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 six academic units;
- 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;
- reviewed several campus-specific proposals, including proposals to establish new centers and new degree programs;
- considered nineteen requests for Academic search waivers and two requests for an inter-departmental FTE transfer;
- reviewed four proposals to establish endowed chairs;
- sought to understand relations among its primary focus, Academic Affairs, and the division of Administration as that affects academic activities, and to improve the exchange of information and ideas;
- met with Design, Facilities & Safety Services (DFSS) and Facilities Management (FM) to understand and improve relations between academic planning and facilities maintenance and renovation;
- pursued comprehensive permanent faculty FTE accounting over multiple years
- clarified criteria used to evaluate exceptions to existing search allocations, for use in departmental planning; and
- sought to reconnect planning to budgeting by increasing the availability and circulation of budget data.
I. Overview

The Council on Planning & Budget (CPB) met for 23 regularly scheduled sessions (six in fall, seven in winter, and ten in spring). Spring quarter meetings were held on Zoom because of COVID-19.

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

CPB engages with longer-term structural and policy issues that concern academic affairs and its relations to other sectors of the University. This year’s efforts will be described below. We note that Academic Affairs is directly affected by operations in Administrative Services, Institutional Development, and Student Affairs. Council structure, with its three main Committees, reflects its members’ aim to see the campus as a whole, and to improve understanding, communication, and collaboration between Academic Affairs and adjacent divisions for the mutual benefit of all.

II. Academic Program Reviews

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

1. Department of Communication
2. Joint Review:
   - Comparative Literature Program
   - Department of Germanic & Slavic Studies
   - Department of French & Italian
3. Department of Mathematics
4. Department of Statistics & Applied Probability

Initial reviews of these units were first conducted by CPB’s respective area subcommittee: Humanities & Fine Arts/Creative Studies (Comparative Literature; Germanic & Slavic Studies; and French & Italian); Social Sciences (Communication); and Mathematical, Life, & Physical Sciences/Bren (Mathematics and Statistics & Applied Probability). There were no academic program reviews in Engineering. 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). During 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).
In addition to the specific commentary provided in each of CPB’s memos, Council members noted two recurring issues: patterns of racial and gender bias (in some of the reviewed departments) that will require sustained attention and oversight; and acute resource shortages that are undermining instructional quality and putting research ambitions at risk (in all of the reviewed departments).

The Academic Senate was asked by the Executive Vice Chancellor to provide recommendations for the review by PRP in 2021-22. CPB’s recommendations were based on the length of time since the last review and consisted of: Computer Science; East Asian Languages & Cultural Studies; Music; Environmental Studies; and Anthropology. As a lower priority, CPB also suggested that Film & Media Studies and Sociology be considered for a review.

The five academic units that were ultimately chosen for review were:

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<th>Department / Unit</th>
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<td>Anthropology</td>
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<td>Computer Science</td>
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<td>East Asian Languages &amp; Cultural Studies</td>
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<td>Environmental Studies</td>
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Five units had previously been selected for review in 2020-21: Chemistry & Biochemistry; Computer Engineering; Economics; Linguistics; and Philosophy.

III. Academic Search Waivers and FTE Transfers

The EVC authorized 25 new searches for 2019-20 across campus. This number was in addition to 46 searches carried forward, although not all carryforwards were active. We estimate that 41 searches were conducted in 2019-20, not counting the search waivers that came in during the course of the year.

CPB reviewed 19 requests for search waivers from the following units:
- Bren
- Chemistry & Biochemistry
- Chicana & Chicano Studies
- Computer Science
- Counseling, Clinical, & School Psychology (CCSP)
- Earth Science
- Ecology, Evolution, & Marine Biology (EEMB)
- Economics
- Education
- English
- Environmental Studies
- Film & Media Studies
- Geography
- Mathematics
- Philosophy
Of these, eight were for partner hires, eight were for exceptional opportunities, and three were for Presidential Postdoctoral Fellows (PPFs). CPB also reviewed two requests to make an additional hire from an open search. 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 17 cases and withheld support for two requests.

