College of Letters and Science
Chairs and Business Officers Briefing

February 11, 2019

David Marshall
Executive Vice Chancellor
UC Budget Negotiations

- Governor Newsom’s January 10, 2019 Budget proposed $144.1B in State General Fund expenditures.

- Assumes that the economy will continue to grow by 3.2% annually for the next three years.

- $1.8B into the State’s “rainy day” reserves, bringing reserves to $15.3 billion.

- UC budget includes a total of $3.868B in State General Fund support for the University.

- $240 million increase in ongoing funding; 6.9% increase over the 2018-19 level, bringing total ongoing funding to $3.715B.

- $153 million in one-time funding, contingent on no tuition increase in 2019-20.
UC Budget Negotiations

- **$240 million increase in permanent funding** for following elements of the UC 2019-20 Budget Plan:
  - $119.8 million for mandatory cost increases:
    - $20.2 million for retirement contributions;
    - $21.2 million for employee health benefits;
    - $7 million for retiree health benefits,
    - $30.4 million for contractually committed compensation;
    - $41 million for non-salary price increases.
  - $49.9 million for degree attainment and student success.
  - $5.3 million for student mental health care.
  - $15 million for financial aid directed at student basic needs.
  - $10 million to support 1,000 new students enrolled in Fall 2018 (previously provided as one-time funds in 2018).
  - $40 million to permanently restore a prior cut in State General Funds for Graduate Medical Education.
UC Budget Negotiations

- **$153 million in one-time funding** consists of:
  - $138 million for deferred maintenance, more than the $100 million requested in UC 2019-20 budget plan.
  - $15 million for degree completion efforts through UC Extension. (Part of Governor’s plan to address the State’s workforce preparedness gap).

- Other one-time Funds of interest to UC:
  - $10 million for innovation awards to address poverty in the Inland Empire and San Joaquin Valley.
  - $10 million for climate change research through the Strategic Growth Council.

- Other Higher Education interests:
  - $562 million for CSU, of which $300 million is ongoing.
  - Fully funds Prop 98 for K-12 and Community Colleges.
  - New longitudinal data collection system to track students from pre-K to post-university workforce success.
  - $9.6 million ongoing for CSAC for 4,250 new competitive Cal Grant awards.
  - $121.6 million to enhance Cal Grant access awards for UC, CSU and CCC students who are parents of dependent children. (About 750 students at UC will be eligible for up to $6,000 per year of additional aid.)
  - $5 million for student loan awareness campaign.
Comparison of 2019-20 UC Budget Plan Approved by the Regents
and the Governor’s January Budget Proposal -- Ongoing Funds Only

<table>
<thead>
<tr>
<th>Maintain State Support / Avoid Cuts from 18-19</th>
<th>State Funds in January Budget Proposal</th>
<th>Other Sources in UC Budget Plan</th>
<th>Surplus (Shortfall)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undo Prop 54 swap</td>
<td>40.0</td>
<td>40.0</td>
<td></td>
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<tr>
<td>Funds provided for general needs</td>
<td>105.0</td>
<td>10.0</td>
<td></td>
</tr>
<tr>
<td>Total: Maintain State Support / Avoid Cuts</td>
<td>145.0</td>
<td>50.0</td>
<td>(95.0)</td>
</tr>
</tbody>
</table>

| Other Elements in January Budget            | 119.8                                 | 119.8                           |                   |
| Selected cost increases (UCRP, contracts, etc.) | 5.3                                   | 5.3                             |                   |
| Student mental health                       | 15.0                                  | 15.0                            |                   |
| Financial aid / basic needs                 | 90.0                                  | 49.9                            |                   |
| Degree attainment/student success           | 200.1                                 | 190.6                           | (10.1)            |

<table>
<thead>
<tr>
<th>Other Components of UC Budget Plan</th>
<th>Revenue from Enr Growth</th>
<th>Alternative Revenues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Costs associated with enrolment growth</td>
<td>70.2</td>
<td>Tuition and Fees 54.1</td>
</tr>
<tr>
<td>CA resident &amp; grad enr growth in 19-20</td>
<td>16.0</td>
<td>NRST 23.2</td>
</tr>
<tr>
<td>NR undergrad enr growth in 19-20</td>
<td>19.3</td>
<td>Asset management 30.0</td>
</tr>
<tr>
<td>financial aid for new students</td>
<td></td>
<td>Philanthropy 10.0</td>
</tr>
<tr>
<td>A8 94 capital program</td>
<td>15.0</td>
<td>Procurement savings 10.0</td>
</tr>
<tr>
<td>Faculty compensation (nonrep)</td>
<td>94.4</td>
<td>Redirect from NR aid 14.0</td>
</tr>
<tr>
<td>Staff compensation (nonrep)</td>
<td>42.6</td>
<td>NRST Increase 28.9</td>
</tr>
<tr>
<td>Total: Other Components of UC Budget Plan</td>
<td>257.6</td>
<td>180.2</td>
</tr>
</tbody>
</table>

