

May 11, 2020

iCP/EVC Lori Kletzer
Chancellor's Office

RE: 2020-21 Faculty FTE Recommendations

Dear Lori,

The Committee on Planning and Budget (CPB) greatly appreciated the opportunity to review the Deans' responses to the Faculty Recruitment Authorization Call for 2020-2021 (FTE Call), and to provide its own perspectives and recommendations.

CPB was able to devote significant time to the review of the FTE Call responses from the latter part of the winter and into the spring term. Its review process included an initial review and discussion after which each of the Deans was invited to attend an approximately 60 minute consultation with the committee, for which they were presented a list of detailed questions to which they were encouraged to provide both written and oral responses. All of these consultations were attended by Graduate Council Chair Don Smith and Committee on Educational Policy (CEP) Chair Onuttom Narayan. CEP also provided written perspectives to CPB. In addition, Chairs Smith and Narayan consulted with CPB after the conclusion of the decanal consultations. While Graduate Council will provide its own perspectives and recommendations directly, 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.

CPB's deliberations were influenced heavily by a sense, confirmed by you as well as by UC system financial leaders, that we will soon be entering a period of significant fiscal contraction due to the expected cyclical downturn of the California economy, deeply exacerbated by the shock of the ongoing COVID-19 Shelter in Place dictum. Although the FTE Call projected that 12-15 new positions would be available to be awarded to the divisions from the central pool, you subsequently reduced this number to 3-6 positions, and at one point intimated that it might be even fewer. CPB fully understands the motivations for your conservatism, and appreciates the large uncertainty swirling around the campus's fiscal outlook. As a result, we offer a prioritized list of positions recommended for authorization beyond those that would be provided by open divisional provisions offered by the deans. In this way, you will be able to glean our recommendation for 2020-2021 search authorizations for any choice of allocation of central positions between zero and six. It should be noted that the possibility of re-allocating positions already held within the divisions was not suggested by you, or discussed by CPB. However, were you to decide that no central provisions can be offered for 2020-2021 searches, CPB would be willing to re-visit our recommendations (as will be motivated below, we are especially concerned about the welfare of the Computer Science and Engineering Department should no central positions be offered).

This prioritized list is shown in Table 1. For reasons discussed below, it recommends that for any number of new central positions offered for 2020-2021 searches, the large majority be awarded to the Baskin School of Engineering. It was difficult for the committee to reach this decision, as its sense, confirmed by its meetings with the deans, was that several other divisions in addition to BSOE are significantly hampered by budgetary limitations. CPB notes that FTE allocation is not the only way to support the academic divisions, and urges you to consider other means of support for the academic divisions, and how these might be best and most judiciously offered, in supporting the core academic mission of the campus.

Priority	Division	Department	Area
1	BSOE	CSE	LSOE to support the CS undergraduate curriculum
2	BSOE	CSE	Theoretical Computer Science
3	BSOE	CSE	Theoretical Computer Science
4	Social Sciences	Psychology	Social Psychology
5	BSOE	CSE	Artificial Intelligence
6	Arts	G&PM	LSOE; creative programming and design

Table 1: Prioritized list of searches to be authorized should new provisions be available to award to the Divisions.

These recommendations are heavily influenced by concern about the campus's fiscal outlook. Speculation is that the size of the University budget could be reduced by as much as 15% - a reduction similar in size to that of the "Great Recession" of ten years ago. However, CPB's sense is that the University is, as a whole, in a somewhat less favorable fiscal position than it was in 2008. After a number of years of under-funded expansion of the student body, our ability to support our curriculum is already under stress, as evidenced in the recent CEP/CPB impactation study¹, as we enter this period of fiscal contraction. In addition, a recent analysis performed by CPB, in collaboration with the Office of Planning and Budget, identified significant fiscal pressure points associated with the campus's generally below-market compensation levels². Thus, first and foremost, CPB found itself heavily prioritizing the use of resources in a manner that would shore up existing programs and avoid, to the extent possible, degradation of areas of excellence. Constrained by available resources, CPB has found itself recommending against authorizing searches that are needed to maintain leadership in several academic areas – decisions that were difficult to make and weighed heavily on the committee.