In addition, CPB supported the following requests to permanently transfer FTEs:
- 0.50 FTE transfer from Black Studies to English
- 0.50 FTE transfer from English to Global Studies

CPB endorsed the requests with the understanding that these FTEs would revert to the original Dean upon the sitting professor’s retirement/separation.

Although not all search waivers will result in hires, CPB notes that a fairly high proportion of hires originate outside of the planning process. These exceptions should be carefully monitored as a matter that can affect the shape and quality of the UCSB faculty.

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 received requests for four endowed chair proposals and submitted final recommendations to the Executive Vice Chancellor via the Office of Academic Personnel.

1. Arnhold Director of Performance in Theater & Dance: This position will be endowed by a $1 million gift to establish an administrative chair to be attached to the department’s Director of Performance. The Director will work “... with faculty and students in dance, theater, and design to formulate the department's schedule of performances,” and play a “key role in devising the design and production budgets of each show.”

2. Sorensen Director of Choral Music: The Chair will be endowed through a pledged gift from Stephen Sorensen in the amount of $1 million (paid in full by 2024) to create an administrative chair to help realize the research, teaching, and programmatic mission of the Music Department.

3. Vimalnath Endowed Chair in Jain Studies: The Bhagvan Vimalnath Endowed Chair in Jain Studies, a true endowment, will be established through an irrevocable three-year pledge of $1,000,000 to the UC Santa Barbara Foundation. The primary purpose of the Chair is to support the research, teaching, and programmatic activities of an appointed faculty member in Jain and South Asian Studies in the Department of Religious Studies,
and it will serve as a permanent tool to ensure strong faculty in the department by attracting and retaining top scholars.

4. **Zimmer Chair in the Gevirtz Graduate School of Education:** This position will be endowed by a $1 million gift to establish an administrative chair to be attached to the Dean of GGSE “…to further the mission and excellence of the Gevirtz School by allowing the incumbent to make strategic investments in research, teaching, and public service, as well as the flexibility to address the School’s most important needs and opportunities.”

V. Campus Issues

The Council on Planning & Budget participated in reviews of the following campus issues during the 2019-20 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 upcoming recruitment cycle. CPB consulted with Deans during the winter and early spring quarters.

In the midst of CPB’s review, the campus budget was severely affected by the COVID-19 pandemic, which added much uncertainty to the planning process. A stay-at-home order in mid-March prevented in-person meetings for the rest of the academic year, although meetings continued virtually through Zoom. In April, the EVC asked Deans to revise their FTE plans in light of the current conditions. CPB received updated FTE plans in May, and it was understood that previously-authorized, unfilled positions were no longer guaranteed.

CPB spent a great deal of time in spring quarter deliberating over the Deans’ and departmental FTE plans. 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 provided the EVC with its final FTE recommendations in early July, which included feedback and considerations for future years.

It should be noted that CPB renewed its periodic efforts to obtain systemic academic budget information as the appropriate context in which to conduct FTE planning. Council seeks to link the two halves of its planning-and-budget purview. Early in the year, the current Chair and Immediate Past Chair visited Institutional Research in order to see whether their new Tableau-based system would allow us to get department and division-level budgetary data to use as context for our FTE assessments. The Tableau system has user-friendly data about student enrollments and movements. It does not have budgetary data, and the online Planning Data Book ([http://bap.ucsb.edu/institutional.research/planning.data.book/tables/](http://bap.ucsb.edu/institutional.research/planning.data.book/tables/)) stops with 2016-17. This basic budgetary data resource should be available to CPB and other planning
bodies on campus, where financial data is integrated with enrollment and other data. We strongly urge that this problem be fixed for the 2020-21 year.

