

**COMMITTEE ON ACADEMIC PLANNING AND RESOURCE ALLOCATION (CAPRA)
ANNUAL REPORT
AY 2017-2018**

To the Merced Division of the Academic Senate:

The Committee on Academic Planning and Resource Allocation (CAPRA) held a total of 19 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](#).

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

Areas of Focus

Academic Planning and Faculty Hiring

As is traditional, one of CAPRA's main functions is to review faculty FTE requests for the following academic year as submitted by both bylaw units and deans, and to make recommendations for FTE allocations to the Provost/EVC. However, CAPRA's process for review this year was influenced by a campus academic planning initiative spearheaded by the Chancellor.

In August 2017, the Chancellor held a governance retreat with members of the administration and with academic leadership (including Division Council members). The result of the retreat was the identification of three main areas of focus for the campus: academic planning, academic reorganization, and budget. Working groups were empaneled for each of these foci, and were comprised of faculty and administrators. CAPRA benefited by having one of its committee members on the Academic Planning Work Group (APWG), and this committee member kept CAPRA informed of the work group's discussions throughout the year.

In a memo to the faculty in October 2017, the Senate Chair and the Provost/EVC clarified that the APWG was tasked with determining what faculty resources are needed to meet the educational needs of 10,000 students, so that the regular planning groups (Deans, School Executive Committees, CAPRA) have parallel information on which to base their recommendations and decisions. For CAPRA, this meant that the committee's criteria for the evaluation of faculty FTE requests would be informed by developments on the APWG. However, CAPRA members agreed – as it has done for the past several years – that the FTE request process should occur on an earlier timeline so that disciplines that begin recruitment as early as the summer should not be disadvantaged in the faculty hiring process.

Given the proximity of the deadlines for bylaw units to submit their academic plans to the APWG, and their requests for AY 18-19 faculty FTEs to CAPRA, there was understandably a

need for clarification on what this year's faculty FTE requests should contain. After consulting with CAPRA, the Provost/EVC clarified that bylaw units' AY 18-19 FTE requests should simply be an articulation of how they envision carrying out the first year of the growth plan contained in their previously-submitted academic plans.

In October 2017, CAPRA members held discussions on the timeline of the call for FTE requests for AY 18-19 faculty hiring and how best to align the timeline with the functions of the APWG. The committee proposed a timeline that suggested the Provost/EVC would issue CAPRA's criteria for the evaluation of FTE requests to the deans and faculty by the first of December 2017, and the deadline for deans to submit their own and their units' FTE requests to CAPRA and the Provost/EVC would be approximately the first of February 2018. Ultimately, the actual timeline did not adhere exactly to this aspirational plan, however, CAPRA was pleased that the Provost/EVC's call for FTE requests was issued to the deans in early-January 2018, which gave the deans and school executive committees more time than last year to prepare their requests.

In the aforementioned statement to the deans in January 2018, the Provost/EVC announced that he anticipated authorizing approximately 15-20 new faculty recruitments. At its March 12, 2018 meeting, after approximately one month of review and discussion, CAPRA members finalized their recommended FTE rankings and submitted them to the Provost/EVC on March 14. On April 10, 2018, the Provost/EVC issued to the deans his decision on the allocation of AY 18-19 faculty FTE lines.

Throughout the year, the Provost/EVC consulted with CAPRA on a variety of other faculty-related issues. These additional topics of discussion included how to expand diversity among the faculty; enrollment pressures with regard to faculty teaching workload; strategies for closing the UC faculty salary gap given the campus budget constraints and ad hoc faculty retention requests; and resources for the future General Education program, specifically, whether compensation for teaching Spark seminars as an overload will be allocated beyond one year.

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. As the campus is just two years away from the completion of the 2020 Project building phase, the committee paid keen attention to space updates and the effect on faculty.

This year, the campus identified UCM Director of Space Planning Maggie Saunders, as well as Ms. Jo Dane and Ms. Leslie Ashor from the Woods Bagot firm to assist with the design of strategic space plans, re-examining all space allocation on the existing campus, as well as new space becoming available as part of the 2020 project. Saunders, Dane, and Ashor met with several groups of faculty, including Senate committees, to elicit input on the space requirements unique to certain research areas as well as interdisciplinary projects. In their consultation with Director Saunders, CAPRA members advocated for more ownership of space at the

unit/department level, as the faculty are in the best position to know which colleagues are using their space efficiently. CAPRA members were also interested in the adjudication process and what happens if the campus is faced with a situation where there is not enough offices for the number of new faculty members that units/departments want to hire.

