Academic Organizational Structure at UC Merced:
Analysis and Recommendations

Strategic Academic Planning, Subcommittee 1
May 16, 2008

Charge: Provide a vision for the academic organizational structure best enabling UC Merced to achieve its undergraduate, graduate and professional goals during the next two decades.

Membership: Martha Conklin (chair), Kathleen Hull, Shawn Kantor, Michael Sprague, Sam Traina. Academic Senate Consultant: Evan Heit.

Process: The subcommittee held two faculty forums, conducted two faculty surveys and prepared and posted three summary reports of their findings and proposals for full faculty review and comment. This white paper is a consolidated report based on these steps and subsequent deliberations by the subcommittee and the Strategic Academic Planning Steering Committee. It includes analysis and recommendations on academic units (Bylaw 55 units), school structure and resource allocation at UC Merced.

Summary of Recommendations

1. Bylaw 55 unit definition:

- Each academic unit must provide at least an undergraduate major or a program leading to a degree beyond a bachelor's degree, and
- Organized Research Units, centers, institutes or similar structures cannot constitute academic units.

2. School structure recommendations:

From these results the subcommittee draws the following conclusions:

- The response rate on this survey was significantly lower than on the other surveys; hence, further efforts to engage faculty discussion will be needed.
- None of the options had a majority; overall there is no clear consensus.
- However, the subcommittee notes that the status quo (three schools) only received a third of the votes. Moreover, having either one or two schools received as many votes in total as the vote for three schools.

There is clearly a mandate for further discussion about school structure. This subcommittee recommends that this planning effort continue next year with the goal of presenting it to the faculty at the Spring UC Merced Division meeting. By continuing this process, it allows time to accommodate recommendations of the two other subcommittees as the school structure is developed. This subcommittee explicitly recommends that development of academic units (i.e., Bylaw 55 units) within the current schools should not be delayed.

3. Resource allocation recommendations:

- Each school submits a strategic plan which:
  - includes all academic units and graduate groups or programs with faculty involvement
  - explains the balance between research and teaching
  - explains how hiring plans support strategic research goals
  - includes self-assessment of "disciplinary" research performance
- Graduate groups/programs continue to submit their individual plans
- ORUs continue to submit separate plans.

Graduate groups and programs must have a strong presence in the school strategic plans and the request/prioritization for FTEs. Until this is achieved, there should also be the opportunity for graduate groups to submit separate strategic plans. But the long-term goal should be that separate graduate group plans are redundant, except when there is disagreement between a lead dean/school and the graduate group.

As continued allocation to degree programs is partially based on a program's research productivity, and the committee reviewing strategic plans will not have representatives from all disciplines, the subcommittee recommends that strategic plans include a self-assessment based on goals set by the program. This will provide a basis for CAPRA to determine success of a program and justification for further resource needs. The key is not to tie all disciplines to a similar standard (e.g., research dollars generated) since there are significant differences between fields.

Background
UC Merced was established with a firm commitment to interdisciplinary research and instruction. Many faculty members joined UCM with the goal of breaking from the narrow, "silo" mentality that pervades most campuses. At the same time, many believe that strong traditional disciplines are needed to attract students and develop faculty careers.

As the university has grown, its emerging organizational structure has begun to work against its interdisciplinary objectives while reinforcing traditional disciplines. Currently signs of fragmentation and isolation are increasing, and the evaluation and reward system does not encourage faculty members to move freely across boundaries.

The university will break into many more academic units as growth continues. The nature of these units and the schools that house them must be carefully defined if the university hopes to achieve its interdisciplinary goals. *Should these units resemble traditional departments? If so, can they be structured in a way that supports the university's interdisciplinary goals? Or should UCM seek to form alternative units that more clearly support and reward interdisciplinary pursuits? What are the implications for school structure and resource allocation?*

Underlying this issue is the dynamic interplay between research and instruction. While complementary, these functions are also very competitive in UCM's resource-constrained environment, where faculty loads are heavy and every new hire is precious. Because hiring, evaluation and promotion decisions are made within organizational units, unit structure heavily influences the allocation of resources between the two functions. *The university needs to think carefully about its desired balance between research and instruction and the impacts any given organizational structure may have on each.*

With state funding tied to resident student enrollment *(both undergraduate and graduate)*, an organizational model that promotes undergraduate teaching might seem obvious. But powerful arguments also can be made for a research-centric model that attracts top faculty, increases grant funding, builds a portfolio of research successes and attracts students by reputation. UCs are research universities, and their reputations are based primarily on the research excellence of their faculty.

The challenge is to define an organizational structure that *facilitates interdisciplinary achievement and strikes a well-reasoned, strategic balance between research and instruction*.

Defining organizational units
By UC policy, the Academic Senate is empowered to determine organization structure. Standing Order 105.2, "Duties, Powers and Privileges of the Academic Senate," adopted April 18, 1969, states that the Senate "shall determine the membership of the several faculties and councils…[and], with the approval of the President, shall determine their own form of administrative organization…" The Academic Personnel Manual,

developed in consultation between the administration and faculty, is where organizational units typically are defined.

