



James Steintrager
Telephone: (510) 987-9983
Email: james.steintrager@ucop.edu

Chair of the Assembly of the Academic Senate
Faculty Representative to the Regents
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

January 3, 2024

ACADEMIC SENATE DIVISION CHAIRS
ACADEMIC SENATE EXECUTIVE DIRECTORS

Re: UCPB Best Practices for Divisional CPBs

Dear Colleagues:

The attached report from the University Committee on Planning and Budget (UCPB) offers best practice guidance to Senate divisions for increasing the involvement of their committees on planning and budget (CPBs) or equivalent in budget-related decisions and strategic planning.

The recommendations in the report are designed to empower divisional planning and budget committees to play a more impactful role in shaping budget principles and guiding financial decisions for their respective campuses. By implementing these suggestions, Senate divisions can bolster the effectiveness of their committees, ensuring that they contribute significantly to the financial sustainability and academic excellence of the campus. Doing so will also ensure that campus financial resources are allocated prudently in alignment with academic and research priorities. Moreover, embracing greater transparency and shared governance in budget decision-making will foster trust and help maintain a positive and collaborative campus environment.

I encourage you to share the letter and its recommendations with your committees, campus budget administrators, and other interested faculty for the purpose of discussion and implementation.

Sincerely,

A handwritten signature in blue ink, appearing to read "J. Steintrager".

James Steintrager, Chair
Academic Council

Cc: Executive Vice President and Chief Financial Officer Brostrom
UCPB
Senate Executive Director Lin



UNIVERSITY COMMITTEE ON PLANNING AND BUDGET (UCPB)
Donald Senear, Chair
dfsenear@uci.edu

Assembly of the Academic Senate
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200
Phone: (510) 987-9466
Fax: (510) 763-0309

November 14, 2023

JAMES STEINTRAGER, CHAIR, ACADEMIC COUNCIL

RE: UCPB BEST PRACTICES REPORT

Dear Jim,

UCPB has finalized the attached Best Practices Report. This presents a compilation and analysis of actions taken by divisional Senate planning and budget committees to consult with their campus administrations on budget and planning matters. We ask that you distribute this to divisional chairs, and their Executive Directors, with encouragement to share widely to campus stakeholders.

The origins of the current effort date back to a description of practices on the Davis campus that you might recall my sharing with the Irvine Academic Planning Group (APG) in 2019 while you were the divisional Senate chair. UCPB also relied on answers to the 2018 Survey about Divisional-Level Planning and Budget Committees administered by UCPB under your leadership. It is our hope that this most recent effort will enhance the effectiveness of budget committees and illustrate productive paths toward shared governance on budget and planning matters.

Sincerely,

A handwritten signature in cursive script that reads "Donald Felt Senear".

Donald Senear, Chair
UCPB

Attachment
cc: UCPB

UCPB Report on Divisional-CPB Best Practices

November 13, 2023

Overview:

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

Goals for Best Practices:

1. **Information Sharing and Transparency:** A fundamental principle in CPB best practices is the need for information sharing and transparency in budget-related matters between the administration and CPB, as this allows for meaningful participation by CPB in the budget process and fosters trust between the Senate and the Administration. Council members emphasized the importance of providing comprehensive information about the campus budget to the divisional CPBs, including sharing current budget data, financial projections, reports on past budget trends, and current budget priorities. Access to budget information from individual units as well as long-term strategic plans for the campus optimizes CPB's effectiveness.
2. **Oversight of Operating Budgets and Resource Allocation for Individual Units:** In order to properly review the material presented to them – from recommendations for long-term strategic planning to approval of endowed chairships, CPB members need to know the current strategic goals of each college/school/unit, how budget planning and FTE allocations are handled within the unit, and an overview of their current resource allocations and budget concerns. If the campus or a particular unit is dealing with a current budget crisis, it is important for CPB to understand what mistakes led to this issue, what is being done to address the issue, and whether the underlying problem still persists. In addition, providing information about the college/school/unit goals and

