

**COMMITTEE ON ACADEMIC PLANNING AND RESOURCE ALLOCATION (CAPRA)
ANNUAL REPORT
AY 2018-2019**

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](#).

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 departments and deans, and to make recommendations for FTE allocations to the EVC/Provost. While CAPRA carried out this function again this year as mentioned later in this report, the committee's process was informed and influenced by the campus's re-envisioned academic planning initiative.

Early in fall 2018, EVC/Provost consulted with CAPRA on ways to integrate the multiple committees and overlapping planning activities on campus in order to form one, coherent, academic planning initiative that would encompass multi-year budget planning and faculty hiring. The goal of such an initiative is to establish a predictable, stable, and transparent academic budget and planning process that would be developed by departments and roll up to the School and University levels. CAPRA was in agreement that the committee should, in the future, only evaluate whether Schools and ORUs are making efficient use of their resources from an institutional perspective rather than making recommendations on the allocation of specific FTE lines.

One of the first projects CAPRA undertook this academic year was to collect and analyze historical data on faculty hiring with the goal of advising the EVC/Provost on reserving a certain percentage of faculty FTE lines to use for hires outside the normal recruitment process. To arrive at a percentage of recommended target of opportunity hires and spousal hires, CAPRA obtained data from the office of Institutional Research and Decision Support (IRDS) on student to faculty ratios in each major over time. In conjunction with D&E and FWAF, CAPRA ultimately recommended that the EVC/Provost reserve 20% of the next 100 faculty FTE lines for target of opportunity hires and spousal hires. CAPRA also recommended that the EVC/Provost develop a transparent procedure for the allocation of these faculty FTE lines.

An important development this academic year that affected CAPRA was the reconstitution of last year's campus Academic Planning Working Group (APWG). Co-chaired by the EVC/Provost and the CAPRA Chair, the APWG was tasked with three goals:

- 1) Develop a set of aspirational goals for the campus that will enable fulfillment of a UC-level research mission (achievement of R1 status), and that will guide, at the institutional level, multi-year academic planning and resource allocation as the campus moves into the post-2020 Project period;
- 2) Develop criteria, quantitative and qualitative, to evaluate the campus's efforts in meeting these institutional goals and to guide multi-year academic resource allocations that are predictable and sustainable;
- 3) Develop a process for conducting multi-year academic resource requests that appropriately involves and empowers existing Senate review structures (i.e., school ECs, CAPRA).

The APWG formed three subcommittees (Criteria, Process, and Strategy) to execute these goals and held a series of faculty town halls to elicit faculty feedback on reaching R1 status and the utility of using Carnegie indices. Ultimately, the APWG identified three broad indices: 1) producing UC quality scholarship, 2) deliver a UC quality education, and 3) maintain diversity in both breadth of programming and in terms of equity and inclusion.

Through updates from CAPRA chair Trounstine, CAPRA members remained informed on how the committee's role will change in the next few academic years from making recommendations to the EVC/Provost on FTE line allocation to that of evaluating use of resources from an institutional perspective.

The aforementioned academic planning initiative will come to fruition beginning AY 2020-21. For the next academic year, however, CAPRA and the EVC/Provost conducted the traditional process of evaluating FTE requests as submitted by the departments and deans. On December 7, 2018, CAPRA distributed to EVC/Provost Camfield its process and criteria for the evaluation of FTE requests. In that document, CAPRA requested a submission deadline of February 15, 2019. At its March 7, 2019 meeting, CAPRA conducted its final rankings of the faculty FTE requests. On March 11, CAPRA transmitted its rankings and recommendations to the EVC/Provost.

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. The committee was kept informed on space

planning in the context of the 2020 project through consultation with Director of Space Planning & Analysis Maggie Saunders.

The campus space allocation plan for new 2020 space and backfill space was issued to the campus by the EVC/Provost in fall 2018. Director Saunders subsequently met with a variety of Senate committees, including CAPRA, to clarify components of the proposed plan.

While CAPRA appreciated updates on 2020 space, the committee was equally interested in the numerous backfill space projects especially since the projects affect faculty recruitment. The backfill projects include nearly all campus buildings, including the Academic Office Annex, all floors of Kolligian Library, both Classroom & Office buildings, and both Science & Engineering buildings. CAPRA's primary concern was that faculty members not be compelled to move until their new laboratory space is ready. The committee also suggested that backfill space plans be made transparent to the campus community.

CAPRA's role in space planning is being shifted to earlier in the planning process.

Consultation

Assistant Vice Chancellor of Financial Planning & Analysis Romi Kaur

Throughout the academic year, CAPRA members discussed ways in which the committee's role will change in the future once a comprehensive academic budget planning process is established. To inform these discussions, the committee appreciated the regular campus budget updates provided by AVC Kaur who emphasized to CAPRA that budget planning needs to be integrated with academic restructuring and academic planning.

The academic budget planning process was envisioned to occur in two phases beginning this academic year and going to academic year AY 2021-22 and beyond. The first phase implementation should have a complete picture of the permanent and temporary instructional salary budget at the School and department levels. The second phase seeks to implement a "Fall Planning Cycle" starting in fall 2018 to develop an AY 2019-20 academic budget based on the curriculum, and, over the next three academic years these curriculum-based budgets will be used to provide budgetary transparency in the Schools and to facilitate the transition to a sustainable campus-wide budget model.

