EXECUTIVE SUMMARY

Purpose of the Council: To initiate, coordinate and implement academic planning that promotes the quality and diversity of the academic experience; provide advice on the campus budget, capital planning and allocations of resources and space.

Highlights:

- Council participated in the academic program review of five academic units.
- Council studied FTE plans from each department and college / division, met with the Deans about their unit’s FTE needs, and made recommendations to the Executive Vice Chancellor about new FTE allocations.
- Council reviewed several campus-specific proposals, including proposals to establish new centers and new degree programs.
- Council considered 16 requests for Academic search waivers (formerly, Exceptions to Open Recruitment) and one requests for an inter-departmental FTE transfer.
- Council reviewed five proposals to establish endowed chairs.
I. Overview

The Council on Planning & Budget (CPB) met for 20 regularly scheduled sessions (six in fall, six in winter, and eight in spring).

CPB’s agendas typically included the following items:
- Academic program reviews
- Review of campus issues (proposed centers, policies, procedures, reports, etc.)
- Review of systemwide issues (reports, proposals, etc.)
- Review of departmental and college / division FTE plans
- Consultations with Deans and other University administrators
- Requests for faculty recruitment Search Waivers
- Endowed chair proposals

II. Academic Program Reviews

CPB participated in the academic program review of five academic units:

1. Department of Chemical Engineering
2. Department of Ecology, Evolution, & Marine Biology (EEMB)
3. Media Arts & Technology Program (MATP)
4. Department of Molecular, Cellular, & Developmental Biology (MCDB)
5. Writing Program

Initial reviews of these units were first conducted by CPB’s respective area subcommittee: Humanities & Fine Arts / Creative Studies (MATP and Writing Program); Mathematical, Life, & Physical Sciences / Bren (EEMB and MCDB); and Engineering (Chemical Engineering and MATP). The Media Arts & Technology Program (MATP) is an interdisciplinary program, and was reviewed by both the HFA and Engineering Area Subcommittees. There were no academic program reviews in Social Sciences or Education. As per the review procedures, in fall quarter CPB studied the data notebooks and submitted a list of suggested questions to the Program Review Panel (PRP) for consideration by the respective External Review Committee (ERC). In winter quarter the CPB chair (or designate) attended a luncheon with the External Review Committee. In spring quarter, CPB reviewed each of the External Review Committee (ERC) reports and department responses and provided further comments to the Program Review Panel (PRP).

The Academic Senate was asked by the Executive Vice Chancellor to provide recommendations for the review for review by PRP in 2020-21. CPB’s recommendations were based on the length of time since the last review and consisted of: Economics, Linguistics, Philosophy, Chemistry & Biochemistry, and Computer Science. CPB also suggested that three programs be reviewed internally by the respective Dean (Medieval Studies, Renaissance Studies, and Military Science).

The five academic units that were ultimately chosen for review were:
department / unit | last review
--- | ---
Chemistry & Biochemistry | 2010-11
Computer Engineering | 2011-12
Economics | 2008-09
Linguistics | 2009-10
Philosophy | 2009-10

Six units had previously been selected for review in 2019-20: Communication; Comparative Literature Program; French & Italian; Germanic & Slavic Studies; Mathematics; and Statistics & Applied Probability.

III. Academic Search Waivers and FTE Transfers

CPB reviewed 16 requests for search waivers from the following departments:

- Anthropology
- Asian American Studies
- Black Studies
- Ecology, Evolution, & Marine Biology (EEMB)
- Economics
- Education
- Electrical & Computer Engineering
- Feminist Studies
- Mechanical Engineering
- Molecular, Cellular, & Developmental Biology (MCDB)
- Political Science
- Psychological & Brain Sciences
- Statistics & Applied Probability
- Theater & Dance

Of these, three were for partner hires, seven were to make an additional hire from an open search, three were for exceptional opportunities, and three were for Presidential Postdoctoral Fellows (PPFs). CPB followed the guidance of the Policy on Open Recruitment (UCSB Academic Personnel Policies & Procedures, Section VII-1-III) in making its recommendations to the EVC. CPB offered either a full or qualified endorsement in 15 cases and withheld support for one request.

In addition, CPB supported a joint request from Deans Wiltzis and Majewski (Divisions of MLPS and HFA, respectively) to transfer .50 FTE from the Department of History to the Environmental Studies Program. CPB endorsed the request with the understanding that the .50 FTE would revert from MLPS back to HFA upon the sitting professor’s retirement/separation.

