

ACADEMIC PLANNING AND RESOURCE ALLOCATION 2005-2006 ANNUAL REPORT

TO THE MERCED DIVISION OF THE ACADEMIC SENATE:

In academic year 2005-2006 the Committee on Academic Planning and Resource Allocation (CAPRA) met fourteen times to conduct business. The issues that CAPRA considered this year are described briefly as follows:

Space Planning

For two years CAPRA has struggled with the issue of space and has been quite vocal in noting a lack of confidence in the current process to plan for and provide adequate space for research at UCM. Early this academic year CAPRA suggested to former Provost Ashley that a 5-year space plan be included in the context of the School Strategic Plans. CAPRA is also pleased to report that former Provost Ashley appointed an ad hoc Campus-wide Space Committee, which evaluated space needs, space availability and made recommendations regarding space planning, use and management.

Not having participated in budget planning or having timely access to budget information, we do not know if the recommendations for faculty lines are consistent with UC Merced's budget projections. Nor do the strategic plans identify needs for startup resources. This represents a major disconnect in our analysis that can only be rectified with access to credible estimates and accurate data in a timely manner. Since the CAPRA report, the new EVC and Provost Keith Alley has initiated a broader-based budget planning process.

Principles for Allocation and Use of Space at Castle

The shortage of research space being a concern, CAPRA worked on suggesting both principles and incentives for the space at Castle. An extensive list was forwarded to the Space Committee for consideration.

Faculty Development Awards

Former Provost Ashley asked for CAPRA's assessment of the Faculty Development Award proposals. Approximately \$60,000 was set aside to support Research Development for UC Merced assistant professors. Nine (9) faculty proposals were reviewed. To facilitate their review, priority scores were assigned to each proposal. A Priority 1 denoted *approve as is*; Priority 2 denoted *defer to next year*; and Priority 3 indicated that the proposal should be rewritten. CAPRA's recommendations were forwarded to the Provost for final action.

Biomedical and Systems Biology Research Institute

UC Merced Health Sciences and Medical Education Proposal

CAPRA reviewed both proposals and strongly endorsed the *Biomedical and Systems Biology Research Institute* proposal. CAPRA encourages Dean Pallavicini to continue her efforts to analyze the viability and feasibility of establishing a medical school at UC Merced.

Review of the School Strategic Plans

CAPRA reviewed the final versions of the 5-year Strategic Plans and 1-year Academic Resource Plans provided by the Schools of Engineering, Natural Sciences, and Social Sciences, Humanities and Arts, and the strategic planning documents prepared by six graduate groups, by

the Sierra Nevada Research Institute, and by the planning group for the World Cultures Institute. A series of recommendations were forwarded to former Provost Ashley on May 20, 2006.

Based on review of enrollment data for UC Merced and other UC campuses, CAPRA concluded that, at present, UC Merced does not have sufficient faculty to offer the range of majors needed to attract a broad base of students across the university that will sustain the projected growth in earlier budget analyses. The range of undergraduate and graduate majors planned across the three schools provide a basis for growth to a sustainable level for UC Merced; however, there are multiple financial, space and other resource limitations that are yet to be overcome if we are to reach that sustainable level, estimated in prior planning documents to be about 5,000 students and over 250 faculty (including lecturers). Among the recommendations:

Faculty Lines

Prior budget projections called for 32 new positions for AY 2006-2007. The Strategic Plans requested 52 positions (among them cross-school positions). Based on the data provided in the Plans, priority levels (from 1 to 4) were assigned to each School's request and a matrix was created to guide CAPRA's discussion. CAPRA's final recommendations were forwarded to former Provost Ashley.

Given the apparent budgetary impact of the lower than hoped for student enrollment forecasted for AY 2006-2007, and the structural problems inherent in the UC Merced growth model, CAPRA recommends that the faculties of the three schools plan for possible lower than previously forecasted growth in faculty numbers, majors and students. FTE allocations that remain unfilled should be retained by the Schools for continued searches. Faculty should never be given the impression that an unfilled FTE is at risk of confiscation. If that were to occur, there would be an incentive to fill the position within the year which could potentially compromise quality.

Junior versus senior hires

The founding of new research and academic programs relies on a healthy balance of senior and junior faculty. Junior faculty also need strong graduate programs to attract high-quality students and resources (space, equipment) for successful research, which are difficult to establish for some programs without senior faculty leadership. At present, the number of senior faculty on board is too low to sustain a healthy mentoring and growth environment. Overall, CAPRA recommends that at least two-thirds of new first-priority positions be tenured faculty. Schools should have the flexibility to run open-rank searches for tenured faculty, and to make minor adjustments in which positions are recruited at the junior versus senior level.

Schedule for new undergraduate majors

At this point CAPRA is reluctant to encourage any new majors be developed for next year unless resources are sufficient to provide new faculty, space and other needs. Rather, some consolidation of majors may be needed, as noted above. CAPRA wants to re-emphasize the importance of having majors that potential undergraduates recognize in order to meet enrollment targets. CAPRA recommends that a cross-school, cross-campus planning group be formed and

charged with developing an assessment of the need for a management school versus an independent management major within SSHA or another type of management program at UC Merced.

Graduate education perspective

To become an excellent research institution, we will need to develop rigorous graduate programs combining innovative teaching, mentoring, and closely supervised research activities. These are critical demands on faculty time that should be explicitly incorporated into the planning process. CAPRA supports the recommendation from Natural Sciences that graduate groups be explicitly allocated funds and space commensurate with research and graduate education needs for programmatic growth based on enrollment and research productivity (indirect costs); and that graduate groups be assigned "lead Deans" who are charged with working with graduate group faculty and School Deans to balance resource allocations between graduate and undergraduate needs.

Institutes

CAPRA recommended a number of actions aimed at developing a vigorous set of institutes at UC Merced, some of which can become Organized Research Units.

- CAPRA supports the proposal for the Sierra Nevada Research Institute (SNRI). SNRI should be given responsibility for planning for the proposed National Parks Institute, including both educational and research activities.
- CAPRA endorses the Biomedical and Systems Biology Research Institute
- Regarding the proposed Renewable Energy Institute, CAPRA cannot recommend allocating further positions to that area until a plan is developed.
- The cross-campus advisory committee for the Great Valley Center should evaluate opportunities for UC Merced from this affiliation, possibly including a Policy Research Institute. This committee, possibly augmented with additional members, should also more broadly consider policy education and research at UC Merced.

Split Appointments

The CAPRA Chair worked with the EVC and CAP Chair to develop principles governing split-appointments between schools. The Division Council reviewed and circulated a document to faculty for comment. Principles were subsequently implemented by ENG & SSHA to guide three split-appointment new hires.

CAPRA was joined on occasion by the Division Council Chair Roland Winston. Executive Vice Chancellor and Provost Ashley was an invited guest on various occasions.

Respectfully submitted,

Roger Bales, Chair (Engineering)

Evan Heit, Vice Chair (SSHA)

Mike Colvin, UGC Chair (Natural Sciences)

Henry Forman, Division Council Vice Chair (through April 2006) (Natural Sciences)

Shawn Kantor, GRC Chair (SSHA)