Grand Total -- Ongoing Funds 602.8 240.0 180.2 (182.6)

Revised 1/21/2019. Figures may not sum to totals due to rounding.
UC Budget Negotiations

Statement from UC Board of Regents Chair Kieffer and UC President Napolitano;

• The University of California appreciates the substantial investment in higher education within Gov. Newsom’s budget, which proposes a funding increase of $240 million in ongoing funds to our core educational budget along with one-time funding of $153 million for other pressing needs. We are pleased the governor has affirmed his commitment to not only the university, but also the students and families across California who rely on adequate state investment in the outstanding education at UC.

• **Gov. Newsom’s budget represents a welcome step and a solid down payment in addressing priorities of the university’s 2019-20 budget plan.** These funds help further the academic mission of the university, from student success to classroom upgrades, financial aid to timely graduations. The governor has also proposed ongoing funding for UC’s important efforts in gun violence research and the provision of legal services for undocumented students, in addition to enhanced Cal Grant awards for students who are parents.

• The university looks forward to working with the governor and the Legislature to address our priorities, including the ambitious goal of increasing the number of degrees awarded – 200,000 by 2030 – and to maintain the world-class academic and research quality for which the university is known.
UC Multi-year Framework Goals

• Produce 200,000 more degrees by 2030 beyond the one million undergraduate and graduate degrees projected.
• Ensure the California dream is accessible to everyone with 90 percent overall undergraduate graduation rates by 2030.
• Close graduation gaps for students from low-income families, students from underrepresented groups, and first-generation college students.
• Invest in the next generation of faculty and research.
## Freshman and Transfer Graduation Rate Goals

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<thead>
<tr>
<th></th>
<th>Freshman</th>
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<th>Transfer</th>
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<tbody>
<tr>
<td></td>
<td>Four Year Rates</td>
<td>Six Year Rates</td>
<td>Two Year Rates</td>
<td>Four Year Rates</td>
</tr>
<tr>
<td></td>
<td>2016</td>
<td>2030 Gain</td>
<td>2016</td>
<td>2030 Gain</td>
</tr>
<tr>
<td>Santa Barbara</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>All Entrants</td>
<td>68%</td>
<td>80%</td>
<td>12%</td>
<td>82%</td>
</tr>
<tr>
<td>Pell</td>
<td>62%</td>
<td>76%</td>
<td>14%</td>
<td>81%</td>
</tr>
<tr>
<td>Underrepresented</td>
<td>59%</td>
<td>76%</td>
<td>17%</td>
<td>77%</td>
</tr>
<tr>
<td>First Generation</td>
<td>63%</td>
<td>75%</td>
<td>12%</td>
<td>80%</td>
</tr>
</tbody>
</table>
UC Multi-year Framework Goals

• Enrollment growth. In order to provide a high-quality education to incoming students without diluting the resources available to educate the University’s existing student body, the estimated cost of enrolling each additional student—referred to as the marginal cost of instruction—needs to be fully covered with new resources.

• Tuition and fees paid by each additional student cover only a portion of this cost; the remainder represents the State’s share of the marginal cost. Funding from the State to fully cover its share of the marginal cost is critical to ensuring that enrollment growth does not draw resources away from current UC students, which would erode the quality of their instruction and the student services that they rely upon.
UC Multi-year Framework Goals

• *Capital needs.* UC has substantial needs related to capital investment, both to address its sizeable backlog of deferred maintenance and seismic projects and to upgrade and expand space for classrooms, teaching laboratories, faculty offices, and other needs.

• Without new funding from a general obligation bond or State lease-revenue bonds, the University must set aside an ever-increasing portion of its operating budget to address these needs itself.
UC Multi-year Framework Goals

• *Faculty, staff, and retiree-related costs.* Costs related to faculty, staff, and retirees comprise more than half of the University’s total operating budget from core funds, just as they do at other research universities.