IV. Review of Endowed Chair Proposals

In accordance with UCSB’s Policy on Endowed Chairs (Section VIII-11 of UCSB’s Academic Personnel Policies & Procedures, “Red Binder”), CPB was consulted on endowed chair proposals, regarding the appropriateness of the proposed subject areas and the conformity with the
academic mission of our campus. Council reviewed five endowed chair proposals and submitted final recommendations to the Executive Vice Chancellor via the Office of Academic Personnel. A new Policy on Endowed Chairs was adopted in September 2018 which increased the minimum endowment from $500,000 to $1 million. Several of this years’ endowed chair proposals were funded before the new policy was enacted.

1. **Corporate Environmental Management Endowed Chair**: The Corporate Environmental Management Chair in the Bren School of Environmental Science & Management will be endowed by a one-time gift of $1 million from a donor(s) who wishes to remain anonymous at this time. The Chair is intended to attract and support the work of an eminent faculty member researching in the field of Corporate Environmental Management.

2. **Duncan Chair in Actuarial Science**: The endowment amount of $500,000 fits with previous endowed chair policy but not with current endowed chair policy. The “Janet and Ian Duncan Actuarial Science Endowed Fund” was started with $50,000 in December 2015, and the balance of the gift was conveyed to UCSB, before the endowed chair threshold was raised to $1,000,000.

3. **Mehrabian Career Development Chairs**: These chairs will be endowed by a gift of $8,000,000 comprising six Mehrabian Career Development Chairs and five Mehrabian Chancellor’s Chairs. The two categories of chairs have different funding: the six Career Development chairs are to be assigned to assistant professors and are to carry an endowment of $500,000 apiece for a period of 3 years. The Chancellor’s Chairs are to go to senior faculty and are to carry an endowment of $1,000,000 apiece for a period of 5 years. The Mehrabian gift was made through stock transfers in August 2018, thus falling under the previous policy, in which $500,000 was the minimum gift.

4. **Mehrabian Presidential Chair in Engineering**: This Chair will be endowed by a one-time gift of $500,000 from Robert & Victoria Mehrabian, which will then be matched by the Mehrabian Presidential Chair Matching Fund, contributed by the Office of the President.

5. **Telemetering Chair**: This Chair will be endowed by a gifts totaling $500,000 from the Telemetering Foundation, with the hope that an additional $500,000 will be raised by UCSB. This endowment will support a faculty member in Engineering with “… the goals of advancing telemetry activities… and furthering the education and training of the next generation of telemetry professionals.”

In addition, CPB also received a joint request in January from Dean Wiltzius (MLPS) and Dean Gaines (Bren) to authorize a search for the Jack & Laura Dangermond Chair in Conservation Studies. In his cover memo, Executive Vice Chancellor David Marshall noted, “Because of the timing of the chair establishment, and/or an apparent lack of communication with the Deans whose departments might house the new chair holder, neither Dean Wiltzius nor Dean Gaines requested permission to conduct a search for the chair in their 2018 FTE Plans.” The Council initially considered this issue in February and expressed concerns regarding the urgency of the request as well as the search strategy for recruiting into this position. In particular, the Council was concerned by the lack of letters of support from the potential home departments, and CPB wanted more information about their commitment to make an appointment. CPB received
additional information in spring quarter, which included support letters from the Departments of Geography and Ecology, Evolution, & Marine Biology as well as the Bren School of Environmental Science & Management. CPB was satisfied by the letters of support and endorsed this request.

V. Campus Issues

The Council on Planning & Budget participated in reviews of the following campus issues during the 2018-19 academic year.

FTE Planning

The Council on Planning & Budget was consulted by the Executive Vice Chancellor for its recommendations on academic positions (“FTEs” = Full-Time Equivalent appointments). The EVC’s call for academic FTE plans was sent to the Deans in November, and it included FTE templates that called for requested authorizations to recruit new faculty during the next three recruitment cycles (2019-22).

Departmental FTE plans were made available to CPB in winter quarter, and Deans’ FTE plans were provided in spring quarter as soon as they were available. CPB spent a great deal of time in winter and spring quarters consulting with Deans regarding their visions for their college/ division. To the extent possible, CPB took into account additional information concerning separations, retirements, or other events that may have taken place since department plans were submitted at the end of February.

CPB subcommittees used the Deans’ recommendations as a guide for deliberations and referred to departmental plans when needed. CPB area subcommittees reported to the full CPB with their recommendations in late May and early June.

