COMMITTEE ON PLANNING AND BUDGET
Annual Report 2023-24

To: Academic Senate, Santa Cruz Division:

I.   Overview

This academic year has been marked by a series of challenges at multiple levels of the campus, including protests, implementation of new labor contracts, rollout of the new academic Divisional Resource Model, and the public acknowledgement of a large and growing structural deficit for the campus. At the same time, the UC budget has seen the postponement, then the return of the Compact funding for 2024-25, new budgetary cuts, and uncertainty about the 2025-26 budget. At UC Santa Cruz, budgetary challenges played a role in the "sweep/swap" of converting unit funds to central funds at the beginning of the 2023-24 fiscal year, and led to extensive planning for a substantial reduction in expenditures to curb the deficit over the next several years. This has already had major impacts on the campus, with severely reduced FTE authorizations this year following four years of more aggressive hiring as part of the Faculty 100 initiative (with this year's reduction resulting in a quick loss of the progress made toward improving student-to-faculty ratios), and the first round of budget cuts for all campus units.

The Committee on Planning and Budget (CPB) reaffirms committee principles, whether in response to crises, new initiatives, or annual/routine business. At all turns, CPB emphasizes diversifying, stabilizing, and strengthening programs, units, and the educational experiences of students; advocating for strategic growth where appropriate; minimizing the damage of cuts where possible; and being vigilant and responsive to the ways in which circumstances, planning, and/or policy might impact the campus community differentially and asymmetrically. In these ways, CPB commits to critically imagining what is possible beyond the pressures of austerity, and to avoid recommending decisions that would result in long-term negative impacts to campus programs and community welfare. Moving forward, it is imperative that our response to this budget crisis is informed by campus values; there is a real opportunity to reimagine how the campus operates and to capitalize on our strengths, even in a constrained budgetary environment, if we avoid the trap of making decisions informed solely by a self-imposed austerity viewpoint with a short time horizon.

This report is organized by the following sections:

- Shared Governance and Consultation Process
- Faculty FTE Review
- Implications for Reduced Hiring
- Structural Deficit and Budget Planning Process
- Divisional Resource Model (Formerly Fresh AIR)
- Space and Capital Planning
- Highlighted 2023-24 Reviews
- Regular Committee Business
- Local and Systemwide Issue Reviews
- Continuing Issues

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 differences in vision and strategy between the Senate and administration, 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.

To assist in fulfilling the committee's charge, and in accordance with UC Regents Bylaw 40.1,[1] CPB asserts and reiterates its right to request budget data on any aspect of the University budget relevant to committee oversight, and also as background information underlying effective consultation. This year, explanatory information related to two such CPB requests for divisional budgetary and carryforward information (specifically University Advancement and Office of Research) was withheld by the administration, which both obscured some aspects of existing budgets and made it more challenging for CPB members to actively engage in the consultative process at a time when significant budget decisions and deficit reductions were being (and continue to be) considered. CPB holds all such material confidential to the committee, and this lack of transparency hinders our consultative role and also makes our recommendations less specific and relevant to the administration.

The committee typically has a standing consultation with the Campus Provost and Executive Vice Chancellor (CP/EVC) at its weekly meetings, and this year CPB consulted with CP/EVC Lori Kletzer and her team during eighteen committee meetings. As part of these consultations, CPB also annually schedules formal consultation with the Associate Vice Chancellor for Budget and Planning (AVCBAP) for overviews of the campus budget and budget outlook, and other topics as needed (this year, this included an overview of central resources, and campus carryforward and deficit balances). As part of CPB's consultations with CP/EVC Kletzer, the committee also scheduled formal consultation with Associate Campus Provost of Strategic Initiatives (ACP) Adrian Brasoveanu on the topic of the Divisional Resource Model (DRM); specifically, ACP Brasoveanu presented to CPB on Instructional Support and TA Allocations. A planned presentation on the DRM staffing model was several times postponed due to scheduling conflicts and more pressing business; the staffing model will be a topic prioritized by CPB for 2024-25 consultation. Additionally, CPB requested formal consultation with Vice Chancellor & Chief Financial Officer (VC) Ed Reiskin on the topic of housing. AVCBAP Register, ACP Brasoveanu, VC Reiskin, and Campus Budget Director Alex McCafferty also regularly attended the CP/EVC standing consultations with CPB.

This year, CPB also began regularly consulting with Vice Chancellor for Research John MacMillan to discuss the research enterprise on our campus from a resource perspective. VCR MacMillan had consultations with CPB once quarterly, with the spring consultation scheduled jointly with CP/EVC Kletzer on the topic of Indirect Cost Recovery (ICR). Committee on Research Chair Mike Hance was also invited to all of CPB's consultations with VCR MacMillan.

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[1] The Academic Senate may select committees to advise the President and Chancellors on campus and University budgets.

In the past, CPB had consulted with the academic deans every fall somewhat informally, then again in winter to discuss their division's faculty FTE requests to the CP/EVC. This year's consultation calendar with the deans diverged from the historical norm. For example, less formal meetings in fall were held only with Deans Bryan Gaensler and Alexander Wolf, the former to introduce Dean Gaensler to the committee and its work and the latter to discuss space and other resource-related issues in Baskin Engineering (BE). CPB requested a collective consultation with the deans and assistant deans in fall to discuss decanal implications of the Divisional Resource Model (DRM), but the deans preferred to meet with the CPB chair and vice-chair at the Council of Deans instead. This winter quarter, CPB met with the five deans individually to discuss FTE requests. Unfortunately, because the FTE call was pushed back even later than usual this year, some of these consultations occurred before the deans had submitted their FTE requests to the CP/EVC. To compensate, CPB sent post-consultative questions to the deans to clarify any outstanding issues that arose after CPB was able to review the decanal responses to the FTE call. Finally, the deans jointly consulted with CPB early in spring quarter to discuss challenges and opportunities related to the DRM. At this consultation, it was determined that it might be helpful for the five deans to collectively consult with CPB once per quarter starting in 2024-25. This is something CPB will consider implementing next year.

In 2023-24, CPB scheduled consultations on the topics of graduate education and international education as well. During winter quarter 2024, the committee consulted with Vice Provost and Dean of Graduate Studies (VPDGS) Peter Biehl. In spring, the committee consulted jointly with Vice Provost and Dean of Undergraduate Education and Global Engagement (VPDUE/GE) Richard Hughey and Associate Vice Chancellor of Enrollment Management (AVCEM) Michelle Whittingham. In both cases, relevant committee chairs (Graduate Council and the Committee on International Education, respectively) were invited to attend.

Finally, Graduate Council (GC) and Committee on Educational Policy (CEP) chairs are also annually consulted in winter on the decanal faculty FTE requests.

This year, CPB members also represented CPB on several campus committees. Member WouldGo sat on the Interdisciplinary Instruction and Research Building (IIRB) committee, Vice-Chair Venturi sat on the University Space Committee, Member Mitchell sat on the Miscellaneous Fees Committee, and Member Hourigan sat on both the Technology-Enhanced Teaching and Learning Advisory Committee (TETL), and the Advisory Committee on Campus Transportation and Parking (ACCTP). Chair Kudela also sat on both the Budget Advisory Committee and the Strategic Implementation Committee, and represented CPB at the Senate Executive Committee (SEC), and the University Committee on Planning and Budget (UCPB).

In fall, CPB discussed at length the UCPB report on best practices for divisional committees (Appendix I), and noted that UCSC is, for the most part, compliant with the recommendations. One recommendation that CPB consulted on with the CP/EVC is that there be a budget overview included in the annual leadership retreat (held in the fall), to both update the campus on the status of the budget, and to improve budget literacy. CPB notes that the CP/EVC was supportive of this suggestion, and we look forward to this being implemented in the future.

In past years, CPB frequently found, when reviewing off-cycle hire requests, that we simply did not have enough information to make an informed recommendation. CPB has emphasized that

attention to the committee's guidelines for off-cycle hire requests will prevent delays in these time-sensitive processes.[2] This year, CPB provided updated guidance on requirements for off-cycle requests in order to facilitate timely and informed CPB recommendations (Appendix II). Additionally, in the spring, CPB collaborated with GC and CEP on a memo to deans and departments noting that delays in self-study documents not only have repercussions for timely program review, but may also result in CPB refusing to consider hiring requests for departments that have not yet submitted their self-studies (as this background is often critical to the committee's evaluation of potential hires). A separate issue that arose more than once this year was requests for off-cycle hires that CPB later found out were already authorized, or agreed to informally, before CPB provided review. CP/EVC Kletzer also informed the committee that the Senate was not being asked to review hire requests that the CP/EVC unilaterally decided would not be authorized. We note that such decisions are not consultative if the outcome has been decided before Senate review, and it would benefit the review process if CPB were notified when a position is requested but not reviewed by the Senate, as it can provide important context for the shape and growth of departments and divisions.

III.   Faculty FTE Review

CPB's approach to the FTE call follows the approach initiated last year in response to the rollout of the Divisional Resource Model (DRM, formerly Fresh Air), and was updated this year based on CP/EVC guidance regarding likely FTE authorizations during a period of budgetary constraint. CPB first examined and then rated (not ranked) the positions within each division as being supported or not supported. For this call, CPB considered all positions as well-aligned with campus priorities, and rated all 19 submissions as supported. CPB's deliberations about the FTE requests were then guided by the campus goals, priorities, and academic indicators outlined in the FTE call letter, which emphasized UCSC's commitment to reducing the ratio of undergraduate student FTE compared to Senate faculty FTE (30.4) to be in line with UC averages (29.6). 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, based on three key components: the training and expertise of UC faculty, the ability and engagement of UC students, and the rich research-based environment central to the UC system. High student-to-faculty ratios compromise this mission. While these ratios are increasing systemwide, UCSC has made considerable progress over the past decade, reducing our ratios from the highest in the UC system to being more similar to other campuses (currently in line with UC Davis and UC Irvine and below student-to-faculty ratios at UC Riverside and UC San Diego).[3] CPB evaluated student-to-faculty ratios through a number of lenses including the department-level and division-level undergraduate and graduate student-to-faculty ratios, and the historical trends and likely impacts of imminent separations and retirements. CPB also established priorities for assessing positions based on how the proposed FTE would a) stabilize and strengthen existing undergraduate and graduate programs, and b) support established campus initiatives. CPB therefore focused on a) increasing disciplinary and demographic diversity, b) improving undergraduate and graduate student 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. Given the uncertainty

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[2] CPB's off-cycle hire request guidelines are located on the committee's website:
https://senate.ucsc.edu/committees/cpb-committee-on-planning-and-budget/
[3] https://www.universityofcalifornia.edu/about-us/information-center/student-faculty-ratio

of the budget, CPB considered but placed less emphasis on requests that focused more exclusively on aspirational growth towards research excellence, as CPB considered those positions to be valuable but less critical than stabilizing and strengthening existing programs and initiatives during a period of reduced FTE authorizations.

CPB placed the FTE requests into three tiers of four FTE requests each. Specifically, CPB took the following two-step approach:

1. CPB assessed the justification of a position relative to the goals and priorities described above. For this first step, as previously detailed, CPB gave a binary recommendation: either CPB recommended or did not recommend allocation/authorization.

2. If CPB recommended allocation/authorization, CPB rated the position as "highest" (Tier 1), "high," "medium," "low," or "conditional" priority. A "highest" rating represents a position that CPB felt was critical and urgent, requiring a search to be conducted in the upcoming academic year (2024-25). A "high" rating represents a position that CPB endorses for a search in the upcoming academic year, but with the understanding that there may not be enough authorized positions to accommodate all requests. A "medium" rating represents a critical need, but for a search that could be conducted a year or more out. A "low" rating represents a position in a department or program that was well justified, but could be delayed to a future year. Finally, some positions were given a "conditional" rating, where either additional information was required to make an informed decision or the relative ranking would depend on ongoing or planned changes at the FTE and departmental level (e.g., ongoing off-cycle hires, pending separations and retirements, plans for new degree pathways).