• Any multi-year framework needs to incorporate reasonable estimates for projected costs associated with both represented and non-represented University employees, along with the resources needed to fulfill its commitments to current and future UC retirees.
UC Multi-year Framework Challenges

- Structural deficit related to past unfunded or under-funded enrollment growth.
- Undergraduate enrollment growth and faculty growth require increase in graduate student enrollment.
- Need for substantial funding for start-up packages, lab renovations, and new facilities for research and basic academic support.
- Adequate housing for faculty, staff, and students.
- Some goals may make other goals more difficult.
UC Multi-year Framework Challenges

UCSB goals and needs

• Estimated $621M in deferred maintenance needs.
• New Physics Building, Engineering Building, and Music Building seismic retrofit and renewal project awaiting state funds.
• Chancellor’s Coordinating Committee on Budget Strategy reviewing options for Phase 3 of Chancellor’s Staff Expansion Program.
• Campus still struggling with unplanned and underfunded enrollment growth.
Enrollment Management and Planning

Challenges

• Rapid, unplanned, underfunded enrollment growth.
• Changing national and international demographics.
• Transfer mandate.
• Disappearance of “undeclared” freshmen.
• Course catalogue does not help students navigate academic landscape.
• L&S has 93% of undergraduate enrollment and no major caps.
• Pre-majors, GPA requirements, and grading on curve to manage enrollment pressures.
• Concerns expressed in recent program reviews about diversity, faculty and staff workload, educational quality, time to degree in impacted majors.
Enrollment Management and Planning

Some Responses

- Increased allocations of Temporary Sub 0 instructional funds.
- Increased faculty hiring.
- Deployment of more LPSOE appointments.
- More than $22 million invested in student success and support initiatives (Federal, State, and Foundation grants and philanthropy), especially in STEM areas.
- Classroom renovations and new classroom building in progress.
- More undergraduate advisors and student services staff.
- Expansion of Summer Sessions.
- Review of curriculum and pedagogical models.
- Discussions with Admissions, Career Counseling, Student Affairs.
Enrollment Management and Planning

- Ongoing discussions with Undergraduate Education, CAERS, Admissions.
- Research on policies and practices on other campuses.
- Chancellor consulting on formation of new task force to consider options, strategies, and issues.
- Need to understand goals and unintended consequences.
- Need to understand context of LRDP.
- Need to develop campus-wide solutions and strategies.
Enrollment Management and Planning

- Ambitious faculty recruitment and renewal plan has substantially increased number of faculty recruitments and new faculty hires.
- 260 new faculty hires have (or will have) been made between 2014 and 2019.
- After separations: increase of 96 FTE; 52 FTE since 2009.
- Shortfall from LRDP projections of faculty hiring.
- Between 60 and 70 recruitments scheduled for 2018-2019.
- Major investments in hiring new faculty in impacted departments in response to both separations and enrollment growth.
- Almost one third (29%) of the new appointments were in MLPS.
- MLPS, Engineering, and Economics appointments combined add up to 53% of the new appointments: most expensive areas in which to hire professorial faculty.
- Significant hiring in every Division, College, School to maintain stature, replace retirements and separations, and respond to enrollment pressures.
Summer

Almost 10% growth in M18 over M17.

Goals
- 5% increase in M19 over M18.
- 2125 student FTE.
- 10,000 students headcount.
- 650 students in the Freshman Summer Start Program.
- 15% of the incoming transfer cohort.

New Incentives
- Increased Financial Aid.
- $1700 UCSB Summer Grant for all aid eligible students who enroll in a minimum of 6 units.
- Summer Pell Grants are available, and eligible students can receive anywhere from $300 - $1900 in aid.
- Housing Incentive: If a student is aid-eligible, California resident, and completes 12 units in summer, student will receive half off of rent in a student university apartment. Available to all students, including incoming transfers.

- Course clusters, special courses, and associated scholarships.
- Plan for new departmental revenue-sharing incentives.

- First pass time for Summer enrollment is April 8th.
Certificate programs

New campus programs:

• Web Development.
• Professional Journalism (with Writing Program).
• Brooks @ UCSB (ART and HFA).
• Pharmacy Technician.

Available later this year:

• EMT Training course.
• Medical Humanities Initiative (partnership between HFA, PaCE, and Cottage Hospital).
• Intro to Python Programming.

New Management & Corporate Training programs:

• New Manager Boot camp (taught by TMP faculty Paul Leonardi and Kyle Lewis)
• Strategic Leadership and Management (taught by emeritus Prof. Dave Seibold)
• OSHA Training (in partnership with UC San Diego)

• UC Degree Completion Initiative
New Disabled Student Program Testing Support

• Recruitment underway for new staff position to coordinate with departments and help with scheduling.

• Working with DSP, Registrar, SIS&T, and Undergraduate Education on scheduling platforms and protocols.

• Space identified for DSP testing center.

