To: Dean Maria Pallavicini, School of Natural Sciences
Dean Dan Hirleman, School of Engineering
Dean Mark Aldenderfer, School of Social Sciences, Humanities and Arts
Dean Sam Traina, Graduate Division

From: Keith Alley, Executive Vice Chancellor and Provost

Subj.: Call for School Academic Plans

Date: November 5, 2010

I would like to briefly recap the FTE allocations that have been forwarded to the Schools for searches to be carried out during the 2010 – 2011 academic year. There are a total of 22 searches that have been allocated to the Schools as either new or replacement FTE for individuals who have resigned or retired. Of these 22 positions 9 are senior level or open searches that we hope will bring additional senior academic leadership to the campus. These do not yet include the Strategic Investment lines that hopefully will be released in the next few weeks with a broad call to the Schools. In addition, we have picked up the salary support for 4 current members of the faculty who have been supported by the UCOP presidential postdoctoral program for the past five years.

As you know, last year we reinitiated the process of academic planning using a rolling three year planning horizon rather than the year to year approach of prior years. Although our current agreement with the Office of the President extends only to 2013, I am hopeful that the rolling three year agreement with OP will be extended year-by-year in response to the State budget. Therefore, I would like to continue our three year planning horizon by extending the planning period to include the 2011-2012 to 2013-2014 academic years. Positions that were proposed in any of the three years and have not yet been authorized can be reprioritized along with the new positions that may be requested in the third year. At least for now the expectation is that the allocation of faculty lines in year three will continue to be approximately 17 new lines, but this depends to some extent on the number of retirements or resignations that will also need to be backfilled in any year. Nonetheless, I would propose that we continue to use that number as well as the School distribution laid out last year in your future planning discussions.

I realize that this does not close the student to LRF ratio. Should there be positive alterations in our budget in the coming year we will clearly look at the possibility of allocating additional faculty lines. As in the past couple of years, the number of LRF that we can recruit is also impacted by the availability of laboratory and office space as well as the size of the startup fund pool that can be culled from the operational budget of the campus. In addition, the actual

allocations in the out years will be subject to continued financial agreements with the Office of the President that will be part of our rolling three year plan with them.

By this notice I am asking that each School begin preparing an Academic Plan for the years 2011-2014 using the following annual FTE allocations as the starting point: SSHA-7 per year; SOE-3 per year; SONS-5 per year. In addition to the normal consultation and planning process within the Schools, I am asking each dean to consult with the Graduate Groups for which they are the lead Dean and with the leadership of the established or proposed ORUs. I am hopeful that your plans would, when the possibility and need exists, address the issue of senior hires that will provide additional leadership on the campus. Although you have broad license on how your plan is tailored, each plan must include the following elements:

- an evaluation of research opportunities that will add critical strength to existing research programs that will be vital to our future as a research university.
- an assessment of each position's importance to supporting existing graduate and undergraduate programs.
- an analysis of how the FTE will be used to support the principles and delivery of the general education curriculum.
- a detailed assessment of the space needs for each of the FTE and any plans that will allow current allocated laboratory space to be used to accommodate additional hires.
- an assessment of the need for senior leadership.

Since each School provided copious documentation last year I would ask that you each limit your submission to no more than 20 pages.

Per our normal process I will consult with CAPRA as we move forward with the final allocations of FTE. For your information I have enclosed a copy of the committee's criteria for evaluating School plans.

Plans will be due in the Office of Academic Affairs by February 1, 2011.

cc: Steve Kang, Chancellor
Evan Heit, Chair, Divisional Council
Shawn Kantor, Chair, CAPRA
Budget Office

UC Merced CAPRA (Committee on Academic Planning and Resource Allocation)
Guiding Criteria for Evaluating Academic Plans from Schools and Graduate Groups

CAPRA expects that annual requests for faculty resources will emanate primarily from the faculty in schools, graduate groups, and research institutes. The Academic Plans that are reviewed by the Provost and CAPRA should be the result of periodic updating of each academic unit's long-term Strategic Plan. CAPRA requests that the Academic Plan be concise and focused on specific requests and their justifications. For example, relatively established academic areas, tied to an undergraduate major or graduate group, are not expected to submit long, general descriptions of their disciplines to CAPRA. Nor is it necessary to describe very long-term strategic aims not related to current resource requests. Note that each school, graduate group, and institute should continue to update and refine its full Strategic Plan, and these long-term plans should be accessible to CAPRA. The Academic Plans should briefly indicate the nature of the faculty/administration consultation that took place to produce the document and describe the voting process.

In addition to the verbiage of the Academic Plan, CAPRA requests that each school submit four tables delineating the nature of its FTE requests: (1) prioritized FTE requests for the 2011-2012 academic year; (2) prioritized FTE requests for the following two academic years; (3) instructional obligations of the School's faculty, by majors and/or graduate group; and (4) a table documenting proposed space needs. (See Appendices 1-4 for examples.) The tables should be consistent with each other and the text of the Plans. Note that multiple positions may be assigned to the same priority level (e.g., 1st, 2nd, 3rd tier).

Each school may format its Academic Plan in whatever style is suited to its needs, as long as it provides CAPRA with the necessary information to ensure effective understanding of FTE and space requests across the campus. It is expected that schools' planning documents will address realistic resources needed to attract and accommodate new FTEs and the future growth of their activities, including estimates of: cost of startup packages; laboratory space requirements; office space needs of associated research staff and graduate students; or special infrastructure needs (library holdings, IT, central facilities, animal room, clean room, fume hoods, heating/cooling, electrical, regulatory compliance staff, etc.)