Each Dean does bring enrollment as well as some limited budgetary information to CPB during their regular visits. We can review teaching loads by department, see comparative FTE growth patterns, and the like. With some Divisions, we are shown individual budget categories in isolation. Usually these categories tell a story of shortfalls in allocations compared to expenditures. For example, MLPS spends $909,000 for the typical ladder faculty hire from an allocation of $603,600. That Division has a temporary sub-0 (mostly TAs and lecturers) instructional allocation of $1.8M in 2018-19, and a temporary sub-0 expenditure of $14.4M. (The term “temporary” is a misnomer, since the funds cover permanent workloads.) This enormous gap is filled on an ad hoc basis every year, rather than changing the allocation to match the division’s consistent instructional needs. There are two problems with such data (in addition to the clear problem of budgeting practice): they are isolated from other parts of the divisional, college, and campus budget; and the allocational imbalance blocks rational budget decision-making (a $12.6M temp sub-0 shortfall logically suggests no ladder faculty hiring should take place in the following year, but this should not and does not happen).

Overall, CPB does not have the budgetary data that it needs to assess FTE requests properly. We can judge the coherence, consistency, and scope of academic plans in the context of instructional need, but we do not know whether the department or division have the fiscal resources to carry them out. We cannot fully respect either departmental thinking or campus resource constraints without being able to compare the resources required to the resources available.

At a minimum, Council needs data on:
(1) the Division’s allocated but unfilled permanent sub-0 budget;
(2) the share of that budget the Dean is able to fill that year;
(3) the dollar value of the FTE referred to as “dean’s inventory” in search waiver requests—presumably (1) minus (2) with identified exceptions;
(4) the Division’s start-up budget, including renovations;
(5) start-up costs estimates given that division’s cost history and the mix of junior and senior positions under search; and
(6) revenue shortfalls and anticipated fluctuations in the division for the coming year.

This is a short list of the information that would allow CPB to make planning judgments in the context of resource constraints. Such data would form a more valid and functional base for decision-making than our current practice. CPB has heretofore used the Deans’ plans as a baseline and made adjustments on academic planning grounds, without knowing how our (or the Deans’) recommendations affect budgets (and the many related activities budgets affect control). CPB needs the systemic budget data described above to do its job properly.

BioEngineering Program

In April, CPB reviewed the proposal to (1) create the Biological Engineering Program within the College of Engineering and MLPS in the College of Letters and Science and (2) establish a new graduate degree, a PhD in Biological Engineering, which the Program would administer. CPB felt that the strong interdisciplinary research climate at UCSB may position it to be a leader in
biological engineering, a relatively new discipline combining “engineering for biology and engineering from biology”. The Program and the new degree lie at the interface between engineering and the sciences. Together they will benefit from and complement the strong, existing research relationships between these communities at UCSB.

The Council expressed several concerns regarding the allocation of faculty and resources. The first involved the new resources that would be required to meet the challenges presented by start-up and ongoing administration of the Program, including faculty FTE, Teaching Assistants, staff resources, and space. CPB also provided feedback regarding the BioEngineering’s relations with other programs, noting that the loss of FTE from other units without replacement would cause “devastating negative impact” on the revitalization and rebranding efforts now underway in BMSE and could create competition for resources in a tight budgetary climate.

Overall, CPB strongly endorsed the proposal’s vision and plan for the new Program and associated PhD in Biological Engineering, while asking that the deans, core Program faculty, and other affected parties weigh the budgetary and planning implications together in the new post-COVID environment.

**Geographic Information Systems (GIS) 4+1 Degree**

In February, CPB reviewed the proposal to establish a Master of Science degree in Geographic Information Systems (GIS). The degree is a 4+1 format, where the additional year of graduate work links to an existing BA in Geography with an emphasis in GIS. The proposed degree builds on the outstanding reputation of the department in this field and is unanimously supported by the faculty. The proposal addresses a growing need in the workforce for advanced training in GIS – including employers who specify a desire for a Master’s degree in GIS – that is not currently served within the UC system.

While finding the proposal well-crafted with important and achievable goals, CPB communicated two minor concerns. The Council endorsed the proposal and fully supported the department’s projected resource needs.

**M.Ed. in School Psychology**

In January, CPB reviewed the proposal to reinstate the M.Ed. in School Psychology. The M.Ed. program was suspended in 2013 to allow the Department of Counseling, Clinical, & School Psychology (CCSP) to streamline course requirements and to ensure more robust funding for its doctoral students. With those tasks completed, the department plans to rebuild (and expand) its terminal M.Ed. program to meet the growing need for practicing school psychologists at local, state, and national levels. The Council found the proposal well-articulated and compelling in its vision and goals.