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

3. **Participation in Long-Term Strategic Planning for the Campus:** The timely inclusion of CPB in campus strategic planning provides the opportunity for the campus administration to take advantage of the broad expertise present across the Council membership. CPB can offer suggestions in a confidential setting prior to the rollout of new initiatives to ensure the best chances for success. As an early partner in the development of the strategic plans, CPB can help to ensure better support from the campus community and can share in the responsibility for any failures or crises that arise. The inclusion of the faculty representatives on this Senate Council in strategic planning can also increase the trust of the campus faculty in the new initiatives, as a broader representation of faculty have been involved in the planning, even if initially in a confidential manner.
4. **Regular Consultation between CPB and the Campus Leadership:** UCPB emphasized the need for effective consultation and collaboration between CPB members and the administration leadership. Regular meetings between CPB and campus administrators, such as the Provost, Vice Provosts, Chancellor, Vice Chancellor(s), and/or the Chief Financial Officer (CFO), help keep faculty informed about budget issues and campus plans and, in return, allow for timely feedback of faculty concerns and approval from CPB. This collaborative approach promotes a shared understanding of budget decisions.
5. **Training and Sharing of Institutional Knowledge:** Effective transfer of knowledge within divisional CPBs from year to year is vital for the efficient and fruitful function of the Council. Regular training programs in the fall for both new and returning members to improve their understanding of campus budget processes and principles helps members become more effective in their roles. Sharing best practices among CPB members from different campuses can also improve budget oversight and planning. Including members of the Office of Budget and Finance as *ex officio* members on CPB can greatly facilitate both formal and informal training throughout the year. Two-year terms for CPB Chairs also facilitate the maintenance of institutional knowledge.
6. **Information Dissemination:** While confidentiality in budget matters is often necessary, the dissemination of such information as the strategic plans for the campus, the reasons for the success or failures of particular initiatives, and an overview of the ongoing revenues and expenses for the campus and/or college/schools/units are vital for developing campus-community support and satisfaction. With representatives from much of the campus in its membership, CPB can help to facilitate the distribution of such information to the community. Regular and easily accessible presentations of

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

Problems to Address:

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

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

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

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

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

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

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

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

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

- *Lack of maintained institutional knowledge within CPB*

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

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

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

- *Lack of timely involvement in endowment reviews*

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

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

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

Recommendations for Best Practices:

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

1. Information Sharing and Transparency:

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

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

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

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

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

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

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

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

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

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

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

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

b) Incorporate CPB Review into FTE-allocation decisions.

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

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

3. Participation in Long-Term Strategic Planning for the Campus:

a) Shift the campus culture towards earlier inclusion of CPB in strategic planning with campus leadership.

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

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

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

4. Regular Consultation between CPB and the Campus Leadership:

a) Institute regular, quarterly consultation between CPB and the Provost, Chancellor, and CFO.

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

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

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

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

5. Training and Sharing of Institutional Knowledge:

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

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

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

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

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

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

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

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

6. Information Dissemination:

a) Use new and current campus meetings to broadly disseminate information to the campus community.

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

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

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

Pathway to Best Practices:

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

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

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

Conclusions:

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

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

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

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

Appendix 2: Example Budget Questions for Deans and/or Faculty Executive Committees²

1. Financial Status

- Please provide a description of these aspects of the financial status of your college/school/unit:
 - a) Overall Budget for the upcoming fiscal year
 - b) Overall Salary and benefits costs
 - c) Overall TA costs (if applicable)
 - d) Overall Start-up costs (if applicable)
 - e) Overall Revenue sources (tuition, grants, endowment etc.)
 - f) Cost of instruction per UG student (if applicable and known)

2. Strategic Goals

- a) Please provide a short summary of your college/school/unit's current strategic goals.
- b) Has the strategy changed over the last five years, or is it expected to change in the next two years? Please explain.
- c) Who is primarily responsible for developing your college/school/unit's strategic plan?

