This table summarizes the overall status of administrative assessment practices in non-Student Affairs administrative units, including plans for development. Descriptions were submitted in June 2010.

Unit Name	Overall Summary of Assessment Process and Degree of Development	If your unit has not yet developed goals and objectives, what is the timeline for completing this work and initiating assessment?	If your unit has goals and objectives but does not regularly assess its performance, what is the timeline for beginning this work?
Division of Administration	Basic infrastructure for objectives/outcomes based asssessment is in place. The Division is filling in gaps in assessment processes to gather and use data to inform practice and to assess progress relative to Divisional goals. Is developing periodic review process. Division conducted a retreat in Fall 2010 to move these processes forward (link to documents), including development of an annual unit assessment report form. All units will complete their annual assessment report for the January 2011 follow-up retreat along with objectives for 2011-2014.	Developed	The Division started improving its performance assessment process with the response to this letter, dated May 2010, held an assessment-related retreat in Oct 2010, and anticipates the process update to be completed soon after the Division's next retreat in early 2011.
Office of the Executive Vice Chancellor	Academic Personnel and Payroll has developed mission, goals outcomes and preliminary assessment plans to be further refined and developed during 2010-2011. The Vice Provost for Academic Planning returned to 100% in January 2010 from serving as the Acting Dean of the School of Social Sciences, Humanities and Arts for over two years. During AY2010-2011, the Vice Provost and EVC will develop the mission statement and strategic goals for the Unit.	Academic Planning will develop the mission statement and strategic goals in 2010-2011.	Academic Personnel has drafted an assessment plan to be further refined and implemented in 2010-2011.
Center for Research on Teaching Excellence	The CRTE assesses all offerings, and generates an annual report. The CRTE plans to develop a strategic plan linked to goals and objectives in July 2010 and to continue to build assessment practices from that.	July 2010	
Graduate Division	Annual assessment plan for AY 2010-2011 developed; linked to 10 year goals.	Developed; first assessment 2010-2011	
Institutional Planning & Analysis (IPA)	IPA has articulated a mission, goal and aligned objectives and meaures. Will initiate data access, use and needs survey in Fall 2010. Does not indicate the timeline on which objectives will be assessed. Notes that formal review process is pending poilicy and schedule being developed by SACA.	Developed	Will initiate a survey in fall 2010 addressing campus access to, need for, and use of data/information
Information Technology (IT)	IT has "incorporated self-assessment into our processes and into the ethos of the IT organization." Assessment is continuous and on-going with objectives developed as needed and assessed on at intervals appropriate to the objective and process, including annual development and reporting of performance metrics. There is no longer term assessment plan or periodic review process.	See Overall Summary column	
Library	The library has been working from a 2007 Long Range plan that does not include goals and objectives. However, they have been assessing units to ensure programmatic responsiveness and fiduciary responsibility, have conducted a formal user survey, and are assessing instructional effectiveness. By 2011, they will have established performance goals and a process for programmatic review.	The Library has begun an organizational assessment and development process that will culminate in 2011 with performance goals and a process for programmatic review.	
Office of Undergraduate Education*			
Office of Research	Annual assessment plans for AY 2010-2011 developed for all units within the Office.	Developed; first assessment 2010-2011	
School of Engineering	After a year of transitional leadership, assessment planning will begin after the arrival of the new Dean in Fall 2010.	After the arrival of the new Dean in Fall 2010.	
School of Natural Sciences	Developing full assessment infrastructure according to timeline provided by the School. Goals and objectives by September 30, 2010. Assesment plan by December 30, 2010. Begin self-study or review of initiatives and assessments in June 2011.	Goals and objectives by September 30, 2010. Assesment plan by December 30, 2010. Begin self-study or review of initiatives and assessments in June 2011.	
School of Social Sciences, Humanities and Arts: Administration Functions	Developing full assessment infrastructure according to timeline provided by the School. Goals will be developed by the end of summer. Assessment will commence by the end of the fall 2010 semester.	Goals will be developed by the end of summer. Assessment will commence by the end of the fall 2010 semester.	
School of Social Sciences, Humanities and Arts: Student Advising	SSHA undergraduate advising activities are guided by professional standards. They have engaged in periodic reviews, and regularly assess the Special Academic Probation Program, but do not engage in an annual, outcomes-based assessment process.	With appropriate levels of staffing and funding, SSHA advising will began additional assessment in Fall 2010.	
University Relations	University Relations has established annual goals and associated assessment metrics. They are working on a three year plan to provide a vision and plan for University Relations in the years to come	Developed; first assessment 2010-2011	

*This structure is new and the oversight responsibilities for university curricular and co-curricular requirements are still being negotiated.

