff and faculty equity adjustments as moving in the right direction towards stabilization. If administration deems it is time for strategic investment (and the campus has the resources), CPB welcomes further consultation on specific strategic plans.

An overarching discovery phase would have (and would still) help in bringing all the committees up to date on the latest work and existing policies. For example, the committee on Unparalleled Undergraduate Education and Student Experience was tasked with exploring the strengths and future potentials of the college system, but did not (or were not able to) engage the just completed (and first ever) external review of the college system. The Distinction in Research, Scholarly and Creative Activities referred to space challenges, but seemed unaware (or did not reference) the University Space Committee. Similarly, the committee on Climate Change, Sustainability, and Resilience provided goals to reduce campus carbon footprints, but did not seem to know (or did not reference) the UC Carbon Neutrality Initiative. A comprehensive discovery phase would allow for the assessment of what work has already been done campus and systemwide, as well as where there is insufficient information or inadequate analysis. Campus leaders could then assess existing areas of strengths, weaknesses, opportunities, and threats in the service of strategic areas of investment over a determined time frame.

CPB's feedback on the five LTC topical committee reports can be found in a June 30, 2023 memo.

XI. Computer Science & Engineering Enrollment Management Plan

The proposal aims at addressing a persistent critical situation in CSE by setting an enrollment target cap (not an enrollment cap) for undergraduate admissions in CSE in fall 2023, and continuing indefinitely beyond.

In CPB's opinion, the proposed enrollment management plan may not be sufficient to fully address impaction in CSE and in other over-enrolled majors on campus. CPB recalls that CSE was officially in an "impacted status" during 2018-2022, with an enrollment target cap set at 600 for CS majors, when higher-than-predicted yield (25% versus 15%) on 2022 offers ignited an unprecedented spike in CS BA and BS admissions, with consequent serious concerns on CSE's ability to deliver instruction. Indeed, CSE had to request an emergency authorization to CEP in May 2022 for remote offering of lower-division courses right after the 2022 undergraduate admission data became available.

Given the conditions in which the campus is currently operating, in particular the level of undergraduate enrollment and the shortage of office, lab and classroom space, the admission

process in impacted undergraduate programs, such as the CS BA and BS programs, requires a fundamental restructuring. It may well happen again that even with the proposed new enrollment target cap the number of students admitted in CSE is beyond the capacity of the department. In other words, there needs to be a discussion about how enrollment is managed in impacted undergraduate programs on campus, including CSE and other programs. Such discussion should consider how other impacted programs and departments across the UC system (in particular CS departments) are managing their enrollment systems. Rather than trying to predict admission yields based on mathematical models (which may result in dire situations), it may be beneficial to proceed with a first round of offers not exceeding the target enrollment cap, followed up by a second round of offers in which the yield is adjusted based on the first round, e.g., using a slightly higher yield for students in the waiting list. This iterative process based on waiting lists may increase the workload of the undergraduate admission office and CAFA (or a subcommittee of CAFA) for a few months. At the same time, it will mitigate the risks of over-enrolling students in severely impacted majors, which could overwhelm CSE faculty, affect students, and campus for many years to come.

There should be a point at which, given current campus conditions, capping impacted majors at a legitimate/appropriate size is about **rebalancing the campus at large**, which in turn may have beneficial effects on UCSC faculty welfare and student experiences/satisfaction. On the other hand, accommodating growing student demands without consideration of the holistic impact that such growth can have on campus may yield serious imbalances. Capping enrollment of heavily impacted majors, such as the CSE majors, can also open opportunities for student admissions in other (under-enrolled) majors. It can also be used as an opportunity to create **new X+CS majors**, where X is any discipline other than CS, to divert enrollment from the impacted CSE programs to other departments. This, in turn, can improve retention rates of students in Baskin Engineering and catch students who fall out of pathways, e.g., students who were not able to complete all requirements for the CS major.

CSE has really done an admirable job in sustaining impactation of its undergraduate programs for so many years. The undergraduate instructional workload per payroll CSE faculty during 2018-2022 was the highest on campus, with a relatively flat trend that is consistently above twice the campus average. Such a persistent critical situation in CSE has been slowly eroding the department's educational strengths, the CSE faculty research output, student success and retention rates, and equity gaps in CSE classes.

CPB supports the CSE enrollment management plan until proper balance in CSE is restored. CPB recommends BE and CSE continue to work with the administration and the Senate to assess the effectiveness of target enrollment caps in restoring balance. CPB also recommends that, over the longer term, the administration initiates a broader discussion on how undergraduate enrollment is managed in impacted programs across campus.

XII. Employee Housing Re-Pricing Program

The Employee Housing Staff recommended that the repricing value for 2023-24 be placed at \$398/square foot, which is a 5.01% pricing increase from last year, and would place all Entry Level Units at 38.6% of 2021 market sales. CPB recommends beginning a process of reevaluating the Re-Pricing Program in the context of the current housing crisis at UCSC. A new paradigm is

needed. It appears that the Re-Pricing Program is dated, responsive more to the great recession and less to current market conditions. As a consequence, the four goals of the program have lost their equilibrium, such that solving one seems to undermine another. For example, the recommended 5% pricing increase is more than double the percentage increase in the past. Yet, the % of market rate for entry level units has gone down steadily over the last few years, from 56% in 2020-21 to a proposed 38.6% in 2022-23. The fact that the resale price is well below the recommended range (60-75%) presents a core conundrum: if the theory of the Re-Pricing program is correct, this pricing recommendation would keep employees in units, decreasing “supply” and increasing wait lists. Yet, addressing this goal (to increase supply) would require a solution (substantial increases in resale rates) that could subvert another goal (making available affordable housing for new hires).