CPB provided the EVC with its final FTE recommendations in early July, which included feedback and considerations for future years.

Master of Environmental Data Science (MEDS)

In November, CPB reviewed the revised proposal for a Master of Environmental Data Science (MEDS). The original proposal was reviewed by CPB last year (December 2017). At the time, CPB supported the exploration of a data science program on campus, but Council did not endorse the proposal and offered a significant amount of feedback and identified several concerns. There were several aspects of the revised proposal that improved since the original, and overall, CPB was supportive of the revised proposal. However, some previous concerns raised by CPB remained in this second iteration. Many – but not all – of the issues from last year’s review were addressed in the revised proposal. Instead of requesting eight FTE, the revised proposal requested two (one ladder rank faculty and one LSOE). The new proposal also included a private donation of $3 million from an anonymous donor. However, CPB members expressed concerns about how the money would be used: exhausted in a few years for fellowships without being leveraged or used as an endowment for ongoing support. The revised proposal called for an enrollment of 80 students and 17 new courses, which CPB felt was an ambitious undertaking. Other concerns were whether the 11-month program was too short and also whether “Data
Analytics” would be a more appropriate name for the program instead of “Data Science.” A broader question for CPB was how this program would relate to other data science efforts and fit into the larger vision for data science on campus.

Then in January, CPB received a second revised proposal. CPB was more supportive of the MEDS proposal, felt that the bulk of its concerns were addressed, and believed it will bring significant visibility to campus and enhance the larger data science initiative. In reviewing the latest version of the proposal, three primary points were raised to be considered as factors to moving forward: 1.) What would happen if the MEDS program falls short of its stated goal of +/- 90 students? 2.) Although CPB was favorable toward the revised proposal, there still was not unanimous support of the rigor of the coursework, and 3.) The MEDs program will likely create numerous opportunities for collaboration across campus, with other universities, and with the larger community. This could present a good opportunity for faculty recruitment in the future.

Green Laboratories Action Plan

In April, CPB reviewed a draft of the Green Laboratories Action Plan. In general, the members of CPB were pleased with the available programs (e.g., LabRATS; LabSYNC assessments) and efforts UCSB has made toward making the campus sustainable (e.g., $3,000 assistance to researchers to replace old refrigerators with more energy efficient ones). Council offered some possible suggestions for continuing to improve the plan:
- Coordination of the Green Laboratories Action Plan with the Campus Sustainability Plan.
- Defining what constitutes a “laboratory”.
- Setting specific short-term goals and concentrate campus resources in supporting activities.
- Financing for energy efficient major equipment purchases.
- Benchmarking the green lab efforts at UCSB to the other UCs to assess best practices.

Library Reorganization Proposal

In May, CPB reviewed an informational memo from Senate Chair Henning Bohn along with University Librarian Kristin Antelman’s description of organizational changes to the UCSB Library. CPB expressed concerns that the shift in positions would not ensure the informed communication and response that subject librarians provide to their constituencies, as specialists themselves, in specific areas of research, but would reallocate their skills to serve more general library usage. It is this shift from specialized knowledge holders to coordinators as it applies to subject librarians and discipline specific knowledge that is of concern to academic researchers.

CPB recognized the need for organizational changes that would keep our library in sync with the changing nature of knowledge production and the shifting landscape of publication, and appreciated the carefully laid out plan for implementing some necessary changes. CPB also recognized that these changes will affect different Divisions and disciplines on our campus in different ways. CPB therefore acknowledged faculty concerns regarding the impact of such deep changes on their disciplines and specialized areas of research.
CPB urged UL Antelman to connect directly with departments within impacted disciplines and Divisions to discuss their specific needs and the ways that the library reorganization will affect them. These conversations should be in the spirit of true consultation, open to suggestions and realignments based on faculty needs and feedback to the proposed changes, thereby insuring the continuation of the library’s critical role in the research excellence of all academics on our campus.

In July, University Library Antelman issued a memo acknowledging the Academic Senate’s feedback and stating her decision to not proceed this year “... with any changes related to collection management responsibilities, including both the librarians in the Collection Management Department and subject liaison librarians who perform collection-related duties for their departments. All changes related to collection management are on hold pending further consultation with academic departments and the recruitment of a Director of Collection Strategy to replace a retiring Department Head, Eunice Schroeder.”

