

June 29, 2006

Dave Kliger, CPEVC
Chancellor's Office

Re: Addendum to CPB's Comments on the Ten-Year Academic Plans

Dear David:

The Committee on Planning and Budget (CPB) examined the data on comparative divisional sizes and workloads that have been compiled by the Office of Planning and Budget (OPB). We appreciate the work that VCPB Michaels and her staff have put into the study. As we noted in our comments on the revised academic plans, we chose to reserve judgment on the relative and absolute sizes of the divisions until we had a chance to assess potential workloads in light of patterns across the system. We do this not so that we can create a campus that is like all the others, but rather to search for anomalies that might point to areas of concern. We recognize that the attempt to compare workload across the campuses is difficult; decisions must be made about how to compare very different programs, or how to deal with the fact that the campuses have different divisional organizations. We agree with the approach taken here, to conduct the comparison at the departmental/program level, and then to "reconstruct" divisions at other campuses organized as they are at UCSC. It provides the clearest route to identifying large-scale anomalies in resource allocation.

While we provide graphs on percent of FTE in divisions, we are much more concerned with actual FTE counts and whether or not departments or divisions have the resources needed to excel and meet internal and campus goals. Given the block of FTE you propose to hold in the center for new initiatives, we do not view our recommendations as operating under a zero-sum assumption (i.e., that additional growth in one division must come at the expense of reduction in another). Indeed, our recommendations below are not zero-sum; we are requesting that you assign anywhere from 5 to 13 more FTE from the central pool to the divisions.

Following this examination, and in light of our prior comments on the academic plans, we offer the following recommendations.

1. The FTE allocation to the Humanities division appears to be too low. If we follow your proposed allocation for 2010-11, our Humanities Division would move to the bottom for the system, either as measured by the overall percent size of the division (Figure 1) or when considering the percentages for divisions with UCSC comparable departments and programs (Figure 2). We suspect the situation is actually worse than it appears in these figures. We share the bottom in these figures with San Diego and Irvine. Yet in the tables supplied by OPB, Irvine has no Writing faculty and San Diego has only 2 Language FTE. These programs must be run out of central resources that are not assignable to any division. We suspect, therefore, that every campus currently devotes a greater fraction of FTE to departments housed in our Humanities division than we do now, and more than you propose for 2010-11.

Interim Dean Lease argued in the Humanities academic plan that UCSC had one or two too many departments in the division, given the proposed FTE allocation. This appears to be true. However, do we have too many departments in the field of Humanities for a major research university? Leaving aside Writing and Languages, where we have already noted major anomalies that cloud the comparison, the suite of departments at UCSC is similar to that at Berkeley, Davis, Irvine, Los Angeles and Santa Barbara (though not all our housed in the division of Humanities). Some campuses have additional departments we don't have; we have one department they don't have (HisCon). The bottom line - it does not seem that UCSC is trying to cover an unusually large amount of ground in these fields.

We recommend that you increase the percent FTE allocation to the Humanities from 20.5 to at least 22%. This would correspond to an absolute increase in FTE of at least 12. We expect that Dean Van Den Abbeele will submit a revised academic plan in the fall; he should incorporate these new FTE in his planning. The Division should be held to a number of milestones in achievement to keep the FTE flowing (i.e., increasing student workload, development of graduate programs to reach all divisional faculty, an agreement about resource allocations for Languages and Writing, and other issues that we discussed in our comments on the Humanities plan).

Even with these additional FTE, we are not confident that the division will have the resources needed to support all three of its small interdisciplinary departments (HisCon, Feminist Studies, American Studies). And since we submitted our earlier comments on the academic plans, the situation with American Studies has deteriorated further. You, the VPAA, and Dean Van Den Abbeele, in concert with Senate leadership, must act this summer to develop a plan to deal with the situation in American Studies.

2. We believe that the plans for the SOE are too ambitious, moving it from the bottom to the middle of the pack (by percentage) in a very short time period. Furthermore, the narrow spectrum covered by the departments in SOE leads to a pronounced imbalance. As Figure 2 shows, no other campus devotes ~15% of its faculty to just these 4-5 SOE departments.

We recognize the UCSC strategy has been to develop a focused SOE that could rapidly achieve excellence. We recognize, as well, that while size \neq excellence, being too small can preclude research opportunities. Still, we were curious about how big the core SOE departments would be relative to our sister campuses if we followed the current allocation. Applied Math & Statistics (AMS) would be among the largest in the system. Biomolecular Engineering (BME) is hard to judge, but would likely be among the largest in the system. No other campus has CS, CE and EE as separate departments. Some campuses combine CE and EE. If we just combine the three departments for comparison, we are already larger than Riverside and in 2011, would be equivalent in size to Davis or Santa Barbara (~70 faculty). Technology and Information Management (TIM) is intellectually affiliated with CS, bumping us even further up in this nexus of departments.

If we view the SOE as covering four core areas (Computer Sciences [construed broadly], Electrical Engineering, Biological Engineering, and AMS), we believe it is possible to build strong departments with a smaller allocation of FTE. As we reported previously, we found the SOE academic plan unfocused (and have asked you to request a revision from the division), the status of the TIM program remains in flux (and a concern), workloads in the division, retention and diversity are concerns, and you have requested, but not received, a divisional space plan. All of these issues lead us to the conclusion that rapid growth is taxing the ability of the SOE to plan and that a slightly slower pace should be adopted. We suggest that the FTE be scaled back to 13%, which would be a loss of at least 12 FTE relative to your proposed allocation.

We doubt our recommendation will receive a warm welcome from the SOE. If the Division can make a very compelling case why this recommendation would be crippling, or if they cogently address the many problematic issues raised above, you might consider additional FTEs.