Within the UC system, the basic organizational unit is the Bylaw 55 unit. A Bylaw 55 unit is essentially any unit where an FTE sits and where members of the unit have voting rights on hiring, promotions and tenure over other members of the unit. The department is the common Bylaw 55 unit. Other models exist and have been used at other UC campuses. UCD has recently modified its definition of an Academic Unit (their Bylaw 55 Unit) to be "any existing or proposed organizational structure to which appointments are made that confer membership in the Academic Senate." (Policy and Procedure Manual, Chapter 200 IIA.) The subcommittee believes UCM is "an open slate" and should work with the provost to define Bylaw 55 units in whatever way best meets its academic objectives.

Because all FTEs reside within a Bylaw 55 unit, it's important to distinguish between a *joint* appointment and a *split* appointment. A joint appointment does not involve an FTE. It is in more than one school; it can range from 0 percent to 100 percent. Often a joint appointment may not involve contribution in all three areas (teaching, research and service). A split appointment is a "split FTE," required to conduct teaching, research and service. Both appointments participate in all hiring decisions, reviews and promotions (within rank, based on reciprocity), within each school.

The current model

UC Merced has three Bylaw 55 units: School of Natural Sciences, School of Engineering and School of Social Sciences, Humanities and Arts. This structure employs a school-based process to allocate resources, with disciplinary and in some cases interdisciplinary groups having input into this process. The three *schools* may specify hiring priorities and request faculty lines, based on their assessment of undergraduate teaching, workload and resource needs, with input from disciplinary and interdisciplinary groups within the school. Two schools may request a cross-school search that may result in a split appointment. *Graduate groups* consider graduate teaching and research needs and resources and may specify priorities, but they do not receive faculty lines. *Organized research institutes (ORUs)* consider research needs and resources and may specify priorities, but they also do not receive faculty lines. For the latter two groups, hiring needs must be met through mutual consultation with the schools.

Paralleling this process is another series of consultations between CAPRA and the Executive Vice Chancellor. CAPRA provides criteria for evaluating requests; considers undergraduate and graduate teaching, workload, resources, and research; checks consistency of school, grad group and institute plans; and makes recommendations on faculty lines. The EVC provides information on resources and strategic considerations; considers all teaching, workload, resource and research needs, and makes final decisions on new faculty lines. Finally, there are various consultations between the EVC (and CAPRA) with the individual schools, grad groups and research institutes – e.g., the EVC requests strategic plans from schools, grad groups and institutes, and these plans are reviewed by CAPRA and the EVC.

Three organizational models
In the first of its two faculty forums on academic organizational structure (February 1, 2008), the subcommittee offered three distinct organizational models for consideration by the UCM community. All were put forth as legitimate options, with no preference specified. Specific evaluation criteria, beyond the general guideline stated above, were not defined. The objective was to present options that faculty members could debate freely against the standards they personally value.

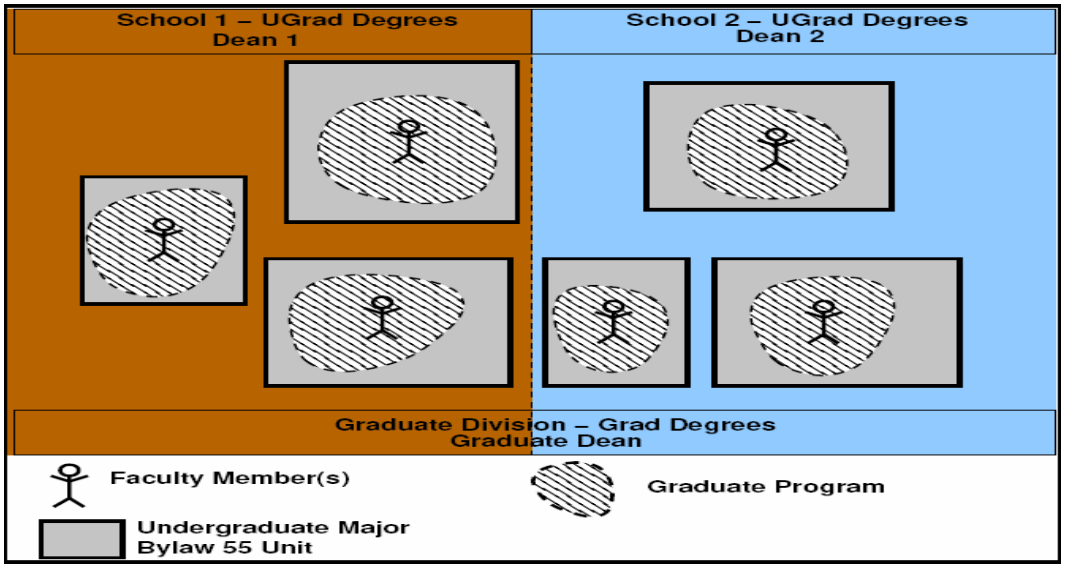
The three models (detailed below) were:

Model A – FTEs reside in the same Bylaw 55 unit that grants undergraduate and graduate degrees. This is a classic model for many universities.