Open Access Initiative

In November, CPB reviewed the OA2020: Open Access Initiative. CPB strongly supported signing the open access (OA) initiative. The Council agreed with the importance of the initiative and the need to move forward toward a viable, international solution for OA. CPB also encouraged further investigation into finding a sustainable business plan to allow more Open Access.

Campus Sustainability Plan

In November and then again in March, CPB reviewed the draft of the campus sustainability plan. During the first review, members of CPB expressed satisfaction with the available programs and efforts UCSB has made toward making the campus sustainable. Council offered some suggestions for continuing to improve this plan, with the most important point being the inclusion of a budget and prioritization of the proposed plans.

In reviewing the revised draft in March, CPB expressed support for the efforts of the Chancellor’s Sustainability Committee to move the campus forward and help UCSB become a leader in sustainability. The Council appreciated the responses to prior comments and the detailed matrix laying out the top goals under each area of the plan and its current funding sources. CPB suggested that campus sustainability efforts should include a strategic plan with an analysis of costs and benefits as well as a plan outlining funding sources and overall financial responsibility. CPB expressed eagerness to participate in future discussions about campus priorities once a detailed budget and cost-benefit analysis are available.

Other Issues

There were two local issues on which CPB chose not to opine:

1. Draft UCSB Electronic Communication Policy
2. Recommendations for the Use of Contributions to Diversity, Equity, and Inclusion (DEI) Statements for Academic Positions at UC
VI. Systemwide Reviews

The Council on Planning & Budget participated in the following systemwide reviews during the 2018-19 term:

**Systemwide Mexico Entities Current State Assessment Report**

In October, CPB reviewed the systemwide Mexico Entities current state assessment report. CPB fully supported the idea that the three Mexico entities should be merged into one program, given the current financial situation. There were four primary points of discussion surrounding this issue.

1) While it was clear that all three programs are facing financial difficulties, there are also several elements that cross all of the programs, making the integration of them a logical move. The merge will result in a leaner entity that will make a more efficient use of whatever budget the program receives.

2) There was a lack of consensus on where the final program should be hosted. The decision regarding the location of the new entity is not as well articulated and defended in the report as is the argument for merging the programs. But, most CPB members favored having the new entity reside at one of the UC campuses.

3) The financial future of the program is uncertain even with a merger. Going forward, creative thinking about funding is necessary for the program to function effectively. Restructuring of roles is required in order for the new entity to be cost effective.

4) Some CPB members wished UCSB played a larger role in this program. Even though UCSB is involved, it is not as engaged as other UC campuses according to the pie charts presented in the report, which show UCSB on the low end by most measures.

**Principles of Accountability with Respect to Financial Transactions**

In November, CPB reviewed the proposed Presidential Policy on the Principles of Accountability with Respect to Financial Transactions. Overall, CPB found the proposed policy reasonable. CPB noted the difficulty in assessing the policy without detailed past experiences directly dealing with administrative financial matters. CPB agreed with the basic points that no one person should have complete oversight of the financial transactions that occur in a department and all transactions must be accounted for and appropriately recorded.

CPB members expressed concern that the changes may mean that more financial responsibility and liability would be pushed down to departments and financial managers, but CPB was reassured that the proposed policy does not make any substantive changes vis-à-vis locus of financial responsibility. With the understanding that the document is a codification of existing practice, CPB had no objections to the proposed policy.

**Policy on Sexual Violence & Sexual Harassment**

In November, CPB reviewed the revised Presidential Policy on Sexual Violence & Sexual Harassment. Overall, CPB found the proposed revisions appropriate. While noting several suggested edits, CPB had no objections to the policy revisions.
CPB continued to express some concerns that the policy appeared to prioritize mediation as the first recommended course of action under the section on Alternative Resolution (section V.A.5.a.), and suggested that mediation be moved further down the list of available options. CPB also questioned what is meant by a “reasonable person” as used throughout the document.

UC Center Sacramento Assessment Report

In May, CPB reviewed the assessment report on the UC Center Sacramento. CPB agreed that the Center is serving a valuable service to the students who participate, particularly those interested in California politics and working in state government. Additionally, the Center appeared to CPB to have a positive relationship with the Davis campus, which houses the administration for the program. CPB supported the overall vision of the program and what it sought to accomplish. While there was some concern about a projected budget deficit, CPB believed that the report addressed suggested solutions to deal with the problem.