3. Fiscal Challenges

- a) What is your greatest fiscal challenge at this time?
- b) How are you addressing this challenge?
- c) Do you feel like the current budget model alleviate or exacerbate this challenge?
- d) Are there other major fiscal challenges you would like to address? Please explain.

4. Revenue & Resources

- a) Please discuss the enrollment trends over the last five years in the following programs:
 - Undergraduate minors and/or majors?
 - Master's programs?
 - Doctoral programs?
 - Self-sustaining graduate and professional development programs (SSGPDPs)?
- b) What are the constraints and opportunities for growth in your college/school/unit for undergraduate enrollment, graduate enrollment, and/or research?

- c) What proportion of your college/school/unit's budget relies on grants procured by faculty? Do you see this proportion significantly increasing or decreasing over the next two to three years? If so, what is driving the change?
- d) What proportion of your college/school/unit's budget relies on endowments and/or donations?
- e) Do you see this proportion significantly increasing or decreasing over the next two to three years? If so, what is driving the change?
- f) Are there plans for any new SSGPSPs or certificate/professional-degree/executive - education programs? If so, what is the expected impact on your college/school/unit's net resources?

5. Resource Allocation & Expenses: Faculty

- a) What are your current hiring plans for your college/school/unit?
- b) How do you balance hiring research faculty and faculty with teaching appointments in your unit given the pressures of increasing undergraduate enrollment and maintaining/growing the research component of the university? What metrics do you use to inform these decisions?
- c) Have faculty hiring and retention been sufficient over the last three years?
- d) Are departments using resources to proactively recruit faculty candidates from underrepresented groups?
- e) Is the current availability and sufficiency of start-up funding adequate? Is this start-up status expected to change over the next three to five years?
- f) Are new faculty hires being appropriately placed in departments or programs with large workloads or significant needs? How is this appropriate deployment tracked?
- g) Are faculty able to fulfill their research mission with the currently available resources?
- h) Are faculty able to fulfill their research and teaching missions with the currently available space?

6. Resource Allocation & Expenses: Academic Programs

- a) How is resource allocation aligned between funding academic programs and central administrative needs within your college/school/unit?
- b) Are there departments/programs with high student-to-faculty ratios or impacted majors for which additional resources are needed to meet strategic goals? If so, how is this issue being addressed?
- c) Are there potential inefficiencies in programming or overhead? If so, how are these inefficiencies being addressed?

- d) What internal mechanisms are in place to ensure that resources are being deployed toward courses that meet the current curricular needs of undergraduate programs?
- e) What internal mechanisms are in place to ensure that resources are being properly allocated to the current needs of doctoral students and programming?
- f) Do undergraduate/graduate-program directors have sufficient resources to ensure that required classes are taught regularly?
- g) How have the current staffing levels impacted your unit? What is your estimate of your remaining deficit in staffing FTEs? If applicable, please address student advising workload in your response.
- h) What is your vision for the future of graduate education in your college/school/unit? How do you plan to achieve this?

7. Fundraising

- a) What was the result of your school/ college/unit's last fundraising campaign?
- b) What are your plans and targets for future fundraising?

8. Role of the Faculty Executive Committee

- a) What is the role, if any, of the FEC in strategic planning in your college/school/unit?
- b) What role, if any, does the FEC play in financial and budgetary decision making in your college/school/unit?
- c) How might these FEC roles be strengthened?
- d) Is the FEC consulted in prioritizing and addressing potential inefficiencies in academic programming or overhead?
- e) How might we bolster the role of the Senate in shared governance with respect to planning and budget?
- f) How might CPB/CAPRA/APB and the FEC better coordinate our efforts in these areas?

9. Miscellaneous

- a) How does the leadership engage with faculty to make budget decisions within your school?
- b) Are there any other unusual events occurring that have implications for your college/school/unit's revenue or expenses?
- c) Do you have any questions or concerns that you would like the Senate to address?
- d) *[Include additional questions here for current issues, e.g., pandemic, strike, etc.]*

Notes:

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

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