In a normal year, CPB would advocate for authorization of all 19 of this year's requests. However, given the structural deficit and the need for budgetary restraint discussed in the FTE call letter, CPB recognized that a small number of FTE would ultimately be authorized this year. We therefore categorized FTE requests into three ranges. First, the highest priority requests (four total in Tier 1) would fit within the limited number of authorizations expected this year. Tier 2 was based on the FTE call letter, which specified 3-4 new faculty and 5-8 open provisions, amounting to 8-12 FTE for this cycle. (CPB did not differentiate between new and open provisions given that all FTE are now centralized, and while this differentiation is useful for tracking progress toward the goal of the Faculty 100 initiative, it makes little practical difference in CPB recommendations). Tier 2 represents what we consider to be the most critical positions for an additional four FTE. Finally, Tier 3 provides four more FTE, providing full recommendations in the unlikely event that the upper limit of 12 positions would be authorized. We hope this tier system provides clear guidance on positions that would likely move up in future FTE calls, so that the divisions and campus can plan accordingly.

The table below summarizes CPB's recommendations for all submitted requests. Below the table are CPB's recommendations by the three tiers.

Table 1. Summary of CPB's overall ranking of FTE requests by division.

	Highest	High	Medium	Low	Conditional
Arts	1	4	0	0	0
Baskin Engineering (BE)	1	2	0	2	1
Humanities	0	0	0	0	0
Physical and Biological Sciences	1	2	2	1	0
Social Sciences	1	0	0	0	1

Tier 1 (in alphabetical order by division; not ranked within the tier):

- Assistant Professor 3, Africa Art & Visual Culture (HAVC, Dean's position #1)
- Associate Professor 3, Generative AI (CSE, Dean's position #1)
- Assistant Professor 3, Terrestrial, Marine, or Mixed Community Ecology (EEB, Dean's Position #2)
- Assistant Professor 3, Cognitive Psychology (PSYCH, Dean's position #1)

CPB categorized four positions as "highest" priority. These are positions that have the potential to critically damage divisions and programs, and/or exacerbate issues with student success if they are not filled in this call.

Tier 2 (in alphabetical order by division; not ranked within the tier):

- Assistant Professor 3, Artist/Scholar in Drawing, Painting, 2-D w/ Latinx/Chicanx Emphasis (ART, Dean's position #2)
- Professor 3, Next Generation Media Technology (CM, Dean's position #2)
- Assistant Teaching Professor 3, Math Pedagogy (MATH, Dean's position #1)
- Assistant Professor 3, Structural Biology of RNA (CHEM, Dean's position #5)

In Tier 2, we placed four FTE that, in a normal year, would almost certainly be authorized. We placed them in Tier 2 because, while critical, they are not the highest priorities. There were considerations about the impact on teaching capacity (MATH) and space availability (CM) that led to these particular positions being slightly downgraded from the highest tier. For the other two positions in Tier 2, CPB agreed that the ART position is foundational, and that the CHEM position is both a growth opportunity and a way to stabilize the broad area of RNA research (in place of the MCDB position, which is discussed in more detail below). The BE position in Tier 2 is a "conditional" FTE due to 1) a probable teaching professor hire in CM in the general area of Game AI, and 2) no space being specified for this position. CPB strongly asserts that space should be identified prior to any FTE authorization.

Tier 3 (in alphabetical order by division; not ranked within the tier):

- Assistant Professor 3, Latinx, Chicanx and/or Latin American Film and Media (FDM, Dean's position #3)
- Professor 3, Statistical Data Science (STAT, Dean's position #3)
- Assistant Professor 3, Data Driven Control (AM, Dean's position #4)
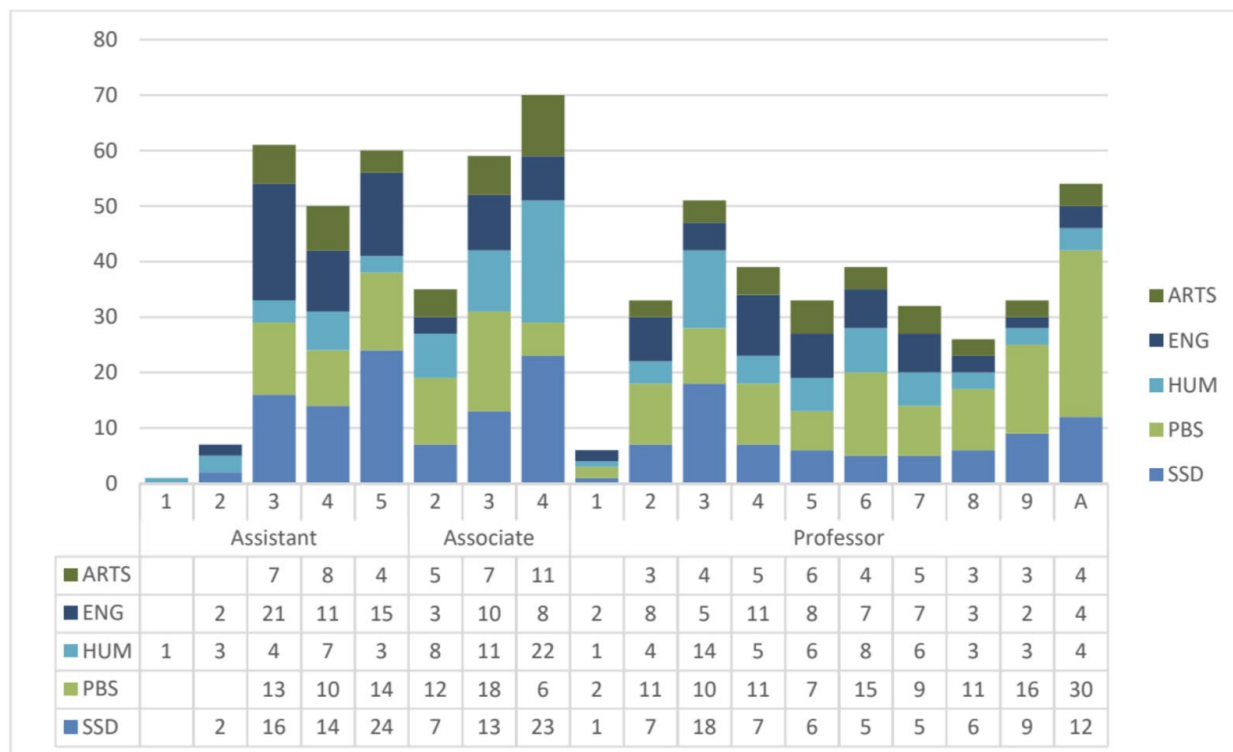- Associate Professor 3, Paleoceanography/Paleoclimatology (EPS, Dean's position #4)

Finally, in Tier 3 we placed four additional FTE. Again, all positions would be valuable additions to our campus, but CPB did not rate them as high priority given current budgetary constraints. We also note that CPB ranked the BE positions in Tier 3 as "conditional" FTE for various reasons noted in CPB's faculty recruitment recommendations memo.

In summary, CPB supported authorization for up to 12 FTE across four of the five divisions. While Dean Jasmine Alinder chose not to submit new FTE requests, CPB strongly supports recruitments for the existing authorized provisions in the Humanities Division. We also recommend that Presidential Postdoctoral Fellows be considered as a strategic opportunity to adjust hiring in response to updates on the budget and divisional needs.

IV.   Implications for Reduced Hiring

While CPB rated all of the proposed FTE as worthy of consideration, three were ultimately authorized by the CP/EVC. Despite the Faculty 100 initiative, there is considerable potential for a net decline in faculty FTE on the campus, with a corresponding impact on student-to-faculty ratios, graduate enrollments (which are also declining, in part, due to the rapidly rising costs of both Teaching Assistant and Graduate Student Researcher salaries), extramural research, and, consequently, both student success and the campus' ability to meet UC Quality standards. Two lines of evidence support this conclusion. First, CEP requested and received data on the distribution of faculty by years and rank (Figure 1). This data shows that about 51% of all faculty are at Professor Step 1 or higher, and 7% of faculty (48 faculty members) have over 20 years on our campus. This has several implications. For CEP, there is concern about the ability to maintain the curriculum with imminent retirements. CPB also notes that new faculty generally result in considerable salary savings when replacing retirements, but some current faculty may choose to delay retirement for fear that their position will not be replaced in our current budget climate. We also note that the Faculty 100 is not particularly evident in the distribution of faculty, assuming the majority of new faculty are hired at the Assistant rank. It is also noteworthy that a disproportionate number of potential retirements are in the Physical & Biological Sciences Division (PBSci); this is already influencing decanal decisions, with Dean Gaensler referring to an "avalanche of retirements" in his response to this year's FTE call. This is not to imply that the issue is unique to PBSci; in their responses to the FTE call, Arts Dean Celine Parreñas Shimizu notes that "[r]ecent and impending retirements threaten the Division's distinction in East Asian Studies," and Dean Wolf notes eight retirements in BE since 2022-23. Retirements were highlighted prominently in nearly all of the decanal responses to the FTE call.

Figure 1. Distribution of Senate faculty at each rank and step by division, as of March 27, 2024. Senate faculty include both ladder-rank and teaching professors as listed in DivData.

	Assistant					Associate			Professor									
	1	2	3	4	5	2	3	4	1	2	3	4	5	6	7	8	9	A
ARTS			7	8	4	5	7	11		3	4	5	6	4	5	3	3	4
ENG		2	21	11	15	3	10	8	2	8	5	11	8	7	7	3	2	4
HUM	1	3	4	7	3	8	11	22	1	4	14	5	6	8	6	3	3	4
PBS			13	10	14	12	18	6	2	11	10	11	7	15	9	11	16	30
SSD		2	16	14	24	7	13	23	1	7	18	7	6	5	5	6	9	12

A second line of evidence for serious concern is based on the 10-year trend in retirements and separations versus new FTE (Figure 2). From 2014-15 to 2023-24,[4] the campus has grown the faculty by 120 positions, resulting in numerous tangible benefits, including steadily declining student-to-faculty ratios and steadily increasing extramural funding.[5] CPB estimates that, by authorizing only three FTE for 2024-25, the campus faces a net loss of at least 15 FTE for 2024-25 when separations are taken into account.[6] In contrast, the net gain of FTE from 2020-21 to 2023-24 during the Faculty 100 initiative was around 21.5. Taken collectively, the hiring slowdown of 2024-25 will almost completely negate the Faculty 100 gains made over the last four years, reducing our net gain to around 6.5 faculty FTE after just one year of reduced hiring.

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[4] 2023-24 numbers are based on a CPB analysis of likely outcomes.
[5] Student-to-Faculty Ratio: https://www.universityofcalifornia.edu/about-us/information-center/student-faculty-ratio
Extramural Research Activity: https://iraps.ucsc.edu/iraps-public-dashboards/extramural-research/research-activity-awards.html
[6] This estimate accounts for an additional six off-cycle hires and a historical average recruitment success rate of 75%. CPB notes that off-cycle hires are historically closer to 35% of authorized FTE.

