

**COMMITTEE ON ACADEMIC PLANNING & RESOURCE ALLOCATION
(CAPRA)**

Wednesday, November 5, 2014

9:00 – 10:00 am

KL 362

[UCMCROPS/CAPRA1415/Resources](#)

I. Chair's Report – Anne Kelley

II. Consent Calendar Pg. 1-5

Action requested: approval of minutes from October 8 meeting

III. Space Principles Pg. 6-12

Background: CAPRA drafted principles of space planning and prioritization. These principles were submitted to other Senate standing committees and School Executive committees for broad feedback with the deadline of November 3. Ultimately, these principles will be submitted to the Provost/EVC.

Discussion: feedback received from Senate committees and schools.

IV. CAPRA Response to Provost/EVC Pg. 13

Background: Provost/EVC Peterson met with CAPRA on October 8 and topics included determining the role of CAPRA, when CAPRA should get involved, and identifying the deliverables of the strategic academic focusing process. The Provost/EVC asked for additional CAPRA input.

Action requested: CAPRA members to discuss the suggested proposal from the CAPRA Vice Chair.

V. CAPRA Representation at Meeting of the Division

The fall meeting of the division is Friday, November 14 from 3:00 – 5:00. Chair Kelley will attend the last 45 minutes of the meeting. An additional CAPRA representative is needed to attend the first hour as Provost/EVC Peterson will speak about the strategic academic focusing initiative.

VI. Systemwide Review Item

Doctoral student support. At an All-UC Doctoral Student Support Conference held last spring, a set of proposals, recommendations and related materials with respect to doctoral student support were developed and later refined by a Steering Committee with the intent of preparing them for presentation to the Regents at the January 2015 Regents meeting. Graduate Council and the Committee on Research are the lead reviewers. *Proposals can be viewed at UCMCROPS/CAPRA1415/Resources/Review Items - Systemwide*

Action requested: CAPRA to review the proposals for doctoral student support and send comments to the Senate Chair by November 18.

VII. Other Business

Committee on Academic Planning and Resource Allocation (CAPRA)
Minutes of Meeting
October 8, 2014

Pursuant to call, the Committee on Academic Planning and Resource Allocation met at 9:00 am on October 8, 2014 in Room 362 of the Kolligian Library, Chair Anne Kelley presiding.

The entirety of the meeting was allotted to a question and answer period with Provost/EVC Peterson and members of Division Council. Prior to this meeting, CAPRA submitted a memo to the Provost/EVC with a list of questions that included a request for clarification on the deliverables for the campus strategic academic focusing initiative and the expectations for the role of CAPRA and other Senate committees.

In response to CAPRA's inquiry about the deliverable for strategic academic focusing, Provost/EVC Peterson first provided a summary of the process. In the last academic year, he sought feedback from faculty on the strategic academic focusing process and worked with a specially-convened strategic academic focusing committee to review the proposal submissions. The committee attempted to look for possible collaborations across disciplines and schools. This summer, Provost/EVC Peterson reviewed the proposals a second time and identified external reviewers.

As the Provost/EVC mentioned in the all-faculty forum on September 24, he identified five, broad, thematic research areas which are intended to form UCM's future identify. However, these areas are still fluid and the Provost/EVC is open to receiving faculty's suggestions on more narrowly defining the areas. He plans to hold facilitated conversations with faculty to accomplish this. However, the Provost/EVC pointed out that in the interest of time, he will not drastically change the thematic areas as they are interdisciplinary and intended to encompass all the research currently done on campus. The slide presentation he conducted at the forum will be widely disseminated once it is formatted.

The Provost/EVC reiterated that while the strategic academic focusing process is concentrated on the five thematic areas, investments will still be made in the foundational, traditional research areas.

In response to an inquiry about the FTE allocation process next year, the Provost/EVC stated that there will be a “portfolio” of faculty hires that will include FTE lines for both the broad, thematic areas and the foundational, traditional areas. The Provost/EVC stated that he is open to input from CAPRA, especially with regard to making recommendations on prioritization of FTE lines. After the broad, thematic areas are better defined, the Provost/EVC will then formulate a template with a percentage to guide how many FTE lines to allocate to broad, thematic areas and the foundational areas. He will then consult with CAPRA for advice on recommendations. While this template is intended to serve as a guidepost for the next few years, the Provost/EVC emphasized that he wants the process to evolve as needed with input from the faculty. The goal is to move away from the year-by-year process of FTE allocations.

In response to a comment about the broad, thematic areas spanning several bylaw 55 units and more than one school, the Provost/EVC acknowledged that the thematic areas must still be refined but the goal is to keep them interdisciplinary and fluid. Faculty can join new thematic areas; no research area will be cast out and left unfunded.

