

April 12, 2019

CP/EVC Marlene Tromp
Chancellor's Office

RE: 2019-20 Faculty FTE Recommendations

Dear Marlene,

The Committee on Planning and Budget (CPB) greatly appreciated the opportunity to review the Deans' responses to the FTE Call, and to provide its own perspectives and recommendations.

CPB devoted significant time to reviewing the Call responses throughout the winter term. Its review process included an initial review and discussion, after which we consulted with each of the Deans, who had been provided with pre-consultation memos outlining the committee's specific questions. All of these visits were attended by Graduate Council (GC) Chair Gina Dent, while Committee on Educational Policy (CEP) Chair Onuttom Narayan provided written perspectives. In addition, Chairs Dent and Narayan visited CPB for a half-hour discussion after the conclusion of the decanal consultations. While the Graduate Council will provide its own perspectives and recommendations, CPB's thinking was advanced by the collaboration with the GC and CEP chairs, and the recommendations and perspectives provided here are reflective of their contributions to our process. We also made use of publicly-available workload data compiled by the office of Institutional Research Assessment and Policy Studies (IRAPS) and a summary of open searches provided by the Office of Planning and Budget. Finally, three members of CPB currently working with Planning and Budget on their processes for providing data to campus units were privileged to a lengthy discussion of budget projections with Planning and Budget staff members Kimberly Register and Galen Jarvinen.

CPB's deliberation began with a discussion of the number of new central positions that should be awarded to address divisional priorities. The FTE Call cited the availability of 12-15 such positions, and CPB felt for a number of reasons that it would be prudent to restrain this year's allocations to the lower side of this range. These reasons relate to the Strategic Academic Plan, assumptions about enrollments, and the high cost of start-ups.

Within CPB, there is a general consensus in support of the Strategic Academic Plan (SAP) effort. While CPB commends the Deans for paying significant attention to SAP-related rubrics in the Call, it also feels that the implementation of the SAP lies mostly in the future, as evidenced by the fact that, with the exception of the joint Social Science / Physical and Biological Sciences Global Health Initiative, most FTE requests did not yet reflect robust intra- and inter-divisional planning exercises that advance compelling and well thought-through academic initiatives in the spirit of the SAP. Moreover, even the Global Health initiative seems to be a bit nascent, lacking concrete projections of student engagement or a compelling path to new graduate program development.

The discussion with Planning and Budget staff suggested that future FTE growth depends on increasing enrollments, with significant growth in the proportion of non-resident undergraduate enrollments and significantly expanded summer session enrollments, but the committee felt that these projections suffer from a large degree of uncertainty. Finally, with respect to start-up costs, CPB fears that the budget projections accompanying the FTE requests may not fully represent the high cost of start-ups and related renovations. Given these concerns, CPB believes that the number of central positions awarded to the

divisions should be on the lower side of the 12-15 range in order to retain greater flexibility in the implementation of the SAP in following years and to offset high start-up costs, particularly if the campus does not meet the enrollment projections necessary for future FTE growth close to the scale suggested in the FTE Call. Consequently, CPB has chosen to recommend that thirteen new positions be allocated to the divisions.

When considering the number and nature of possible new positions, CPB felt that each such position had to be justified by a tangible and pressing institutional need, and/or a clear alignment with the conceptual and implementation framework of the SAP. CPB also took into account general principles of institutional balance, although this factor weighed less heavily in CPB's final recommendations than the principles of workload or scholarly need and the pursuit of compelling strategic goals.

Table 1 shows the divisional distribution of CPB's overall recommendation of thirteen new positions. Following, we lay out the broad rationale for this recommendation; more detailed and specific division-by-division recommendations follow thereafter.

| Division | Recommended number of new positions |
|----------------------------------|--|
| Arts | 1 |
| Engineering | 5 |
| Humanities | 1 |
| Physical and Biological Sciences | 3 |
| Social Sciences | 3 |

Table 1: Breakdown of the numbers of new positions recommended for each of the five academic divisions.