CAPRA also benefited from having a representative on the Space Planning & Allocation Board, and this committee member kept CAPRA members updated throughout the year.

Consultation

Chief Financial and Administration Officer Veronica Mendez

CAPRA members appreciated hearing budget updates throughout the year and providing its input on future campus budget processes. Topics of discussion with CAPRA included operating budgets, activity-based costing report, preliminary budget review, the implications for the UC of the Governor's proposed state budget, and forecasted revenues and expenditures for fiscal year 2018.

Since Mendez, along with a member of CAPRA, was a co-chair of the aforementioned Budget Work Group (BWG), CAPRA often took the opportunity to discuss BWG's updates during these consultations. The BWG, one of the three work groups empaneled by the Chancellor as a result of the summer 2017 governance retreat, was tasked with addressing three areas in the following order of priority: development of an instructional budget, development of a campus budget policy, and revenue-generating programs. In spring semester 2018, the BWG issued a draft carry forward policy governing faculty incidental funds for Senate review. The main component of the policy was the proposed \$9,000 cap on total accumulated incidentals funds. (CAPRA's position on the policy are summarized later in this report under "Campus Review Items".) The BWG continues to work on a proposed, instructional budget model and TA allocation model which will be implemented as a test phase, to allow for additional analysis and modifications. The BWG also began discussing the allocation of indirect cost returns and the transparency of the allocation process.

Senate Committee on Research (COR)

The COR chair attended a CAPRA meeting in fall 2017 to explore the possibility of a joint effort in communicating faculty funding needs to the administration, as COR had been discussing in their meetings the acute challenges faced by faculty members caused by the lack of adequate discretionary funding for research. CAPRA members fully agreed with the crisis situations caused by the lack of bridge and discretionary funding for faculty and believed a case could be made to the Provost/EVC to make available such funding, especially given that faculty retention problems have arisen over this issue. At the end of the fall semester 2017, the COR and CAPRA chairs issued a collaborative memo to the campus Budget Working Group, bringing to the

Group's attention the problems arising from the lack of adequate discretionary research funds for faculty to tap into at times of need. CAPRA also agreed that COR should issue a memo to Vice Chancellor for Research and Economic Development (VC-ORED) Sam Traina with regard to extramural funding indirect costs return, specifically, that if some portion of indirect cost returns is currently being used for purposes other than faculty research, the VC-ORED is encouraged to find a way to redirect the funding so as to address, at least partially, the need for discretionary research funds to support faculty research programs when unexpected contingencies arise.

Academic Reorganization Working Group Co-chairs

The Academic Reorganization Work Group (ARWG) was the third Senate-Administrative work group established by the Chancellor this academic year. The ARWG was tasked with developing a campus-level proposal for the most effective and efficient administrative structure for academic units within the three schools, to provide estimates of budget implications for the new structure, and to define overall responsibilities of the new academic leadership positions (e.g. chairs) under the new structure.

As CAPRA did not have a representative on this work group, and therefore was not privy to the work group's business, the committee invited the work group's co-chairs to a CAPRA meeting in spring 2018. CAPRA members were interested in the future role of graduate group chairs and undergraduate program chairs under a potential departmental structure, as well as department chair compensation. In spring 2018, the ARWG submitted their proposal for campus review. The proposal, whose main recommendations included the campus-wide creation of department chairs and additional staff support to assist the departments, was also reviewed by Senate committees. CAPRA's comments on the proposal are described later in this report under Campus Review Items.

Representation on Campus Committees

CAPRA had representation on the Academic Governance Cabinet, Space Planning Allocation Board, Academic Planning Working Group, Budget Work Group, 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 rebenching, faculty salary inequities and salary scales, self-supporting program proposals, faculty retirement and health benefits, and implications of enrollment growth.

Campus Review Items

- CAPRA reviewed and endorsed:
 - Proposed revisions to Division bylaws to establish a Reserve CAP.
 - Proposal to create a Department of Computer Science & Engineering in the School of Engineering. CAPRA endorsed the proposal but noted the lack of a

reference to a specific amount of compensation for the chair or undergraduate chair.