In March, the Graduate Council Graduate Council (GC) considered feedback on the proposal by a number of reviewing agencies and determined that there were a few areas of concern that needed to be further addressed. GC was generally supportive of the initiative but offered an opportunity for further refinement of the proposal before moving forward.
In May, CPB reviewed the additional materials regarding the proposal to reinstate the M.Ed. in School Psychology. While CPB previously found the proposal well-articulated and compelling in its vision and goals, we appreciate the additional information. CPB was satisfied by the initiator’s response to the Graduate Council memo, and supported the proposal.

Bren Professional Degree Supplemental Tuition (PDST)

In October, CPB reviewed a request to add a Professional Degree Supplemental Tuition (PDST) fee to Bren’s Master of Environmental Science & Management (MESM) degree. The members of CPB were concerned about the impact on diversity and inclusion of the proposed additional $10,000 annual tuition fee increase, though we understood the School’s need for it. Dean Gaines’s visit helped diminish our concerns, and we would like to emphasize the importance of the following components:

- A large portion of the professional fee is dedicated to providing tuition relief for students from disadvantaged backgrounds and/or in underrepresented groups. CPB feels that this investment is very important to preserving access to the program as its costs to students increase. It is pleased with the revised targets for underrepresented students in the program.
- The majority of the additional funds are to be used to hire job placement personnel of various kinds. As Bren graduate incomes are modest, at least at first, the fee supplement places additional responsibility on the School to pursue full employment for its graduates.
- The allocated funds do not total to the revenue raised. CPB suggests that more clarity be provided as to the disposition of the unallocated amount.

CPB appreciated the Bren School’s pursuit of the highest quality program and its deep concern for student employability, but also suggested that more reviewing agencies should weigh the long-term implications of this epochal shift in the financing of the Bren School’s flagship program. We also commended Dean Gaines for the high quality of the School’s data collection and internal analysis, and the candor and completeness of the presentation. The fee increase has since been approved.

Graduate Student COLA Strike

CPB expressed concern about the genuine “rent burden” experienced by a large proportion of UCSB’s graduate students. We noted the impact of graduate student frustration and lowered morale on UCSB’s instruction and research programs. Before the strike issue was overwhelmed by COVID-19, we identified two financial issues:

- A doctoral wage survey indicated that grad stipends vary by as much as 50% across UCSB departments. These data are not definitive, but such inequality could aggravate grievances unnecessarily.
- The campus cost of alleviating rent burden is likely much lower than UAW union figures suggest. The chair calculated that the additional “rent-COLA” supplement is $524 per month in Santa Barbara. Even if all off-campus doctoral students (55% of 2977 grads)
were rent burdened, the cost would be $1627 \times $524 = $852,548 per month, or $8.5M over 10 months, and $10.2M over 12 months.

Council recognized that this is serious money for the campus ($10.2 M is about $2 million less than all mandatory cost increases for the campus in 2020-21). Council made no recommendation here, but did note that graduate student living costs is an issue that is likely to resurface when COVID-19 is under control.

VI. Systemwide Reviews

The Council on Planning & Budget participated in the following systemwide reviews during the 2019-20 term:

**APM 240 and 246**

In January, CPB reviewed the proposed revisions to Sections 240 and 246 of the Academic Personnel Manual (APM) which would make changes regarding the salaries and reporting of compensated and uncompensated activities of Deans and Faculty Administrators as well as technical changes to improve language and correct errors. The Council discussed these revisions and had no objections to the changes.

**Seismic Safety Policy**

In June, CPB reviewed the proposed revisions to the UC Seismic Safety Policy which moves Policy implementation procedures to the UC Facilities Manual, updates the technical seismic engineering standards to reflect current California Building Code, and reorganizes sections for clarity. The revision clarifies that all retrofit and abatement projects require a funding plan and schedule, including incorporation into the Capital Financial Plan when applicable. The Council had no objections to the changes.