While for the Arts we saw little manifestation yet of broad engagement with potentially substantial SAP initiatives, CPB supports the division's three top priorities. The HAVC position, previously authorized but delayed by the former Dean, seemed both to address need and to provide a significant alignment with SAP principles. The Environmental Art position would support the MFA currently under review at CCGA (although we were told that the proposal under review contains no commitments of ladder-rank FTE, which raises a bit of a question about the degree of urgency associated with the hire). The Theater Arts position would replace a position lost to a separation that leaves a major gap in expertise (costume design) without which the department would be incomplete and incapable of delivering its core curriculum. Since Arts proposes two divisional positions, CPB recommends that one central position be awarded to the Arts. In making this recommendation, CPB is significantly motivated by the principle of institutional balance.

For the Humanities, CPB again saw little manifestation of broad, interdivisional activity in SAP implementation. All four of the top priorities seem well motivated, and the fifth priority (Prisons and Policing) has clear and deep connections to SAP guiding principles (although not apparently growing out of a broader initiative). Significantly motivated again by institutional balance, CPB recommends the authorization of these top five initiatives, leading to a recommendation of the allocation of one new position. Dean Stovall says that he will not pursue the fourth-priority History search should the Luce Foundation grant that motivates it not be awarded. Even if this is the case, the principle of institutional balance coupled with the division's extremely limited FTE reserves encourage CPB to maintain its recommendation that one central position nonetheless be provided to the Humanities Division.

The members of CPB expressed uniform support for the Global Health Initiative put forward by the Divisions of Social Science and Physical and Biological Sciences as the single initiative reflecting the aspirations of the SAP process. CPB recommends a cluster hire of five positions: two in Social Sciences and three in Physical and Biological Sciences. This is two positions fewer than requested. In making this somewhat trimmed recommendation, CPB reiterates its generally conservative stance on the allocation of new positions. In addition, while admirably advancing SAP principles, the initiative remains somewhat embryonic in CPB's eyes, with no clear path yet visible towards the formation of a center or institute, or an attendant development of interdisciplinary graduate study. CPB thus feels that a somewhat tentative approach is warranted until a leader emerges who can articulate a clear vision for further development of an initiative whose "whole is greater than its parts." This leader could come from within the ranks of existing faculty or could be drawn to campus by promoting one of the hires to a senior position. As an additional note, CPB feels that the reduction of the cluster hire from seven to five positions isn't likely to jeopardize its potential to attract a diverse cohort of young scholars to help launch the initiative.

With respect to the remaining Social Sciences and Physical and Biological Sciences requests, CPB supports the two proposed Psychology hires, which fill critical need, and the top-priority MA/C director position. This leads to a recommended allocation of three new positions to Social Sciences. For PBSci, CPB supports the Astronomy and Mathematics hires, which re-authorize searches to replace critical expertise lost due to separations, leading to an overall recommendation for three new positions for the division of Physical and Biological Sciences.

As with Arts and Humanities, CPB saw little manifestation yet of broad activity in the SAP implementation in the School of Engineering response. Our recommendation of five positions is based primarily on institutional need, geared in large part towards increasing curricular capacity in the Division. CPB was also swayed by the promise of continued growth inspired by trends observed over the past few years, and the relatively high graduate-student-to-faculty ratios within the School. CPB recommends two Teaching Professor positions: one in Computer Science and Engineering (Divisional priority #7) and the potentially innovative Senior Projects Teaching Professor (Divisional priority #6). Authorizations in the Electrical and Computer Engineering Department did not seem well-justified to either CPB or Chair Narayan of CEP, given the relatively manageable workload evidenced by IRAPS data and the number of ongoing searches (four) indicated in the Planning and Budget report. The School's two ladder-rank priorities in Computer Science and Engineering (#1 in Data Intensive Systems and #4 in Deep Learning) made more sense in that they would provide further relief of enrollment pressure in CSE programs. CPB also sees institutional need in Statistics to broaden the scholarly focus of the graduate program after the realignment of the Division, and supports the Dean's higher-priority request in this department. Were these five specific positions to be authorized, we would hope that the Dean would feel himself freer to pursue scholarly initiatives through a robust and collaborative engagement of the SAP.