Figure 2. 10 year history of Senate faculty hires vs. prior year separations, with 2024-25 estimated based on existing data and historical trends.
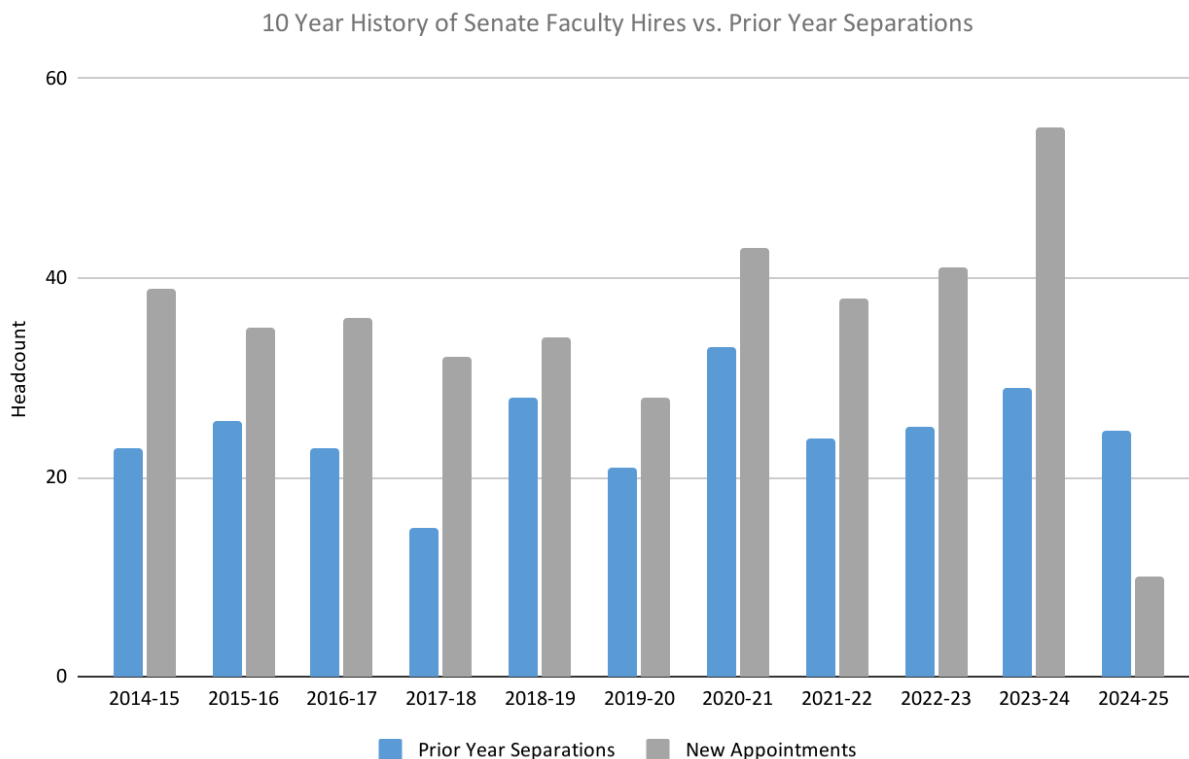
Assuming that similar budgetary restraint is imposed for an additional 3-4 years, the campus will reduce total FTE by 45-60. In terms of faculty growth, this would reverse all of the net gain from Faculty 100 and approximately 5-6 years of net growth on the campus. At the same time, total annual enrollment (student FTE) increased 15.6% from 2014-15 to 2023-24 and 5.2% since 2020-21, when the Faculty 100 initiative was launched.[7] The campus is also focused on increasing enrollment over the next several years, which will exacerbate the divergence between faculty and student FTEs, leading to direct impacts on student-to-faculty ratios and other core campus metrics and values.

It is also noteworthy that for 2023-24, CPB did not review any Presidential Postdoctoral Program Fellow (PPFP) hire requests, but did review a total of 12 off-cycle hire requests, with additional requests pending from BE. This is concerning for two reasons. First, this represents a much higher percentage than the historical norm of faculty hire requests that are not included in the full FTE review process; while there are always some well-justified off-cycle requests related to spousal/partner hires or second hires, these requests are difficult to evaluate holistically within the context of a deliberate faculty recruitment process. Second, off-cycle hire requests have the potential to incentivize divisions to bypass the FTE call process completely by more aggressively submitting off-cycle requests. This is not merely an issue of fairness. Off-cycle requests are most often decoupled from the multi-year hiring plans put forward by the deans and they have the

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[7] https://iraps.ucsc.edu/enrollments/index.html

potential to destabilize departments and programs, as off-cycle hires do not necessarily align with core principles put forth by the CP/EVC and CPB (increasing disciplinary and demographic diversity, improving undergraduate and graduate student success and student experience by reducing impaction and high student-to-faculty ratios, strengthening graduate education, and supporting programs that are challenged to mount their undergraduate and/or graduate curriculum). While we might consider preferentially identifying off-cycle requests that align with positions reviewed as part of the normal deliberation process, as a counter to faculty separations, increases in student FTE, and the increase in off-cycle hires CPB noted this year, CPB advocates for increasing the number of FTE authorizations made as part of the full FTE deliberation process despite current budgetary constraints.

V.   Structural Deficit and Budget Planning Process

CPB learned of the campus structural deficit during fall quarter, and spent much of the year in consultation with the CP/EVC, AVCBAP Register, and VC Reiskin to understand what appeared to be a sudden reversal in cash flow from previous years, as well as the deficit's implications and needed budgetary adjustments. In response to the deficit, the campus initiated a series of short-term and long-term responses to reduce the deficit and increase revenue. The most immediate impact from these measures has been restricted staff hiring, greatly reduced faculty FTE authorizations, and the "sweep/swap" of carryforward funds that was implemented as part of the DRM at the beginning of FY24. The campus also formed a Budget Advisory Committee (BAC) which includes CPB Chair Kudela as representative for the Senate. Detailed recommendations for immediately reducing campus expenses were provided to the Chancellor, and BAC is currently developing multi-year plans for further reductions. CPB is gratified to report that BAC reviewed options through the lens of campus goals and values. At this stage, strategic recommendations for further reductions in spending are being made by BAC, with a separate committee making recommendations for increased revenue, but decision-making based on these recommendations is ultimately the authority of the Chancellor.

On August 20, 2024, Chancellor Larive reported via campus-wide email a deficit of $107M at fiscal close for FY24, with a projected negative cash balance for the campus if no changes are made. The cause of the deficit has been attributed primarily to rapidly increasing salary and benefits at all levels and, secondarily, to COVID impacts, reduced revenue from auxiliary services, reduced non-resident tuition, and aggressive hiring (Faculty 100) over the last several years (but see previous section, Implications for Reduced Hiring). The campus-level budget deficit has been exacerbated by state funding decisions, as the 2024-25 state budget returned the Compact funds but also passed along additional cuts to all UC campuses, totaling $125M. The Chancellor's email stated that reduced staffing will be necessary to address the FY25 deficit, with some currently filled positions being eliminated, resulting in layoffs. It will be important for CPB to monitor staffing and the implications of layoffs in the coming years.

Much of the decision-making and response to this budget crisis is ongoing, and CPB is currently not a part of the ongoing campus budget review process (though the CPB Chair is a member of BAC); nonetheless, CPB began an independent evaluation of budgets and carryforward funds by unit, and also reviewed staffing costs and trends in consultation with the CP/EVC. As part of this effort, the committee began a review of the budgets of major sections of the campus, including the Academic Divisions, University Advancement, Office of Research, and the Silicon Valley Center.

Unfortunately, CPB's efforts to gain access to certain data were unsuccessful. As described above in paragraph two of Section II, the longstanding campus practice has been for CPB to receive complete budget submissions under review from all campus principal officers, and to provide budgetary recommendations on reductions and augmentations to the campus financial officer (until recently, the CP/EVC, now the Chancellor) as an essential part of shared governance on strategic investments and when necessary, budget cuts.

Campus leadership has repeatedly stated that the deficit is in large part due to salary and benefits; CPB is therefore particularly interested in staffing levels by unit, and the historical trends in staffing. While Senate FTE are also a large driver in the budget and deficit, aggressive reductions in FTE authorizations have already been implemented. CPB notes that this is in part because the FTE call is an annual process that is both easily modulated and under central control. In contrast, staff hiring authority is distributed across the units and there is currently no process for central evaluation of staffing trends, nor any agreed upon metrics for what an appropriate staffing level should be for individual units.

CPB began analyzing staffing data to put salary and benefits in context. We note that there are no "best practices" or guidelines for staffing levels, but we propose two metrics that are useful for beginning a conversation about reduced staffing as a deficit-reduction measure. First, using Institutional Research, Analytics, and Planning Support (IRAPS) data, we can compare staffing on our campus to similar UC campuses (i.e. similar size with no medical school). While we compared UCSC to all other UC campuses, the selected comparators were Santa Barbara, Riverside, and Merced. Second, we can generate a staffing metric comparable to student-to-faculty ratios, which are routinely used UC-wide as metrics of campus performance. CPB ultimately created a metric based on the ratio of all managers to total fall enrollments, as managerial staff stood out relative to other staff categories and the Senate had interest in understanding this metric in particular.[8]

Figure 3 provides the percent increase in staffing costs and FTE from 2021 to 2024 by aggregated group (academic positions, management and senior personnel, senior management group, and professional and support staff). While FTE increased across all categories, salary and benefit costs increased faster than FTE by a factor of about two. CPB also notes that academic staffing costs and FTE have increased more slowly than that of employees in all three of the other staffing categories.

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[8] We note that this is an imperfect assessment since IRAPS data are based on "snapshots," but the overall trend should be independent of variability introduced by the IRAPS data methodology.

Figure 3. Percent change in salary and benefit costs and FTE between 2021 and 2024 for academics, management and senior professionals (MSP), senior management group (SMG), and professional support staff (PSS).
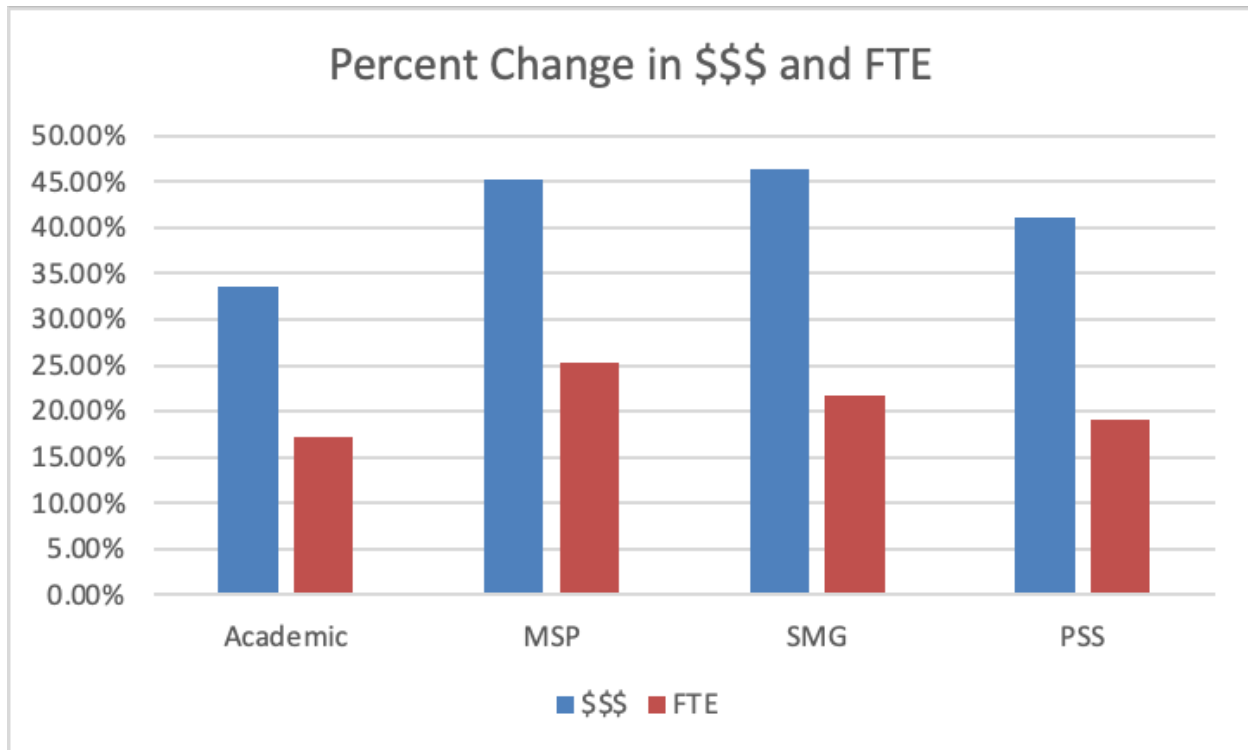
Figures 4 and 5 provide the ratio of managers to other staff and faculty from 2011-2023, and the ratio of managers to total fall enrollments for the same period, respectively, with comparison to comparable UC campuses. Merced shows the most variability as a newly established and growing campus and, while all four campuses' ratios increased during this period, it is noteworthy that, at the end of 2023, UCSC had substantially higher manager ratios compared to other campuses. CPB notes again that there is no identified optimal staffing ratio, but it is clear that UCSC has proportionally more managers than other campuses, suggesting room for adjustment in staffing levels. At the same time, given the deliberate reduction in academic FTE, which will further skew UCSC's ratio of managerial-to-non-managerial staff, a proportional decrease in staffing seems necessary. Based on this staffing data taken collectively, a reasonable starting point would be to look at the mid-level managerial positions and equivalent academic administrative positions (associate-level positions held by academic appointees) to see what positions can be cut.