**UC Washington Center**

In February, CPB reviewed the report and proposal for the future state of the UC Washington Center. The UC Washington Center and the UCDC Academic Program provide the opportunity for undergraduates in the University of California, from all disciplines, to study and intern in Washington, DC. Students enrolled in the UCDC Academic Program are housed in the 276-bed center. The report followed President Napolitano’s wish to explore the possibility of transitioning selected systemwide programs, including UCDC, to individual campuses.

CPB concluded that the program has not been well-managed over the years. We put forth the following recommendations: (1) that UCDC stay at UCOP; (2) that UCDC receive a top-to-bottom administrative restructuring that (3) cuts some administrative staffing and moves other staff to direct student services. Council also recommended, (4), that UCSB explore extricating itself from its UCDC contract in order to place its students directly with Washington-area universities that could offer both courses and an internship. UCDC has a very high expenditure level of
approximately $29,000 per student; UCSB could spend less to purchase high-quality student support services from an outside provider while covering local university fees.

VII. Committees

The Council has three standing committees, per Senate Bylaw III-3-70:
1. Committee on Academic Planning & Resource Allocation (CAPRA)
   Chair: Doug Steigerwald
2. Committee on Development & Community Relations
   Chair: Joao Hespanha
3. Committee on Capital & Space Planning
   Chair: Shelly Gable

Most of the business of these committees was conducted by email; after UCSB’s closure in March, email became the primary medium of deliberation. 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:
   ● Division of Social Sciences and Gevirtz Graduate School of Education
   ● Division of MLPS and Bren School of Environmental Science & Management
   ● Division of HFA and College of Creative Studies
   ● College of Engineering

The area subcommittees were primarily 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 before review by the full Council. Finally, the subcommittees took the lead in reviewing Deans’ and departmental FTE plans and developing the respective parts of the overall FTE recommendations for 2020-21, 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 consulted with the Risk Assessment/Audit Committee. The CPB Chair, along with the Chair of the Committee on Development & Community Relations, served as Trustee of the UCSB Foundation.
IX. CPB Relationship with University Committee on Planning & Budget (UCPB)

The 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 2019-20 term, including: the Executive Vice Chancellor; Assistant Chancellor for Budget & Planning; Director of Capital 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 (bi-weekly) 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 was 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.

This year’s main domains of interaction are listed below.

**Academic Personnel and EVC’s Office for FTE Accounting**

CPB improved its picture of hiring patterns across multiple years. AP appears to have a hard time identifying in which year a particular search was authorized. But we are making progress towards an understanding of the timing of authorizations, the number of FTE already authorized by Divisions in the current year, and FTE resources past and present on a departmental level.

**Comprehensive Budget Data and Communication**

As noted in the section “FTE Planning,” Council does not have adequate budgetary information to place FTE planning in the appropriate resource context. To this end, the Chair used UCOP’s Financial Schedules to create a preliminary picture of UCSB’s overall budget and to identify data gaps. These data were presented in the form of Sankey charts. The Chair and Vice Chair held several meetings with Associate Chancellor for Budget & Planning Chuck Haines and several of his colleagues to try to understand cash flows on campus, to put academic resources in a broader campus resource context. After three meetings, we had made some progress, but B&P was unable to provide data integrated across control points: we were told that monies that leave B&P and enter Academic Affairs are not tracked at the unit level that would allow Council to link FTE requests to available resources. COVID-19 interrupted these budget sessions, and they should be continued in the coming year.
This effort to get a full picture of the campus budget was motivated in part by testimony we heard from a number of key senior administrators about their lack of essential budgetary information. Meetings with the EVC, multiple deans, and administrators in other divisions all revealed serious, chronic gaps in basic budget data. Several officials described the budgeting process as “irrational.” We heard accounts of budget information being withheld from academic officers, with the Office of Budget and Planning being most often named. A situation in which one floor of Cheadle doesn’t tell the other what it is doing impressed us as a kind of managerial dysfunction that no campus can afford. It can be fixed, and should be at a time when COVID-19 threatens the campus’s fiscal stability.

