COMMITTEE ON ACADEMIC PLANNING & RESOURCE ALLOCATION
(CAPRA)
Wednesday, September 10, 2014
9:00 – 10:30 am
KL 362

I.   Chair's Report – Anne Kelley

A. Welcome members

II.   Continuing Business from AY 13-14

A. Request from Provost/EVC for list of faculty lines allocated last year **Pg. 3-5**
      and to date.

III.   Goals for AY 14-15

A. Process for FTE allocation requests from Schools and input from   **Pg. 6-9**
      CAPRA into strategic academic focusing initiative.
B. Campus space planning and prioritization.
      Discussion: Even with new buildings recently opening, there is not
      adequate space on campus for research laboratories or research personnel
      and this problem will only grow until new buildings associated with Project
      2020 become available. CAPRA to discuss general principles for prioritizing
      available space on campus.

IV.   Campus Review Items

A. Senate-Administration IT Advisory Council draft charge   **Pg. 10-11**

      Action requested: CAPRA to review the proposed charge. Comments will
      be transmitted to the Senate Chair by the deadline of October 3.

B. Economics PhD Proposal

Action requested: Two committee members to be assigned to review the proposal for resource implications. At the September 24 meeting, the committee will vote on whether the proposal should move forward. CAPRA's comments will then be transmitted to the Senate Chair by the October 3 deadline.

Proposal can be viewed at UCMCROPS/CAPRA1415/Review Items – Campus

V.   Provost Forum for Faculty

Provost/EVC Peterson is holding a forum for all Senate faculty and Unit 18 lecturers on September 24 from 3:30 – 5:00 pm in SSB 160. Attendees are encouraged to submit questions [here](#).

Discussion: CAPRA members to discuss questions they would like the Provost/EVC to address, e.g. CAPRA's input into Strategic Focusing and general space planning concerns.

VI.   Other Business

UNIVERSITY OF CALIFORNIA, MERCED

ACADEMIC SENATE, MERCED DIVISION
COMMITTEE ON ACADEMIC PLANNING AND RESOURCE ALLOCATION
ANNE KELLEY, CHAIR
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May 14, 2014

To: Thomas W. Peterson, Provost & Executive Vice Chancellor

From: Anne Kelley, Chair, Committee on Academic Planning and Resource Allocation *Anne Kelley*
             (CAPRA)

Re: Tracking FTE Allocations

The memo sent to faculty on May 1 (attached) explained a rationale for holding off on allocating new faculty lines for the coming academic year. Part of this rationale was that the number of faculty lines actually approved for search during this current year exceeds the target originally discussed by last year's CAPRA, in part owing to additional allocations made for spousal hires and other special circumstances. CAPRA recognizes that these special circumstance hires, which are often considered to be "borrowed" or "accelerated" from lines to be approved in subsequent years, are an expected practice. We also recognize that our ability to hire the best faculty sometimes requires that the Provost have the flexibility to allocate additional faculty lines on a short time scale, without broader faculty consultation. However, CAPRA also believes that all new faculty lines, whatever their method of allocation, should be made known to the faculty at the close of the process. Faculty will find this information useful as it will improve strategic planning and ensure trust in shared governance. CAPRA, for example, can use this information to assist the Provost in making the most efficient use of limited resources to meet ever increasing demands.

Accordingly, CAPRA is requesting (1) a list of all new faculty lines originally allocated for search at the start of the current academic year, and (2) a corresponding list of all other new faculty lines that were approved through special mechanisms after the original allocation was made. In each case we would like to have the title and identifying number of the position, rank(s) of the search, and unit(s) to which the allocation was made. We would also like to receive a list of all currently allocated faculty lines by their identifying number, whether they are currently vacant or filled, and if filled, the rank and unit to which the line is assigned. CAPRA recognizes that "historical" information includes positions that were allocated prior to your appointment at UC Merced, but these data are vital to establishing a baseline for future reference. CAPRA also recognizes that this information may need to come directly from the Academic Personnel Office; however, we are making a formal request from you, as that office is under your authority.

In closing, we want to emphasize that this information request is fundamentally to improve how our committee can assist you and our campus community in decision making. Everyone recognizes and appreciates that faculty hiring is a very complicated process. Fulfillment of this request will provide a necessary baseline as strategic plans move forward and hiring commences once again.