Other Issues

There were three systemwide issues on which CPB chose not to opine:
1. UC Transfer Guarantee Proposal
2. University Committee on Privilege & Tenure’s proposed revisions to Senate Bylaw 336
3. Report from the Joint Committee of the Administration and Academic Senate on Faculty Discipline, Sexual violence, Assault, and Harassment

VII. Committees

The Council has three standing committees:
• Committee on Academic Planning & Resource Allocation (CAPRA)
• Committee on Development & Community Relations
• Committee on Capital & Space Planning

Committee business was conducted primarily by email. Issues were delegated to the appropriate committees for prior review, and recommendations were then forwarded to the full Council for deliberation.

The principal issues under review by CPB were spearheaded by CAPRA. These included systemwide reports and reviews, as well as many of the local issues under review. The Committee on Development & Community Relations conducted a preliminary review of endowed chair proposals.

The Council also continued a tradition of four ad hoc “area subcommittees,” based on colleges and divisions:
• Social Sciences and Education
• MLPS and Bren
• HFA and Creative Studies
• Engineering
The area subcommittees primarily were tasked with conducting preliminary analyses of the academic program reviews. In addition, Academic search waiver requests were first sent to the respective area subcommittee for initial consideration and a recommendation to the full Council. Finally, the subcommittees took the lead in developing the respective parts of the overall FTE recommendations for 2019-21, presenting recommendations for full Council discussion.

VIII. Council Representation

The Council Chair served as a member of the Academic Senate Executive Committee, as Vice Chair of the Campus Planning Committee, as a member of the Chancellor’s Coordinating Committee on Budget Strategy, and as a member of the Risk Assessment/ Audit Committee. The CPB chair along with the chair of the Committee on Development & Community Relations served as Trustees of the UCSB Foundation.

IX. CPB Relationship with University Committee on Planning & Budget (UCPB)

CPB Chair served as the UCSB representative on UCPB and regularly reported on UCPB business conducted at the monthly meetings in Oakland, soliciting comments from council members on pending UCPB issues.

X. Coordination with the Administration

The Council on Planning & Budget consulted with several members of the Administration during the 2018-19 term, including: the Executive Vice Chancellor; Assistant Chancellor for Budget & Planning; Director of Capital Development; Associate Vice Chancellor for Development; the Deans of the College of Letters & Science; Dean of the Gevirtz Graduate School of Education; Dean of the College of Creative Studies; Dean of the Bren School for Environmental Science & Management; and Dean of the College of Engineering.

The Council Chair and Vice Chair held regular (monthly) consultations with EVC David Marshall. These meetings provided an opportunity to discuss issues and concerns informally and play an effective role in shared governance.

The Council engaged in several informative discussions with Assistant Chancellor for Budget & Planning Chuck Haines. A list of questions were developed in advance of his meetings to help facilitate the discussions. The conversations addressed a number of budget-related issues: budget overview of the campus; income & expenditures; new initiatives; research; unfunded mandates; undergraduate enrollment surge; and staff support.

Capital Planning

The CPB Chair served as a Vice Chair of the Campus Planning Committee (CPC), which reviewed or discussed several issues and campus projects. A 10-Year Capital Financial Plan has not been reviewed by CPB in several years, although Capital projects presentations by the Deans were made to CPC over the past year. CPB was informed that the Council will be asked to participate in a campus capital projects prioritization process in the coming year (2019-20).
In April, CPB sent a memo to Senate Chair Henning Bohn reiterating interest in receiving a copy of the report on the external review of Design & Construction Services. The Council had been made aware of the review during the 2017-18 year, and CPB expressed interest in receiving a copy of the report and commenting on it. CPB’s request was forwarded to Garry Mac Pherson, Vice Chancellor for Administrative Services. The Vice Chancellor responded in May with a copy of the report. It was decided that the report would be carried over for CPB review in 2019-20.

XI. Carry-Over Issues

Issues that CPB and UCPB should expect to revisit in the coming year include the following:

- Accounting of FTEs and Deans’ discretionary budgets
- UCSB Budget transparency
- Campus-wide academic strategic plan
- Campus-wide Capital Planning priorities
- Campus facilities and deferred maintenance
- State-mandated enrollment surge
- Academic versus non-academic budget growth

Council Membership:

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<td>Joao Hespanha</td>
<td>Chair / UCPB rep</td>
<td>Electrical &amp; Computer Engineering</td>
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The Academic Senate invited participation of representatives from Associated Students and the Graduate Students Association but did not receive replies. CPB believes student representation is very important in senate councils and committees. CPB will intensify its efforts to recruit representatives from these bodies in the future.