A CAPRA member inquired when and by whom the broad thematic hires will be narrowed down, and, how bylaw 55 units should request FTE lines after this strategic academic focusing process is complete. Provost/EVC Peterson responded by pointing out that facilitated conversations with the faculty are intended to narrow down the thematic areas. He requests input from the faculty and CAPRA on the FTE request process but stated that faculty need to be willing to help him prioritize which areas will receive FTE lines. He is open to Senate input but the Senate must be prepared to help with making these hard decisions by providing concrete recommendations on FTE prioritization. This level of prioritization was lacking in previous years’ FTE allocation processes. The Provost/EVC emphasized, though, that this specific level of planning can come later; right now, the emphasis is on receiving faculty input on narrowing down the broad, thematic research areas.

When asked about space planning, the Provost/EVC stated that he did some initial data analysis over the summer while re-reviewing the proposals. While comparing the first and second round of proposals, he was encouraged to learn that the faculty’s space and equipment requests remained largely the same. However, there is fluidity surrounding the equipment requests.

A Division Council member inquired about space planning for the foundational, traditional areas. The Provost/EVC reiterated his plan to construct a template that will guide him on the allocating of FTE lines to thematic and foundational areas which will in turn drive the space needs. The Provost/EVC predicted that most of the FTE requests he will receive will be for foundational hires; while it is understandable that faculty want FTE lines to be allocated to their traditional research areas, he also has to allocate FTE lines to the broad, thematic hires as that is the underlying goal of this strategic academic focusing process. There will be a balance of FTE lines between the broad, thematic areas and foundational, traditional research areas but the percentage can change every year depending on need. When asked by a Division Council member how schools can plan five years in advance when FTE allocation percentages will change each year, the Provost/EVC responded that the overall plan will be flexible.

Questions were raised that the strategic academic focusing committee does not include CAPRA members and how the two committees' functions will proceed in the future. As the campus moves towards an identity in the broad, thematic research areas, CAPRA would like to determine how it can assist the Provost/EVC. The Provost/EVC responded that he is open to faculty engagement. One suggestion is for CAPRA to conduct ad hoc reviews.

In response to a question about timeline (an FTE allocation process needs to be initiated this year if we are going to resume hiring faculty for next academic year), the Provost/EVC pointed out that his immediate goal was to narrow down the broad, thematic areas with as much faculty input as he could garner. If we want SAF to work, we have to start investing in those areas so the campus can have a research identity.

When asked about faculty hires that span schools and how lines will be allocated, the Provost/EVC suggested the use of multi-disciplinary search committees and competition.

The Provost/EVC mentioned the reason for his spending time on narrowing down the broad, thematic areas is that the second round produced more proposals than he anticipated. A few of these proposals were heavily focused on building bylaw 55 units. This is why the Provost/EVC is open to assistance from CAPRA on sharpening the focus of the broad, thematic research areas. After the thematic areas are better defined, he can

focus on drafting the template with percentages of FTE allocations to thematic areas and foundational areas.

In response to a question about external reviewers, the Provost/EVC stated that while it is our campus's responsibility to prioritize, he wants the external reviewers to compare what is being done on other campuses, provide input on how we measure up to other institutions, and suggest how we can build on our existing strengths.

A CAPRA member pointed out that this could potentially be a three-step process: 1) external review of proposals, 2) Senate-level review, and 3) allocation.

The Provost/EVC pointed out the realities the campus faces, namely the lack of adequate graduate student support, a high dependence on lecturers, and the small number of enrolled PhD students. He stated that UC Merced is a comprehensive research university and as such, we must show broad participation in the education of undergraduate students, graduate students, and post docs. Faculty must convey in their proposals that they are involved in and committed to the teaching mission of the university.

When asked about space planning, the Provost/EVC responded that the various components of the campus have to grow in sync as much as possible, in particular, our undergraduate and graduate enrollment. We have a new MOU with UCOP which we are committed to maintaining. The campus has been overenrolled according to original enrollment plans. We had a lull this year but we should be on track with enrollment the year after next. The Provost/EVC indicated that there are still many unknowns about space including the types of space we need and when or if we will acquire more space after the next building, CAOB 2, is finished.

The Provost/EVC stated that he is gravely concerned about graduate student space and recognizes that this requires immediate attention. He intends to ask the real estate team to consult with graduate students and their faculty advisors on space needs. He is also working with the school deans to ascertain how much office and lab space they have in their buildings. When reminded that there is a significant amount of space in certain buildings that is not being used efficiently, the Provost/EVC invited feedback from all faculty on ways to maximize current space.

In response to a question about the status of the public/private partnership, the Provost/EVC stated that that he remains optimistic. Forty companies all over the world responded with interest. This is an experiment, but if it succeeds, it could serve as a model for other campuses. Another factor in our campus's success is funding support in the form of a state bond.