CPB also wishes to make one further point regarding the allocation of new FTE to the Baskin School: that of the stated unavailability of Divisional positions. It is natural that a newly-formed school will experience less turnover than established divisions and thus find it more difficult to offer divisional positions to support its priorities. At some point, though, the school will make the transition from "nascent" to "established," and with that comes an expectation that Divisional positions will become regularly available. After considering Dean Wolf's arguments, CPB accepted that the School of Engineering remains in a growth stance. However, CPB's sense is that the School is reaching the point of being a fully established entity and that it will soon become incumbent upon the School to regularly put forth Divisional positions for authorization.

To summarize, CPB reiterates that in our opinion most of the FTE requests have yet to reflect SAP aspirations in significant ways, which is to be expected given the relatively early phase of the SAP implementation process. We expect that next year the process should be fully underway, and, correspondingly, CPB looks forward with excitement to the consideration of new, SAP-inspired initiatives that will move us towards our goals and in the fullness of time bring further recognition to our campus as a leader of scholarship and a home for students seeking a world-class education.

Recommendations for the Division of the Arts

Based on the evaluation criteria expressed in the general introduction, CPB recommends that the following positions be approved for the Division of the Arts, supported by one central and two divisional provisions:

1. HAVC: *Europe in the Age of Colonialism and Resistance* (Decanal priority #1)
2. Art: *Environmental Art* (Decanal priority #2)
3. Theater Arts: *Costume Design* (Decanal priority #3)

CPB strongly supports the reauthorization of the HAVC search as that position will fill an important gap in HAVC's scholarly breadth as well as supporting the department's graduate program, which has the highest faculty-to-graduate student ratio in the Arts Division. As the (then-Acting) Dean's request indicates, the position is related to the Justice in a Changing World APA, as the colonial era has within it the origins of many of today's social inequities.

CPB also supports the proposed FTE in *Environmental Art*. This appears to be a timely position supporting the Environmental Art and Social Practice MFA program now undergoing review by CCGA. The Dean's request notes that the position is intimately related to the Earth Futures APA and hiring a socially engaged artist is likely to foster collaborative engagement across disciplines.

CPB also supports the proposed replacement FTE in *Costume Design*. This position is viewed as filling a critical hole left by a recent retirement, and the area is one that directly supports experiential learning.

CPB does not support the Arts Division's fourth request (*Electronic Music*) at this time. The Music department has lower Student/Payroll Faculty and Major/Budgeted Faculty ratios than the three Arts Division departments for which we recommend recruitments. Although somewhat sympathetic to Music's graduate program concerns arising from planned retirements, and cognizant of possible differences in pedagogical requirements that affect the interpretation of student/faculty ratios in performance-oriented fields, CPB feels it advisable to defer this requested recruitment.

Recommendations for the Baskin School of Engineering

CPB gave significant considerations to the list of priorities presented by Dean Wolf. As with the other divisions, CPB was pleased to see the thought given to developing a slate of authorizations that would promote the implementation of the Strategic Academic Plan. However, as with Humanities and the Arts, CPB didn't find the Dean's articulation of the School's top hiring priorities to be developed enough in relation to the SAP for the SAP to serve as the primary lens for assessing the BSOE requests. Instead, CPB's recommendations are based on its perceptions of institutional need as well as the School's recent, and likely continued, growth. CPB notes that the slate of positions recommended below was ratified by a unanimous formal vote of the committee, with its member from the School of Engineering (a member of the Computer Science and Engineering Department) recused.

Due to the formally impacted status of the Computer Science major within the department of Computer Science and Engineering (CSE), CPB recommends that the following three CSE positions be authorized: *Data-Intensive Systems* (Decanal priority #1), *Deep Learning* (Decanal priority #4), and *EDA/Hardware*

systems (Decanal priority #7). CPB also felt that the recent split of the Applied Math and Statistics Department into two separate departments, and the need to restore programmatic breadth to the Statistics graduate offerings, justifies the authorization of the *Statistical Science for Big Data* position in the newly-formed Statistics Department (Decanal priority #3), with the condition that the job description be clear that the position should be filled by a candidate whose primary focus is not Bayesian Statistics. Finally, the innovative *Undergraduate Senior Projects* position (Decanal priority #6), whose departmental affiliation is yet to be determined, was viewed favorably by CPB in that it would likely enable significantly deeper and better-shaped senior capstone projects across many engineering fields, offering the potential to significantly improve the undergraduate experience in a number of departments. However, should fewer than five new positions be authorized for BSOE, this is CPB's lowest priority of those that it supports.