The various measures of the CEP/CPB Impactation Study consistently identified five programs as the most impacted on our campus. Alphabetically, these are: Computer Science (CS); Economics; Molecular, Cell, and Developmental Biology (MCDB); Psychology and Technology and Information Management (TIM). Of these five, CS, housed in the Computer Science and Engineering (CSE) department along with TIM, emerged by a significant margin in every impactation measure as the single most impacted program on our campus. Additionally, the one inter-campus comparative metric of the Impactation Study found a higher (worse) value for the Baskin School of Engineering (BSOE) as a whole than for the average Computer Science major on the other eight undergraduate UC campuses. Figures 1 and 2 provide supporting background for this observation: over the past decade, the growth in the student body has been absorbed nearly entirely by the BSOE, while the allocation of faculty positions has been much more evenly distributed. While a number of members of CEP and CPB raised questions about the BSOE dean's apportionment of FTE provisions between faculty lines and other uses, the need for resources to meet this growth in demand strikes CPB as remaining acute. This was a leading consideration in the development of the recommendations summarized in Table 1, in which four of the top six, and each of the top three, recommendations are for positions in BSOE.

The decision to recommend that the great majority of new positions be awarded to the BSOE was not made lightly by the committee. CPB feels it very unfortunate that campus fiscal exigencies have elevated dire curricular needs to such a high priority in its consideration of the apportionment of faculty positions across the five divisions. CPB is greatly concerned about the possibility that this pressure, if not kept in the forefront of our awareness, will lead incrementally, over the next few years, to a rebalancing of institutional

¹ Report from the CEP/CPB Program Impactation Working Group (January 2020):

https://senate.ucsc.edu/archives/Current%20Issues/report.cep.cpb.programimpactionworkinggroup_jan2020.pdf

² An Enumeration of Compensation and Other Pressures on the UCSC Budget: UCSC Committee on Planning and Budget (March 2020): <https://senate.ucsc.edu/archives/cpb-report-regarding-compensation-and-other-pressures-on-the-ucsc-budget-march-2020.pdf>

resources that will draw our campus away from its diverse liberal arts tradition, and encourages you to remain vigilant in this regard as we move forward into what portends to be a very challenging period.

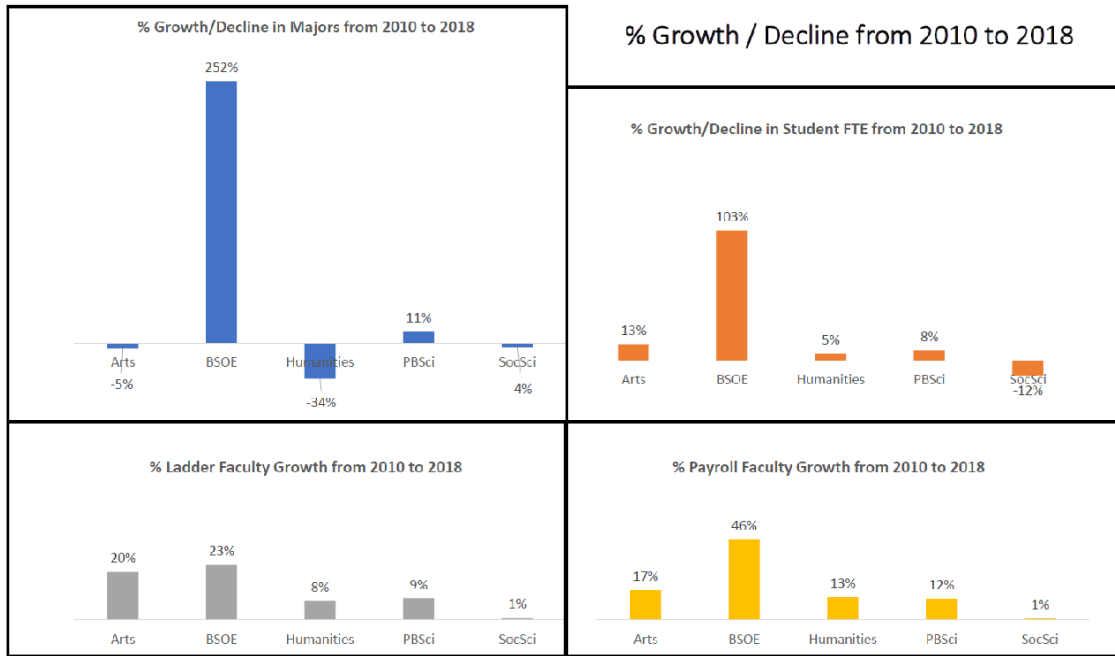


Figure 1: Growth of workload and of faculty lines in the divisions from 2010 to 2018.