The Provost/EVC reiterated his prior statements that he is open to receiving feedback from all faculty and welcomes assistance from CAPRA and the Senate on narrowing the focus of the broad, thematic research areas and on prioritization of FTE allocation.

There being no further business, the meeting adjourned at 10:00 am.

Attest:

Anne Kelley, Chair

Minutes prepared by:

Simrin Takhar, Senate Analyst

Proposed principles for space allocation--CAPRA

Ideally, all UCM employees would have office and laboratory space on campus. There is not enough space on campus, however, to permit this. Therefore, we propose the following principles for determining how campus space should be allocated:

Because the core missions of the University of California are (1) creating and disseminating new knowledge, and (2) educating the people of California, CAPRA believes that priority for space on campus should be given to those individuals directly involved in those missions: faculty, graduate and undergraduate students, other research staff such as postdocs and technicians, and administrative and support staff who require direct, face to face contact with students or researchers or who physically manage campus facilities. This latter category includes, for example, student advisors and staff who maintain buildings and operate shops and research instruments.

More specifically:

- **All** faculty should have a private office and, as appropriate, laboratory and/or computational facilities on the main campus.
- All graduate students, postdocs, and research staff should have a private desk in a shared office ideally in the same building as his/her major professor, main laboratory, or computational facilities.
- Administrators and other staff who meet with students should have offices on campus in administrative support buildings, but not in buildings specifically designed for research, which should be prioritized for faculty, researchers, and graduate students. Buildings designed for mixed use should be prioritized for student support services requiring direct contact, and secondly for administrative staff and non-research employees only after suitable off campus alternatives have been exhausted.
Convenience for day to day operations should not trump research and education.



ACADEMIC SENATE, MERCED DIVISION
GRADUATE COUNCIL (GC)
KATHLEEN HULL, CHAIR

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October 23, 2014

To: Jian-Qiao Sun, Senate Chair

From: Kathleen Hull, Chair, Graduate Council (GC)

Re: GC comments on CAPRA's Space Principles

In response to DivCo's request, the Graduate Council reviewed the space principles drafted by the Committee on Academic Planning and Resource Allocation (CAPRA) in light of the serious space shortages faced by faculty, graduate students and researchers. During the council's discussion the following comments and questions were raised:

- In the first bullet point, by "all faculty" does CAPRA also include lecturers? Clarification on this point would be helpful.
- Members suggested that clarification or general guidelines are needed regarding how offices would be assigned to graduate students and if such space would be allocated to the school, graduate group or individual faculty members.
- Members are concerned that the allocation model proposed is primarily geared towards lab-intensive fields, so members suggested it would be helpful to use language more attentive to the particular to the needs of a discipline. Moreover, members noted that shared interdisciplinary space for graduate students (i.e., not necessarily tied to the building in which advisors had an office) might contribute to collaborative thinking among graduate students new to UC Merced. For bullet point #2 GC recommends revising as follows:
 - All graduate students, postdocs, and research staff should have a private desk in a shared office or other office accommodations in keeping within the needs of their specific discipline ideally in the same building as his/her major professor, main laboratory, or computational facilities.

- Members noted that it would be helpful to revise the last bullet point regarding the exhaustion of all off-campus alternatives to avoid any perception that administrative staff and non-research employees are not valued at UC Merced.

We appreciate the opportunity extended to opine.

Cc: Graduate Council
Division Council
Academic Senate Office



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October 29, 2014

**JIAN-QIAO SUN
CHAIR, DIVISION COUNCIL**

Re: UGC Comments on CAPRA Space Principles

At its October 22 meeting, UGC discussed the proposed Space Principles drafted by CAPRA. The most significant concerns raised at the meeting are the following:

We recommend revising the first sentence “Ideally, all UCM employees would have office and laboratory space on campus”. *Employees* is too broad a term, because it encompasses all staff (gardeners, chefs etc.). Some of these staff members certainly do need office space, but surely they do not need laboratory space; however, narrowing the focus to faculty and instructional staff would clarify focus here.

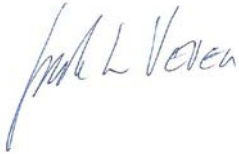
The first bullet states that “*all faculty* should have a private office and, as appropriate, laboratory and/or computational facilities on the main campus.” As written, this statement suggests to the reader that this includes Senate and Non-Senate faculty (or Unit 18 lecturers). The Council requests clarification on how faculty is defined here. Further, we would encourage the campus leadership to consider and address the severe shortage of office space for Unit18 Lecturers. Currently, all Non-Senate faculty share offices, with high-levels of variation in privacy and occupancy (from 2 to 6+). These issues can have a deleterious impact on teaching and learning, which is the exclusive focus of Unit 18 appointments. We note that Unit18 Lecturers deliver a significant portion of the undergraduate curriculum and thus are closely linked to undergraduate students’ experience and success. We encourage the campus leadership to provide private, on-campus offices to Unit18 Lecturers.