Significantly, at this time CPB does not recommend authorizing the *Signals and Systems* and *Intelligent Sensors* positions in the Electronic and Computer Engineering departments, which were prioritized as #2 and #5, respectively, by Dean Wolf. CPB felt that the match to SAP implementation goals was somewhat weaker for these positions relative to the positions it recommends and noted that ECE is, according to IRAPS data, a lower-workload department within the School. Although Dean Wolf argued that these positions would help maintain ABET accreditation (and gain accreditation for the Robotics major), the Office of Planning and Budget information indicates that ECE is currently conducting searches for four positions, which CPB hopes will in and of themselves relieve the accreditation pressure.

Additionally, CPB does not recommend the authorization of the *Complex Biological Systems* position in the newly-formed Applied Mathematics department (Decanal priority #9). Although Applied Math is a new, small department, CPB didn't perceive a dire institutional need for this position. CPB recommends that, after a review of curricular needs within the department, and curricular synergies with other departments, the Applied Mathematics department be encouraged to draft a proposal for an undergraduate major, in which the case for additional faculty FTE can be made.

As mentioned in the introductory overview, it is CPB's hope that with the approval of five positions geared towards addressing curricular needs (especially that of undergraduate majors), the School finds itself in a position to think energetically about how it can fully engage the Strategic Academic Plan. In particular, CPB gives high weight to positions that not only provide a good match with Academic Priority Areas and Design Principles, but also have the promise to foster inter-departmental and inter-divisional synergies that will bring notable centers of activity onto campus, and allow new and prominent scholarly directions and graduate offerings to be forged.

Recommendations for the Division of Humanities

Based on the evaluation criteria expressed in the general introduction, CPB recommends that the following positions be approved for the Division of Humanities, supported by one central and four divisional provisions:

1. Humanities Division: *Black Studies* (Decanal priority #1)
2. Literature: *Creative Writing* (Decanal priority #2)
3. Linguistics: *Phonology* (Decanal priority #3)
4. History: *Luce SEACoast* (Decanal priority #4)
5. Feminist Studies: *Prisons, Policing and Social Movements* (Decanal priority #5)

The first four positions are the top four priorities of Dean Stovall. Two of the four positions, #2 and #3, were previously approved, while the History position (#4) is an FTE commitment tied to Professor Thomas's Luce Foundation SEACoast proposal (currently a finalist) and in support of the SEACoast Center at UCSC.

CPB strongly recommends the position in *Black Studies*, which is justified by strong student demand, supports the growing Critical Race and Ethnic Studies (CRES) program, and is important to expanding the diversity of the campus' humanistic scholarship. This position is also necessary to support the launch of a Black Studies minor. The position in *Creative Writing* is critical following the retirement of Professor Yamashita. Creative writing is an area of strength and visibility in Literature and this hire will promote graduate student growth in a Ph.D. program that is highly competitive and one of the most innovative in Creative Writing in the country. The proposed position #3 is a reauthorization for a position in *Phonology* in the Linguistics Department. Given recent and upcoming retirements, this position is crucial to maintaining the traditional strength of the department in core areas of linguistic theory. This position has also been strongly supported by the most recent external review of the department. The position in History is intended to add an environmental historian to support the Earth Futures and Justice in a Changing World APAs. According to Dean Stovall, the goal is "to build a new field for understanding the heterogeneity of the Anthropocene in the world's richest gathering places of cultural and biological diversity." CPB concurs and notes that this hire will expand the undergraduate and graduate programs in Southeast Asian Studies, while providing institutional vigor to the SEACoast Center at UCSC.