CAPRA members also discussed the following issues with AVC Kaur:

- Funding issues related to the 2020 project
- Projected costs of moving faculty members into 2020 buildings and backfill space
- 2018 year end financial review

- Unmet needs on campus that would benefit from funding under a possible General Obligation bond on the next election ballot. While other UC campuses may prioritize seismic retrofitting, CAPRA suggested to AVC Kaur and to EVC/Provost Camfield that UC Merced's main needs are 1) research laboratory space, specifically psychology laboratories; 2) instructional space; 3) space for student clubs; and 4) Library resource
- Proposed graduate funding model. Both AVC Kaur and Senate Chair Schnier consulted with CAPRA on a model they originally presented to the Graduate Council.

IRDS

IRDS staff proved to be a valuable partner for CAPRA this academic year as the committee sought data and criteria needed to analyze the campus's attainment of R1 status within the context of academic planning. IRDS staff provided to CAPRA an analysis of indices of research activity and also discussed with CAPRA members R&D expenditures in science and engineering, R&D expenditures in non-science and engineering fields, and comparison data related to other campuses reaching R1 status. This information was later shared at a Division Council, for the benefit of all Senate committees.

IRDS also routinely responded to CAPRA members' ad hoc data requests during the academic year such as number of student credit hours per faculty member. This information aided CAPRA's recommendations to the EVC/Provost regarding FTE allocation for the next academic year.

Senate Library & Scholarly Communications (LASC) committee

After reviewing the campus space allocation plan, and noting that additional Library space was not accounted for in the 2020 project, LASC and CAPRA collaborated on a memo to the Senate Chair that identified the Library's growth needs as the campus seeks to attain R1 status. The memo asserted that nationally, R1 research universities provide greater than 20 square feet of library space per student FTE (LS/FTE). UC Merced, on the other hand, provides only 9.95 square feet of LS/FTE. To bridge half the gap between UC Merced's current square footage of LS/FTE and the typical R1 allocation requires an additional 50,000 square feet of Library space. For example, UC Merced's nearest UC peer, Santa Cruz, currently provides 13.33 square feet of LS/FTE, an allocation that UC Merced should aspire to equal if not surpass. The memo also reiterated that the Library is an academic unit that is critical to supporting and advancing the learning, teaching, and research needs of faculty and students.

Space Planning & Analysis

As mentioned above, CAPRA was kept informed on 2020 space and backfill space issues through consultations with Director of Space Planning & Analysis Maggie Saunders.

Representation on Campus Committees

In addition to the APWG, CAPRA also had representation on the reconstituted campus Budget Working Group (BWG). The BWG was broadly tasked this year with developing an instructional budget policy (academic budget planning), campus budget policy (carry forward policy), and revenue-generating programs. CAPRA's representative on the BWG updated the committee throughout the year on the major topics of discussion: indirect cost return policy, salary recovery policy (which was issued to the Senate for review as mentioned below), Library funding model, and Summer Session and Extension planning.

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 the development of a multi-year budgeting process and the development a set of policies for evaluating self-supporting graduate programs.

Campus Review Items

- CAPRA reviewed and endorsed:
 - proposal to change the working title of L(P)SOEs to Teaching Professor
 - proposal from Social Sciences & Management academic unit to change name to Economics & Business Management
 - proposal to create a concentration in Ecology and Evolutionary Biology in the QSB graduate program

- CAPRA reviewed and commented on:
 - proposed department chair duties document as drafted by the Transition Oversight Committee
 - Academic Planning Working Group report
 - Draft salary recovery policy
 - Draft ORU policy as generated by the Senate Committee on Research
 - UC Merced Extension Online/Distance Education Version of the Teacher Preparation Program, Multiple Subject Credential and Single Subject Credential
 - space planning documents submitted by the EVC/Provost: Space Allocation and Assignment: Definitions, Process and Standards and Office of Space Planning's Role in the Faculty Hiring Process

- Proposed B.S. degree program in Economics
- Proposed honors program in Psychological Sciences
- Draft policy for the Establishment of New Schools/Colleges
- proposed space planning principles drafted by the Space Allocation and Planning Board in 2017 and submitted to the Senate for review by the EVC/Provost this academic year
- proposed revisions to Senate Bylaw II.IV.4.A regarding LASC membership
- University Extension Proposal - Non-Degree Certificate Program in Child Development and Care

Systemwide Review Items

- CAPRA reviewed and endorsed:
 - Proposed Revisions to Investigation and Adjudication Frameworks for Senate and Non-Senate Faculty and for Staff and Non-Faculty Academic Personnel under the Presidential SVSH Policy

- CAPRA reviewed and commented on:
 - proposed revisions to Senate Bylaw 336 which changes the way in which divisional P&T Committees currently operate with regard to disciplinary cases of sexual violence and sexual harassment
 - Presidential Taskforce on Universitywide Policing Policies

Respectfully submitted:

CAPRA members:

Jessica Trounstine, Chair (SSHA) – UCPB representative

Patti LiWang, Vice Chair (SNS)

Anne Kelley, Senate Vice Chair (SNS)

Mukesh Singhal (SOE)

Reza Ehsani (SOE)

Kathleen Hull (SSHA)

Student Representatives:

Sona Garsevanyan, GSA

Stevan Colin, ASUCM

Senate Staff:

Simrin Takhar