Figure 4. Ratio of managers to other staff and faculty at UCSC and comparator UC campuses, 2011-2023. Data source: https://www.universityofcalifornia.edu/about-us/information-center/uc-employee-headcount.

Ratio of Managers to Other Staff and Faculty, 2011-2023 (Student Staff, TAs, GSRs, and Postdoctoral Scholars not included)
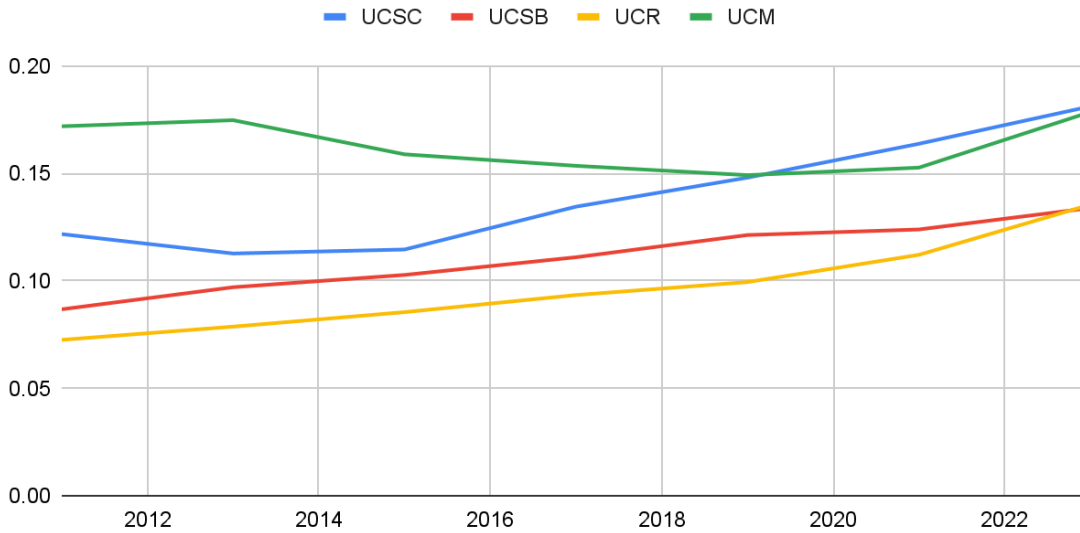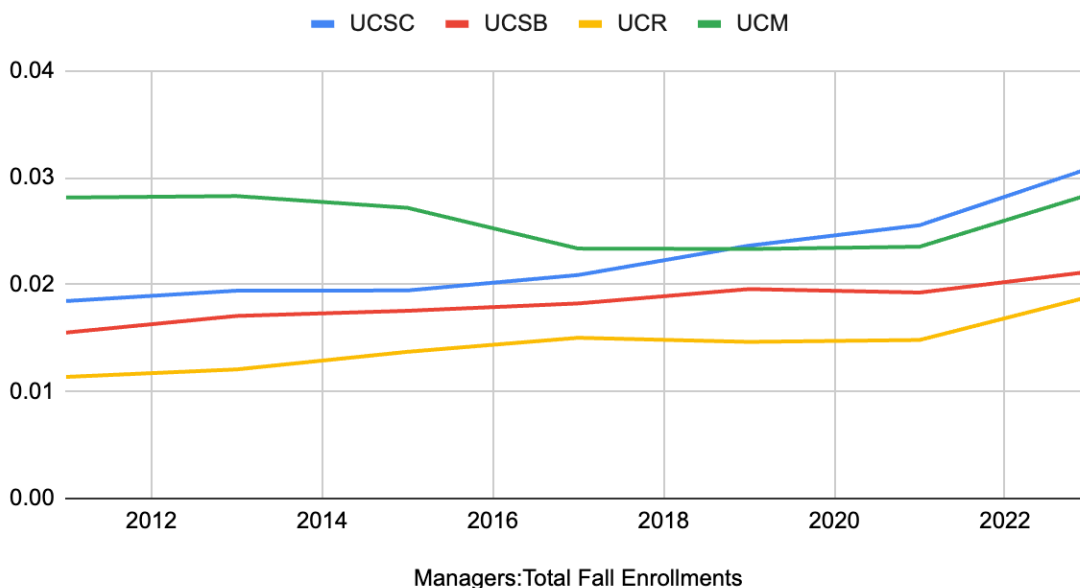
Figure 5. Ratio of managers to total fall enrollments at UCSC and comparator UC campuses, 2011-2023. Data source: https://www.universityofcalifornia.edu/about-us/information-center/uc-employee-headcount, https://www.universityofcalifornia.edu/about-us/information-center/fall-enrollment-glance.

Ratio of Managers to Total Fall Enrollments, 2011-2023

As with the FTE review process, any discussion of reduced staffing should be centered on campus goals and values. Using the FTE call as a guideline, staffing support should be evaluated on (at least): improving undergraduate and graduate student success and experience, strengthening graduate education, supporting student-facing programs, and maintaining research excellence, all while providing adequate support to meet the campus' aspirational goals articulated in the Leading the Change strategic plan.[9]

VI.   Divisional Resource Model (Formerly Fresh AIR)

In 2023-24, CPB spent considerable time reviewing the Divisional Resource Model (DRM), with multiple consultations with the CP/EVC team as well as consultations with the deans. Despite this, we did not finish the review of the staffing model, and we understand that the indirect cost recovery model, which is intended to be part of the DRM, has yet to be addressed. As the deficit reduction initiative is underway, the lack of a complete model has raised issues and inconsistencies in the budget process. CPB notes that there are also positive outcomes from the new DRM. The new model has resulted in standardization of the Faculty Resource Allowance and more realistic and uniform startup and renovation costs, which varied widely prior to implementation of the model.

One year into implementation of the new model, there are still serious concerns about the model formulation and, more importantly, the consequences of the model. For example, as noted in last year's report, CPB remains concerned that the Senate faculty undergraduate teaching expectations are based on recent (~5 year) averages, rather than through an articulation of campus goals. Nevertheless, these numbers project assumed values regarding appropriate class sizes and the quality of faculty/undergraduate relationships. CPB is particularly concerned about the ability of divisions to mount their curriculum and with the impact of hiring teaching professors which, as a result of instructional support formulas baked into the DRM, results in lower teaching capacity in the divisions. While we agree that deans should have the ability to deploy teaching professors to meet their curricular and pedagogical goals, there are consequences built into the DRM that only became visible in the first year's implementation. These consequences are reflected in CPB's recommendations for this year's FTE requests, as serious thought needs to be taken before recommending a new teaching professor FTE at the expense of research-oriented faculty. Research is also affected by the DRM, however. For example, InfoUser fees have been moved to central funding for the academic divisions but not for the Multicampus Research Units (MRUs), making it unclear who is responsible for those fees within the MRUs, and more generally raising issues about the InfoUser fee structure.

CPB also noted that the model does not align with specific curricular needs. Instead, resources are allocated based solely on undergraduate 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 remains concerned that this could lead to unintentional consequences, such as divisions favoring large lower-division courses with high student-to-TA ratios (e.g., asynchronous online classes) to generate more resources, regardless of whether such courses align with divisional and campus priorities. The model also places Graduate Student Instructor (GSI) funds in instructional support (rather than teaching assistant) budgets, which severely limits

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[9] https://strategicplan.ucsc.edu/

programs that use GSIs for pedagogical reasons (i.e. training) rather than to "fill the gap" for undergraduate teaching capacity.

Coming into the first full year of implementation, CPB (and the deans) were expecting that there would be "glide paths" built into the DRM models so that adjustments could be made in the initial stages of implementation. Various documents describing the model(s) also referred to some aspects as "pilot programs" to be adjusted as necessary. It remains unclear when, how often, and with what goals these changes are to be made, but it is clear that the deans and assistant deans feel that their issues and constructive criticism have largely been ignored. CPB continues to recommend that there be a clear articulation of how and when the model will be updated moving forward, and that a specific timeline be given for full implementation. This would allow for broader discussion and consultation in order to achieve a more optimal model that reflects UCSC values and aspirations.

VII. Space and Capital Planning

In 2023-24, CPB members sat on space and planning committees as representatives of CPB. The drafting of new space planning guidelines and the planning of the Interdisciplinary Instruction and Research Building were of strategic importance this year.

A. University Space Committee

Throughout academic year 2023-2024, the University Space Committee met seven times (October 23, November 13, December 18, February 12, April 22, May 13, and June 17). During these meetings, the committee finalized the new campus space management policy, which will replace the current space management principles approved by the campus in 2011. The committee also drafted new space planning guidelines to serve as an aid in planning, allocating, and managing space on campus. The guidelines will assist the UCSC community (i.e. Space Control Officers, Facilities Coordinators, and Space Planners) in establishing equitable, consistent, and flexible space planning parameters to ensure decisions regarding space are in support of the mission of the University. Throughout the academic year, the committee also reviewed 16 space requests between parties that were in full agreement about the space transactions. These types of reviews are called "consent items," and the committee is asked to vote on them. The outcome of the vote is then forwarded to the CP/EVC, and finally to the Chancellor, who is the approving authority.

B. Interdisciplinary Instruction and Research Building

The Programming and Building Committee met six times throughout the academic year to discuss the completion of Preliminary Plans (P-Phase) for the Interdisciplinary Instruction and Research Building (IIRB). These meetings allowed members to review finalized models, provide feedback on space use and design (teaching and labs), ensure seismic improvement, consider departmental impacts, and discuss how to best utilize space in Thimann Labs (while also noting its severe need for seismic upgrade and renovation). The committee developed a Detailed Project Program that articulates a project vision and provides a detailed overview of IIRB facilities, safety compliance, and budget. This document will undergo regental review, and this phase will be completed by fall 2024,

followed by the Working Drawing (W-phase) and Construction (C-phase) phases when funding is available. It is worth noting that decision-making for IIRB was challenged by the lack of clarity regarding the future of Thimann Labs (including identifying clear fundings sources for decanting and assignment of space itself). Also, while the IIRB does provide 25+ teaching labs and one general classroom, there was serious concern that the new building would not provide enough classroom space nor offices for faculty, and there were some who felt the proposal should not go forward at all. It is clear that the future of Thimann Labs matters, and CPB should ensure that conscientious attention is paid to it next year so that we effectively utilize existing space on campus.

VIII. Highlighted 2023-24 Reviews

During 2023-24, CPB reviewed reports and proposals with significant impacts on planning and budget, including the following:

A. *Employee Housing*

In the spring quarter, CPB deliberated on the annual employee housing repricing proposal put forth by Real Estate & Contract Services (RECS). RECS recommended a 2.51% increase in employee housing resale pricing for 2024-25, aiming to maintain affordability, particularly for assistant professors. CPB expressed significant concerns about the proposal. We noted that the recommended increase would price entry-level units at 45.7% of actual market sales in the area, falling well below the 60-75% range considered ideal by the campus' own metric. CPB noted that this discrepancy holds across unit types when compared to median home prices for both 95060 and Santa Cruz County as a whole (Figure 6). CPB argued that such pricing dynamics create excessive demand with little incentive for senior employees to sell their campus housing, thus exacerbating the shortage for new faculty entering the program.