Justification for Prioritization

The Academic Plans should include text justifying the FTE requests in terms of their support of research programs/graduate groups and undergraduate majors. To provide CAPRA with insights into the request, the Plan should discuss how the requested FTEs will:

1. Support graduate groups and research. How is the School balancing the need for critical mass in specific areas against the desire to expand its academic expertise and offerings? The Plan might discuss the need to teach *essential* courses in the programs, the proposed timeline for applying for CCGA approval (if not yet completed), plans to achieve international excellence and how this will be assessed, and current and estimated future student demand for graduate programs.

2. Support undergraduate majors. How is the School meeting its current and forecasted student demand (both majors and courses provided to non-majors). As appropriate, include an estimates of the number of faculty needed to create a viable major, discussion of *essential* courses not being currently taught, the role of lecturers in the current programs, as well as plans to achieve excellence and how this will be assessed (including accreditation issues, if relevant).
3. Support cross-school or interdisciplinary programs or research, as appropriate.

Finally, the Academic Plan should address how the requested FTEs have been shaped by the current availability of faculty and space resources. For example, are there perceived imbalances in the use of non-ladder-rank instructors, a disproportionate number of tenured versus untenured faculty, or limited research space that has shaped the nature of the FTE request?

Replacement positions due to resignations or retirements should be listed separately and a justification for their reauthorization should be included.

The Committee's Recommendations

CAPRA will place heavy emphasis on prioritized FTE requests voted on by the faculty and justified by the Academic Plans of the schools and associated graduate groups. In addition, CAPRA's recommendations to the EVC/Provost regarding new faculty lines will consider other information as well, including: availability of resources; consistency of a School's FTE request with that of other Schools, graduate groups, or institutes; other campus-wide strategic initiatives; status of ongoing searches; balance of tenured versus untenured faculty; balance of faculty across schools; student enrollment; and faculty workload.

Revised November 4, 2010

CAPRA: Shawn Kantor (Chair)
Wolfgang Rogge (Vice Chair)
Anne Kelley (Vice Chair of Division)
Chris Kello (GRC)
Susan Amussen (UGC)
Evan Heit (ex-officio)

Appendix 1**: Sample Table of Requested FTEs**

Table of Requested FTEs, Year 1 of 3 Year Rolling Plan

EVC Targets: Number of Positions: _____, Total Startup: _____, Total Space:_____

Priority	Name of Position	Level (Lecturer/Assistant/ Associate/Full)	Primary Major Contribution (current or planned)	Secondary Major Contribution (optional)	Primary Graduate Group	Secondary Graduate Group (optional)	Estimated start-up costs	Estimated Space needs	Special needs and strategic considerations, if any
examples									
=1	Latin American History	Associate/Full	History	Literature	World Cultures		$XX-YYK	office	
=1	Biological Anthropology (cross-unit with Nat Sci)	Assistant	Anthropology	Biology	World Cultures	QSB	$XX-YYK	office + XYZ sq ft lab	needs vivarium space
=1	Health Psychology	Full	Psychology		SCS		$YYK	office + XYZ sq ft lab	could contribute to medical school planning
=4	Applied Microeconomics (Health)	Associate/Full	Economics		SCS	Applied Math	$YY-YYK	office	
=4	Languages	Lecturer						office	must be on campus

Appendix 2

Table of Requested FTEs, Year 2 & 3 of 3 Year Rolling Plan

EVC Targets: Number of Positions: _____, Total Startup: _____, Total Space:_____

Priority	Name of Position	Level (Lecturer/Assistant/ Associate/Full)	Primary Major Contribution (current or planned)	Secondary Major Contribution (optional)	Primary Graduate Group	Secondary Graduate Group (optional)	Estimated start-up costs	Estimated Space needs	Special needs and strategic considerations, if any
examples									
=1	Latin American History	Associate/Full	History	Literature	World Cultures		$XX-YYK	office	
=1	Biological Anthropology (cross-unit with Nat Sci)	Assistant	Anthropology	Biology	World Cultures	QSB	$XX-YYK	office + XYZ sq ft lab	needs vivarium space
=1	Health Psychology	Full	Psychology		SCS		$YYK	office + XYZ sq ft lab	could contribute to medical school planning
=4	Applied Microeconomics (Health)	Associate/Full	Economics		SCS	Applied Math	$YY-YYK	office	
=4	Languages	Lecturer						office	must be on campus

Appendix 3: **Sample Table of Majors and Graduate Groups**

Name	Established or Planned Start Date	Number of students (e.g., majors/minors) (09-10)	Student credit hours taught by ladder rank faculty (09-10)	Student credit hours taught by non-ladder rank faculty	Number of Current Faculty (and Names)	Number of Current Searches (and Names)	Requested FTEs (and Names)
Examples							
Basket Weaving	9/2011	n/a majors 50 minors	100	433	2 (Smith, Jones)	1 (under-water weaving)	1 (Weaving theory)
Economics	Established	33 majors 5 minors	400	100	4 (Johnson, Rogers, Lopez, Stein)	2 (Applied Microeconomics, tenured + untenured)	1 (Applied Microeconomics-health)
History	Established	35 majors 25 minors	350	85	2 (Randall, Walker)	1 (US History)	1 (Latin American History)

Appendix 3**: Space Needs and Planning**

Name	Offices on campus (number)	Lab space on campus (sq ft)	Total campus space (sq ft)	Space at Castle (sq ft)	Space at other location (specify)
Current total (9/2010)					
New space for AY10-11 hires					
Total at end of AY10-11					