One simple improvement would be for the Deans to share their plans and budgets directly with each other. As it is, the EVC and CPB see all of the Deans’ plans, but the Deans see only their own. Overall planning could be improved by Deans pooling all of their plans and related information with one another, and collaborating on the basis of shared data.

Chancellor’s Coordinating Committee for Budgetary Strategy (Chair only)

The problem of limited and incomplete budget data also affected CCBS, putatively the campus’s top-level budget policy group. This committee began to meet every two weeks or so in late spring and summer. Several of the meetings provided better budgetary information that CPB was able to obtain on its own: this information covered COVID-19 revenue loss projections for the campus, distinguished between the situation in “core” vs. “non-core” sectors of campus, itemized some puzzling aggregate categories, and offered useful airing of varying perspectives. Perhaps most usefully from the Chair’s point of view, members headed off an exercise of ranking the value of 19 separate units on campus as a first step to allocating different percentage cuts on the basis of the total scoring (Student Affairs might rank 4, and Facilities Management 6, and Deferred Maintenance 12, so DM would be cut 12% and Student Affairs only 3%?). Members objected to a process that would artificially label something like DM as “less important” when a campus needs both Student Affairs and deferred maintenance, and likely increase internal competition and decrease cooperation at a time when the latter was particularly needed.

Concern was increased by the fact that, at least in Academic Affairs, the cuts following the 2007-10 financial crisis, coupled with inadequate revenue growth thereafter, left all Divisions with very little to cut for 2020-21. Concern was sustained by the absence of shared budget information that would allow joint deliberation on the best ways to get through the next couple of years. The summer meetings did not complete the budget picture or identify budget options. For example, CCBS had not discussed the Chancellor’s decision of August 28th to convert fall quarter to all-online instruction or analyze its fiscal implications.

CCBS would be more effective with the following changes: the co-chairs, the EVC and the Divisional Senate Chair, should issue an agenda in advance of the meeting, along with systematic budget data and supporting materials so that members can study these materials in advance. A shared “Box” archive could be set up for members to consult materials in between meetings. B&P should answer questions about budgetary detail promptly and respectfully, and the answers should be aggregated so that members can continuously improve their understanding of the overall budget situation. The Committee co-chairs should formulate budgetary options for
discussion as the meetings continue, and preferences for some options over others should be deliberated and formalized by a predetermined deadline.

Universities are systems of distributed intelligence, and CCBS can increase this intelligence among its members with a more organized approach to budget data and meeting materials.

**Capital Planning and Facilities**

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.

CPC had no significant projects to discuss this year. We reviewed a donor-funded upgrade of the campus tennis facility and a Student Affairs bicycle shop, which apparently has been in the works for many years. At the same time, the campus student population has surged—UCSB has arrived at its 25,000 enrollment cap 5 years ahead of schedule. Classrooms, offices, and laboratory space are in chronic short supply. In the Chair’s view, CPC should take a much more active role in generating essential new facilities and discussing—and identifying—funding sources for them.

CPB also looked into the two additional issues of renovation and of maintenance of existing facilities. Departments whose research depends on laboratory space are generally unhappy with the lab renovation process. While most campus departments face space shortages of various kinds, including faculty offices, all campus departments face deteriorated and dilapidated physical conditions, many of which have persisted for years. No one on Council disagreed with the statement that the condition of UCSB facilities is a burden on its academic ambitions.

To improve Council’s understanding of the situation, CPB set up several meetings with representatives of the Division of Administrative Services. In the first, CPB was joined by four members of the Design, Facilities, & Safety Services (DFSS) team:

1. Julie Hendricks, Director of Design & Construction Services
2. Kerry Bierman, CFO of Business & Financial Planning
3. David McHale, Interim Director of Environmental Health & Safety
4. Chris Kelsey, Interim Director of Facilities Management

The group gave an overview of their work and discussed their major projects. They noted that the campus has about $600 million in deferred maintenance items and continues to fall farther behind. The Chair observed that the $3.5 million allocated in the previous year to the DM backlog would, if doubled, require 100 years to complete. One result is that FM has had to give up on some major repairs, such as restoring central heating in the six-story South Hall office building. A list of urgent items that are expected to fail in the next 1-5 years adds up to about $200 million.