Figure 6. Comparison of proposed campus housing prices by unit as a percent of median home prices in Santa Cruz City and County.
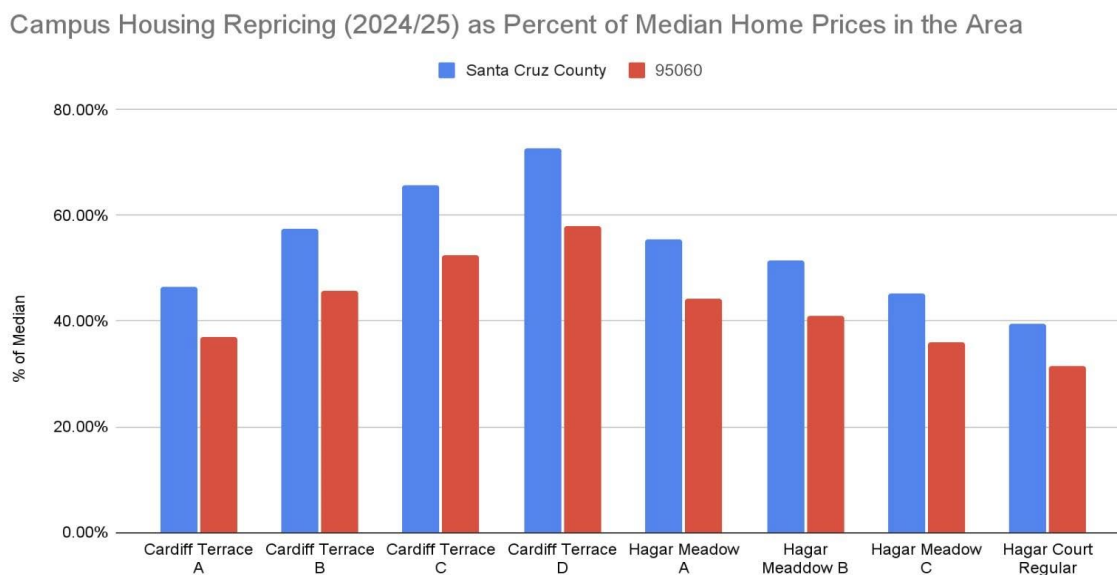
CPB advocated for a radical rethinking of the current housing strategy at UCSC. We were critical of the traditional approach, of seeking to build more on-campus housing, due to prolonged construction delays and cost overruns. Instead, CPB proposed a holistic, ecosystemic approach to employee housing, suggesting that incentives for buying and selling campus housing need to be fundamentally revised. We highlighted the dynamic nature of the local housing market, emphasizing the need for flexible repricing models that adjust to market fluctuations and provide sufficient incentives for faculty to participate in both the campus housing program and the local housing market.

Furthermore, CPB recommended reallocating resources from the Resale Program away from future housing projects and towards greater levels of support for employee home buying options, such as through supplemental loans or home equity sharing programs. We proposed exploring alternatives to solely expanding on-campus housing, including innovative financing models. CPB concluded by calling for the establishment of a campus task force in the upcoming academic year to comprehensively study and propose solutions to the housing crisis at UCSC, stressing the interconnectedness of various housing components that need to be addressed collectively. We request representation on this task force to ensure our recommendations are considered in future housing policy decisions.

B. *Computer Science & Engineering Enrollment Management Plan*

CPB had the opportunity to review an extension to Computer Science & Engineering's (CSE) enrollment management plan. An anomalous admission yield in 2022 further exacerbated the enrollment woes of this already critically impacted department. CPB concurred with CSE's request to extend enrollment caps of 400 frosh and 100 transfers in the Computer Science major, and 100 frosh and 20 transfers in the Computer Engineering major. This will allow the department to retool their curricular needs toward upper division courses that the 2022 mass of students will require to graduate. However, CPB and other Senate committees expressed concern that frosh-to-transfer ratios are significantly below UC-mandated values. Furthermore, the committee noted that the enrollment targets were justified in two ways: (1) critical upper-division impaction related to an anomalous yield, and (2) to bring both the ratio of undergraduate degree-to-faculty FTE and teaching loads closer to campus norms. The former represents a short-term intervention that should theoretically expire, followed by restoration of higher enrollment targets approved in 2020. The latter, in contrast, is a longer-term approach that warrants an ongoing dialogue, particularly in light of limited faculty hiring over the next few years. CPB recommends an annual review of the enrollment management plan to facilitate this dialog.

C. *Students with Disabilities Report*

CPB reviewed the final report of the University of California Systemwide Advisory Workgroup on Students with Disabilities, which included a budgetary overview of disability support services across the system, analyzed specialist caseloads at each institution, and offered recommendations for supporting disabled students. It also highlighted disparities in graduation rates between disabled students and their non-disabled peers, calling attention to the compounded challenges faced by disabled students of color. Overall, disabled students make up 24% of the undergraduate population across the UC

system.

CPB noted additional resource implications for our campus in the report. At UC Santa Cruz, the current ratio of disability specialists to students is 1:834, significantly exceeding the UC system target of 1:250. Despite a 51% increase in the overall budget for UCSC's Disability Resource Center between 2021 and 2023, the resource allocation is not sufficiently addressing the growing needs of our disabled student population, with respect to equity in learning and access to resources. In April, CPB consulted with the CP/EVC about plans to address these issues, focusing on manageable caseloads for disability specialists and transparency in resource allocation. This topic was deferred but not revisited. Given the inequities in learning and insufficient support for disabled students (including staff and faculty who support these students), CPB will continue to work with the CP/EVC to ensure that a strategic, responsive plan will be developed to improve students' access to education. Such a plan could address specialist caseloads, overall resource allocation, curriculum development, and targeted support for students of color.

D. *Classrooms and Modalities Advisory Committee Report*

CPB discussed the preliminary report of the Classrooms and Modalities Advisory Committee (CMAC). CPB acknowledged CMAC's thorough analysis of classroom space and scheduling but highlighted the need for greater attention to the creative use of space and alternative course modalities going forward. We supported proposals to regularize non-general assignment (non-GA) space and increase summer session enrollment, though we questioned the popularity of weekend classes and suggested encouraging faculty participation in summer sessions through teaching incentives and/or sabbatical credits. CPB recognized the evolving landscape of online education, urging CMAC to consider future technologies and the benefits of remote learning, such as flexibility and increasing access and equity. We recommended embracing hybrid approaches to course modalities to better utilize classroom space and meet diverse student needs. CPB also raised concerns about the ongoing costs and support required for maintaining high-quality online courses, suggesting a proactive approach to ensure course content remains updated and relevant. Overall, CPB appreciated CMAC's efforts and looks forward to reviewing their recommendations for the coming year.

E. *Digital Arts and New Media Change of Administrative Home Proposal*

CPB reviewed a proposal requesting to move the Digital Arts and New Media (DANM) MFA from an Arts divisional program to a program within the Department of Performance, Play, and Design (PPD). CPB notes that the DANM MFA is on a suspension of admissions through the 2024-25 cycle, which began in 2022-23 and was approved by Graduate Council in several stages. CPB's principal concern with the proposal is the contention that the relocated MFA program will be resource neutral. While the Dean's letter indicates commitment of support for 5-8 courses per year, the committee questions whether standard course buyouts for non-PPD faculty will cover the total costs associated with instruction. Additionally, CPB joins the department in recognizing challenges around space requirements and sufficient staff support. The committee would like to see more formalized agreements between the Arts Division and PPD to ensure that the department will have the resources necessary to relaunch DANM. Although CPB is enthusiastic about the prospect

of redeploying the DANM MFA program, it remains concerned about the logistics in light of the current campus budget climate. If DANM MFA admissions do not recommence by fall 2026, CPB shares GC's reservations about the viability of the program. CPB looks forward to ongoing conversation among the Arts Division, PPD, and the Academic Senate to ensure the successful relaunch of the DANM graduate program.

F. Feminist Studies

During 2023-24, CPB reviewed several 100% FTE transfer requests from faculty in the Feminist Studies Department (FMST). Chair Kudela also met with Humanities Dean Alinder and other administrative and Senate representatives to discuss the current state of the department. As a result of the FTE transfer requests that have come out of FMST in recent years, and if all of this year's requests are ultimately approved, FMST will have only one 100% FTE faculty member (and a handful of 50% FTEs) starting in fall 2024, unless there are new hires. CPB is gravely concerned about the overall health and viability of FMST as a functional department, and cannot recommend that additional resources be put toward the program without a clear understanding of what the timeline and trajectory is for either (a) stabilization or (b) disestablishment of the program. CPB acknowledges the incredible value and accomplishments of both FMST and the individual faculty that have been part of building the program. As we approach the 50th anniversary of such an influential program, it is incredibly important that FMST work with the Dean and the Senate to address deep structural issues that must be resolved if FMST is to remain a department on this campus.

IX.   Regular Committee Business

A. External Reviews

CPB annually participates in department and program external reviews. During 2023-24, CPB reviewed department/program self-studies and subsequently submitted questions to supplement the universal charge for upcoming reviews for Applied Mathematics, Art, Astronomy & Astrophysics, Biomolecular Engineering, Economics, Film and Digital Media, History, Politics and Legal Studies, and Sociology. CPB also prepared responses to External Review Committee (ERC) reports and the department/program and dean responses to them as preparation for closure meetings for Education; Molecular, Cell, and Developmental Biology; Music; Physics; and Statistics. The committee reviewed mid-cycle reports and made recommendations on the length of review cycle for Electrical & Computer Engineering; Performance, Play, and Design; Critical Race & Ethnic Studies; Anthropology; and Writing.

Unfortunately, several scheduled reviews were not completed in 2023-24 as a result of missing external review materials. Despite self-studies being due on September 1 each year, the Earth & Planetary Sciences and Ocean Sciences self-studies were never submitted to the Senate, and other departments submitted as late as March 2024. Similarly, department and dean responses to ERC reports have been seriously delayed for multiple departments/programs. According to process, the department response is due four weeks following receipt of the ERC report, and the dean's response is due two weeks after that. We note that the ERC reports for Computer Science & Engineering and Ecology &

Evolutionary Biology were received in May 2023 and November 2023, respectively, but the Senate never received department or dean responses; as a result, CPB was unable to review the ERC reports in preparation for these departments' as-of-yet unscheduled closure meetings. Mid-cycle reviews are also sometimes late. The Senate was unable to review the mid-cycle report for Environmental Studies, which was not received by the Senate this academic year in spite of a December 2023 due date. In response to these delays, CPB, along with the Committee on Educational Policy (CEP) and Graduate Council (GC), sent a joint correspondence to the deans explaining that late external review materials may result in the Senate deferring committee reviews to the following academic year. Additionally, as these delays will result in Senate committees being unable to schedule formal review of other requests, we will reserve the right to delay review of any departmental requests in cases where external review materials are outstanding (absent an approved extension).

B. Off-Cycle FTE Requests and Waiver of Open Recruitment Requests

CPB has developed guidelines for committee review of waiver of open recruitment proposals for Target of Excellence (TOE) and spousal/partner hire requests, as well as for second hire requests.[10] 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. As noted above in Section II, CPB provided updated guidance on requirements for off-cycle requests this year (Appendix II). The new guidance supplements rather than replaces the existing CPB guidelines.

In 2023-24, CPB reviewed and made recommendations on two second hire requests, one each from BE and PBSci. CPB also reviewed and made recommendations on four spousal/partner waiver of open recruitment requests, two each from BE and SocSci, and one Target of Excellence (TOE) waiver of open recruitment request from BE. Finally, CPB reviewed one request from SocSci for an off-cycle open recruitment. This year, CPB did not review any requests for Presidential Postdoctoral Fellows nor Chancellor's Fellows Program hire requests. It is also the committee's understanding that the CP/EVC has denied some decanal off-cycle hire requests without requesting Senate review. Collectively, these off-cycle hire requests represent a significant increase from previous years, relative to on-cycle FTE authorizations. Please see Sections III and IV above for further discussion of off-cycle hiring.

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[10] https://senate.ucsc.edu/committees/cpb-committee-on-planning-and-budget/cpb_guidelines_and_memoranda.html

Table 2. Number of off-cycle hire requests reviewed by CPB in 2023-24, by type and division.

	Arts	BE	Hum	PBSci	SocSci	Total
Second/Third Hires	0	1	0	1	0	2
Off-cycle open recruitment	0	0	0	0	1	1
PPFP hire requests	0	0	0	0	0	0
TOE	0	1	0	0	0	1
Spousal/Partner waiver requests	0	2	0	0	2	4
Total	0	4	0	1	3	8

C. FTE Transfer Requests

CPB is one of four Senate committees that reviews and makes recommendations on faculty requests for FTE transfer. This year, CPB reviewed five FTE transfer requests in total, all requesting a 100% FTE transfer. This represents a greater number of FTE transfer requests than usual. One such request came from an Assistant Professor in BE. Four of the requests came from faculty in the Humanities, ranging from Associate Professor to Professor, with two requests to transfer to another department, and two to transfer to divisional appointments in Humanities.