CAPRA looks forward to future collaboration.

cc: Susan Sims, Special Assistant and Chief of Staff to the Provost & Executive Vice Chancellor
        Becky Gubser, Associate Director, Academic Personnel
        Division Council
        CAPRA members
        Senate office

UNIVERSITY OF CALIFORNIA

OFFICE OF THE PROVOST AND EXECUTIVE VICE CHANCELLOR

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Thursday, May 01, 2014

TO: The Campus Academic Community

FROM: Tom Peterson, Provost and Executive Vice Chancellor

RE: Recruitment of Ladder Rank Faculty in AY14-15

As you may know, the rate of increase in our freshman enrollments will slow for the next two years (especially for next year) before it returns to a growth rate more typical of what we experience annually here at UC Merced. Specifically, while we increased freshman enrollments by 600 to 800 students in recent years, we will increase our enrollments by about 100 students in AY 2014-15 and by about 400 students in AY 2015-16. Because a higher than projected fraction of students who were admitted to UC Merced chose to come to our campus for their studies, our growth rate has been higher than the rate we projected for funding models used by the Office of the President. Since our campus revenues are strongly tied to undergraduate enrollments, a slower rate of increasing enrollments means a slower rate of increasing revenues. This dictates the need for a temporary reduction in the number of faculty positions to be filled; approximately 10 to be recruited in AY14-15 (to arrive in fall 2015) and approximately 16 in AY15-16.

Further, it will be approximately 2 more years before additional classroom capacity or faculty office space comes online through the completion of the second classroom and office building.

This year we are recruiting to fill nearly 35 positions. Hopefully most, if not all, of those recruitments will be successful. History has shown, however, that it is likely we will not fill all of those positions. Any unfilled positions this year will automatically be carried over for recruitment into next year. That is, no units will lose the right to recruit if they are unable to hire the best possible candidate this year.

In the course of recruiting to fill these 35 positions this year, each one of the schools has also requested the opportunity to expand their hiring either to accommodate spousal hiring requests, or because multiple outstanding candidates have been identified. Once again, it is impossible to predict exactly how many of those additional hires will be successful. The current number of requests for such positions is in the range of 8-12, and this would clearly have to come out of next year's allocation.

For all these reasons (the most important being a significant reduction in the rate of increase in campus revenue), one year of significant reduction in the rapid pace of faculty hiring is in order, followed by a year of modest increase in faculty recruitment before returning to a hiring rate in the range of 25 new ladder rank faculty per year. Therefore, I am recommending that we focus next year solely on faculty recruitments that will complete those recruitments that were unsuccessful this year. There is no reason to put the entire faculty and the academic Senate through a formal FTE request process for what would be only a few new positions, if any.   An additional benefit to this approach is that it will allow all of us to complete the strategic academic focusing process which, in concert with traditional disciplinary hires, will shape our hiring strategy for the next 6 to 8 years.

While there may be a brief lull in the active recruitment of faculty, there must be no lull in the strategic "planning and doing" for processes going forward. If we do not use the time wisely, we will have wasted an opportunity to thoughtfully and efficiently shape the campus trajectory for many years to come.

**UC Merced CAPRA (Committee on Academic Planning and Resource Allocation)
Process and Criteria for Evaluating Faculty FTE Requests for AY 2014-2015**

Requests for new faculty lines (FTEs) may be initiated by the Bylaw 55 units, graduate groups, or recognized campus or multicampus research institutes. However, as appointments are made to Bylaw 55 units, a position is unlikely to be highly recommended unless it is a priority of one or more such units. Each requested position should be accompanied by a brief (1 paragraph) description of the position and a brief (1 page) justification for the position, referencing the CAPRA criteria listed below. The faculty group(s) requesting each position should be clearly identified. In view of the ongoing nature of the Strategic Academic Focusing initiative, no long-range strategic plans are requested at this time.

The requested positions should be ranked in priority both by the School Dean and by the faculty of each hiring unit within the School. It is expected that in SSHA and SNS, the faculty of each Bylaw 55 unit will rank those positions that might reasonably be assigned to that unit, but a single position may be ranked by more than one unit. In SOE, which is a single Bylaw 55 unit, the faculty may choose to provide separate rankings by program. Both the dean's and the faculty's rankings should be provided to CAPRA, along with a statement describing how the faculty's rankings were determined (e.g. by a vote of all faculty in the unit or by another method agreed upon by the faculty).

It is expected that each new faculty position will be assigned primarily to a single School. If a particular position may contribute significantly to more than one School, whether through a split appointment or otherwise, the justification for that position should include supporting letter(s) from the Dean and/or the program faculty of the other School. Cluster hires (multiple positions in different disciplinary units and/or Schools that support research in a common area identified as a campus priority) are encouraged. Each position that is considered part of a cluster hire should be identified as such in the position description.