CPB members asked questions about the related issue of lab renovations for new faculty. FM representatives noted that those are sometimes delayed by the need to conduct underlying repairs to the building where the upgraded lab will be located (HVAC system upgrades were mentioned as a common example). The discussion included problems caused by the recharge
system, in which Deans need to pay DFSS for renovation advice, which makes Deans and departments minimize communication with DFSS (which costs money), which means a common lack of coordination between recruitment promises and renovation planning. Senate-Facilities communication improved notably during our series of meetings, suggesting that blockages between DFSS, deans offices, and departments can be resolved. Budgeting remains an issue, affected by both the recharge practices noted above and recharge rates, (too high for departments, too low for real FM solvency), along with the role of Indirect Cost Recovery (ICR).

In April, a follow-up meeting was held via Zoom between CPB leadership (Chair, Vice Chair, and Chair of Committee on Capital & Space Planning) and DFSS representatives (Julie Hendricks, Chris Kelsey -- Associate Director of Operations & Maintenance, and David McHale). The Chair met again with DFSS in May. These meetings were opportunities for DFSS staff to meet with campus stakeholders to discuss ways to improve processes and outcomes; this consultation with Academic Senate representatives was to specifically connect with faculty. Much of the April meeting was spent giving updates to CPB about COVID-19 response, and they also shared updates on capital projects, a planned power outage in September, and deferred maintenance. CPB asked about the following:

- Investigating a more rational budget structure for start-ups and deferred maintenance.
- Increased reliance on core campus funds and less on interdepartmental recharges.
- Increased communication with Vice Chancellor of Administrative Services Garry MacPherson and Associate Vice Chancellor Rene Bahl.

In sum, UCSB recharge practice has imposed a cost on collaboration and communication in design and renovation (in addition to its inhibiting effect on routine maintenance). It quite literally costs deans and departments money to coordinate offers with facilities expertise.

We recommend that the campus explore one of two remedies: (1) paying for design and renovation planning centrally, so divisions can plan early and often for hiring needs; (2) giving each dean a “design planning budget” for each hire likely to require renovation (say $10,000), so that DFSS can start early on a systematic design process. Council prefers solution 1, as the recharge system separates units and impairs communications, a point which returns below.

**XI. Carry-Over Issues**

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

- UC Budget crisis
- UCSB Budget transparency, communication, and deliberation
- Accounting of FTEs and Deans’ discretionary budgets
- Campus-wide Capital Planning priorities
- Campus facilities and deferred maintenance

**Council Membership:**

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<thead>
<tr>
<th>Christopher Newfield</th>
<th>Chair / UCPB rep</th>
<th>English</th>
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<tbody>
<tr>
<td>Douglas Steigerwald</td>
<td>Vice Chair</td>
<td>Economics</td>
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<td>Jean Carlson</td>
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<td>Physics</td>
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Page 14 of 18
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 is eager to include representatives from these bodies in the future.

**Final comments from the Chair.**

UCSB has always had high academic aspirations, ones which have generally exceeded its material resources. As one campus in the UC system, it is also unable to control the policy environment that determines its revenues and expenses. This environment has been shaped by three rounds of state cuts since 1990, and a fourth bout of revenue declines likely in 2020-22; and on the expenditure side, by an underfunded “surge” of resident undergraduates in the 2010s).

However, the campus does control administrative practice, including standards of communication and interaction. This year, Council and its Chair (in other meetings) witnessed a pervasive difficulty, in virtually all administrative units we spoke with, to plan openly, to freely and systematically share financial and other information, and to engage in data-driven, collaborative problem solving across unit boundaries. UCSB’s systemic problems cannot be addressed by any unit operating in isolation. And yet information isolation has become a pervasive feature of UCSB’s administrative culture. It can lead to a kind of administrative Stockholm Syndrome, in which campus leadership, and the Senate, resigns itself to lowered quality, reduced outputs, and the permanent “kludging” of problems that remain unresolved for years or decades. Examples we encountered this year include chronically unmaintained facilities, understaffing of instructional programs so severe as to damage their reputations with their own majors, and the ad hoc filling of revenue shortfalls in divisional temporary sub-0 budgets, the latter being one example of opaque budgeting that impairs academic planning. Most of these problems cannot be fixed overnight, but they can be addressed in a sustained way through open
collaboration among the many affected units and their complementary experts. This culture of information isolation can and should be changed.