In 2018-19, BSOE student to ladder faculty ratios were 1.33 higher than the average of other Academic Divisions (32.9 / 24.8)

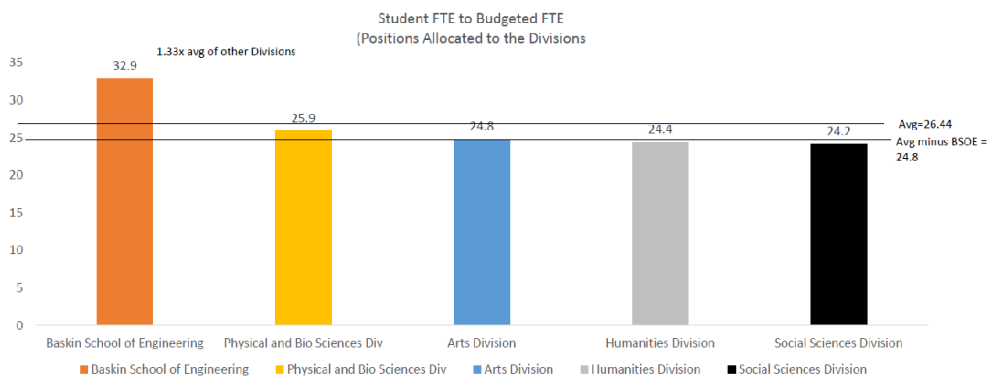


Figure 2: Current workload ratios for the five academic divisions.

Most of the data that entered into the various indices in the Impaction Study was gleaned from the 2018-2019 academic year. Since then, considering all successful and authorized searches, separations, and transfers, CPB has determined that Psychology has gained two FTE since 2018-2019, one of which involved a conversion of one position from ladder-rank to LSOE. MCDB is expected to gain significant new teaching

and major advising capacity upon conclusion of the 2019-2020 GCH searches, which may net as many as six new faculty, many either joining the MCDB department, or with intellectual ties close enough to support its curriculum and students. MCDB may also gain another position through a Target of Excellence action currently underway. Depending on how one accounts for faculty on leave in 2018-2019, however, CSE has lost 1-2 positions (a position to stabilize the TIM major has been promised to BSOE once several governance issues have been ironed out; this will have only a marginal effect on teaching capacity in CS). Given this, and the emergence of CS in the Impaction Study as being significantly more impacted than any other program on campus, CPB recommends that the use of the 2020-2021 hiring cycle to bolster CSE teaching capacity be one of the campus's highest academic priorities.

Following are detailed recommendations for and comments on recommendations for each of the Divisions' requests for authorizations for 2020-2021 searches, division-by-division in alphabetical order.

Arts

Although not one of the top five impacted programs from the Impaction Study, impaction indicators for Arts Games and Playable Media (AGPM) were high. In his visit, iDean Warburton pointed out that the curricular load for the program currently falls upon one senior faculty member and three assistant professors, and raised concerns about the sustainability of the program both in terms of supporting curriculum as well as the seniority profile of the program's faculty. Although an LSOE appointment would most efficiently stabilize the AGPM curriculum, CPB accepted the dean's argument that supporting the current program leader with another senior hire is a greater need for now. Recognizing the substantial burden that would otherwise fall on the division, and the division's stretched resources, CPB supports the dean's request that the upgrade associated with the senior AGPM hire be met with central funds. In addition, both CEP and CPB recognize the pressing need for curricular support in Theater Arts and the expanded Music major, and note that the Art department is likely to receive an additional LSOE position as a partner hire related to a retention in PSci. Thus CPB concurs with the dean's prioritization of positions, and recommends authorizations for a senior search in AGPM, and searches in Theater Arts and Music. Should six central provisions be available for the 2020-2021 cycle, CPB recommends that a search for an LSOE in AGPM be authorized, but not if fewer than six central provisions are made available.