Model B – FTEs are housed in the same Bylaw 55 unit that grants degrees (mostly undergraduate), but faculty can be associated with interdisciplinary graduate groups. This approach allows for either traditional units (FTEs reside in the same Bylaw 55 unit that grants undergraduate and graduate degrees) or units based on graduate education or interdisciplinary faculty research interests. Some other UC campuses (for instance, UC Davis) use this model.

Model C – FTEs reside in research Bylaw 55 units that are based on research interests, while each faculty member is also associated with at least one undergraduate degree program. This approach allows for traditional units (FTEs reside in the same Bylaw 55 unit that grants undergraduate and graduate degrees) should all disciplinary faculty opt for such a structure, but it also allows for other configurations since it is founded on faculty research interests, whether disciplinary or interdisciplinary. This was proposed for UC Merced in 1997.

Model A

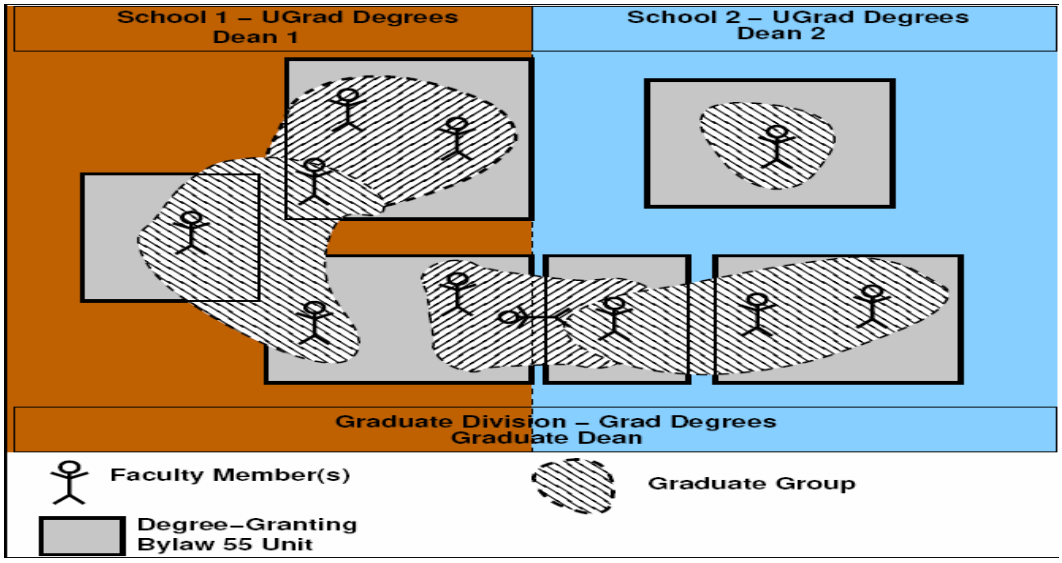


In this model, a Bylaw 55 unit is any unit that offers an undergraduate major, typically a traditional department. Faculty members reside within specific, individual departments, although they may also contribute to instruction in interdisciplinary undergraduate programs outside of their department. Graduate programs are also housed within individual units. Degrees are awarded by departments in the traditional manner. Department members make all hiring, evaluation and tenure decisions within their own boundaries.

This approach encourages the formation and development of strong individual disciplines at both the undergraduate and graduate levels, but offers little incentive to work across department or school boundaries. The graduate dean awards all graduate degrees, and ORUs have no associated FTEs.

Model B

A variation on model A is the structure currently in place at UC Davis for the last 40 years. This model adds flexibility in the affiliation of faculty with groups awarding graduate degrees. The formation of graduate groups, interdisciplinary groups of faculty that offer graduate degrees, promotes research collaboration and development of cutting-edge graduate programs.



The FTE is housed in the same Bylaw 55 unit that grants the degree (mostly undergraduate degree programs), but faculty members also may be associated with interdisciplinary graduate groups. To facilitate interdisciplinary research, ORUs can be given FTEs to negotiate with departments; the final hire always resides in academic units, not the ORU. Recently the Writing Program was granted an FTE. Graduate groups may span multiple departments within a school or across school boundaries, but have a lead dean (a school or college dean) who provides administrative support to the graduate group and financial support for teaching assistantships. The graduate dean provides other support to the graduate groups and programs (e.g., student fellowships, tuition waivers and fee waivers).