3. After examining the workload data, we are even more convinced that the Arts Division should receive the 5 extra FTE they requested. The division will be among the largest in the system, but our undergraduate teaching workloads are disproportionately very high, and the existing departments need the FTE to build graduate programs in the face of these enrollments. As we noted in our comments on the academic plans, the Arts Division has delivered on the promises in their 10-year plan in almost every way, and a small additional allocation would make a great difference for the division. We reiterate a recommendation from our comments on the divisional plans - areas of excellence within the division must be identified and progress must be made in making those areas known across the system and state. Also,

some of the FTE requested by the Arts are tied to proposed graduate programs. If those programs do not materialize, then the allocation of FTE should be reconsidered.

4. Workloads or FTE allocations for the Social Sciences and Physical and Biological Sciences do not appear to be unusual in comparison to our sister campuses. The report did not include information on non-FTE resources, however. We are concerned that the actual workload for faculty may be higher than it appears because we offer less support (i.e., fewer TAs per student, less academic support staff, etc.). We will make recommendations on the formulae for allotting instructional support to the divisions after we receive data from Planning and Budget on non-FTE allocations at other campuses.

5. Monetary returns do not seem to provide a motivation for extra growth in the sciences and engineering, at least not at present. With support from OPB, CPB attempted to analyze the costs of hiring in the sciences and engineering relative to the financial returns to determine if hiring in these areas "brings the campus money" as is often asserted. While we did not conduct an exhaustive analysis, we could not find support for this conclusion. Perhaps because we lack numerous research centers or because we have not yet reached a size where we regularly succeed when submitting big multi-PI proposals, our financial return from indirect costs are relatively low, and costs associated with building in these areas are high. The situation is exacerbated by relatively low indirect cost returns from the SOE (per faculty), which are significantly lower than for faculty in PBSci. Some of this may relate to the slightly younger demography of the SOE (55% Assistant or Associate) vs. PBSci (30% Assistant or Associate), but the situation should be monitored. Finally, we encourage your efforts to obtain coordinated academic, resource, and space plans from PBSci and SOE on areas of growth where expenses are likely to be high (e.g., material science, biomedical research).

6. Central FTE are being held to seed new programs, especially professional schools. Yet the schools and programs with the most momentum right now (School of Management, Coastal Policy) would largely be located off the main campus. In view of the resource constraints that existing academic programs are facing, professional schools should be approved only if they do not further erode the student/faculty ratio on the main campus. They should also bring clear academic benefits to the core academic areas of the university. If this is not the case, the central FTE should start being released to the divisions, perhaps with an emphasis on motivating interdisciplinary initiatives. For example, if the SOE can produce a viable plan for the TIM program, you should consider funding this from the central FTE pool. TIM would be an interdisciplinary program linking the SOE and Social Sciences and would be an obvious component of a proposed School of Management in Silicon Valley, should it materialize.

Sincerely,



Paul Koch, Chair
Committee on Planning and Budget

cc: VPAA Galloway
VCPB Michaels
Divisional Deans
AVP Moreno
CEP Chair Hughey
GC Chair Schumm

Figure 1. Percent size of academic divisions at UC campuses. These data include faculty in all departments that can be assigned to such a division (as defined at UCSC), whether or not such a department exists at UCSC.

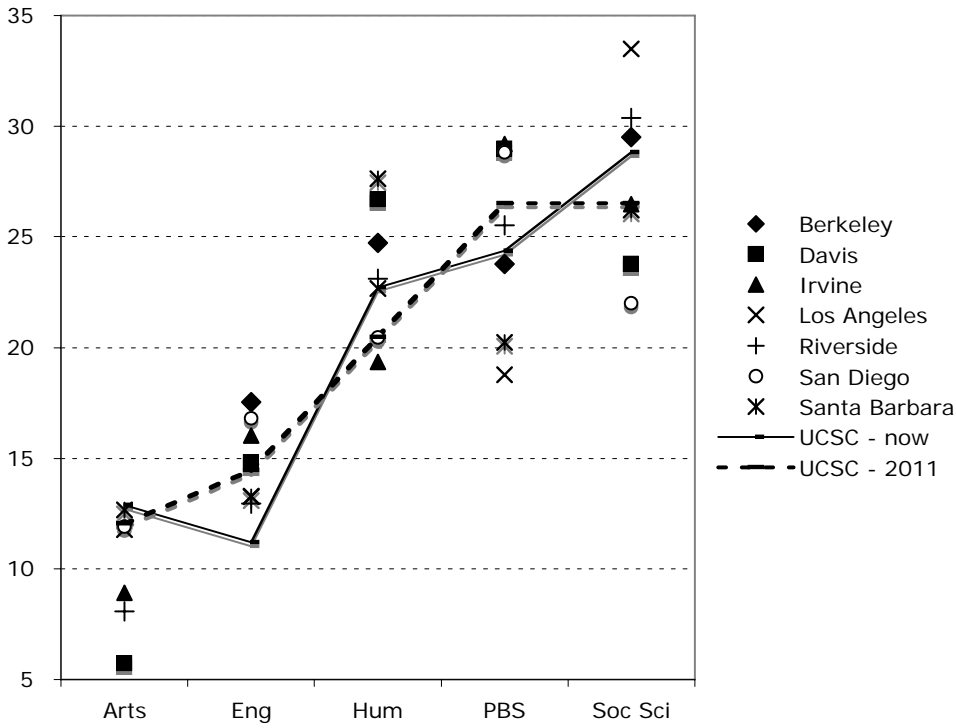


Figure 2. Percent size of UCSC comparable programs in academic divisions at UC campuses (as defined at UCSC). These data include only faculty in programs and departments that are similar to UCSC programs and departments.

