

# COMMITTEE ON BUDGET AND INTERDEPARTMENTAL RELATIONS

## ANNUAL REPORT 2022–23

June 2024

The Committee on Budget and Interdepartmental Relations—commonly known as the Budget Committee, or simply the “BC”—is a committee of the Berkeley Division of the University of California Academic Senate. It is made up of nine senior-level faculty members, representing different academic disciplines and scholarly cultures.

The BC functions as a high-level academic-personnel committee for the Berkeley campus, among other functions. It considers a wide range of issues relating to Berkeley faculty, taking into account recommendations on these issues from Chairs and Deans, and making recommendations of its own to the Berkeley Administration. There are five main clusters of issues that fall within the normal purview of the committee: (1) issues concerning the appointment, promotion, and advancement of individual members of the Berkeley faculty; (2) issues concerning the allocation of FTE positions to Berkeley departments and other academic units; (3) participation in the review of units and programs, as well as analysis and comment concerning their creation, elimination, renaming, and reorganization; (4) recommendations concerning search committees for Deans and other high-level administrative positions; and (5) issues concerning general policies and practices, including system-wide policies, that affect Berkeley faculty and the allocation of FTE positions. In addition, there are sometimes extraordinary academic-personnel-related questions which the BC is called upon to address.

The BC meets throughout the calendar year, including the summer, the only exceptions being the two-week winter curtailment. Meetings, which are three hours in length, take place once a week in the fall (July through December) and twice a week in the spring (January through June).

The following report describes the activities of the BC during the period from July 1, 2022, through June 30, 2023. It should be noted that, although reports from the BC typically describe trends over a multi-year period, and note respects in which the BC's circumstances and activities have diverged from those of earlier years, our present ability to do so is limited by the fact that the practice of writing reports has fallen into abeyance in recent years, and the last report available is for the academic year 2017–2018. We have endeavored to draw on data from previous years for comparison purposes to the extent that it is available.

## 1. Personnel Reviews

### *1.1 Overview*

Here is a summary of the cases processed in 2022–23:

Total Cases Received in 2021–22 and Carried Forward to 2022–23	78
--	----

Total Ladder Rank Cases Transferred in 2022–23	819
Total Non–Ladder Rank Cases Transferred in 2022–23	114
Total Cases Transferred in 2022–23	<b>933</b>

Total Cases Received in 2022–2023 and Carried Forward to 2023–24	30
--	----

The total number of cases transferred to the Academic Personnel Office (APO) in 2022–23—that is, processed by the 2022–2023 BC—was substantially higher than the number transferred in 2021–2022 (854), and somewhat higher than the number for 2020–2021 (916). It was also the highest for which we have records, that is, for the last 10 years, during which time the number of cases ranged from 808, in 2014–2015, to 926, in 2017–2018. The increase in cases transferred between 2022–2023 and 2021–2022 is likely due to the unusually high number of cases carried forward from 2021–2022, since the number of cases received by the BC was the same in both years (886).

Previous BC reports document the proportion of electronic and “paper” cases respectively; however, although we still received some so-called “hard copy” cases in 2022–2023, these were in the form of PDFs, and, over the course of the year they gave way increasingly to cases submitted through APBears.

In the 2016–17 and 2017–2018 annual reports, the BC noted the continuing difficulty in recruiting faculty members to serve on Campus Ad Hoc Review Committees (CAHRCs), which at that time were required for all new tenured appointments, promotions to tenure, and promotions to full Professor. Over the course of 2020–2021, the BC and the Administration agreed that CAHRCs should no longer be required for “straightforward” cases, that is, cases in which reviewers at all previous levels agreed on a positive recommendation and where relevant BC members, in their preliminary review of the case materials, did not see anything in the case to raise concerns. This led to a substantial decrease in the number of CAHRCs appointed: 30 in 2020–2021; 4 in 2021–2022, and 5 in 2022–2023. (For comparison, 72 CAHRCs were appointed in 2016–2017 and 111 in 2017–2018). The consensus of the committee has been that this was a positive step, both given administrative demands on faculty time, and given that in most of the cases in which there was a CAHRC, the CAHRC report did not add significantly to the

information and evaluation already available from other sources. We think it important that each case be reviewed with a view to determining whether or not a CAHRC should be appointed, but that it is best to reserve CAHRCs for cases where they can add significant value to the review.