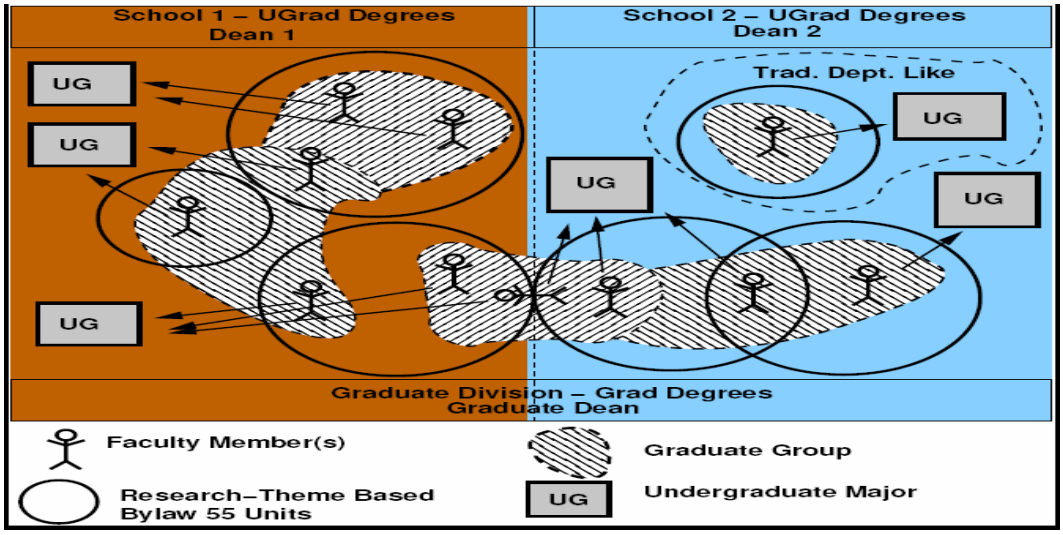
To hire faculty (rather than lecturers), Bylaw 55 units put forth requests based primarily on research. The graduate programs and groups provide the impetus for hiring in certain areas, but the department (or academic unit) makes the request. Hiring, evaluation and tenure decisions are made within individual degree-granting units with input from the graduate group. In the case of split and joint appointments, each academic unit votes; however, at the time of hiring a lead department is established.

This model facilitates and rewards interdisciplinary collaboration while retaining the basic structure and resource stream of the classic model. The graduate dean awards all graduate degrees.

Model C

Model C employs research areas to determine affiliation with a particular Bylaw 55 unit. It was first proposed as a possible structure for UC Merced in 1997 by the Tenth Campus Academic Planning Committee, but was set aside while the university focused on building enrollment.

In this model, the Bylaw 55 unit is a research-themed entity typically housed within a single school. FTEs reside in individual research units, but each faculty is also associated with undergraduate degree programs housed outside the research unit but within the same school, which administers them. Undergraduate majors operate independently (in terms of faculty review) from the Bylaw 55 unit. Every faculty member must contribute to at least one undergraduate major. As in Model B, faculty members may also be associated with graduate groups, which have a lead dean who provides administrative support. These groups may reside within an individual research unit, may span multiple units within a school or may span multiple units across school boundaries. Hiring, evaluation and tenure decisions are made within individual research units but, as in Model B, are shared by other units in a faculty member's interdisciplinary group in the case of joint and split appointments. At the time of hire, a lead research unit must be established.



This model promotes interdisciplinary collaboration, much like Model B, and it formalizes making hiring decisions primarily on research interests. Similar to the other models, faculty would be required to demonstrate excellence in research, teaching and service. A requirement, specified at hiring, is that all faculty members are required to support an undergraduate degree program.

The main difference with this model is that research relevance is the main requirement for FTE requests, as requests will be formulated in research units. Teaching relevance would need to be demonstrated in the FTE request. In this model, a committee from the undergraduate major would provide a teaching evaluation for merit and promotion cases. Traditional department-like relationships may still be accommodated by this model (see top right portion of diagram). Once again, the graduate dean awards all graduate degrees. ORUs would function similarly to Model B, a broker of FTEs rather than a home for FTEs.

Considerations
Faculty members were asked to consider the following issues in assessing each model:

- How does strategic planning take place? How are resources allocated?
- How do merit review and promotion take place in this structure?
- Faculty need clear-cut affiliations.
- Interdisciplinary faculty need to have disciplinary strengths in majors.
- How disciplinary do undergraduate majors need to be?
- Time scales of change: research foci will change over time (as do disciplines, but perhaps not as rapidly).
- What are the mechanisms and processes for creation and termination of units or movement of individual faculty between units?
- How does this structure articulate with ORUs?

Pros and cons
A partial list of positives and negatives associated with each model was also provided.