Arts Summary: CPB supports the dean's prioritization, and recommends that the LSOE in AGPM be authorized if six new central provisions are made available.

Baskin School of Engineering

In its great concern about shoring up threatened programs, and the CEP/CPB findings on impaction, CPB (supported by CEP's own recommendations) found itself expressing significantly different priorities than the dean. Both CEP and CPB recommend against the positions in Statistics and Computational Media. CEP writes about Statistics "The department will have 9 faculty after the ongoing recruitments. The dean argued for more FTE based on the department's large undergraduate enrollment in service courses, but these courses have been taught by Unit 18 lecturers for a long time, so this argument is not persuasive;" CPB notes that a divisional LSOE appointment recommended last year was re-purposed for a hire in Statistics this year. Computational Media currently has four ongoing searches, and was the recipient of two transfers from the Social Sciences; while they are the main force forging the way into the arena of professional Masters education at the Silicon Valley Campus, both CEP and CPB feel that it is prudent to hold off on new authorizations this year and to reassess their status next year. CEP lent weak support to the Electrical and Computer Engineering request in mixed-signal RF; while many members of CPB were well-disposed to such a position, with its possible connections to several other areas of campus activity and its support of the curriculum in Electrical Engineering, needs in other areas of the division were deemed to be greater. The discussion of this position was rather lengthy, and this decision was not taken lightly.

On the other hand, both CEP and CPB agreed with the dean's arguments about the fragility of the Biomolecular Engineering curriculum, and support this request. The Applied Math position is associated with the development of an undergraduate major that has been supported by the Senate, and so both CEP and CPB support this request. The dean's first two priorities are in Computer Science, and would bring the CSE department's curricular capacity back roughly to where it was in 2018-2019, and so these positions are strongly recommended for authorization.

These four recommended searches, if authorized, will account for all four of the divisional positions offered by the dean, while making no significant progress in addressing impaction in CS. Thus, CPB feels that allocation of additional, central provisions to BSOE is essential. CPB's highest priority recommendation for the allocation of a central position is thus for an LSOE position within CSE. This position is distinct from the divisional "Capstone Projects" LSOE (decanal priority #9) which CPB recommended for authorization last year but no longer recommends within the current fiscal environment. Instead, this LSOE should be focused entirely on supporting the CS curriculum, in a manner complementary to the prospective TIM LSOE position. CPB also supports three of the remaining decanal requests for CSE (#8, 10, 11) and sees no compelling reason to alter the dean's priority-ordering. How many of these should be authorized will depend upon the number of central positions you decide to offer, but CPB unequivocally recommends that at least the CS LSOE position be authorized. It should be recalled however, from the introductory material, that CPB recommends the Social Sciences position in Social Psychology above the fourth of these positions.

Dean Wolf has requested that all startup costs for authorized CSE searches beyond the two to be met with divisional provisions be met with central funds. The burden of doing so should be mitigated by converting one of the dean's requests in CSE to an LSOE. CPB is not familiar enough with BSOE budgets, in particular the size and condition of the BSOE budgetary carryover, to advise you on the number of CSE positions for which divisional funds could be used for 20% of startup costs.

Finally, CPB would like to forward, with its support, a recommendation from CEP that should further help stabilize the CS curriculum at limited cost to central resources. In anticipation of at least one CSE separation by the end of the 2020-2021 academic year, CEP has recommended that the BSOE offer a fifth divisional provision for recruitment during the coming year, with your office forward-funding the position for one year, and providing 100% of startup and relocation costs. If this is agreed to between your office and BSOE, this should not diminish the number of central positions that would otherwise be offered to BSOE, as in the long term this would result in a net-zero contribution to CSE teaching capacity. However, given the perceived fragility of the CSE department as a number of faculty reach retirement age, CEP and CPB believe this would significantly boost departmental morale at small cost to the campus.

BSOE Summary: CPB supports the dean's first four priorities, but recommends an LSOE in CSE for a fifth priority, and that the dean's priorities #8, #10 and #11 (all in CSE) be made the sixth through eight priority, respectively. CPB also recommends the forward funding of a CSE retirement to permit the offering of a fifth divisional provision, to fund an additional search in CSE over and above the ones mentioned here.