Over the course of 2022–2023, the BC submitted numerous requests to the Vice Provost for the Faculty (VPF) to seek further information from Chairs and/or Deans to supplement information provided with the cases submitted. Both the BC and the VPF felt that Chairs and Deans could benefit from more guidance regarding case preparation and that their work could be made easier by, in some cases (in particular, non-threshold cases), replacing the traditional letters for evaluating candidates with forms including checklists as well as invitations for qualitative assessment. The BC worked with the VPF on the design of these forms. (See section 1.3 below.)

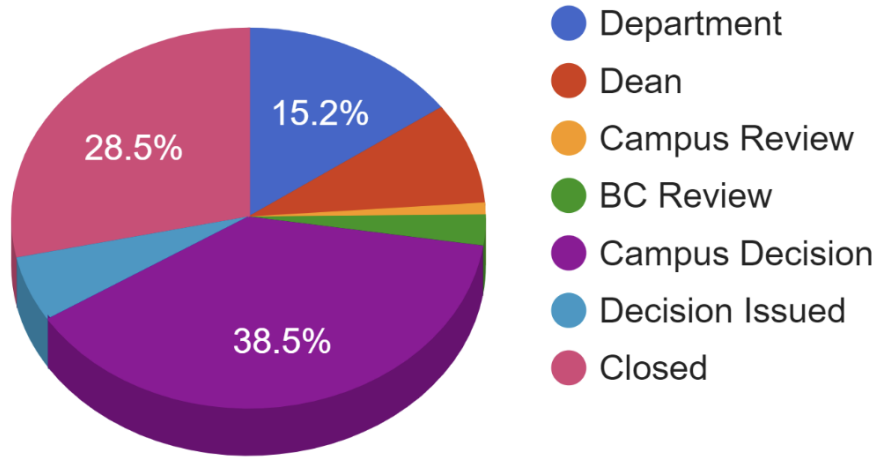
The BC also received numerous requests for reconsideration of cases, most from Chairs and Deans (and occasionally from candidates), but some from the VPF. In 2022–2023 the number of reconsideration requests from all sources was 90, up from 61 in 2021–2022 and 85 in 2020–2021. As is customary, BC recommendations in 2022–23 were accepted by the Berkeley Administration in nearly all cases. In some of these cases, however, these recommendations had been modified due to a prior request from the VPF to provide additional clarification or to reconsider the case. In previous years, the VPF has sometimes visited the committee to discuss an aspect of our recommendation in more detail, a process that typically leads to agreement between the committee and the Administration; in 2022–2023 this did not occur in connection with any of the personnel cases we considered, although it did occur with respect to a case regarding an off-cycle FTE, which we discussed with the VPF and the Executive Vice Chancellor and Provost (EVCP).

## *1.2 Timeliness*

In the last two years or so, there have been significant delays in processing personnel cases on the Berkeley campus, leading to widespread dissatisfaction among faculty up for review. Although we are not in a position to assess fully the reasons for these delays, we would like to emphasize that they were not due to a slow-down on the part of the 2022–2023 BC. As noted in section 1.1 above, the number of cases transferred by the BC over the course of 2022–2023 was the highest for which we have records. Some indication also of the BC’s role with respect to the duration of the review process is given by the average time that elapses between the BC’s receipt of a case and its transfer to APO: in 2022–2023 this was 26 days, as compared to 39 days in 2021–2022 and 21 days in 2020–2021.

A further indication is the proportion of cases with an effective date of July 1, 2023, that were at the various different stages of review as of June 30, 2023. Of the 881 cases with a July 1, 2023, effective date, just 23, or 2.6%, were with the BC, as compared to 340, or 38.5%, at the campus decision stage, which encompasses review by APO staff, the VPF, and, in some cases, the EVCP and Chancellor. (See the pie chart below, from APBears on June 30, 2023.)

## 2023 - 881 cases



BC 2.6% 23

Campus Decision 340

There is one respect in which the BC fell short regarding timeliness. The BC has a long-standing commitment to transfer all non-threshold cases with an on-time tag to APO by May 31 so that decisions in these cases can be communicated to candidates by June 30. In 2022–2023 we failed to meet this deadline, with 13 such cases not transferred until after the deadline, compared to 32 cases that missed the deadline in 2021–2022. As far as we can tell from the records available, the commitment had been met before that at least since 2016–2017. However, it became clear well before May 2023 that the backlog of cases in APO and/or the VPF's office was so great that many candidates with cases transferred before the May 31 deadline would not receive decisions until well after July 1. Knowing that our meeting the May 31 deadline would not have an appreciable effect on the timeliness with which candidates with non-threshold reviews would receive decisions, we therefore made a conscious decision to prioritize threshold cases and other pressing cases over on-time non-threshold cases.