Model A
Pros
- familiar, simple, discipline-focused
- strong departments make FTE decisions, control resources
- lines of authority are very clear
- emphasis on undergraduate teaching helps build enrollment, attract state funds

Cons
- may undermine interdisciplinary collaboration, although other structures for such collaboration may exist (e.g., ORUs)
- focus on teaching may subordinate research needs
- lacks flexibility
- contributes to “silo mentality” and fragmentation along department lines

Model B
Pros
- based on familiar model but with greater flexibility
- retains strong disciplines but facilitates interdisciplinary collaboration
- sufficient emphasis on enrollment to attract state funds
- strengthens ability of research interests to obtain resources

Cons
- more complicated and competitive funding formula than Model A
- adds another level of administration: separate support for undergraduate degree programs and graduate degree programs
- often graduate programs in departments have more administrative support than graduate groups
- depends on the deans supporting FTEs based on research and bringing graduate groups into the strategic process

Model C
Pros
- an adaption of Models A & B, but ensures graduate and research units are included in strategic planning
- strengthens ability of research interests to request FTEs and resources
- builds research reputation, attracting top faculty and students
- accommodates both disciplinary and interdisciplinary excellence
- allows the university to develop Bylaw 55 units that accommodate different structures

Cons
- adds another level of administration: undergraduate degree programs, graduate degree programs and research units
- could weaken disciplinary focus of traditional departments
- teaching can suffer if faculty perceive it as being unimportant for tenure
- may not give sufficient emphasis to undergraduate enrollment
- depends on the lead deans to advocate for resource allocations for the graduate groups

Obtaining faculty feedback
Faculty members were encouraged to discuss the models with colleagues and submit comments via the email mechanisms provided, or privately if they preferred. In addition, a straw poll was taken during the first week of March and results reported at the subcommittee's second faculty forum (March 11).

Bylaw 55 survey findings
The survey asked faculty members to read brief descriptions of the three suggested organizational models and, if they had a preference, to rank them as to their first, second and third choices. The models were described fully in a white paper posted for faculty review (http://strategicplanning.ucmerced.edu).

Of 101 eligible faculty participants, 84 completed the survey. Of them, 76 indicated they had a preference among the plans. Their rankings were as follows:

Plan A: 56.0 percent ranked this plan either their first or second choice.
Plan B: 92.1 percent ranked this plan either their first or second choice.
Plan C: 58.6 percent ranked this plan either their first or second choice.

(Full survey detail is available at http://strategicplanning.ucmerced.edu under "Updates and Documents.")

An analysis of survey comments revealed the following major themes:

Plan A – provides clear delineation, is easy to understand and has been shown to work elsewhere, but can be rigid, relies on other structures for interdisciplinary programs and does not support graduate groups.

Plan B – represents a good compromise among the plan options and has been shown to work well at UC Davis, but graduate groups are still left with little direct support or influence.

Plan C – provides the greatest flexibility and greatest emphasis on research, but would be harder to manage, may undermine undergraduate programs and makes it more difficult to identify faculty by their discipline.

Faculty feedback included a number of concerns about Plan C, notably that undergraduate majors might not be allocated adequate resources. Given the importance of undergraduate enrollment as a revenue driver, this was seen by some as a major potential drawback. Others noted that Plan B represented a good balance between the relative inflexibility of Plan A and the management complexity of Plan C.

Bylaw 55 unit recommendation

Based on the survey findings, Plan B was identified as the clear choice among faculty, with a preference rating substantially above the other options. Therefore, the subcommittee proposes a definition of an academic unit for UC Merced similar to Plan B. Following the example set by UC Davis, academic units refer to Bylaw 55 units. The term "Bylaw 55 units" comes from a definition in the Regents Standing Orders, Bylaw 55. As this is a definition for UC Merced, the subcommittee recommends it be added to the UC Merced Bylaws:

- Each academic unit must provide at least an undergraduate major or a program leading to a degree beyond a bachelor's degree, and
- Organized Research Units, centers, institutes or similar structures cannot constitute academic units.

School structure
The discussion of organizational units at UC Merced must also include a discussion of the school structure that houses them – the superstructure for the academic units. The role of the schools in the UC structure is presented in Appendix B. Schools provide the structure which houses academic units as well as the structure in which resource requests are aggregated. How these structures are designed is critical as Bylaw 55 units do not cross school boundaries. School structure determines cross-school majors and split-school appointments. Strategies to reduce barriers to interdisciplinary collaborations and research depend on school structure. The current structure at UC Merced is three schools (offering both undergraduate and graduate programs of study) that also function as Bylaw 55 units.

Definitions
Before embarking on a discussion of school structure, it is helpful to revisit the definition of different structural elements in the UC system. There was a UC definition of school vs. college; a college has both undergraduate and graduate programs, a school is graduate only (there was never a differentiation between school and professional school; in the old definitions all schools were assumed to be professional). Currently, a professional school gives a graduate-level professional degree, although it may also give an academic degree (which is awarded by the Dean of Graduate Studies). Academic degrees are MA and PhD, and examples of professional degrees are DPH, MD, DDS, MBA and JD. Division is not officially defined by UC except on the system scale: UC Merced is a "division" of the UC system. A division can be within a department, within a school or college, or can function very much like a school or college. UC Santa Cruz has a Division of Natural and Biological Sciences with traditional science departments. The head of the school, college and division (if it contains academic units) is a dean and the dean reports to the EVC.

