General Performance Principles

For the previous budget request year
● A summary that maps revenues to expenditures at the college level, and
● an evaluation of the suggested metrics for the college as a whole and for each individual
department or program within the college

For the current budget request year
● A proposed budget for the upcoming fiscal year, which should reflect the following,
  ○ a summary of proposed expenditures
  ○ current and anticipated start-up commitments broken down by year and
department or program
  ○ a detailed summary of dean’s office expenditures and revenues, and finally
  ○ broad discussion of any anticipated initiatives, including identification of the
    expected participants and how requested allocations are anticipated to be spent
    by budget category
Performance Metrics
The annual budget review and allocation process represents an ideal time to also review past year performance. We have assembled some key performance metrics that should be calculated for the previous year at the college as well as the department or program level. It might also be useful to compute these performance metrics for the base year as a way of benchmarking long-term progress. We believe the benchmark year should be consistent with that used for the 2020 vision framework. The following metrics reflect consensus among the members of CPB, the FEC’s, Graduate Council, and Undergraduate Council:

<table>
<thead>
<tr>
<th>Performance Metrics</th>
<th>Parameters</th>
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<tbody>
<tr>
<td><strong>Resource Generation Metrics</strong></td>
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<tr>
<td>Student credit hours</td>
<td>Calculated for both undergraduate/graduate</td>
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<tr>
<td>Research grants and contracts ($)</td>
<td></td>
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<tr>
<td>Gift and endowment income ($)</td>
<td></td>
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<tr>
<td><strong>Expenditure Metrics</strong></td>
<td></td>
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<tr>
<td>Student credit hours by senate faculty</td>
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<tr>
<td>Senate faculty to student ratio</td>
<td>Calculated for both undergraduate/graduate</td>
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<tr>
<td>Number of graduate students admitted with 4-year academic funding support</td>
<td>Calculated separately for departments and graduate group programs</td>
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<tr>
<td>Total number of courses with waitlist over 20 students (by quarter)</td>
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<tr>
<td>Administrative costs as a ratio of total budget</td>
<td>Computed for the dean’s office and for each department/program within the College</td>
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<tr>
<td><strong>Outcome Metrics</strong></td>
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<tr>
<td>Time to degree (mean and median)</td>
<td></td>
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<tr>
<td>Number of undergraduates by major</td>
<td></td>
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<tr>
<td>Student body diversity</td>
<td></td>
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<tr>
<td>Total number of undergraduates by major; total number of undergraduates completing their degree in that budget year</td>
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<tr>
<td>Total number of Ph.D. students enrolled/completing degrees</td>
<td>This should be identified by graduate group and graduate program</td>
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<tr>
<td>Faculty diversity</td>
<td></td>
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<tr>
<td>New faculty hire diversity</td>
<td></td>
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<tr>
<td>Number of faculty retention cases and number of successful retentions</td>
<td>These statistics should be provided by gender/ethnicity</td>
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</table>

1. All metrics should be should be derived at the College and sub-units level.
2. Raw data in support of each metric should be included in the submission.
3. Deans are invited to provide narratives or interpretive texts to assist in understanding any underlying trends or implications associated with particular metrics.
Budget Summary Template

To increase the transparency, efficiency and effectiveness of the annual performance review and budget request process, ideally the budget summary for the previous year and the budget summary for the request year would be aligned as much as possible in terms of revenue source and use categories. We offer two templates that have been used on campus. The first template was used by a dean (CBS) and the second, by a department chair. Some hybridization of these two models would probably be most effective.
Budget Model Used by a College Dean

\[ P/D = \text{Pass-through or Discretionary} \]

**Revenue Sources**

**Permanent Budget**
- \( D \) Vacant I&R Faculty FTE
- \( D \) Vacant AES Faculty FTE
- \( D \) I&R Faculty FTE held for admin. appointments
- \( D \) AES Faculty FTE held for admin. appointments
- \( P \) I&R Faculty FTE pass-through to other units
- \( P \) Teaching Assistants
- \( D \) I&R - Non-FTE

**Fund Sources**
- Committed balance forward (by use)
- \( D \) Provision range funding - vacant FTE
- \( D \) Held administrative FTE range funding
- \( P \) Other unit FTE range/merit funding
- \( D \) Academic support funding from campus
- \( P/D \) Transfers of new faculty FTE
- \( P \) GAEL funds from campus
- \( P \) Excess Garamendi funds
- \( P \) Graduate support funds
- \( P \) Health Science instruction funds
- \( P \) New administrative FTE holds
- \( P \) New joint appointment FTE holds
- \( D \) Off-the-top Indirect Cost Return
- \( P \) Indirect Cost Return for Depts/Centers/Programs (by unit)
- \( D \) IUC funds
- \( D \) Miscellaneous funds received
- \( P \) POP support
- \( P \) Dept/center/dean's office budget reductions
- \( D \) Renovation funds returned
- \( D \) Faculty salary cost sharing (to grants)
- \( D \) Faculty salary savings (other)
- \( P \) Summer instruction funds
- \( D \) Dean's discret. for supplemental instruction
- \( D \) College funds for supplemental instruction
- \( P \) Campus supplemental instruction funds
- \( P \) Funds trades within college
### Fund Use

- **Committed balance forward** (by department/program/center)
- **D** Academic support (by department/program/center)
- **D** Bridge funding for faculty
- **D** Support for Centers, campus initiatives (by unit)
- **D** Chair/Vice Chair Stipends
- **D** Deans Support/Stipends
- **D** Reduction of College deficit
- **D** Development/advancement support
- **D** Directors support/stipends
- **P** GAEL funds to units
- **P** Excess Garamendi to Genome Center
- **P/D** Graduate Student/Program support
- **D** Grant matching
- **P** Instruction funds to other units
- **P** New faculty first-year salaries
- **P** Indirect cost return distributed (by department/program/center)
- **D** Instruction support (includes temp teaching)
- **D** IUC funds distributed (by department/program/center)
- **D** Miscellaneous uses (very minor)
- **P/D** POP program support (non-college faculty)
- **D** Faculty recruitment
- **P** Campus budget reductions
- **D** Renovations
- **D** Faculty retention agreements
- **D** Fund faculty startups
- **P** Summer instruction funds distributed
- **P/D** Supplemental instruction
- **P** Faculty salary transfers to other units
- **P** Faculty salary transfers to other units
- **D** Contingency budget reductions/centers/startup