Finally, CPB endorses the fifth priority position, in *Prisons, Policing and Social Movements*, which will support the Justice in a Changing World and Digital Interventions APAs. Both Feminist Studies and CRES will benefit from this hire. As Dean Stovall comments, "the division is deeply excited about the possibility of advancing research and teaching in the area of prisons, policing, and social movements" and "given the legacy of Feminist Studies in prison studies, and this lacuna in CRES," this would be a significant area of interest.

CPB notes that Dean Stovall has designated the History search as being contingent on successful funding of the Luce foundation proposal. CPB is inclined to avoid institutional imbalance and recommends one central position be allocated to Humanities regardless of the outcome of the Luce initiative. This would allow Dean Stovall not only to support the strength of the interdisciplinary academic activities of the UCSC SEACoast Center but also to reinvigorate faculty work on "policing and prisons – a longstanding area of student interest and curricular need in the division following Angela Davis's retirement."

To recap, CPB supports five positions for the Division of Humanities, four of which would be from divisional-held positions and one of which would be a new central provision. Should the Luce award not materialize, and the History search thus not be initiated, CPB still supports the allocation of a central FTE in addition to the remaining three divisional positions.

Recommendations for the Division of Physical and Biological Sciences

CPB was impressed by the collaboration between Deans Koch and Mitchell in the promotion of an initiative in Global Health, which seems to be an excellent match to the Academic Priority Areas of the Strategic Academic Plan as well as the general evolution of scholarship within the UC system as a whole. The initiative also appears to enjoy significant and interdisciplinary faculty support within the two divisions. CPB supports the cluster hires proposed by the two Deans. However, CPB found the initiative to still be somewhat nascent, feeling that a cluster hire of this magnitude should generally be associated with a more explicitly laid-out intellectual center, including formalized mutual activity and scholarly collaboration arranged around new graduate programming. This, combined with CPB's generally conservative stance

towards authorizing positions for 2019-2020, leads to a recommendation that three of the four PBSci positions be authorized.

CPB does not offer an opinion as to which three of the four requested positions should be authorized, as the Dean has recommended that the searches be as open as possible to encourage interest from diverse candidates. In addition, the authorization of three positions in the Physical and Biological Sciences cluster (with more likely in the Division of Social Sciences) should be enough to allow the development of a mutually-supportive diverse cohort. CPB further recommends that weight be given towards placing them in departments with higher student FTE workload, such as MCD Biology and Chemistry, noting that the workload in METX is considerably lower. CPB also offers the following perspective from CEP chair Narayan: “When the Environmental Sciences program was approved, the METX Department committed to resume teaching METX 101 and perhaps ‘a newly designed course in environmental bioremediation’ if their faculty recruitment was successful. METX involvement in the Environmental Sciences program was strongly recommended by the external review committee, and echoed with equal strength by CPB last year. The department should deliver on this before it grows further.”

Beyond this, both the Mathematics position in *Mathematical Cryptography and Number Theory* (Decanal priority #5) and the Astronomy and Astrophysics position in *High Performance Computing and AI* (Decanal priority #6) are replacements for recent separations that seem to align well with SAP design principles. CPB recommends their approval.

Recommendations for the Division of Social Sciences

Based on the evaluation criteria expressed in the general introduction, CPB recommends that the following positions be approved for the Division of Social Sciences, supported by three central and two divisional provisions:

1. Education: *LPSOE MA/C Program Director* (Decanal priority #1)
- 2-3. Two positions in Global Health (Decanal priorities #2 and #4)
- 4-5. Two positions in Psychology (Decanal priorities #5 and #6)

CPB strongly supports the LSOE position in Education, as the MA/C leadership position seems too pressing to put off. As the Dean notes, “The program has one of the highest rates of underrepresented students among graduate programs at UCSC and among MA/C programs across the UC,” and the new hire could “direct and give oversight to the program serving as the Director, while also providing needed classes to the department, enabling it to thrive and grow.” This position is expected to help establish an undergraduate major in Education and Social Justice, promote careers in education and also promises to contribute to the Justice in a Changing World academic priority area.