For the purposes of this paper, the subcommittee uses the following definitions and recommends adoption of these definitions. *A school has both undergraduate and graduate programs that lead to academic degree(s). A professional school gives a graduate-level professional degree, although it may also give an academic degree (which would be awarded by the Dean of Graduate Studies).* The proposed definition of academic units (see above) accommodates these definitions.

The Regents Standing Orders for the creation of UC Merced mandated the formation of a college system. The college system has not been defined and is considered outside the scope of this subcommittee. At this stage in the development of UCM there is no need for divisions, so the subcommittee recommends that this term remain undefined at this point in time.

Structure options
Currently, UC Merced's school structure most closely resembles that of UC Riverside. At its second faculty forum, the subcommittee suggested further discussion is needed to determine the best approach for UC Merced going forward. For discussion purposes, it presented two general categories as possible alternatives for schools (as defined above)*:

1. *Narrowly defined schools*, similar to UC Irvine, UC San Diego and UC Santa Cruz, where the school corresponds to a single or closely related group of disciplines or majors (e.g., School of Biological Sciences, School of Physical Sciences, School of Social Sciences, School of Humanities at UC Irvine).

2. *Broadly defined schools*, similar to UC Santa Barbara, UC Berkeley, UC Davis and UC Los Angeles, where the school encompasses multiple disciplines/majors. In this model, a school equivalent to "School of Letters and Sciences" incorporates disciplines that are currently divided between the School of Natural Sciences and School of Social Sciences, Humanities and Arts at UC Merced.

*Professional schools are not included in these structures.

The subcommittee noted that in all the campus structures that were reviewed, engineering is a separate school or college. In some campuses the School of Engineering is considered a professional school (e.g., UC Irvine); in others it is an academic school or college. The proposed Medical School and School of Management at UC Merced would be considered professional schools under the above definition. Under this definition, School of Engineering is not a professional school.

At campuses with broadly defined schools or colleges there can exist separate multi-disciplinary or single-disciplinary colleges and schools. These are much less common. Examples include a multidisciplinary college at UC Santa Barbara (which uses the term college), the Donald Bren School of Environmental Science and Management, and a separate College of Biological Sciences at UC Davis (which also uses the term college).

To understand the different implications of school structure on graduate groups, the subcommittee suggested the Anthropology program as an example. If schools are more narrowly defined, Anthropology would usually be included within a School of Social Sciences, while disciplines such as History and Literature, with which Anthropology might affiliate in a World Cultures Graduate Group, would reside in the School of Humanities. Likewise, Arts faculty in such a graduate group might be in yet another school. Thus, one can imagine that requesting and receiving FTEs that satisfied undergraduate as well as interdisciplinary graduate and faculty research needs might be a more complicated process. If, on the other hand, a more broadly defined School of Letters and Sciences were established, Anthropology would reside in the same school as the other three disciplines. Therefore, resource requests would be directed to just one dean, rather than several deans.

The pros and cons of these institutional models were defined as follows:

Narrowly defined schools:	Broadly defined schools:
restricts breadth of BL55* units	supports breadth of BL55 units
more split appointments	fewer split appointments
more administration	administrative economies of scale
more cross-school programs	more multi-disciplinary majors/minors
simpler strategic planning	multi-layered strategic planning
ends up creating multi-disciplinary schools (e.g., School of Social Ecology at UC Irvine)	

*BL55 units means Bylaw 55 Units

The subcommittee noted that other variations between these two extremes are also possible – e.g., a model with some multi-disciplinary programs. It acknowledged that the question of resource allocation to cross-school graduate groups or programs under any school model remains an open issue and should be addressed by a future committee charged with this task.

The subcommittee also noted there are many other structures beyond schools that can promote interdisciplinarity (e.g., organized research units (ORUs) and centers). Fine tuning the role of these structures will depend on the school structure that the campus adopts. Another concern is how general education would fit into these models – at the individual school level or across the university (either would be acceptable). UC Merced is the only UC campus without a minimum general education policy in its bylaws or rules and regulations. How UC Merced implements general education is an academic matter and falls under the scope of the Divisional Council.

The question of how to strengthen graduate group or programs also remains an open issue. Specific concerns:

1. Graduate groups without an undergraduate major have to beg for TA lines and
2. Graduate group tension for resources is independent of school structure.

School structure survey results

Following its second faculty forum, the subcommittee conducted a survey to gather faculty feedback on various school models. The question:

Excluding professional schools, should all Bylaw 55 units organized around undergraduate majors be housed under:

o One school (i.e., including programs from all three existing schools)
o Two schools, such as a School of Letters & Sciences and a School of Engineering
o Three schools (the current model)
o Four or more schools with narrow focus (e.g., School of Biological Sciences, School of Humanities, School of Social Sciences, School of Ecology)
o No preference
o None of the above.