### *1.3 Process Innovations*

Until 2019-2020, some cases were still “paper cases” that could be worked on only in California Hall. But during spring 2020, thanks to the heroic efforts of BC and APO staff in response to the COVID-19 lockdown, all cases were made electronically available. This had the advantage of enabling the committee to work remotely without interruption throughout the COVID-19 pandemic and the subsequent closure of California Hall due to flooding, although we note that the all-electronic access to cases results in fewer opportunities for collegial interaction among BC members.

Because of concerns from Chairs and Deans about the burdens of case preparation, and concerns from the BC that letters from Chairs and Deans were not always providing the kind of information and evaluation needed for the BC to consider cases effectively, the VPF and the 2022–2023 BC worked together to design forms for some categories of review (in particular non-threshold merit reviews) to replace the traditional letters. As in previous years, the BC Chair attended several meetings organized by the VPF to guide chairs in case preparation. In a new initiative, the BC Chair and another member took part in a well-attended and productive Q&A about case preparation sponsored by the Chairs Forum, an informal network of chairs from units across campus.

## **2. FTE Allocations and Process**

### *2.1 Overview*

The campus initially authorized 66.00 state-funded FTE for TY 2024–2025, slightly below the previous year's figure of 73.33 and a welcome increase over the TY 2022–23 figure of 50.33. In academic year (AY) 2022–2023, units requested a total of 109.33 state-funded FTE for TY 2024–25 in the regular FTE request cycle and were granted a total of 22.33 off-cycle requests which needed to be weighed against the TY 2024–2025 regular cycle requests. (The corresponding figures for TY 2023–24 are: 105.66 FTE requested in the regular cycle; and 27.00 off-cycle FTE granted.)

In its deliberations about FTE allocations for TY 2024–25, the BC proceeded, following its usual practice, in several stages. First, pre-committed FTE were identified: these included FTE “borrowed” against TY 2024–2025 to support additional hires made in TY 2023–24 (particularly so-called “two-fer” and “three-fer” hires where a unit with one approved search identified more than one excellent candidate, or where a unit recognized the need and desirability of offering a position to a candidate's partner). The remaining FTE were then allocated to decanal units (or to a cluster of similar decanal units, in cases where the units were comparatively small) roughly pro-rated according to size, with a reserve of roughly 9.00 FTE retained to allow a flexible response to changing circumstances and urgent needs. Within each decanal unit or cluster of units, FTE were allocated according to the strength of each department's request. After that, the reserve FTE were allocated to individual departments based on needs identified in the first phase, regardless of decanal unit.

This process enables the BC to strike a reasonable balance between the need to maintain Berkeley's comprehensive academic strength across a wide range of very different disciplines and the importance of responding to new academic challenges and opportunities as they arise.

As in previous years, there remain enormous imbalances in faculty workloads across campus. The scale of these imbalances is such that they cannot be rectified through the normal process of FTE allocation.

## *2.2 Process Innovations*

Starting in 2021–2022, the BC developed a new template for the narratives created by the BC to provide consistent and structured analyses and recommendations in response to each department's request. The 2022–2023 BC continued the use of these templates, receiving a very positive response from the administration.

## *2.3 Off-cycle requests in AY 2022–2023*

The BC's task in making recommendations for FTE allocations was complicated by a policy instituted by the Administration in AY 2021–2022 according to which off-cycle appointments for a given target year are charged against the next year's allocation at a higher rate than 1:1. For example, if the BC recommended an off-cycle position for a unit, that could count against up to 2.5 positions from the allocation for TY 2024–2025, depending on the circumstances (in practice, the administration was often willing to reduce the charge to 1.5 and, in a very few cases, to charge the position on a 1:1 basis). The rationale for this policy is that the chance of an off-cycle recruitment succeeding is typically higher than the chance of an on-cycle search succeeding in its first year, so that granting an off-cycle FTE request is likely to end up “costing” the campus more in FTE in the target year than simply granting a search.

