

COMMITTEE ON ACADEMIC PLANNING AND RESOURCE ALLOCATION (CAPRA)
ANNUAL REPORT
AY 2016-2017

To the Merced Division of the Academic Senate:

The Committee on Academic Planning and Resource Allocation (CAPRA) held a total of 16 regularly scheduled in-person meetings and conducted some business via email with respect to its duties as outlined in UC Merced's Senate Bylaw [II.IV.1](#).

While CAPRA conducted normal Senate business, much of the academic year was focused on CAPRA's continuing role in the Strategic Academic Focusing Initiative (SAFI) process, preparing for the review of requests for "foundational" (traditional, disciplinary, non-SAFI) faculty FTE lines from the schools and deans, and addressing space allocation issues. (For a history of the SAFI process and CAPRA's involvement, please see the [AY 15-16 CAPRA annual report](#).)

CAPRA also benefited from regular consultation with the Provost/EVC who attended several meetings this academic year.

Areas of Focus

Strategic Academic Focusing Initiative (SAFI)

In this academic year, four SAFI pillars prepared for faculty hiring in AY 17-18: Inequality, Power, & Social Justice (IPSJ), Sustainability, Human Health Sciences (HHS), and Adaptive & Functional Matter (AFM). A fifth pillar, Computational Science & Data Analysis (CSDA), went through the hiring process last year, and hired new faculty who began in AY 16-17.

In an effort to gauge how well the SAFI process is working with regard to the logistics of recruitment, CAPRA invited the steering committee and search committee chairs of the IPSJ, Sustainability, HSS, and AFM pillars to fall semester meetings to elicit their input on a variety of questions. CAPRA members held robust discussions with the pillar representatives, and the following concerns and themes were raised:

- faculty workload issues with regard to reviewing and ranking hundreds of applications

- the importance of establishing clear voting procedures before reviewing applications
- competing interests among the various disciplines in a given pillar and comparison of candidates that span several disciplines and more than one school
- impact of the proposed SAFI positions on the growth of majors
- the relationship between faculty growth and SAFI/cluster hiring and the future of foundational versus SAFI/cluster hires
- concerns over the allocation of faculty FTE lines to SAFI areas/clusters and confusion over which bylaw units future SAFI faculty hires will be assigned
- timeline of recruiting senior versus junior faculty candidates, as senior candidates have the flexibility to consider offers as late as the end of spring semester before committing to a position.
- Faculty-to-student ratios as a criteria in evaluating candidate applications

Foundational (Non-SAFI) FTEs

As it does each fall semester, CAPRA reviewed and revised its annual process and criteria for evaluating faculty FTE requests in preparation for FTE request review in spring semester. After making minor edits, CAPRA members submitted the revised criteria to the Provost/EVC for consideration on February 22, 2017. The Provost/EVC issued CAPRA's criteria as part of his own call for faculty FTE requests to the deans via email on March 21, 2017.

In April 2017, CAPRA reviewed the FTE requests and rankings it received from the schools and deans. At its April 18, 2017 meeting, CAPRA members finalized their recommended rankings and submitted to the Provost/EVC. On August 21, 2017, the Provost/EVC announced that there will be 14 recruitments for ladder-rank faculty positions, all assigned to specific disciplines, during AY 17-18.

A recurring theme with regard to the review of FTE requests is the short timeline provided to schools and deans, including the delay from the time CAPRA issues its review criteria to the Provost/EVC to the time when the Provost/EVC transmits it to the schools and deans. CAPRA held a frank discussion with the Provost/EVC on this issue and discussed ways to create a more feasible timeline moving forward. CAPRA prefers to give the schools and deans at least one month from the time they receive the Provost/EVC's call to formulate their FTE requests, as the units require sufficient time to meet, consult with the school executive committee, revise if possible, and submit to the deans, who, in turn, need enough time to rank the proposals. CAPRA also

acknowledged, however, the pitfall of issuing the call for FTEs too early: the call would be issued with no knowledge of how current searches are progressing, as decisions about the next round of faculty hiring depends on the current situation.

Space Planning and Allocation

CAPRA's other main function, in addition to advising the Provost/EVC on faculty FTE allocation, is space planning and allocation, and the committee took this role quite seriously this academic year as the campus progressed on its trajectory to 2020.