Humanities

The dean offered two divisional provisions and made four requests: two in Languages and Applied Linguistics (LAAL) with foci in Spanish and Japanese, respectively, one in Linguistics (Phonology), and a fourth-priority request in History of Consciousness. Both CEP and CPB see the History of Consciousness request as premature in view of the upcoming external review of the department. The phonology position was authorized last year; since authorizations are live for two years, it is not really up for consideration, and CPB supports the request accordingly. Both CEP and CPB support the authorization of a single position in LAAL, recommending however that the position be offered in Japanese rather than Spanish, which is more justified by enrollment trends. When asked about switching the priority of the two LAAL positions,

the dean expressed no strong preference either way, and seemed comfortable with the prospect that the position in Japanese linguistics would be approved over that in Spanish linguistics.

Humanities Summary: CPB recommends swapping the priority ordering of the Spanish and Japanese positions in LAAL, and authorizing the Japanese position along with the Linguistics position.

Physical and Biological Sciences

CPB's deliberation about which of the PBSci positions to recommend was somewhat complicated by the pending decision on the request to extend the number of authorizations for hires from the existing GCH candidate pool from four to six, and to remove two divisional provisions from the 2020-2021 authorization request (bringing the number of divisional positions down from six to four) along with authorization requests #9 and #10. CPB has already sent you a letter expressing the majority support of the committee for the increase in authorizations for the 2019-2020 searches, noting the opportunity the hires present to build a diverse cohort of promising young faculty in a coherent development of a timely and interdisciplinary academic thrust. However, given the scarcity of central positions now offered, this amounts to an effective re-prioritization away from the fields of Ecology and Evolutionary Biology (EEB), Physics, and Astronomy and Astrophysics (AA), and into the GCH-associated fields of Chemistry, MCDB, and Environmental Toxicology (METX), at the potential risk to established excellence in one or more of these fields. The difficulty of this tradeoff weighed heavily in CPB's deliberations on the PBSci dean's request. We first present our recommendations for the case that the additional hires are approved and are successful, and then provide additional perspectives for the case in which one or more of the extra positions is either not approved or the corresponding offer is not accepted.

In his visit to CPB, in reaction to impending budgetary pressure Dean Koch significantly revised his list of authorization requests. Dean Koch replaced his top three priorities – a cluster hire in Materials Science – with a single request for an expert in theoretical Materials Science. Although replacing a retirement in Physics, the hire would be either in Chemistry or Physics, depending on the disciplinary focus of the top candidate emerging from the search. Decanal priorities #2-#6 remain the same as original priorities #4-#8, but moved up two positions each due to the removal of two of the three Materials Sciences positions, formerly his top priority, from the list of requests.

CPB discussed this new list of priorities at some length. Of greatest difficulty was a development of a consensus for the relative ranking of the positions in EEB, Physics, and Astronomy, particularly in light of the possibility that six divisional provisions will be allocated to the 2019-2020 GCH pool, leaving only four available for 2020-2021 searches. CPB found the dean's narrative about the EEB position quite compelling, but noted that this was a growth position while the Physics and AA positions, both strongly motivated by strong institutional reputation in those fields, were replacement positions. CPB also noted that the provision behind the top-priority Materials Science request was generated by a retirement in Physics, making it quite possible that Physics would lose two positions should the Materials Science search result in a hire into Chemistry and the particle physics / cosmology position not be authorized. Furthermore, in its letter to CPB, CEP expressed unequivocal support for the Physics position, weak support for the EEB position, and withheld its support for the AA position. At the conclusion of its discussion, CPB was comfortable with AA having the lowest priority of these three positions, but remained equivocal about the relative ranking of the EEB and Physics positions. No member expressed a strong opinion about the relative ranking of these two positions, and when put to an informal vote, the committee was evenly divided between maintaining and switching the ordering of these positions. Thus, with no clearly-stated reason for modifying the dean's prioritization arising from the deliberation, CPB defaulted to supporting the dean's order of prioritization.