• Goals: to better accommodate student testing needs; and remove as much staff and faculty time and labor from departments as possible.
International Students

- Concerns expressed about student preparation, language skills, knowledge of academic standards and policies, despite credentials and student success.
- National attention to issues and controversies across country.
- Review of Admissions screening.
- Review of Orientation and Advising.
- Committee on International Education Student Survey.
- Need to understand demographics, needs, and experiences of students in our classrooms in ongoing effort to adapt pedagogy and curriculum.
- Need to clarify expectations, standards, and policies for all students.
UC Advancing Faculty Diversity

- Visit of UC Vice Provost Susan Carlson to consult about new $5M committed to UC Advancing Faculty Diversity program, President’s Postdoctoral Fellowship Program, and new effort focused on faculty retention and academic climate.

- $500,000 award to Department of Economics in 2017-18 for comprehensive and strategic faculty recruitment initiative.

- Diversity in applicant pools greatly increased; new hires include one woman, one Hispanic, one African American, plus affiliated appointments of one African American (Black Studies) and two women (Bren School).

- $75,000 for 2018-2019 Faculty Retention and Academic Climate initiative in College of Engineering and Department of Physics to improve climate and retention of women and URM faculty members, and those with other diverse identities.
Faculty Equity Advisor

• Faculty member appointed by Dean, comparable to Associate Dean appointment.
• Work with Dean to advise and support departmental efforts to enhance equity, diversity, and inclusion in such areas as faculty recruitment, faculty advancement and retention, and community building.
• Work with departments to help them develop their vision, goals, and strategic plans for equity, diversity, and inclusion.
• Faculty Equity Advisors will be provided training in relevant federal and state laws and university policies, as well as best practices in hiring, and participate in UC workshops, meetings, and initiatives, such as Advancing Faculty Diversity.
• Serve as a liaison between the Dean’s office and the Associate Vice Chancellor for Diversity, Equity, and Inclusion, who will convene Advisors, help to coordinate common goals and programs, and work with Academic Personnel and the Office of Equal Opportunity and Discrimination Prevention to coordinate trainings, workshops, and other programs.
• Thanks to Associate Vice Chancellor Herrera-Sobek for her advocacy, leadership, and ongoing efforts to design and implement program.
Comments on Department of Education’s Notice of Proposed Rulemaking on Title IX (1/24/19)

AAU Comment letter identifies concerns and asks the Department to:

• Remove requirements that institutions permit cross-examination and appoint aligned advisors.

• Remove the requirement that universities apply the same standard of evidence and process across all disciplinary processes.

• Clarify whether Department intends to preempt other relevant laws and whether and under what circumstances an institution may forbid and investigate behavior that falls outside Department’s definition of “sexual harassment.”
UC Response to Proposed Title IX Regulations (11/29/18)

• Rules would require institutions of higher education to resolve formal complaints through live hearings conducted according to the Department’s directives. This would deprive schools the freedom to structure their processes to their individual needs, resources, and communities, and compel them to abandon the alternative models they have deliberately and carefully developed over the course of years.

• At the required hearings, parties would be allowed to cross-examine each other and witnesses through their advisors.

• Rules do not safeguard against abuse of this process, or adequately contemplate its effective implementation. UC and others have designed alternatives to direct cross-examination that are effective and help mitigate harm to the parties.

• Department would prohibit those approaches in favor of its own.
UC Response to proposed Title IX regulations
(11/29/18)

- Schools would have no obligation to respond to a sexual harassment report unless it cleared certain hurdles: it must be made to a specific school official, and allege sexual harassment occurring in a school program or activity, against a person in the United States.
- Sexual harassment is narrowly defined to exclude single incidents of verbal harassment and some physical harassment, regardless of severity.
- When schools are obligated to respond, they need only do so in a manner not “deliberately indifferent”—an unacceptably low standard.
- Schools would be required to dismiss from their sexual harassment grievance process any formal complaint that did not meet these strict requirements.
Sexual Harassment of Women
Climate, Culture, and Consequences in Academic Sciences, Engineering, and Medicine

Paula A. Johnson, Sheila E. Widnall, and Frazier F. Benya, Editors
Committee on the Impacts of Sexual Harassment in Academia
Committee on Women in Science, Engineering, and Medicine
Policy and Global Affairs

A Consensus Study Report of
The National Academies of
SCIENCES • ENGINEERING • MEDICINE

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Washington, DC
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National Academies Report

• “Sexual harassment is a serious issue for women at all levels in academic science, engineering, and medicine; these fields share characteristics that create conditions that make harassment more likely to occur. Such environments can silence and limit the career opportunities in the short and long terms for both the targets of the sexual harassment and the bystanders—with at least some leaving their field. The consequence of this is a significant and costly loss of talent in science, engineering, and medicine.”