- **2020 Enrollment Projection**

Following committee discussions in which CAPRA members expressed concern over the lack of classroom seats for students beginning fall 2017 and to 2020, CAPRA undertook an enrollment projections project it nicknamed the "10K by 2020" project. The Provost/EVC was supportive of this endeavor and offered his support to the committee. A subcommittee of CAPRA held meetings with several key stakeholders including the school curriculum managers, Registrar's office, IRDS, 2020 Project team, VPDGE, VPDUE, VCSA, graduate group chairs, and the chairs of GESC and UGC. From information received from these collaborations, the CAPRA subcommittee created a draft model framework for all majors assuming the presence of 9,000 students in 2020. The model mapped this enrollment number to the buildings the campus will have by 2020, and analyzed the point in time where the campus will face significant challenges supporting this number of students. CAPRA members also discussed to what extent classroom size puts pressure on potential faculty hires; this model could tie in to the ongoing campus debate over SAFI and whether hiring through the SAFI pillars are serving the pedagogical needs of the campus.

The CAPRA subcommittee continued to meet during the academic year with stakeholders including IRDS, and came to the conclusion that the campus would benefit from an established process for enrollment and future growth instead of extrapolating numbers. The goal is to have one model and one set of projection numbers in order to place a framework around this large endeavor. Future policy decisions and recommendations would ideally flow from this central model.

At the end of spring semester, the Provost/EVC requested an understanding of the trajectory of faculty hiring over the past 8-10 years and map it to

undergraduate and graduate student growth, in order to examine the trajectory of growth for each bylaw unit. The CAPRA subcommittee will work with the Provost/EVC this summer on a model to distribute to CAPRA this fall.

- Space Planning and Allocation (SPA) board

In spring 2017, the Provost/EVC and the Special Advisor to the Chancellor issued a memo to the campus, announcing the empaneling of a campus space planning allocation board. The membership included the CAPRA chair and the Senate Chair, and CAPRA members benefited from hearing updates that were relevant to their role.

CAPRA emphasized to the Provost/EVC and SPA board representatives that bylaw 55 units should be more involved in the campus conversation around space and pointed out that some faculty are unwilling to forgo their laboratory space to those outside their research group in the absence of any discernible benefit.

CAPRA members appreciated meeting with Director of Space Planning and Analysis Maggie Saunders in spring 2017, where she requested from CAPRA members a list of “pain points” with regard to space on campus. CAPRA members related the following:

- Decisions about space are made at too high a level. It would be more efficient to allocate space to faculty groups, as they are the most informed to make more allocation decisions.
- Decisions about space seem to be made on an ad hoc basis and it is unclear who controls which space.
- Lack of transparency in the allocation of space. In the past, promises were made to some faculty about the types of space they would receive only for these assurances to be broken later. This has led to a lack of trust between faculty and those who make space allocation decisions.
- The campus needs to integrate space planning with academic planning. Space needs vary across disciplines.
- Space planning processes should have more accountability with decisions made in writing. The campus also need a process whereby it is public knowledge how space decisions are made and how that information is shared with the campus.

- Faculty Collaborative Space

At the end of spring semester, CAPRA and the Provost/EVC agreed to explore a joint endeavor whereby, faculty members would be allowed to submit proposals for the use of collaborative space in the 2020 buildings. Proposals would be reviewed by both CAPRA and the Provost/EVC with the latter making the final decision. CAPRA and the Provost/EVC will work together this summer with Director Maggie Saunders and Vice Chancellor of Research and Economic Development Sam Traina on obtaining the required data for available space and information on research units.

In August 2017, CAPRA consulted with Director Saunders and a representative from the international architectural and consulting firm Woods Bagot, in anticipation of the development of the 2020 project and backfill space allocation. CAPRA, as a key stakeholder, provided input to Director Saunders on ways to engage the faculty and graduate students. The committee expects to continue these conversations into the next academic year.

Modified Faculty Hiring Plan

The Provost/EVC recognized the ongoing and controversial debate over the SAFI process. While he stated his wish that the campus would allow itself to run the experiment for a full year before passing judgement, he expressed his willingness to revisit his faculty hiring plan and requested input from CAPRA. The Provost/EVC pointed out that his main concern moving forward is research space, rather than faculty offices, and he will have to conduct an intensive quantitative analysis of how space is currently being used. The lack of a plan for addressing space could pose an impediment to faculty recruitment; moreover, a continuing challenge in faculty recruitment is the most fair way to accommodate spousal hires and targets of opportunity hires.

In fall 2016, CAPRA submitted its proposed hiring plan to the Provost/EVC, Senate Chair, Division Council, Deans Council, and school executive committee chairs and added it to the agenda for the November 28 Meeting of the Division. Comments were received from UGC, D&E, and the Senate Chair.

In February 2017, the Provost/EVC issued to the campus his modified faculty hiring plan. The main component of the plan was that SAFI/cluster hiring would be scaled back in favor of increased foundational/bylaw 55 unit-oriented hiring.

