

MINUTES
COMMITTEE ON PLANNING AND BUDGET
Meeting of June 1, 2006

Present: Chair Paul Koch, Onuttom Narayan, Faye Crosby, Emily Honig, Quentin Williams, Don Rothman, Wentai Liu, David Evan Jones, Ray Gibbs, Marina Sarran, Mary-Beth Harhen

Absent: (with notice) Ravi Rajan, Saurabh Mishra

Guests: CPEVC Dave Klinger, VCR Bob Miller and Assistant Provost Charlotte Moreno

Member's Items

A member raised the question as to whether the letter to the Sentinel from CPB Chair Paul Koch and Senate Chair Faye Crosby might be misinterpreted as representing the committee, rather than their opinions as individual Senators.

Salary Survey

UCSC salaries are at the bottom even for smaller UC campuses. It was noted that most large campuses do not follow the off-scale limits that are in the Academic Personnel Manual (APM). Assistant Professors and low Associate Professors are higher paid at other campuses. CPB asked whether there is a policy that allows the Chancellor to make exceptions. Salaries for ranks as a whole may be lower for UCSC because we tend to appoint at lower steps. Faculty salaries are a priority at other campuses and they apparently use campus funds to pay more. Issues remain about step VI; a high percentage of tenured UCSC faculty are at Step V. The perception is that UCSC is tougher on its faculty at this step; CPB notes that we may need to promote more liberally across the steps.

The Academic Council is also reviewing faculty salaries system wide. CPB noted that if the average salary is over the allowable levels, then off-scales are not exceptions rather they are the norm.

Academic Support Unit Budget Requests

CPB reviewed the Academic Support Unit budget requests; CPEVC units, Business and Administrative Services, ITS, and Graduate Division and their recommendations to CPEVC Klinger are forthcoming.

Consultation with CPEVC Dave Klinger

CPB discussed the Ecology and Evolutionary Biology (EEB) request for a third recruitment occasioned by the unexpected departure of Professor Doak. CPB understands the position is important because he provided strong quantitative support for the Department. A written recommendation will be forthcoming.

CPB also discussed with CPEVC Kliger start up fund upgrade request for two Electrical Engineering (EE) recruitments, both assistant professors, as well as requests for assistance to pay for a variety of renovations. With respect to renovations, CPEVC Kliger has requested a space plan for the School of Engineering (SOE), but so far they have not produced one. The SOE also requested funds to upgrade the start up of a senior candidate for chair of Biomolecular Engineering. CPB requested copies of the CVs for all three candidates and will discuss the issue again next week.

Responding to CPB's questions about the status on faculty recruitments and potential outcomes, CPEVC Kliger provided the following information:

- 35 searches conducted this year (includes carryovers from prior year)
- 2 closed without appointment
- 15 filled
- 18 unknown
- There are currently 13 pending separations on the books – and likely more to follow
- Current score – 15 filled; 13 gone - Net of 2
- Realistically we can assume 10-15 of remaining will be filled
- Estimate an additional 5-10 separations
- Balance (net after all is said and done) – estimate gain of 8-12 faculty

Consultation with VCR Bob Miller

One chief responsibility of the Vice Chancellor for Research (VCR) is managing all the regulations and responsibilities and advancing research on campus. VCR Miller said that the Office of Research has the best professional staff he has ever worked with.

Unfortunately, the staff is small and it is a big challenge to retain them. Now that there are more research funds coming in, the staff have been very active and play a crucial role in keeping in compliance to funding agencies. There have been several audits in the past few years and an audit of the University Affiliated Research Center (UARC) at NASA Ames is to be expected in the future. So keeping the research endeavor in compliance is important.

UCSC must be very careful in regards to regulations. Managing these requires more and more complex agreements and evolving standards of accountability. There can be large fines for violations. UCSC will have to deal with new situations such as the uncompensated use of facilities (e.g., industry comes into university). If all Intellectual Property (IP) developed at the facilities is assigned to the university, this could be considered compensation for use. These are legal agreements that must be thrashed out.

Another area where there is an increase in regulations is the certification of animal use facilities. ALAC certification must be in place in order to do stem cell research. UCSC is one of the smallest universities in the Carnegie Tier 1. We bring in less overhead, but are responsible for the same level of regulation compliance (and its associated costs).

Having IP management decentralized to the campuses is advantageous because when there is value in disclosure of IP, it must be done working closely with faculty. The local

expertise was crucial for working out UARC agreements. UCSC must be diligent about monitoring UCOP charging us for services in IP that they don't want.

The Carnegie Foundation ranks universities by research intensity, and this year they changed rankings to Tiers 1, 2, and 3. UCSC was downgraded to Tier 2. The Office of Research identified this before the final report, contested it and had UCSC upgraded to Tier 1. The formula is based on: research expenditures, graduate /post docs, and the number of faculty engaged in research on the campus. This Tier 1 ranking with Carnegie should be carefully guarded.

Research centers are valuable because they aid faculty as they seek to attract funding for their research. VCR Miller noted that the VCR should continue to use indirect cost funds to seed research centers to see if they can develop their own funding sources. In this regard, UCSC has done very well for its size.

The UARC has brought in Opportunity Funds second only to the Division of Physical and Biological Sciences. SVC VC Walsh is requesting that Opportunity Funds raised by the UARC should go to the SVC, rather than the VCR, who redistributes a substantial fraction back to SVC according to a negotiated formula. VCR Miller noted that the task of the VCR is to think of the whole campus; the task of the VC SVC is to forward SVC. Off the Top (OTT) money from UARC should be used to pay for management of UARC that is happening within the Office of Research. Next year there will be another review of Office of Sponsored Projects (OSP) and the Office Management of Intellectual Property.

Earth Science Department Name Change

With Committee on Planning and Budget (CPB) Chair Paul Koch and CPB *ex officio* member Quentin Williams recusing themselves, CPB reviewed the proposed name change for the Earth Sciences Department to Earth and Planetary Sciences. CPB finds no budgetary implications with this change and therefore defers to Interim VPAA Galloway's recommendation on the matter.