Perhaps what is required is a completely different approach. For example, how might the campus develop programs that help faculty move out of the campus housing system and into the Santa Cruz housing market? Other public institutions provide ways to increase purchasing power, like equity shares.

XIII. Regular Committee Business

External Reviews

CPB annually participates in department and program external reviews. During 2022-23, CPB reviewed department/program self-studies and submitted questions to supplement the universal charge for upcoming reviews for Computer Science and Engineering, Digital Arts New Media, Education, Ecology and Evolutionary Biology, Microbiology & Environmental Toxicology, Music, Statistics. CPB also prepared responses to department/program external review reports in preparation for closure meetings for Art & Design: Games and Playable Media, Colleges, Feminist Studies, LALS, LIT, Physics (closure meeting delayed to 2023-24). The committee reviewed mid-cycle reports and made recommendations on the length of review cycle for HAVC, History of Consciousness, and Mathematics.

Off-Cycle FTE Requests and Waiver of Open Recruitment Requests

CPB has developed guidelines for committee review of Target of Excellence (TOE) waiver of open recruitment proposals and Spousal/Partner waiver of open recruitment proposals, as well as for second hire requests. The guidelines are designed to encourage the development and submission of consistent, informative, and complete proposals from the divisions, as well as to clarify and make transparent the committee’s review process. CPB’s guidelines were last updated in 2018, with administrative consultation and endorsement, and they are available on our website. The guidelines are consistent with campus policy, where it exists.

CPB reviewed and made recommendations on nine additional hire requests (second hires and second/third hires) from the following divisions: BSOE (one), Humanities (two), PBSci (three), Social Sciences (three). CPB also reviewed five requests for authorization for other off-cycle recruitments from BE (two) and Social Sciences (one). CPB reviewed requests for seven Presidential Postdoctoral Fellows and Chancellor’s Fellows Program Hire requests (two in Arts, one in BSOE, three in Social Sciences and one in PBSci), three Target of Excellence (TOE) waiver of open recruitment requests (one in Arts, two in PBSci), and one Spousal/Partner waiver of open recruitment requests (BE).

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

XIV. Local and Systemwide Issue Review

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

Divisional

- Formal Review of Proposed Revisions to CAPM 516.000 - Unit 18 Titles (November 4, 2022)
- Contributions to Diversity Statement Requirement in Senate Faculty Searches (October 24, 2022)
- Revised Academic Programs and Units (APU): Policy and Procedures Governing Establishment, Disestablishment, and Change (December 13, 2022)
- Development of a Faculty Salary Equity Review Policy (January 17, 2023)
- CSE EM Plan (January 25, 2023) - postponed
- Request for Senate Consultation on ITS Annual Survey (February 21, 2023)
- UC Santa Cruz Employee Housing Re-Pricing Program Recommendation (for 2023-24)
- Space Management Policy (May 15, 2023)
- Proposed Equity-Based Modifications for Faculty Review Processes (January 17, 2023)
- Leading the Change Strategic Plan Reports (June 30, 2023)
- 2023-24 Employee Housing Re-Pricing Program Recommendations Review (April 26, 2023)

Systemwide

- Proposed Revisions to Systemwide Presidential Policy on Developing and Maintaining Presidential Policies (February 8, 2023)
- Proposed Amendment to Senate Regulation 630 (November 7, 2022)
- Proposed Revisions to Presidential Policy on Sustainable Practices (October 31, 2022)

XV. Continuing Issues for CPB in 2023-24

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

CPB will continue to collaborate with:

- the Office of Budget and Planning, including on enhancing CPB review of budgetary frameworks and budgetary data;
- the CPEVC and AVC BAP regarding the nascent “Fresh AIR” divisional resource model. To date, the CPB Chair and incoming Chair have been included on early stage planning for this new model;
- the Division of Finance, Operations, and Administration (FOA) on committee participation and review of capital planning issues, continue monitoring and engaging in issues of space planning (including through CPB representation on University Space Committee and

- building planning committees including a reboot of the IIRB) and on employee housing projects (both constructed or private/public partnerships - ‘P3’);
- the disciplinary deans and CP/EVC on faculty FTE at planning and review stages.

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

CPB anxiously awaits movement on the funding and commitment to the multiple interrelated recommendations of the Implementation Task Force for Inclusive Excellence in Graduate Education (ITF).

Given the new Governor’s Compact with UC, CPB anticipates the need to engage CP/EVC Kletzer, VPDUE Hughey, and VPDGS Biehl on undergraduate and graduate enrollment planning, as the campus must weigh conflicting priorities to meet four year graduation goals and closes academic success equity gaps.

Respectfully submitted,

COMMITTEE ON PLANNING AND BUDGET

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August 31, 2023

Appendix A: How CPB Functions

CPB consists of nine regular members (one of whom serves as Chair), plus two *ex officio* members, the Chair and Vice-Chair of the Senate. The Chair of CPB also serves, together with the Senate Chair and Vice-Chair, as a member of Senate Leadership. All members are selected by the Committee on Committees (COC) and are subject to Senate approval. CPB brings a balance of perspectives to campus issues by including members from each academic division. CPB also has places for a graduate student representative and two undergraduate student representatives to sit with the committee throughout the year. Members represent CPB on other academic and administrative committees and share the tasks of writing and editing documents. The duties of the Chair include setting meeting agendas, facilitating meetings, assigning tasks to CPB members for preparing reports and written responses, meeting commitments in terms of timely response to consultation, signing CPB documents and attending UCPB meetings. All CPB letters and reports, unless otherwise noted, represent the consensus opinion of CPB.