One of the most important sections of the document is the second bullet point: “All graduate students, postdocs, and research staff should have a private desk in a shared office ideally in the same building as his/her major professor, main laboratory, or computational facilities”. UGC notes that space for graduate students is a major campus issue. For example, for some SSHA disciplines, lab spaces are partly used for housing graduate students. Given the current space constraints, it is unclear how future faculty hires will be accommodated and if space will need to be consolidated or reconfigured.

With regard to Senate representation and participation, we urge the Senate leadership to encourage an adequate, active, and transparent Senate involvement and representation on all Space Committees.

Lastly, it is unclear how this document will be used, who the audience will be, and what actions will emerge once these principles are adopted. We encourage the Senate leadership to draft guidelines for space allocation and decision-making, and to provide an inventory and analysis of current space usage for both Senate and non-Senate faculty. This would help identify critical areas and optimize the use of available space, and would serve as a basis for future space allocations.

We thank you for the opportunity to opine.

A handwritten signature in blue ink that reads "Jack L. Vevea". The signature is written in a cursive style with a large initial "J".

Jack Vevea
Chair, Undergraduate Council

Cc: UGC Members
DivCo Members
CAPRA Members
Fatima Paul, Senate Assistant Director

Enclosures (1): Draft Space Principles

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October 31, 2014

To: Jian-Qiao Sun, Chair, Division Council

From: David C. Noelle, Chair, Committee on Research (COR)

A handwritten signature in cursive script that reads "David C. Noelle".

Re: CAPRA Space Principles

Per Division Council's request, COR has reviewed the space principles drafted by CAPRA.

COR agrees with the principles but suggests that space for visiting scholars and short and long term research academic visitors should also be planned at an appropriate ratio.

cc: COR members
Division Council members
Senate Office

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October 31, 2014

To: Jian-Qiao Sun, Chair, Division Council

From: Rudy Ortiz, Chair, Committee on Faculty Welfare, Diversity, and Academic Freedom (FWDAF)

A handwritten signature in black ink, appearing to read "R. Ortiz", is placed below the "From:" line.

Re: CAPRA Space Principles

At Division Council's request, FWDAF reviewed the space principles drafted by CAPRA. FWDAF endorses the principles and requests that individuals who assist with managing training programs and grants also be considered for allocation of office space.

cc: FWDAF members
Division Council members
Senate office

Draft CAPRA Proposal to Provost/EVC

1) an articulated strategy -- this document would specify the objectives, scope, and procedures for what has been accomplished thus far, plus the path forward. The path forward would include an articulation of the review (external, ad hoc by Senate committee(s), broader Senate) and refinement of thematic areas or "pillars". It would be specific about process and responsibilities and overall leadership, and provide a clear mechanism for Senate feedback. It would include an articulation of the broader support for the "foundation" and thus continuation and growth of existing program areas. It would articulate in broad numbers the total number of faculty lines dedicated to foundational vs. thematic areas. It would include an articulation of how foundational and thematic areas would be emphasized to help meet other goals (parity among schools, areas of growth for undergraduate enrollment and overall growth of graduate groups), and how these areas of expansion would be balanced against existing constraints (space, time, money). In effect, this strategy should provide the rationale and basis of a five year plan, and answer the question: where can we be in 2021 from an academic hiring perspective? (Note that this question could be expanded to include "want to be" and/or "should be", but in the interest of "focusing" I am leaving that discussion for some other time.)

2) a timeline -- this document would detail three separate windows of time: the immediate (next 3 months), the near-term (next 18 months), and the mid-term (next 60 months). The emphasis on the immediate term would allow CAPRA and others to prioritize efforts to engage in the review and refinement process (from above), the outcomes of which would feed into the planning for the next academic year in which -- presumably -- the first thematic areas would initiate cluster hires identified in the refined SAF process. These "first wave" activities would feed into the near-term timeline showing rough number of hiring lines by foundational area (School, Bylaw Unit, etc). The mid-term timeline would replicate this process in a staggered fashion, but allowing for failed searches, strategic hires, etc. and thus would necessarily be less detailed. Lastly, these timelines would overlay the buildout plan for the remainder of the 2020 project, so as to identify potential bottlenecks in space availability (among many such resources).

3) a repository -- this collection of documents (and data, including analytics, and summary numbers from hires, space allocations, etc) would build off of the data system now used to collect, store, and discuss proposed initiatives, but for the purposes of CAPRA could be amended to show how actual hiring parallels stated objectives from 1 & 2 above (and as refined in immediate, near-terms) to reality over the mid-term, such that in 2021 we will have the capacity to know whether we ended up where we thought we were going.