With a 1:1 rate of charging positions, decisions about off-cycle FTE would be comparatively straightforward: if we would otherwise have recommended a search for TY 2024–2025 for a given unit, but the unit requested an off-cycle position, we could decide to recommend authorizing the off-cycle position instead of recommending the search. But with an off-cycle position charged at, say, 1.5 against the TY 2024–2025 allocation, we needed to decide not only whether the needs of the unit warranted recommending the position in place of a search for that unit for TY 2024–2025, but also whether the case for the position was sufficiently compelling to justify also reducing the overall TY 2024–2025 FTE allocation by 0.5. The situation was further complicated by a substantial increase in the number of off-cycle FTE requests in AY 2022–2023 and by the often-unpredictable timing of these requests and the difficulty of coordinating our consideration of them with our consideration of the on-cycle FTE requests. Because the FTE allocation for TY 2024–2025 was relatively high, we were able to accommodate the most compelling off-cycle requests while still being able to recommend authorization of a considerable proportion of the on-cycle requests, but we anticipate that the increasing numbers of off-cycle requests, combined with the policy of charging them at more than a 1:1 rate, may lead to problems in coming years.

### **3. Policy and other memoranda**

One of the roles of the BC is to provide advice about matters of policy pertaining to academic personnel on the Berkeley campus and systemwide. In connection with this role, the BC in 2022–2023 prepared written memoranda for the Berkeley Division of the Academic Senate and for the Vice Provost for the Faculty (VPF) about a series of policy issues that arose throughout the academic year.

Some of these memoranda concerned systemwide policies. They included comments on proposed revisions to the Academic Personnel Manual (APM) regarding family and medical leave, and regarding the conditions under which faculty should be able to take on outside employment in addition to their UC duties. They also included comments on the system-wide Negotiated Salary Trial Program (NSTP) and on a proposal to require mandatory training for UC faculty on disability, accommodation, and access. At the campus level, we commented on whether or not Berkeley should seek participation in the NSTP, on the design of the Targeted Off-scale Program (TOP) and the advisability of increasing the minimum off-scale component for Berkeley faculty, on the role of the Office of Faculty Equity and Welfare in faculty searches, and on the working conditions of the BC itself.

In addition to commenting on general policy issues, we also, following usual BC practice, prepared memoranda on numerous proposals regarding specific units. These included, for example, proposals for the introduction or modification of degree programs, for changes to the status of research units, and for faculty hiring initiatives. The BC also discussed with the Administration a new salary plan for the Haas School of Business to replace the complicated calculations in the Faculty Excellence Program. These memoranda were in addition to the memoranda we prepared in connection with reviews of units and programs.

### **4. BC functioning**

#### *1.1 BC meeting practices and meeting space*

For some of 2019–2020, as well as the entirety of 2020–2021 and 2021–2022, the BC met entirely online, in part because of the COVID–19 pandemic, and in part because of the closure of California Hall due to flooding, for much of 2021–2022. This was a radical departure from previous BC practice, and although members appreciated the convenience of meeting online—which also made it possible for members to travel away from Berkeley and still attend meetings—we recognized that this diminished the opportunities for collegial interaction. At the start of 2022–2023 we returned to meeting in the conference room in California Hall, although with a hybrid option so that members who were travelling or who needed to stay away from campus for personal reasons could participate in meetings. This worked well; most members attended in person for each meeting, although typically, in any given meeting, one or two would participate by Zoom.

In the summer of 2022, the Administration raised the possibility that the BC conference room might be made available as a conference room for general use when not being used for BC meetings. BC members and staff considered this to be unworkable for a number of reasons: (1) access to the conference room was available only through the staff work areas, creating concerns

about confidentiality; (2) BC members often needed to work, meet with other BC members, or make phone calls in the conference room outside of regular meeting times; (3) during the spring semester, when FTE decisions were being made, we would keep track of pending decisions using the whiteboard in the conference room; (4) the conference room continues to house some confidential hard copy materials for BC use. We continue to believe that it is very important, even though the BC now has access to cases electronically, that the suite occupied by the BC, including the conference room, continues to be reserved for BC use, although with some exceptions where confidentiality is not an issue (for example, we were happy in 2022–2023 to assign some of the office space to a staff member from the VPF’s office who was working on FTE allocations).

## **5. Unresolved Issues**

In the interests of continuity, and following the practice of previous BC annual reports, we mention here some issues that were discussed by the 2022–2023 BC but which remain unresolved.

### *5.1 Salary and other inequities across campus*

A source of concern for the BC in 2022–2023 was the apparently increasing lack of equity across different areas of campus, notably with regard to salary, but also with respect to working conditions, for example different teaching loads in different units. We suspect that with the advent of the Negotiated Salary Program at Berkeley, the salary inequities will be increased still further. We are well aware that “market” differences among disciplines make it difficult to avoid salary inequities, but we think that it is important for the campus to try to mitigate these differences as far as it can, since they have a demoralizing effect on faculty. We regard the 2022 increase in the minimum off-scale component as a welcome step in that direction.