Consultation with Administration

- University Librarian and AVC/CIO of IT.
CAPRA held a discussion with the University Librarian on the state of the Library's budget. The Library has been unable to support faculty requests (particularly those in the arts and humanities) for print and electronic monographs. In order to carry out the mission of Collection Services over the next three years, significant budget increases are required. The AVC/CIO of IT shared with CAPRA that much of the current A/V equipment in the campus buildings is now outdated and requires replacement. CAPRA sent a memo to the Senate Chair, stating its strong support for IT to be provided appropriate resources to further the research, teaching, and service mission of UCM faculty and to foster the learning and growth of students and staff.
- AVC for Enrollment Management Jill Orcutt.
AVC Orcutt provided input on CAPRA's "10K by 2020" project by suggesting the committee take a structural approach whereby the campus would drive student applicants into certain majors to relieve the pressure from impacted programs and majors.
- Office of Planning and Budget.
CAPRA members appreciated hearing budget updates throughout the year and providing its input on future campus budget processes. CAPRA raised the following issues, in response to the Budget Office's request for input:
 - budget decisions timeline, specifically, when budget decisions can be changed.
 - discussion on replacement faculty FTE lines and whether those replacements lines stay in the particular school.
 - complication of ledgers to track expenditures and the erroneous use of ledgers as a budgeting tool.
 - multi-year academic planning and the uncertainty surrounding how many instructors and academic staff support will be received.
 - clarity on budgets for hiring unit 18 lecturers.

- impact of the 2020 Project on the campus budget, and implications if the 10,000 enrollment target is not met.

CAPRA's feedback, as well as that of other campus stakeholders, was used to inform the faculty open forums that the Budget Office hosted in early spring semester 2017.

- School Executive Committee Chairs

The Senate Chair asked CAPRA to consider the need for and/or benefits of input by school executive committees on resource-related and planning aspects of the duties and responsibilities of CAPRA. CAPRA subsequently invited the chairs of the three school executive committees to meetings to consult with them on their priorities and expectations with regard to Senate consultation. Topics that were discussed included the uniformity of the role of the executive committees across the schools with regard to reviewing resource requests; a reexamining of the definitional elements and infrastructural issues as the Senate revises the academic program policy; the executive committees potentially playing a larger role in the review of faculty FTE requests, and the need for the Senate's deadlines connected to systemwide and campus wide review items to be more reasonable given the faculty's workload and other service commitments.

Representation on Campus Committees

- CAPRA had representation on the Campus Physical Planning Committee, the Enrollment Management Committee, and the Academic Degree Program Policy Working Group, and benefited from updates throughout the academic year.

University Committee on Planning and Budget (UCPB) updates

- The CAPRA chair represented the committee on UCPB and kept CAPRA members updated on topics raised by this systemwide committee. The major topics of discussion on UCPB this year were self-supporting graduate degree programs, PDST, AY 17-18 budget, rebenching numbers, non-resident tuition, funding streams, and capital plans.

Campus Review Items

- The SSHA executive committee requested input from the Senate on the jurisdiction of Senate FTE lines. At the request of the Senate Chair, CAPRA took

the lead in responding. In its memo, CAPRA recommended that if the loss of an FTE line is due to the denial of tenure, then that line should remain with the unit and no justification should be necessary. For other FTE line losses (separation, retirement), a process should be established between the school dean, bylaw unit chair, or undergraduate chair of the affected program that includes written justification and an appeals process.

- CAPRA opined and made several suggestions for revisions on the proposal to establish a General Education program, and the proposal to create a Management Analytics and Decision-Making minor.
- CAPRA endorsed the following: Philosophy major proposal; the Critical Race & Ethnic Studies major proposal; the School of Engineering proposal to create five new bylaw units; the QSB Proposal for Concentration in Molecular and Cell Biology; the English Honors program proposal; committee membership guide; revised Honors Task Force report, and the revised Heritage Studies minor proposal.

Systemwide Review Items

CAPRA endorsed the proposed revisions to APM 285, 210, 133, 740 pertaining to the re-designation of the L(P)SOE title to “Teaching Professor”, and the proposed revisions to the G-28 travel policy to make them more-family friendly.

Respectfully submitted:

CAPRA members:

Mukesh Singhal, Chair (SOE) – UCPB representative.

Mike Colvin (SNS)

Jessica Trounstine (SSHA)

Kurt Schnier (SSHA)

Student Representative:

Katie Butterfield, Graduate Student Representative, GSA (fall 2016)

Senate Staff:

Simrin Takhar