Of the 101 faculty members who were asked to complete the follow-up questionnaire about school structure, 42.6% responded. Among the 43 faculty members who responded to the question, 35% favored housing all Bylaw 55 units in three schools (the current model), 28% favored two schools (such as a School of Letters & Sciences and a School of Engineering), 19% favored four or more schools with narrow focus, 7% favored one school (including programs from all three of the existing schools), 7% expressed no preference, and 5% favored none of the options presented.

From these results the subcommittee draws the following conclusions:

- The response rate on this survey was significantly lower than on the other surveys; hence, further efforts to engage faculty discussion will be needed.
- None of the options had a majority; overall there is no clear consensus.
- However, the subcommittee notes that the status quo (three schools) only received a third of the votes. Moreover, having either one or two schools received as many votes in total as the vote for three schools.

There is clearly a mandate for further discussion about school structure. This subcommittee recommends that this planning effort continue next year with the goal of presenting it to the faculty at the Spring UC Merced Division meeting. By continuing this process, it allows time to accommodate recommendations of the two other subcommittees as the school structure is developed. This subcommittee explicitly recommends that development of academic units (i.e., Bylaw 55 units) within the current schools should not be delayed.

Resource allocation recommendations

In conjunction with this approach, the subcommittee believes change is also needed in the processes by which strategic plans are prepared and resources are allocated. Although undergraduate education is supported through the schools, graduate groups and programs have a distributed funding base, administrative support comes from the lead school and a centralized academic resources center, and teaching assistantships come from the schools. All returned indirect costs are returned to the Executive Vice Chancellor. Currently the Vice Chancellor of Research and the Graduate Dean has a budget allocated by the Executive Vice Chancellor. Appendix A of this report is a summary of resource allocation for UC Merced.

Currently, each of UC Merced's three schools prepares a strategic plan; graduate groups or programs and ORUs submit separate plans and share them with the schools. Schools are instructed to take account of research needs and needs of graduate groups. The Committee on Academic Planning and Resource Allocation (CAPRA) reviews the different plans and checks the school plans for consistency with graduate group plans. CAPRA makes recommendations to the Executive Vice Chancellor for resource allocations. Since graduate groups and programs are affiliated with the schools, we recommend that vetting of the resources between these programs and the schools be done at the school level.

The subcommittee is proposing a change to this process, as follows:

- Each school submits a strategic plan which:
  - includes all academic units and graduate groups or programs with faculty involvement
  - explains the balance between research and teaching
  - explains how hiring plans support strategic research goals
  - includes self-assessment of "disciplinary" research performance
- Graduate groups/programs continue to submit their individual plans
- ORUs continue to submit separate plans.

Graduate groups and programs must have a strong presence in the school strategic plans and the request/prioritization for FTEs. Until this is achieved, there should also be the opportunity for graduate groups to submit separate strategic plans. But the long-term goal should be that separate graduate group plans are redundant, except when there is disagreement between a lead dean/school and the graduate group.

As continued allocation to degree programs is partially based on a program's research productivity, and the committee reviewing strategic plans will not have representatives from all disciplines, the subcommittee recommends that strategic plans include a self-assessment based on goals set by the program. This will provide a basis for CAPRA to determine success of a program and justification for further resource needs. The key is not to tie all disciplines to a similar standard (e.g., research dollars generated) since there are significant differences between fields.

The process of allocating faculty lines and resources must not be limited to undergraduate programs but must also account for the needs of research institutes and centers and the occasional strategic hire. Possible solutions include:

- giving research units sufficient funding to negotiate for resources (e.g., FTEs for barter and funds that could be used for startup packages) with the schools
- assigning some FTE to graduate groups or programs and allowing them to barter for resources with academic units to which the FTE must be allocated
- mandating that a certain percentage of resources have to be allocated to graduate groups or programs through a dean/provost negotiation, making it very clear where to go for resources
- giving the Vice Chancellor for Research funds to allocate to graduate groups or programs for negotiation purposes
- giving the Dean of Graduate Studies a percentage of the indirect cost return for graduate student fellowships (similar to UC Davis).

Next steps

The charter for this subcommittee is to provide a vision for the academic organizational structure. Once the structure has been established, the next logical step would be to establish campus goals and then work out the resource allocation methods to meet those goals. One such goal could be to have economically stable graduate groups/programs.