X.   Local and Systemwide Issue Reviews

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

Divisional
- Faculty FTE Appointment Reduction Request (n=1) (October 2023)
- Proposed Discontinuance of Environmental Studies/Earth Sciences Combined Major (October 2023)
- Proposal to Remove College 1 as Prerequisite to Writing Courses (October 2023)
- Report on Efficacy of Online Courses at UC Santa Cruz (October 2023)
- Proposal for Three Discovery Seminars for First-Year Students in the Sciences (October 2023)
- 2024-25 Faculty FTE Draft Call (December 2023)
- Agroecology B.A. Three Year Interim Review Report (December 2023)
- TIM Program External Review Deferral Request (December 2023)
- Name Change Proposal for the Classical Studies B.A. (January 2024)
- Physics (Astrophysics) B.S. Administrative Home Change Proposal (January 2024)
- CEP Credit Hour Policy (March 2024)
- Five-Year Perspectives – 2024 to 2028-29 (April 2024)
- Science and Justice Minor Proposal (April 2024)
- Graduate Program Name Change Proposal for Earth and Planetary Sciences (May 2024)
- History MA Reinstatement Proposal (May 2024)
- Human Computer Interaction M.S. PDST Renewal Proposal (May 2024)

- Mathematics Education B.A. and Mathematics B.S. Interim Reports (May 2024)

Systemwide
- Proposed New APM - 672, Negotiated Salary Program (October 2023)
- Proposed Revisions to Systemwide Senate Bylaw 55 (Departmental Voting Rights) (October 2023)
- Assembly Constitutional Amendment 14 (Ortega), Scheduled for hearing in the State Assembly Committee on Labor and Employment, March 13, 2024 (March 2024)
- Proposed Revisions to APM - 710, Leaves of Absence/Sick Leave/Medical Leave (April 2024)
- Proposed Regents Policy on Public and Discretionary Statements by Academic Units (April 2024)
- Proposed Academic Senate Statement on UC Quality (April 2024)

XI.   Continuing Issues

As indicated throughout this report, there are several matters of continuing and emerging importance that will require CPB engagement and attention in the coming year(s).

CPB will continue to collaborate with:

- the Office of Budget and Planning, and the Budget Advisory Committee, as part of the multi-year deficit reduction and budget planning process. In 2024-25, CPB will begin their collaboration with the new Associate Vice Chancellor of Budget Analysis and Planning, Amber Blakeslee;
- the Leading the Change Advisory Committee, with Chair Kudela serving as representative from CPB;
- the Division of Finance, Operations, and Administration (FOA) on capital planning and employee housing issues, alongside continued monitoring of and engagement in other space planning (including through CPB representation on the University Space Committee and IIRB planning committee);
- the Office of Research on research-related budget and planning, including CPB consultation on a new Indirect Cost Recovery model. In 2023-24, CPB began quarterly consultations with VCR MacMillan (with the chair of the Committee on Research present) and the committee intends to continue this consultation calendar in 2024-25;
- the disciplinary deans to better understand the academic side of budget and planning decisions. In spring 2024, the deans suggested quarterly consultations with CPB, as a group, in the future. CPB will consider this new mode of communication in 2024-25;
- the CP/EVC and disciplinary deans on faculty FTE at the planning and review stages.

In 2024-25, CPB looks forward to continuing to evaluate the Divisional Resource Model's implementation and outcomes and, in particular, to monitoring the timeline for adjusting the model based on the first year of data. CPB also anticipates continued consultation with the CP/EVC and principal officers regarding the funding metrics and budget planning process for non-academic divisions, and how these are reflected in campuswide budget planning decision making.

Some specific issues that were not completed in 2023-24 that will carry forward to next year include:

- reviewing the MRU funding model and the Indirect Cost Recovery model with the CP/EVC and VCR;
- reviewing the staffing component of the Divisional Resource Model with the Office of Budget and Planning and monitoring staff layoffs;
- CPB involvement in the Budget Office's adjustments to the Divisional Resource Model;
- advocating for and having a representative on a new campus task force on employee housing;
- advocating for budget overviews to be a standard component of the annual leadership conference;
- consultation with the Office of Budget and Planning on the 2024-25 Resource Call process and timeline;
- follow-up with the CP/EVC regarding an updated policy clearly defining the costs and mechanisms for course buyouts for all classes regardless of number of credit hours.

We also anticipate that the ongoing issues with the Feminist Studies Department will warrant continued discussion with CPB, GC, CEP, and Dean Allinder. We are hopeful that a plan to either disestablish the department or develop a multi-year stabilization plan is forthcoming in fall 2024 and, especially, prior to the annual FTE call, as difficult decisions will need to be made given what is anticipated to be a greatly reduced number of new FTE over the next few years.

Finally, at a committee-level, CPB looks forward to continuing to review the UCPB Report on Divisional-CPB Best Practices (Appendix I), and will consider incorporating new practices into committee and consultation cultures. One change that CPB may consider in 2024-25 is a training program in the fall, for both new and returning members, to improve member understanding of campus budget processes and principles, and help members become more effective in their roles.

Respectfully submitted,

COMMITTEE ON PLANNING AND BUDGET
Carolyn Dean
Jeremy Hourigan   Daniel Halpern-DeVries, SUA Representative
Nick Mitchell   Sana Gupta, SUA Representative
Cameron Monroe   Samir Ghosh, GSA Representative
Leila Parsa
Tanner WouldGo
Patty Gallagher, *ex officio*
Matthew McCarthy, *ex officio*
Daniele Venturi, *Vice-Chair*
Raphe Kudela, *Chair*

August 31, 2024

Appendix I

UCPB Report on Divisional-CPB Best Practices
November 13, 2023

<u>Overview:</u>

During the 2022-23 academic year, the University Committee on Planning and Budget (UCPB) conducted an analysis of the budget and planning practices of the divisional Academic Senate Councils for Planning and Budget (CPB; also known as the Committee on Academic Planning and Resource Allocation [CAPRA] at UC Berkeley and at UC Merced, and the Committee on Academic Planning and Budget [APB] at UC San Francisco). The goals of each divisional CPB are to serve as an important advisory body for the respective divisional administration on budget-related decisions and strategic planning, ensure transparency in short- and long-term budget matters with the campus community, and foster UC's core ideal of shared governance. This report presents key insights and best practices developed through UCPB-meeting discussions with input from the divisional Councils. UCPB members unanimously emphasized the need for guiding principles of best practices for the divisional CPBs in order to optimize their campus functions. The purpose of this report is to provide a consolidated overview of key recommendations and strategies to enhance the effectiveness of each Council's operations and role in shaping budget principles for its campus and across the UC system.

<u>Goals for Best Practices</u>:

1. **Information Sharing and Transparency:** A fundamental principle in CPB best practices is the need for information sharing and transparency in budget-related matters between the administration and CPB, as this allows for meaningful participation by CPB in the budget process and fosters trust between the Senate and the Administration. Council members emphasized the importance of providing comprehensive information about the campus budget to the divisional CPBs, including sharing current budget data, financial projections, reports on past budget trends, and current budget priorities. Access to budget information from individual units as well as long-term strategic plans for the campus optimizes CPB's effectiveness.

2. **Oversight of Operating Budgets and Resource Allocation for Individual Units:** In order to properly review the material presented to them – from recommendations for long-term strategic planning to approval of endowed chairships, CPB members need to know the current strategic goals of each college/school/unit, how budget planning and FTE allocations are handled within the unit, and an overview of their current resource allocations and budget concerns. If the campus or a particular unit is dealing with a current budget crisis, it is important for CPB to understand what mistakes led to this issue, what is being done to address the issue, and whether the underlying problem still persists. In addition, providing information about the college/school/unit goals and

resource requests gives Deans an additional opportunity to advocate for their current needs and mission. Line-item budget information is not necessary for such oversight; a summary overview of the unit revenues, expenses, and strategic goals would likely be sufficient.

3. **Participation in Long-Term Strategic Planning for the Campus:** The timely inclusion of CPB in campus strategic planning provides the opportunity for the campus administration to take advantage of the broad expertise present across the Council membership. CPB can offer suggestions in a confidential setting prior to the rollout of new initiatives to ensure the best chances for success. As an early partner in the development of the strategic plans, CPB can help to ensure better support from the campus community and can share in the responsibility for any failures or crises that arise. The inclusion of the faculty representatives on this Senate Council in strategic planning can also increase the trust of the campus faculty in the new initiatives, as a broader representation of faculty have been involved in the planning, even if initially in a confidential manner.

4. **Regular Consultation between CPB and the Campus Leadership:** UCPB emphasized the need for effective consultation and collaboration between CPB members and the administration leadership. Regular meetings between CPB and campus administrators, such as the Provost, Vice Provosts, Chancellor, Vice Chancellor(s), and/or the Chief Financial Officer (CFO), help keep faculty informed about budget issues and campus plans and, in return, allow for timely feedback of faculty concerns and approval from CPB. This collaborative approach promotes a shared understanding of budget decisions.

5. **Training and Sharing of Institutional Knowledge:** Effective transfer of knowledge within divisional CPBs from year to year is vital for the efficient and fruitful function of the Council. Regular training programs in the fall for both new and returning members to improve their understanding of campus budget processes and principles helps members become more effective in their roles. Sharing best practices among CPB members from different campuses can also improve budget oversight and planning. Including members of the Office of Budget and Finance as *ex officio* members on CPB can greatly facilitate both formal and informal training throughout the year. Two-year terms for CPB Chairs also facilitate the maintenance of institutional knowledge.

6. **Information Dissemination:** While confidentiality in budget matters is often necessary, the dissemination of such information as the strategic plans for the campus, the reasons for the success or failures of particular initiatives, and an overview of the ongoing revenues and expenses for the campus and/or college/schools/units are vital for developing campus-community support and satisfaction. With representatives from much of the campus in its membership, CPB can help to facilitate the distribution of such information to the community. Regular and easily accessible presentations of

relevant updates are key for driving the support of the campus while minimizing the onus on the community members to seek out that information.

Problems to Address:

The Council developed the following list of issues present at some or all of the divisional CPBs (Appendix 1) that should be addressed in a plan to achieve these best-practices goals:

- *Lack of an adequate role in the planning aspects of "budget and planning" for the campus and individual units*

  The role of CPB in budget planning and oversight currently varies across UC campuses. CPBs at a few campuses focus on FTE allocation, a few others review Deans' annual budgets comprehensively, and the rest are not involved in either. Without adequate involvement in budget planning, CPB is hampered in its ability to properly evaluate its reviews and to contribute its expertise to the campus.

- *Lack of input to and responsibility for strategic-planning outcomes*

  The majority of divisional CPBs do not have an adequate role in campus strategic planning. When CPB does not play a significant or timely role in the strategic planning for its campus, CPB representatives do not have the ability to properly address or defend campus initiatives when approached by concerned faculty and campus community members. Members find that it is much harder to fix issues or grow campus support when CPB is included only after plans have gone awry. CPB reviews at all levels of complexity are also hampered by a lack of knowledge of long-term campus plans.

- *Lack of sufficient or timely consultation with campus and/or budget-office leadership*

  Campus leadership and senior management do meet somewhat regularly with all of the divisional CPBs. However, some campuses rely on CPB requesting such meetings rather than holding pre-planned quarterly meetings, which often reduces the frequency and regularity of the consultations.

- *Lack of access to sufficient short- and long-term budget information for each college/school/unit*

  In practice, most CPBs do not currently have access to this information and are consequently often reduced to simply "rubber-stamping" reviews that it is asked to evaluate. CPB members are well-versed in confidentiality and could utilize this information to improve both their reviews of current program budgets as well as their help with strategic longer-term planning.

- *Lack of maintained institutional knowledge within CPB*

CPBs currently rely primarily on returning members and prior-year reports to pass on key institutional knowledge to the next year's Council. The goals and concerns about prior cases before the Council must often be rediscovered, especially on years with a large membership turnover, and new members typically have little knowledge about or experience with campus budget issues. In contrast to many of the other Senate Councils, CPB needs its members to have at least some degree of budget understanding from the beginning of their tenure on the Council to most effectively perform its duties. No campuses have a formal training plan for new members or adequate background resources available, although a handful invite the senior management from the budget office to present important budget background information and relevant updates during the fall CPB meetings.