I would also like to commend UCSB’s administration, faculty, and staff for decades of tireless effort to fulfill their ambitions with fewer resources than their ambitions and capabilities deserve. These individual efforts, under the circumstances, have been impressive. This has been especially true during COVID-19 Spring and Summer, where nearly everyone stayed in continuous crisis mode without a break. The same goes for the members of CPB, who brought unflagging energy, intelligence, and insight to the work we did this year. Working with them has been a pleasure, and has helped keep me optimistic about UCSB’s future.
APPENDIX A
Protocol for CPB Review of Search Waivers
August 2020

UCSB has an elaborate process for planning academic hiring. It starts with departmental discussions that lead to requests for permanent faculty lines, which are reviewed by deans, who make recommendations to the EVC, who makes the final decision. As part of this process, CPB reviews the departmental and decanal priorities and makes recommendations of its own. For CPB, the process of analyzing and making recommendations for regular FTE allocations takes four to six weeks of analysis.

Each year, departments and deans also make a number of requests for hires in addition to their existing allocations and outside of this planning process. Some of these are requests to make second offers in a concluded search, and thus emerge directly from an approved academic plan; others are requests for search waivers that form at least partial exceptions to the existing departmental or divisional plan. Waiver requests are often numerous; in 2019-20, they added 19 potential hires on top of 28 new allocations.

While acknowledging the special circumstances involved in requests for additional hires and waivers, CPB would like to ensure that departments and deans explicitly link such cases to their existing academic planning process, and that the integrity of academic planning be sustained. We have thus articulated planning questions that clarify and elaborate the Red Binder’s requirement for such exceptions, namely, that there be “discussion of three major issues: 1) the candidate’s qualifications; 2) the candidate’s programmatic fit within the departmental academic plans; and 3) the source of the FTE and the impact of the appointment on the departmental FTE plan” (VII-1-III-B). CPB’s purview consists of the 2nd and 3rd of these questions. To address them, we plan to ask a series of questions of future requests for exceptions to authorized searches.

1. Does the department enthusiastically support the proposed hire as a waiver? Is there evidence from the vote and from the chair’s comments about the candidate’s scholarship? (If the answers are “no,” consideration of the request stops here.)

2. What is the key argument as to why the department should be allowed to go outside of the standard resource allocation process? The Red Binder allows the categories of exceptional scholar, President’s Postdoctoral Fellowship Recipient, and partner hire (VII-1-III-B)

3. Does the department identify an FTE source for the appointment that is either a currently authorized search or a pre-authorized position for a future search year?

4. "Does the dean endorse the use of the authorized FTE, or if the department does not have an authorized search, does the dean commit an FTE to the position requested by the department? (If the answers to both (3) and (4) are "no," consideration of the request stops at this point.)

5. Does the requested faculty position
   A. add to an established, acknowledged departmental strength in a national or international context?
   B. address an important diversity objective?
   C. fill a curricular or research gap at a high level of quality?
   D. start a new, important, promising, and/or original area where the department has a real shot at near-future distinction?

6. If at least one of the subquestions in (5) cannot be answered strongly in the affirmative, will the position created by the newly-authorized search be part of a multi-departmental initiative, one that has
● received formal support from a dean or deans?
● already been under development and has some documented interdepartmental plan?
● a real chance at future distinction, both because of the exceptional personnel involved and the research agenda?
● Commitment of campus financial resources over a period of years to put this initiative on the map? (CPB is most likely to approve exceptions justified by (6) if the answer to all four questions be “yes.”)

CPB requests that this protocol for reviewing exceptions to authorized searches be conveyed to deans and departments. Council also believes that these questions could usefully inform regular departmental planning processes.