APPENDIX A
Resource Allocation at UC Merced

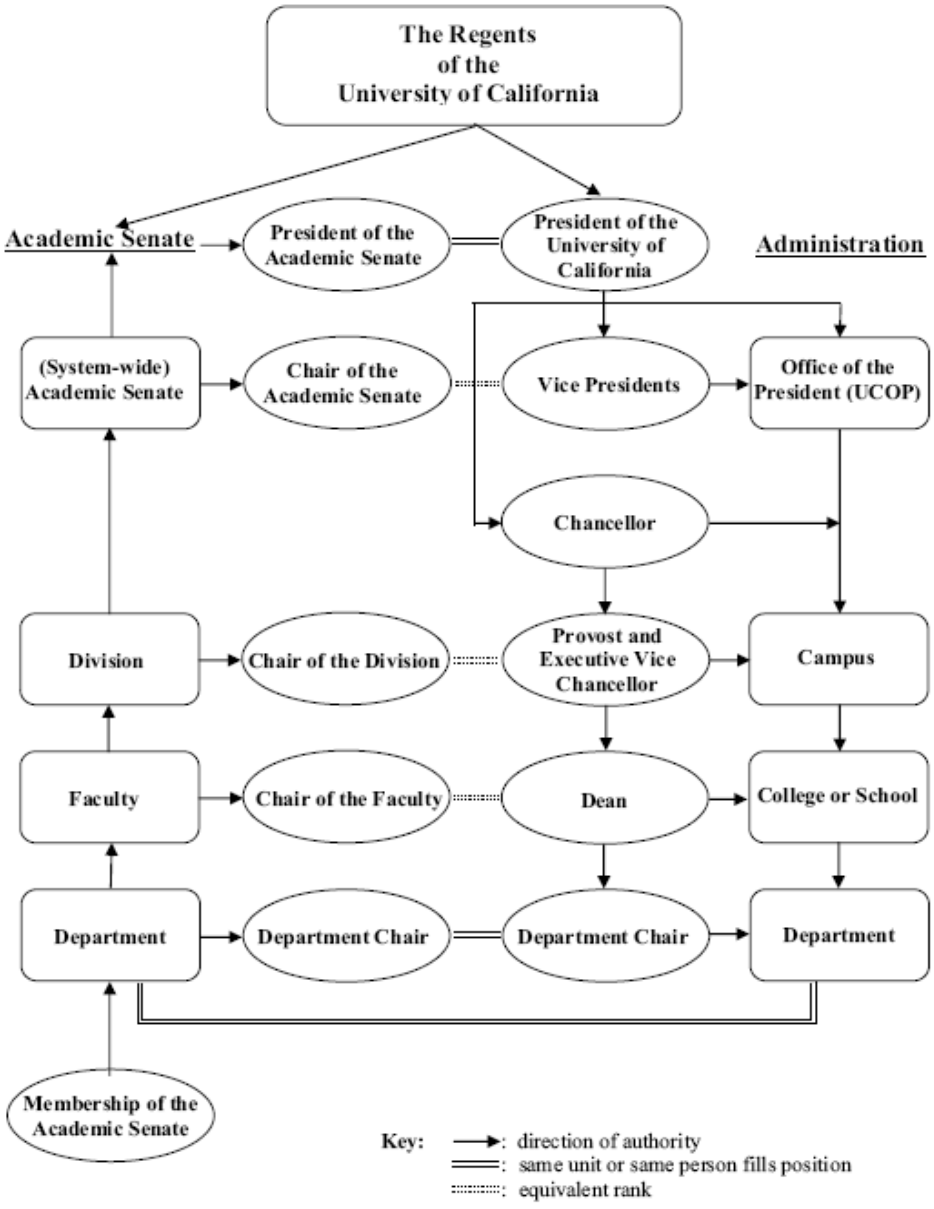
UC Merced's budget from the state consists of an annual allocation of $10 million plus a marginal cost of instruction for each fully enrolled student. In fiscal year 2007-2008, the allocation for marginal cost of instruction was $8,675 per student FTE (both undergraduate and graduate students). This total operating budget, $10 million, plus the cumulative marginal cost of instruction is used to pay all faculty salaries and state-supported operating funds as well as most of the staff salaries on campus. The funds for GTA appointments come from this same pool of money. Graduate teaching assistantships are allocated on a basis of 1 full-time equivalent GTA position for every 44 undergraduates. Since GTA appointments are < 0.5 FTE, the enrollment of every 44 undergraduates generates sufficient funds for two, 9-month, 0.5 FTE GTA appointments.

Graduate teaching assistantships are allocated to the schools based on the need to fulfill the teaching loads of each school. The schools are the actual employers of all GTAs. Thus, the schools have the responsibility of choosing the individuals that actually receive GTA appointments. The Graduate Division has the responsibility of assuring that the academic standards set for GTA appointments are upheld by the hiring units.

Receipts from extramural contracts and grants represent another significant source of income for the campus. When a contract or grant pays full indirect costs (currently 52% of modified total direct costs), revenues are returned to campus to support the Sponsored Projects Office, Contracts and Grants Accounting, and the facilities required to conduct the research. A portion of the indirect cost return is also allocated to the Office of the Executive Vice Chancellor to broadly support research and research infrastructure on this campus.

APPENDIX B

Organization Structure of the University of California



Taken from "Mending the Wall: Report on the Special Committee on Shared Governance and Senate Operations" prepared by the University of California Academic Senate Davis Division, December 13, 2004.