- *Lack of efficacious information distribution to campus members (e.g., faculty, staff, students)*

An ongoing problem on all campuses is the effective distribution of information about campus plans, problems, and successes to the broad campus community. Budget matters cause particular concern and stress among the faculty, and rumors often abound due to a lack of understanding of current issues and crises. While many campuses have made progress on improving dissemination by setting up websites and newsletters/emails, many members of the campus remain unaware of their availability or how to access such information. CPB should better utilize its broad campus representation and consultation to aid in this dissemination.

- *Lack of timely involvement in endowment reviews*

Most CPBs suffer from a lack of timely consultation with the Advancement office for all levels of endowments. There are numerous examples of proposed endowments arriving for CPB review after the agreement has been finalized with the donor or even after a public announcement of the gift has been made. In several of these cases, CPB identified major concerns that were either difficult or impossible to properly address given the late timing of their review. Such failures in timely consultation can put both the donation and the reputation of the campus in jeopardy.

- *Lack of appropriate exclusion of non-budget reviews sent to CPB, leading to unnecessary workload*

A final concern is how to properly manage the workload of CPB, especially if additional workload is added with the best-practices recommendations. Per UC policy, CPB is often consulted on programmatic changes even when there is no clear effect on the program budget or resource allocation. Divisional CPBs vary in how they screen potential reviews, but the majority could reduce the workload of the general Council with a better plan for filtering the requests for review.

Recommendations for Best Practices:

UCPB has compiled the following set of recommendations for best practices for optimal functioning of the divisional CPBs. While each campus has contributed important practices to these recommendations, UC Davis is currently the role model for the overall most involved and effective divisional CPB and thus has contributed heavily to these points. These recommendations are numbered to correspond to the associated goals presented above.

1. **Information Sharing and Transparency:**
   a) *Develop an annual workshop or retreat for CPB, campus leadership, senior management from the budget office, and Deans and/or faculty executive committees (FECs).*

UC Davis sets the gold standard for such a retreat that it holds at the beginning of winter quarter. These retreats allow for in-depth, focused discussion of such topics as potential budget model updates, graduate-student funding, faculty-salary equity programs, enrollment concerns, state-budget expectations, analyses of student trends and outcomes, faculty hiring and start-up plans, campus deferred-maintenance progress, and planned growth of facilities. With information from the retreat discussions, the Davis CPB then drafts guidelines for both its own reviews and the reviews of the FEC chairs regarding college/school/unit budget summary materials. UC Riverside, Santa Cruz, and Merced have instituted similar meetings or workshops during the year, resulting in greatly improved effectiveness of their respective Councils. Such a retreat or similarly setup shorter workshop allows for significant information sharing, increased trust and transparency, and dedicated time to campus planning for a broad range of campus stakeholders.

   b) *Include the CPB Chair or other CPB member as representatives on other relevant standing and ad hoc committees/councils.*

CPB representatives serving on related committees allows for CPB to share their expertise and considerations with that committee and to bring back committee updates and questions for discussion at CPB meetings. This bilateral transfer of information not only improves the transparency of campus decision making, but also benefits from the broad expertise of the faculty serving in the Academic Senate Councils. The majority of the divisional CPBs participate in this practice currently. Despite its potential to increase the workload of the CPB Chair and/or members, the information shared through such participation is vital to continue.

   c) *Institute policies for early involvement of CPB in reviews from the Advancement office.*

The timing of CPB involvement in the review of donations is currently variable across campuses. As noted above, when Senate review occurs late in the endowment or donation process, correction of potentially major concerns can be very difficult and risks threatening both the gift and the campus reputation. The divisional CPBs should work with their Advancement office to plan a timelier role for CPB in their reviews. CPB's broad expertise can often provide more

context for potential gift concerns and can facilitate solutions to resolve the issues, follow campus policies, and ensure the gift is successful.

d) Streamline CPB's workload with earlier filtering of unnecessary reviews.

As these best practices increase the workload for the majority of the divisional CPBs, it is important to ensure that unnecessary reviews are removed from the workflow. How reviews are filtered for CPB comment differs across campuses, but the majority find themselves reviewing such issues as programmatic changes to graduate programs that do not have any clear budget impact. One solution is for a more robust plan with clear guidelines for the CPB analyst and/or CPB Chair to more selectively choose which request to decline to opine on.

2. Oversight of Operating Budgets and Resource Allocation for Individual Units:

a) Share summaries of the budget and goals for each college/school/unit with CPB.

UC Davis, Riverside, and Merced conduct thorough reviews of the college/school/unit budgets, typically involving the Deans and/or FEC chairs/committees in the process. These divisional CPBs send a list of budget questions to the Deans and/or FEC to collect a summary of their current budget status, goals, and concerns (Appendix 2). This allows their CPBs to effectively evaluate annual budget requests, assess resource availability within units and across campus, and provide feedback on proposed budgets. Past reviews, for example, focused on the availability of resources within a unit to hire faculty, fund start-up packages, deploy new courses, and meet infrastructure needs. CPB also reviews cost drivers and operational efficiencies. Such information access not only maximizes CPB's fruitful impact on campus planning, but also enhances their work on budget reviews at all levels.

b) Incorporate CPB Review into FTE-allocation decisions.

Since faculty and staff salaries make up the majority of campus budgets, the process of FTE allocation is critical to planning and budget and the long-term success of the campus. Faculty input to this process through the divisional CPBs can be a critical component of successful FTE-plan evaluation. Several campuses now involve their CPB in such resource allocation. A typical timeline of this process begins with a fall planning meeting with the Provost/EVC, Deans, and CPB members to discuss the previous year's hiring results, new campus priorities, upcoming teaching and research needs, etc. The meeting assesses likely budget scenarios, such as whether it is a growth year, replacement year, or crisis year for the campus or unit regarding the number of new position authorizations. Shortly after the fall planning meeting, the Provost releases to the Deans and department Chairs the call for FTE plans and copies CPB. During early winter quarter, CPB invites interested Deans and/or FEC Chairs to join a normal CPB meeting to discuss their unit's strategic directions and any other issues of interest that might help CPB evaluate their proposed FTE-allocation plans. During early spring quarter, CPB then evaluates the Deans' plans. In some cases, pairs of members are assigned to review each plan, which are then discussed at the CPB meetings. Alternatively on other campuses, a CPB subcommittee reviews and scores each unit proposal and then presents their findings as a draft evaluation to

the full CPB. At the end of spring, the final CPB evaluations are shared with the Provost. During the summer, the Provost makes the final plans for FTE allocations and sends the FTE-authorization decisions to the Deans and CPB.

3. **Participation in Long-Term Strategic Planning for the Campus:**
   a) *Shift the campus culture towards earlier inclusion of CPB in strategic planning with campus leadership.*

Each divisional CPB must lay the groundwork with their Provost and campus leadership to encourage a shift to improved inclusion of CPB in campus strategic planning. In some cases, the need is primarily for earlier inclusion in long-term campus planning, while for other campuses CPB needs to demonstrate both their worth and their ability to keep necessary information confidential. Several of these other recommendations will help to contribute to this shift. In the end, a more integrated CPB will provide additional expertise to and shared responsibility for campus decisions.

   b) *Include the CPB Chair in strategic-planning workgroups.*

There are, of course, circumstances that either require increased confidentiality or a smaller group to feasibly function. Including the CPB Chair or Vice Chair as a standard participant in such strategic-planning workshops can maintain a level of CPB involvement in campus strategic planning without involving the entire Council. The CPB representative can provide outcomes of CPB discussions on related topics to the workgroup and can inform CPB of non-confidential aspects of the planning to help with CPB reviews.

4. **Regular Consultation between CPB and the Campus Leadership:**
   a) *Institute regular, quarterly consultation between CPB and the Provost, Chancellor, and CFO.*

The majority of divisional CPBs hold meetings with campus leadership throughout the year, but starting off the year with these meetings planned into the CPB meeting schedule ensures that these meeting take place despite the ever-hectic schedules. UC Irvine, for example, holds quarterly meetings with the Provost for campus updates, quarterly or bi-quarterly meetings with the CFO/budget office for budget-status updates as the state budget progresses through its stages, and quarterly luncheons with the Chancellor to share CPB and faculty concerns and gain updates about campus strategic plans.

   b) *Invite members of the budget office to present information about current budget issues and background as needed.*

Senior management from the budget office can provide vital information about budget details important to particular CPB reviews that arise over the year. The inclusion of a budget office representative as an *ex officio* CPB member provides ongoing vital support and institutional knowledge to the Council. Scheduling additional presentations with this member or another

budget-office representative can provide both important context and budget line-item information to complement the budget summaries from the units.

5. **Training and Sharing of Institutional Knowledge:**

   a) *Develop an annual formal training program for CPB members.*

Despite the relatively extensive knowledge needed for optimal performance as a member of CPB, no divisional CPB currently has a formal training plan for its members. Over the last few years, UC Irvine has asked the *ex officio* representative from the budget office to present background information about the campus budget as well as specific budget updates during any open time in the fall meetings. These presentations have been invaluable training for both returning and new members. Formalizing this plan on each campus could serve as an impactful first step in a CPB training plan. Basic background presentations could also be recorded and posted for new members to review on their own, which would open up some CPB meeting time that might be needed for other work and also reduce the workload of the budget-office representative.

   b) *Compile a packet of resources for ongoing CPB work and the current budget concerns that members can reference.*

Similarly, basic budget background information (e.g., slides, reports) could be compiled into a training packet to be shared with CPB members each fall. Current budget concerns could be compiled by CPB at the end of each spring into a summary document to be used as a reference in the next academic year. CPB on many campuses submits end-of-the-year reports, but collecting an overview of these into a single document to be shared with CPB, as well as potentially with the Senate and campus leadership, would provide easier access to this information. Having an easily accessible and concise overview of the status of issues from the prior year would greatly facilitate the reviews that CPB members undertake and would additionally improve the consistency of CPB decisions from year to year.

   c) *Include senior management of the budget office and the Senate Chair-Elect as ex officio members of CPB.*

The maintenance of institutional knowledge is facilitated by including both a budget-office representative and the Senate Chair-Elect as *ex officio* members of CPB who regularly attend the meetings. The former provides CPB with vital information about the campus budget process and the history of current budget plans or issues. The latter inclusion allows for training of the Chair-Elect in key campus budget issues in preparation for their upcoming role as Senate Chair. Their participation in the CPB meetings also allows for bilateral information sharing between CPB, the budget office, and the Senate Cabinet. This organizational plan is present on the majority of campuses and should be continued.

   d) *The Committee on Committees should consider potential members' backgrounds and interest when appointing them to CPB.*

Although this may be a prohibitively difficult task, it would be beneficial to the productivity of CPB for the Committee on Committees to choose new CPB members who are aware of the CPB workload, express a strong interest in joining the committee, and ideally have some expertise or background relevant to CPB's work. With an effective training plan, the need for relevant background experience may be diminished, but enthusiasm for participating in the Council is vital for its success.

6. **Information Dissemination:**
   a) *Use new and current campus meetings to broadly disseminate information to the campus community.*

When feasible, the broad and effective dissemination of campus updates is vital to UC's principle of shared governance. Divisional CPBs struggle with successful sharing of campus budget information in a format that reaches the faculty and the rest of the campus community, who often are unable or unwilling to otherwise seek out these updates. Campuses are currently testing out various methods for improved dissemination, including presenting updates throughout the year at extant and new meetings. Options include the CPB Chair regularly sharing CPB updates during a dedicated section of quarterly divisional Senate assembly meetings, CPB members sharing updates during their home departments' faculty meetings, or holding special school- or campus-wide meetings to address current crises or significant budget concerns. UC Riverside provides an excellent example of utilizing a town-hall format, in which the CPB Chair apprised the faculty of current budget concerns and plans for resolutions. As a complement to the town-hall meeting, CPB prepared a "UC Riverside Budget Primer" that was circulated to the faculty beforehand to allow people to join with well-developed questions. Such dissemination of information from multiple sources and through already existing formats provides a stronger chance of reaching the campus community and preventing the emergence of problematic rumors, disinformation, and inappropriate discontent.

   b) *Consider developing CPB summaries to post on Senate websites in addition to the meeting minutes.*

Dissemination of campus budget information and strategic plans can be further supported by sharing CPB report summaries on the CPB Senate website. Campus members frequently are either unaware that meeting minutes are available or find them too difficult to go through. Including short quarterly summaries of CPB's work or even the proposed year-end summary from the CPB training plan could additionally facilitate the dissemination of campus budget information and provide context for CPB decisions to the broader campus.