In addition to the ranked FTE requests and strategic plans, CAPRA requests that each School submit (1) a table listing, for each requested FTE, the level of the position, the principal graduate and undergraduate programs in which this person is expected to participate, expected space, startup, and other infrastructure requirements, and the Dean's and Faculty's priority rankings; (2) a table listing all faculty currently holding appointments in the School, with their unit and graduate group affiliations and the principal undergraduate programs in which they teach; (3) a table listing all currently approved but unfilled positions. Please see Appendices 1-3 for examples.

The final position descriptions, prioritizations, and supporting tables are due April 1, 2014 to the Senate office (senateoffice@ucmerced.edu)

CAPRA criteria

1. Potential to strengthen research programs in existing or nascent graduate programs/groups, including cross-school or interdisciplinary programs.

2. Support of graduate education through student mentorship and graduate teaching.

3. Ability to build connections with ORUs, CRUs, or other existing or proposed organized research units or academic units on campus or systemwide.

4. Support of undergraduate majors and undergraduate teaching needs.

This FTE request should include any needed LPSOE positions. It should not include carryover positions (those approved in a prior year but not yet filled) or replacements for vacated positions.

Appendix 1: Sample Table of Requested FTEs

Name of position	Level (Lecturer/ Assistant/ Associate/ Full)	Primary Grad Group	Secondary Grad Group(s) (optional)	Primary Major	Secondary Major(s) (optional)	Est. startup costs	Est. space and other infrastructure needs	Priority (Dean)	Priority (Faculty)

Appendix 2: Sample Table of Current School Faculty

Name	Level (Lecturer/ Assistant/ Associate/ Full)	Bylaw 55 Unit	Primary Grad Group	Secondary Grad Group(s)	Primary Undergrad Major	Secondary Undergrad Major(s)

Appendix 3: Sample Table of Unfilled Positions

Name of position	Replacement (for whom?) or new position?	Level (Lecturer/ Assistant/ Associate/ Full)	Primary Graduate Group	Secondary Graduate Group(s) (optional)	Primary Major	Secondary Major(s) (optional)	Estimated startup costs	Estimated space and other infrastructure needs

Proposed Charge: Senate Administration IT Advisory Council

The Senate-Administration IT Advisory Council for IT Governance supports UC Merced's Information Technology functions through its advisory role to the Chief Information Officer. In executing its charge the Council informs the CIO's decision-making, and management of budget and staff resourcing, necessary to prioritizing campus-wide IT academic and administrative projects and advancing UC Merced's IT capacity and value as a resource for learning and research. The Council meets for a minimum of four times per calendar year.

Specifically, the Council is charged to

1. Adopt and disseminate standard processes and criteria for developing, submitting, reviewing, prioritizing and acting on proposed IT initiatives and recommends resolution to issues or conflicts that, if unresolved, would jeopardize the successful completion of approved IT initiatives.

2. Advise the CIO on strategic goals, tactical objectives and institutional policies in the following areas as they relate to UCM information technologies:
    a. Security and identity management
    b. Funding models, including resource planning
    c. Strategic technology plans for classroom and academic needs
    d. Research Computing
    e. Disaster recovery planning
    f. University-wide technology systems that support university business and communication needs

3. Develop and recommend IT policy development, review, and dissemination,

4. Reviews and understands the financial context for IT, forwarding recommendations for project funding levels to the Provost/EVC and Budget Advisory Committee in an effort to optimize investments in technology.

5. Tracks initiative progress throughout their lifecycle, and reporting on whether the stated benefits are realized.

6. Works with the CIO to communicate the status of IT initiatives to the University community.

7. On an as needed basis, establishes task forces to deal with pressing, immediate issues such as:
    a. Protecting e- data from unauthorized access and disclosure.
    b. Developing a plan to recover critical business services if a major IT disruption occurs.
    c. Internal Audit actions

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8. On an as needed basis, establishes task forces to inform a review of IT services or campus-wide application upgrades or migrations, such as the:
    a. Learning Management System
    b. Lecture Capture System
    c. Portal Application and Strategy

Membership:

Academic Senate	Administration
1	1
2	2
3	3

The committee will be chaired by the Chief Information Officer. The Chief Information Officer does not vote.

Convening Committee:
For the committee to be convened, a minimum of two of three designated faculty seats must be filled to establish a "working representation" of faculty.

Quorum:
A vote requires a balanced representation of the Senate and the Administration. A majority of members present at the meeting constitutes a quorum. In the absence of a quorum the Council may discuss business and vote on action items electronically.

Reporting:
As a joint Senate-Administration body, the Council shall report its recommendations to the Administration (through the Provost's Office), the Academic Senate (through Division Council), and to the Schools (through the Executive Committee representatives and Dean), and/or as indicated in the charge.