### *5.2 Retention issues*

We recognize the importance of retaining Berkeley faculty and welcome the campus commitment to match outside salary offers in order to do so. More generally, we welcome the campus commitment to maintaining the quality of the Berkeley faculty, and we recognize that matching outside salary offers is an important element in doing so. However, our consideration of retention cases in 2022–2023 led us to be concerned about two issues regarding faculty retention: first, that in a few instances faculty have been seeking—in some cases, following the advice of their Chair or Dean—to raise their salaries through the solicitation of outside offers; second, that in some areas of campus there is a growing tendency to seek “pre-emptive” retention-based salary increases in response to projected offers. We think that attention is needed to both of these issues, since they raise fundamental questions of fairness.

### *5.3. Reviewing faculty in the LSOE series (Teaching Professors)*

Recent changes in the systemwide criteria for advancement for Lecturers with Security of Employment (LSOEs) faculty (Teaching Professors) have led to confusion about how the accomplishments of faculty in this series are to be assessed. Because, as their title suggests, the primary importance of Teaching Professors to campus lies in their service to the campus’s pedagogical mission, it seems reasonable to award merit increases to Teaching Professors who



have been excellent teachers and who have advanced pedagogy in their units, even if these faculty have not contributed to research (including pedagogical research). But this now appears to be precluded by the current criteria, which require research or creative/professional activity as well as pedagogical excellence and service contributions. These criteria are also at odds with our long-standing practice of offering faculty in the regular professorial series the option, if they have not been active in research, of moving to the LSOE series so that their contributions can be better recognized.

#### *5.4 Self-supporting programs*

The most recent annual report (for 2017–2018) noted that “the proliferation of self-supporting graduate professional degree programs (SSGPDPs) raises a number of academic–personnel issues: how much time faculty members may commit to such programs and how that affects their other teaching obligations.” In 2022–2023, we continued to find these issues problematic, with additional concerns that faculty at a more junior level may experience pressure to teach in SSGPDPs, to the detriment of their research or to their teaching and mentoring in the regular state-funded curriculum.

#### *5.5 Academic-personnel processes in the Adjunct series*

The most recent annual report (for 2017–2018) noted that “the BC is called on to evaluate appointments and promotions in the Adjunct series as well as promotions in the Researcher series.” The report continued: “It is our experience that adherence to APM requirements regarding standards, duties, and assessment for individuals in these series is considerably less rigorous than it is for ladder–rank faculty, leading to frequent inequities and widespread confusion.” Over the course of 2022–2023, we decided, with the support of the Administration, that we would no longer evaluate appointments or promotions in the Researcher series. However, regarding the Adjunct series, we continue to find evaluation problematic, for the same reasons that are stated in the 2017–2018 report.

### **6. BC Staff**

The BC is heavily dependent on the many contributions of its supremely dedicated, effective, and good-humored staff. BC staff see to it that committee members stay on top of their workloads, provide invaluable advice and analysis about crucial matters of academic-personnel policy and precedent, and meticulously review and correct all documents that leave the BC offices. They function as the committee’s institutional memory, ensuring continuity in the committee’s activities from year to year. Without them, it would be impossible for us to cope with the massive volume of cases that we are called on to review.

Will Lynch, the BC manager, joined the BC staff in June 2016, and became the unit manager in May 2018. Courtney MacIntyre, senior Academic HR Analyst, joined the staff in August 2018, and Lanayah Mitchell, Academic HR Analyst, joined in January 2019. We have greatly benefitted from the continuity in our staff over the last several years, which has helped streamline processes and keep everything working smoothly. We are deeply grateful to our staff for their commitment to our common mission and for the justified pride they take in the important work that they do for us. We would like to thank them particularly for their help

facilitating our 2022 return from virtual meetings to meetings in California Hall, with all the reorganization (including restoring the offices, which had been emptied after that flood, and setting up equipment for hybrid meetings) that this made necessary.

Respectfully submitted,

Hannah Ginsborg, Chair, 2022–2023

Chris Chang

Ross Levine

Michael Lucey

Rachel Morello-Frosch

Ellen Oliensis (fall)

Samuel Otter (spring)

George Roderick

Lydia Sohn

Kim Voss