• Graduate Division and Title IX Office planning event and workshops, including visit from report authors.
Ombuds Office

• 200 cases since July.
• 20 workshops and presentations.

• Trending concerns:
  • Group communication.
  • Faculty insensitivity.
  • Student mental health.
  • UC PATH workload and training.

• Contact Ombuds for information about Crucial Conversations or other trainings, team building, or departmental presentations (x3285).

• [www.ombuds.ucsb.edu](http://www.ombuds.ucsb.edu)
UC PATH Update

• Go Live in September 2018.
• UCSB opened 6556 cases with UC PATH Center between October 2018 and January 2019.
• Peak of 2156 cases in October, dropping to 1380 in January.
• Payroll and Workforce Administration constituted half of the cases.

• Challenges: Department, Campus, PATH Center each have responsibilities.
  • Improvements made in PATH Center responses and protocols.
  • Need for ongoing training and support at departmental level.
  • Need for continued monitoring by departments and individuals.
  • Need for proactive communication with students on payroll.
  • New campus coordinator position.
UC PATH Update

• Identity Management issues on 2/7/19.
• 08:15AM Thursday: ETS noticed spike of employee terminations in UCSB identity management system.
• 2306 impacted UCSB Net ID accounts.
• UCSB technicians applied a fix by 08:52AM.
• No employees were terminated or had their benefits impacted.
• Temporary deprivation of authorizations delivered by UCSB NetIDs.
• Further investigations and discussions continue locally and with UC PATH Center.
Office of CIO Updates

• Focus on data, deliberate and thoughtful migration to the cloud, and development of multi-year campus IT strategy.
• 1100 projects.
• 80 new Amazon Web Services trained employees.

Collaboration Tools

• Google Mail and Calendar: 51k+ accounts including students, faculty, and staff.
• More than 1 petabytes of storage used in Google Drive including sheets, docs, presentations, scientific data, and backups.
• Zoom: 38,263 meetings with 156,257 participants from July 2017 to December 2018.
Office of CIO Updates

Wireless

- 3775 Eduroam Enabled Access Points.
- New Aruba Wireless infrastructure allows the freedom to roam across the UC, UCSB, and the world for Eduroam enabled institutions.
- On average more than 19,000 Daily Eduroam enabled wireless devices since September, 2018 with a peak of 27,000 devices.

- Campbell Hall wireless upgrade: ready for Intense Wireless Enabled Classes and Events.
  - Pre-Upgrade: 2064 clients, 300 mbps and 1gbs maximum throughput with 4 access points
  - Post-Upgrade: 4000 clients, 866 mpbs, and 40 gbps maximum throughput with 12 access points

Security

Since December 2017 campus security investments averted:

- 98,000,000 attack attempts.
- 29,000,000 attempts to exploit known major vulnerabilities.
Library

- Interdisciplinary Research Collaboratory: expanded training program to teach research computing skills, support data science curriculum, and enable students to gain data manipulation and coding skills applicable across all disciplines.

- New Digital Library and Information Technology Division: brings together a new Digital Library Development department with the existing IT, Data Curation, and Interdisciplinary Research Collaboratory departments to enhance the Library's capacity to work with faculty and students on the full lifecycle of digital and data-intensive scholarship and learning.

- Exhibits:
  - “La Luta Continua,” in the Ethnic and Gender Studies Collection part of the campus symposium, North Hall Takeover: 50 Years After.
  - “Anguish, Anger, and Activism,” marking 50th anniversary of the Santa Barbara Oil spill and its role in catalyzing the modern environmental movement.
  - “Nuestras Américas” in Special Collections, exploration of expressive cultures in Latina and Latino America; 472 students were given an exhibition-related assignment or an interactive exercise in their classes.
Library

• UC and Elsevier negotiations continue.

• As of February 1, 2019, UC does not have an agreement with Elsevier.
• UC and Elsevier have agreed to continue good-faith discussions. Access is expected to continue, for now.

• We currently have access to most articles published through 2018 on Elsevier’s ScienceDirect platform.

• For more information on alternative access to Elsevier articles:
  https://www.library.ucsb.edu/alternative-access-elsevier-articles
UCSB Reads: *The Best We Could Do*

- An illustrated memoir by Thi Bui, written in the form of a comic book, in the tradition of Art Spiegelman’s *Maus* and Marjane Satrapi’s *Persepolis*.

- Thi Bui chronicles generations of her family history in Vietnam, including her birth during the final months of the Vietnam War and her parents’ escape to, and early years in, the United States.

- Free public lecture in Campbell Hall on April 25, 2019.
Thank you.