There was consensus among the committee that needs in other divisions are greater than those of PBSci, and that no new central positions should be recommended for the division. There was also consensus that many of the reasons justifying its approval of authorizing an additional two positions for the 2019-2020

GCH search would not carry over to a search conducted anew in 2020-2021. As a result, CPB makes the following recommendations for the authorization of 2020-2021 search in the Division of Physical and Biological Sciences. No new central positions should be awarded to the division. If the 2019-2020 GCH yields six accepted offers (including potential spousal hires), then one position each in Materials Science (Physics or Chemistry), Mathematics, Chemistry (LSOE), and EEB should be authorized, making use of four divisional provisions. If the GCH search yields only five new faculty, the Physics search should be authorized using a fifth divisional provision. If the GCH search yields only four new faculty, then the AA search should also be authorized, making use of a sixth divisional provision.

PBSci Summary: CPB recommends no central positions be awarded to PBSci, and that authorizations be made for one search each in Materials Science (Physics or Chemistry), Mathematics, Chemistry (LSOE), and EEB. If a fifth (sixth) divisional position is made available, then the Physics (Astronomy and Astrophysics) search should be authorized.

Social Sciences

CPB, with concurrence from CEP, recommends a re-ordering of the dean's prioritizations in one case. Both CEP and CPB support the authorization of the Critical Studies position for the Education Department. Indeed, in her visit to CPB, Dean Mitchell herself said that, should no central positions be awarded to her division, she would prioritize this position over the third position in Psychology, amounting to an effective re-prioritization in response to the unexpected darkening of the campus's fiscal prospects. Thus, the Senate and the dean seem to be in alignment with respect to this re-prioritization.

CPB supports the authorization of the Environmental Studies position in Agroecology and Watershed Ecology (decanal priority #2). CEP sees no curricular need for the position, and some of its motivating context may have been lost as fiscal constraints limit our ability to support new initiatives, and in view of our recommendation against the complementary position in the ECE department in the BSOE. Still, though, the majority of CPB found the position to be well-motivated given its connection to a number of other campus strengths, and recommends that this authorization be approved.

The motivation for the five positions in Economics, which consistently emerged among the top-five most impacted programs in the Impaction Study, seems strong. Four are replacements for separations (including one position to support GCH), and CEP believes that the fifth, growth position is essential for the support of the Economics curriculum.

After in-depth discussions about Psychology with Dean Mitchell during her visit, CPB came to understand and support her proposed allocation among the three sub-disciplines in the department. However, while Psychology also consistently emerged, along with Economics, as a top-five impacted program, it has gained two positions since 2018-2019, one of which is an LSOE. Thus CPB provided unequivocal support for the two positions in Developmental Psychology, along with the Environmental Studies, Education and Economics positions enumerated above, accounting for the nine divisional positions offered by the dean. Similarly, the three positions in Psychology seem important for addressing workload issues in the department. Thus, CPB recommends the authorization of all five Economics and all three Psychology positions requested by the dean, should a new central position be awarded to the division. Overall, CPB placed this position fourth among its candidates for the authorization of new central positions, after one LSOE and two ladder-rank positions in CSE.

Social Sciences Summary: CPB supports the dean's priorities with the exception of the swapping of #10 (Education) with #9 (Social Psychology); a reprioritization supported by the dean herself. The Social Psychology position should only be authorized if four or more new central provisions are offered.

Summary and Conclusion

The Committee on Planning and Budget has reviewed the deans' requests for the authorization of searches for permanent faculty in 2020-2021. We have provided recommendations for the authorizations of all divisional provisions offered by the deans; for the division of Physical and Biological Sciences the recommendation is provisional, and depends on the number of faculty hires made from the 2019-2020 search pool in Global and Community Health. We also forward a recommendation from the Committee on Educational Policy that an additional divisional position be generated in the BSOE through the forward-funding of a pending retirement in CSE, and that this position be used to authorize an additional CSE hire. Finally, we provide a priority-ranked list of six searches that could be authorized should you decide to award new central positions to any of the divisions. We also express concern about the condition of the CSE department should you decide that no new central provisions can be made available. We hope that you find our recommendations helpful as you work towards your allocation decisions.

Sincerely,



Bruce Schumm, Chair
Committee on Planning and Budget

cc: Academic Deans
Chancellor Larive
Budget Director Register
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aVPDGS Williams
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