Pathway to Best Practices:

The adoption of these best practices will likely take some time to achieve, and these recommendations will need to be adapted to fit the specific needs of each divisional CPB. The shift in campus culture to incorporate earlier involvement of CPB in strategic planning for the campus will also need to evolve over time. An important first step for the majority of the

campuses will be increasing the direct engagement of CPB with the Deans and FECs, which will provide access to the college/school/unit information necessary for optimal CPB function.

The general plan for divisional CPBs is to maintain this development as a top agenda item for the upcoming 2023/24 academic year and to follow the progress across campuses through UCPB updates. CPBs will need to set up prompt meetings with the Senate leadership, Provost, Deans, and FECs to bring them on board with these recommendations. Each CPB can revise the budget questions outlined in Appendix 2 to suit their particular needs in discussion with the campus leadership. Many of these recommendations will require some startup time to develop, but once activities like training plans and college/school/unit budget summaries are in place, subsequent years will typically only require smaller updates. The primary workload increase is within CPB itself, but CPB members are currently seeking out this increased work to allow them to more effectively do their jobs. With much of this 2023/24 academic year devoted to adapting these best practices to the local CPB's needs, a reasonable goal for beginning implementation of these recommendations is the 2024/25 academic year.

Conclusions:

Divisional CPBs should play a critical role in shaping budget principles and guiding financial decisions for each campus. By implementing these best practices, we can strengthen the effectiveness of the Councils and ensure that CPB recommendations align with the academic values and goals of the campus and UC system. CPB discussions reveal a commitment to transparency, collaboration, and aligning budget decisions with the University's long-term vision. By sharing best practices and fostering open communication, CPB members aim to contribute to the financial sustainability and academic excellence of their respective campuses. These proposals for best practices may require shifts in the current campus culture, but these goals are likely to be accomplished by instituting a selection of these recommendations each year until the campus has succeeded in optimizing its CPB's impact.

Appendix 1: Current Budget Practices of Divisional Budget Councils (CPB/CAPRA/APB)[1]

	UCD	UCB	UCLA	UCSB	UCSD	UCI	UCSC	UCR	UCM	UCSF
Regular meetings with admin leadership (e.g., Provost, Chancellor)	X	X	No	X	X (new)	X	X	X	X	No
Regular meetings with senior management (e.g., CFO, Budget Office)	X	X	X	No	X (new)	X	X	X	X	X
Budget-planning retreat with campus leadership	X	No	No	No	No	No	No	No	No	No
Budget discussions/Q&A with Deans/FECs	X	No	No	No	No	No	X	X	X	No
Annual budget review for schools/colleges	X	No	No	No	No	No	No	X	X	No
Role in campus budget planning	X	limited	limited	No	X (new)	limited	limited	X	X (new)	No
Role in FTE allotments	X	No	No	X	No	No	X	X	X	No
SSGPDP oversight	X	X	X	X	X	X	X	X	X	X
Review endowments (e.g., chairships)	X	No	No	X	X	X	X	X	X	X
Academic program reviews	X	X	X	X	X	X	X	X	X	X
Chair compensation	X	No	X	X	X	X	X	X	X	X
Rep to UCPB	Chair	CPB rep	Chair	Chair	Chair or Vice Chair	Chair	Chair	Chair	Chair	Vice Chair
Meeting frequency	2x per month	2x per month	2x per month	2x per month	1x per month	2x per month	Weekly	Weekly	2x per month	2x per month
New-member training plan	No	No	No	No	No	Some	No	No	No	No
Typical years of chairship appointment	2	1	1	1	1	1	2	1	2	1

[1] *Data were compiled from UCPB discussions and a 2018 survey of divisional CPBs.*

Appendix 2: Example Budget Questions for Deans and/or Faculty Executive Committees[2]

1. Financial Status

- Please provide a description of these aspects of the financial status of your college/school/unit:

    a) Overall Budget for the upcoming fiscal year

    b) Overall Salary and benefits costs

    c) Overall TA costs (if applicable)

    d) Overall Start-up costs (if applicable)

    e) Overall Revenue sources (tuition, grants, endowment etc.)

    f) Cost of instruction per UG student (if applicable and known)

2. Strategic Goals

a) Please provide a short summary of your college/school/unit's current strategic goals.

b) Has the strategy changed over the last five years, or is it expected to change in the next two years? Please explain.

c) Who is primarily responsible for developing your college/school/unit's strategic plan?

3. Fiscal Challenges

a) What is your greatest fiscal challenge at this time?

b) How are you addressing this challenge?

c) Do you feel like the current budget model alleviate or exacerbate this challenge?

d) Are there other major fiscal challenges you would like to address? Please explain.

4. Revenue & Resources

a) Please discuss the enrollment trends over the last five years in the following programs:
- Undergraduate minors and/or majors?
- Master's programs?
- Doctoral programs?
- Self-sustaining graduate and professional development programs (SSGPDPs)?

b) What are the constraints and opportunities for growth in your college/school/unit for undergraduate enrollment, graduate enrollment, and/or research?

c) What proportion of your college/school/unit's budget relies on grants procured by faculty? Do you see this proportion significantly increasing or decreasing over the next two to three years? If so, what is driving the change?

d) What proportion of your college/school/unit's budget relies on endowments and/or donations?

e) Do you see this proportion significantly increasing or decreasing over the next two to three years? If so, what is driving the change?

f) Are there plans for any new SSGPSPs or certificate/professional-degree/executive - education programs? If so, what is the expected impact on your college/school/unit's net resources?

5. Resource Allocation & Expenses: Faculty

a) What are your current hiring plans for your college/school/unit?

b) How do you balance hiring research faculty and faculty with teaching appointments in your unit given the pressures of increasing undergraduate enrollment and maintaining/growing the research component of the university? What metrics do you use to inform these decisions?

c) Have faculty hiring and retention been sufficient over the last three years?

d) Are departments using resources to proactively recruit faculty candidates from underrepresented groups?

e) Is the current availability and sufficiency of start-up funding adequate? Is this start-up status expected to change over the next three to five years?

f) Are new faculty hires being appropriately placed in departments or programs with large workloads or significant needs? How is this appropriate deployment tracked?

g) Are faculty able to fulfill their research mission with the currently available resources?

h) Are faculty able to fulfill their research and teaching missions with the currently available space?

6. Resource Allocation & Expenses: Academic Programs

a) How is resource allocation aligned between funding academic programs and central administrative needs within your college/school/unit?

b) Are there departments/programs with high student-to-faculty ratios or impacted majors for which additional resources are needed to meet strategic goals? If so, how is this issue being addressed?

c) Are there potential inefficiencies in programming or overhead? If so, how are these inefficiencies being addressed?

    d) What internal mechanisms are in place to ensure that resources are being deployed toward courses that meet the current curricular needs of undergraduate programs?

    e) What internal mechanisms are in place to ensure that resources are being properly allocated to the current needs of doctoral students and programming?

    f) Do undergraduate/graduate-program directors have sufficient resources to ensure that required classes are taught regularly?

    g) How are have the current staffing levels this impacted your unit? What is your estimate of your remaining deficit in staffing FTEs? If applicable, please address student advising workload in your response.

    h) What is your vision for the future of graduate education in your college/school/unit? How do you plan to achieve this?

7. Fundraising

    a) What was the result of your school/ college/unit's last fundraising campaign?

    b) What are your plans and targets for future fundraising?

8. Role of the Faculty Executive Committee

    a) What is the role, if any, of the FEC in strategic planning in your college/school/unit?

    b) What role, if any, does the FEC play in financial and budgetary decision making in your college/school/unit?

    c) How might these FEC roles be strengthened?

    d) Is the FEC consulted in prioritizing and addressing potential inefficiencies in academic programming or overhead?

    e) How might we bolster the role of the Senate in shared governance with respect to planning and budget?

    f) How might CPB/CAPRA/APB and the FEC better coordinate our efforts in these areas?

9. Miscellaneous

    a) How does the leadership engage with faculty to make budget decisions within your school?

    b) Are there any other unusual events occurring that have implications for your college/school/unit's revenue or expenses?

    c) Do you have any questions or concerns that you would like the Senate to address?

    d) [*Include additional questions here for current issues, e.g., pandemic, strike, etc.*]

Notes:

[Include here any information or links to help the FECs to access student enrollment and/or budget data by college/school/unit.]

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[2] *Questions are based on examples provided by UC Davis and UC Riverside.*

Appendix II

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

May 24, 2024

ACADEMIC DEANS
CAMPUS PROVOST AND EXECUTIVE VICE CHANCELLOR KLETZER

Re: Recommendations for Off-Cycle Hire Requests

Dear Colleagues,

The Committee on Planning and Budget (CPB) reviews three types of off-cycle hires in addition to the normal FTE call:

1. Spousal/Partner Waiver of Open Recruitment requests
2. Target of Excellence Waiver of Recruitment requests
3. Off-Cycle Second Hire Recruitment requests

CPB guidelines are available outlining best practices for submission of supporting information for each request type. This document provides overarching recommendations for off-cycle hires generally but does not supersede the recommendations in the existing memos. With the implementation of the Divisional Resource Model in 2023-24, several aspects of hiring have changed. To facilitate timely and informed recommendations from CPB, the following criteria and best practices should be applied for all off-cycle hires. CPB reserves the right to return requests without review if documentation and justification for the request is inadequate.

Timing of the Request
There are many circumstances leading to an off-cycle request; in the case of a partner or second hire, the request logically follows an open recruitment. In other cases, such as an unexpected separation or unique opportunity (such as a Target of Excellence hire), a compelling argument should be put forward for the urgency of the request, explaining why the proposed hire cannot be included in the normal FTE process.

Impact on Existing Plans
Both the department and division should place the off-cycle request in the context of the departmental and divisional plans. Is the position identified in the decanal 3-year FTE plan? Is the position justified in departmental self-studies? If not, then there should be clear and compelling arguments for how the proposed hire would advance the department, division, and campus priorities.

Resource Implications
While proposed costs for start-up, renovation, and faculty recruitment allowance are part of the package, there should be justification for non-standard costs (i.e. requesting more than the campus guidelines for Faculty Recruitment Allowance (FRA), very large start-up budgets, etc.).

It is helpful for CPB if costs are contextualized within the subdiscipline or field. Space should clearly be identified (both office and lab space) ideally with office/lab room numbers but at minimum with a declaration that space has been identified. If not available immediately (for example if the off-cycle hire is contingent on a retirement or separation), the anticipated timeline for the space becoming available should be included.

Diversity

On-cycle hires benefit from a critical evaluation of a large pool of candidates, and for some cases (second hires) the candidate has been evaluated against the UCSC starting rubric for evaluating DEI statements. For other off-cycle hires, the candidate should be considered using the same criteria. CPB is particularly interested in documentation regarding whether an off-cycle hire contributes in specific ways to the campus goal of diversifying the faculty.

Sincerely,

Raphael Kudela, Chair
Committee on Planning and Budget

cc: Assistant Deans
       Department Managers
       Cynthia Larive, Chancellor
       Herbert Lee, Vice Provost for Academic Affairs
       Grace McClintock, Assistant Vice Provost for Academic Personnel
       Maureen Callanan, Co-Chair, Committee on Academic Personnel
       Susan Gillman, Co-Chair, Committee on Academic Personnel
       Gabriela Arredondo, Chair, Committee on Diversity, Equity, and Inclusion
       Matthew Mednick, Executive Director, Academic Senate
       Mary Laurence, Senior Academic Planning Analyst