We also support the two FTE requests for the Global Health Initiative, a compelling interdisciplinary and interdivisional proposal that aligns well with UCSC’s strategic academic plan. At this point in time, CPB suggests two rather than three positions, given that there is not yet larger synergistic activity in mind, such as an institute or graduate program. With two positions, faculty should still be able to work towards establishing a critical mass for new degree programs, and to develop a supportive cohort of young and hopefully diverse faculty, especially in combination with coordinated hires in PBSci. This recommendation, and the reasoning behind it, is consistent with that for the Global Health Initiative in PBSci that was discussed above.

Without having seen the individual departmental proposals, it is difficult to identify where the two positions for the Global Health Initiatives would be best situated. In keeping with CPB’s recommendation for considering workload in the possible PBSci Global Health appointments, we recommend here that uneven

faculty / FTE ratios in the Division be taken into account as the positions are specified (see Table 2 – data from IRAPS <https://mediafiles.ucsc.edu/iraps/ILS1718/campus-instructional-load-summary.pdf>). As Dean Mitchell notes in her response to the Call, faculty are already focusing on “health-related work in Economics, Politics, Sociology and Community Studies” (p. 4). Thus, based on faculty-to-student and faculty-to-major ratios, CPB recommends against the hire in Anthropology for now (17.5 and 11.9 faculty-to-student and faculty-to-major metrics, respectively), unless a particularly compelling case of scholarly focus within the Global Health Initiative for this hire emerges in the search process. More ideal departmental homes for the positions might seem to be Economics (first) and Sociology (second), as the new faculty hires would not only contribute to this exciting initiative, but could also improve student access to lower- and upper-division courses.

Finally, CPB supports the two positions in Psychology. Given the department’s high faculty-to-major and faculty-to-student ratios (see Table 2), which do not yet reflect recent faculty separations, these positions are crucial for the functioning of the undergraduate and graduate programs in Psychology, as well as for faculty research productivity and welfare. CPB’s support for these two FTE also took into consideration Dean Mitchell’s observation that “Cognitive psychology has played and will continue to play a central role in shaping scientific and technological advances in a transforming society. Research teams and industries in Silicon Valley and across the world recognize the value of cognitive psychology experts, and recent BS and PhD graduates have become highly successful in finding work not only in academia but also in technology companies” (p. 10).

To recap, CPB supports five positions for the Division of Social Sciences for the 2019-2020 recruitment cycle; three of which would be new central lines and two of which would be divisional.

| | Student FTE / Faculty Payroll FTE | Major/Budgeted Faculty Ratio Permanent Budgeted Faculty Ratio* |
|-----------|--|---|
| SOCSCI | | |
| Anthro | 17.5 | 11.9 |
| ECON | 37.5 | 39.6 |
| Education | 24.9 | 8.5 |
| ENVS | 20.7 | 19.8 |
| LALS | 21.7 | 16.5 |
| Politics | 28.6 | 28.9 |
| Psych | 36.6 | 42.9 |
| Sociology | 33.8 | 30.9 |

Table 2. Departmental IRAPS data, Division of Social Sciences

Summary and Conclusions

CPB has evaluated the Deans’ responses to the FTE Call, placing high priority on addressing pressing institutional need, the implementation of the Strategic Academic Plan, and maintaining institutional balance. Based on these considerations, the committee has made a complete set of recommendations for positions to authorize within the five divisions for searches in the 2019-2020 academic year. Due to the relatively early stage of the implementation of the SAP, and a degree of uncertainty in budgetary projections over the next few years, CPB has recommended an allocation of thirteen new positions from the central

pool, on the lower side of the 12-15 offered by the Provost. We hope that this will leave the campus in a more opportune place to move forward with the implementation of the SAP as it comes into its own over the next year or two. Accordingly, CPB looks forward to next year's FTE allocation process, when the creative energy and collaborative enterprise of the SAP begins to reach fruition.

Sincerely,



Bruce Schumm, Chair
Committee on Planning and Budget

cc: Academic Deans
Chancellor Blumenthal
VCPB Delaney
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