- Proposal to establish a program of graduate studies in Bioengineering. While CAPRA viewed the proposal positively, it highlighted issues including future plans to institutionalize the Center, additional resources to support the Bioengineering graduate program, anticipated growth in faculty numbers, and questions about space commitment.
- Proposed policy on Assurance of Laboratory Safety Compliance. While the committee endorsed the policy, members were concerned with the authority placed on bylaw unit chairs for ensuring compliance of the policy.
- Political Science Honors Program proposal. CAPRA endorsed the proposal, but had a question about faculty course credit.
- Proposal to create a minor in Management Analytics and Decision-Making in the School of Engineering. The committee supported the implementation of this minor insofar as there would be no additional resource demands for the next five years.
- Professional Degree Supplemental Tuition proposal for the Master of Management program within the new Management of Innovation, Sustainability, and Technology graduate group in the School of Engineering. Following consultation with the proposal's lead authors, CAPRA judged that that proposal should move forward in the approval process.
- CAPRA reviewed and withheld endorsement pending requested revisions:
 - ARWG proposal. CAPRA appreciated the report, but highlighted the following issues: 1) the campus's priority with regard to allocating new staff resources required under the proposed departmental structure over other competing resource needs; 2) whether the campus will provide the resources needed to cover the projected total amount of compensation that will be allocated to support department chairs, undergraduate chairs and graduate chairs; 3) when would department chairs receive annual budgets which possess all of the requisite budget details to facilitate long run planning as well as space; and 4) various questions regarding stipends, including the authority in determining the amounts, and transparency in the process.
 - Proposal to establish a program of graduate studies in Materials and Biomaterials Science and Engineering. CAPRA was concerned over financial support and resources for future students, space for future graduate students, and resources required to support computing needs of this program.
 - Proposal to establish a program of graduate studies in Management of Complex Systems. CAPRA recommended that the proposal identify more concrete distinguishing features to meet the enrollment targets, appropriate growth in faculty numbers, and support of doctoral students.
 - Carry forward policy. CAPRA generally approved of the proposed policy, but asserted that for faculty who do not receive \$3,000/year in incidental funds the

carryforward policy should allow for accumulation of funds beyond 3 years. CAPRA also recommended that the policy is equitable across schools, and, asked for clarity on the expectation of total funds that will not be distributed and potential targets of spending.

- Proposed revisions to Section Part II, Section 4 of the Division Regulations to establish an Honors program. CAPRA approved of the proposed revisions but requested additional language that states that CAPRA, in addition to UGC, review all proposals for honors programs due to the resource implications.
- Proposal to reconstitute the Humanities & World Cultures bylaw 55 unit in SSHA into four new departments. CAPRA generally agreed with the elements of the proposal, but was concerned about appropriate compensation for future department chairs and developing long-term plans for supervising and mentoring non-Senate lecturers in a sustainable manner.
- Revised Incentive Plan for Revenue Generating Master's Degree Programs. CAPRA maintained its position from the last academic year that the proposal has some positive elements; however, the revised proposal did not address CAPRA's concern about the revenue-generating Master's program unduly impacting the resources of undergraduate programs. CAPRA was also concerned about the attempt to grow Master's programs without allocating additional faculty for this purpose.
- Interim Policy on Expressive Activities and Assembly: Protests, Demonstrations, Non-University Speakers and Posting on Campus and in University Facilities. CAPRA withheld endorsement pending revisions to the policy including 1) policy should clearly state who is responsible for assisting students in providing an estimation of security costs (and any additional event costs) for inviting speakers to campus; and 2) policy should articulate the process by which student event proposals are evaluated and approved.
- Proposed Revisions to MAPP 4010 – Academic Student Employees. CAPRA suggested flexibility with regard to departments/units appointing Teaching Fellows in the academic year in addition to summer session.
- Value to UCM Assessment (faculty retention document as drafted by the Provost/EVC). While CAPRA appreciated the effort to create a systematic approach to faculty retention situations, the committee had several concerns with the proposed procedures: 1) it is unclear where the funds for successful faculty retention efforts will come from, and CAPRA recommended that such funding be considered in the overall campus budget process; 2) the document should read more as a list of reasons why the campus *should* make retention offers, rather than a list of reasons why faculty should *not* be retained; and 3) CAPRA recommended that the campus consider faculty retention in a proactive manner by attempting to prevent retention situations from occurring.

Systemwide Review Items

- CAPRA reviewed the endorsed the following:
 - Proposed Presidential Policy on Open Access for Dissertations and Theses.
 - Taskforce Report on the Negotiated Salary Trial Program. CAPRA supported the taskforce's recommendation that the program be extended for another four years.

Respectfully submitted:

CAPRA members:

Mukesh Singhal, Chair (SOE) – UCPB representative.

Jessica Trounstine, Vice Chair (SSHA)

Mike Colvin (SNS)

Kurt Schnier (SSHA)

Student Representatives:

Ashley Valle Arevalo, GSA

Levi Martin, ASUCM

Senate Staff:

Simrin Takhar