This table summarizes the existing infrastructure in support of administrative assessment in non-Student Affairs administrative units. Descriptions were submitted in June 2010.

Unit Name	Has your unit identified, or is it in the process of indentifying, performance goals/objectives?		How are these goals and objectives made available, and to whom?	Are goals and objectives aligned with unit's mission?	Are they aligned with UC Merced's mission and goals?	Do they reflect the standards of a professional association?
	Performance Goals	Objectives/Outcomes				
Division of Administration	Yes	Yes: administration.ucmerced.edu/strategic-plan/strategic-plan-2009/departmental-objectives	The strategic plan, Division goals, objectives and work plans are publicly available: administration.ucmerced.edu/administrative-units/office-vice-chancellor-administration/strategic-plan-2009	Yes	Yes	Yes, the Division's mission, vision, principles and work plans reflect the diverse professional standards of the Divison's subunits. Divisional managers build compliance with regulations and professional standards into the work plans.
Office of the Executive Vice Chancellor	Yes, for Academic Personnel and Payroll. Academic Planning will develop by the end of 2010-2011.	Yes, for Academic Personnel and Payroll. Academic Planning will develop by the end of 2010-2011.	Currently, only to Academic Personnel and Payroll staff.	Yes	Yes	No. The goals are institution specific and meet the needs of a growing university.
Center for Research on Teaching Excellence (CRTE)	Yes	Yes	Currently, only to CRTE staff.	Yes	Yes	Are closely aligned with purposes of the Professional and Organizational Development (POD) network, which is essentially the professional organization for teaching and learning centers nationally.
Graduate Division	Yes	Yes	Currently, only to staff, as in draft form.	Yes	Yes	None relevant.
Institutional Planning & Analysis (IPA)	Yes	Yes	Currently, only to IPA staff	Yes	Yes	Yes, national and regional professional associations for institutional research units.
Information Technology (IT)	Consist of projects, tasks, user issues, and risks list established and tracked on a routine, ongoing basis within a vision, mission, and strategic planning framework.	No.	Strategic planning framework is publicly available: it.ucmerced.edu/about/strategicplanning.cfm IT planning and management spreadsheets are available to IT staff on CROPS, IT advisory groups including the Administrative IT Council and the IT Advisory Committee, and to the public at Town Hall meetings.	Yes	Yes	There are no professional standards. Many good practices that are promoted by Educause, but no actual standards.
Library	The 2007 Long Range plan does not include true performance goals. These are in development.	The 2007 Long Range plan does not include true performance objectives.	Long Range plan is available to library staff.	Long Range plan incoporates the Library mission.	Long Range plan based on UC Mission.	The Library uses the standards developed by the Association of College and Research Libraries as a reference resource.
Office of Undergraduate Education*						
Office of Research	Yes	Yes	Currently, only to staff, as in draft form.	Yes	Yes	Yes, in some instances.
School of Engineering (SoE)	The SoE underwent a change in leadership during 2010. Development of administrative assessment infrastructure will be led by the new Dean scheduled to begin in Fall 2010.					
School of Natural Sciences	In development, expected by September 30, 2010.	In development, expected by September 30, 2010.	In development.	Will be.	Will be.	Depends upon unit.
School of Social Sciences, Humanities and Arts: Administration Functions	In development, expected by end of summer 2010.	In development, expected by end of summer 2010.	Will be posted with the strategic plan and in this way made available to faculty and staff.	Will be aligned	Will be aligned.	Yes, once developed.
School of Social Sciences, Humanities and Arts: Student Advising	No	No				SSHA Advising activities are based on standards established by the Council for the Advancement of Standards in Higher Education (CAS) and National Academic Advising Association (NACADA). These are reflected in both our mission statement and declaration of student and advisor responsibilities.
University Relations	Yes	Yes	They will be shared with Chancellor's Cabinet, Deans, Directors, Faculty Senate, UCM Foundation Board of Trustees.	Yes	Yes	Yes, the work at University Relations is done at high level and according to best practices in fund-raising, communications, and education of local, state and federal representatives.

*This structure is new and the oversight responsibilities for university curricular and co-curricular requirements are still being negotiated.

This table summarizes the assessment practices of non-Student Affairs administrative units, including examples of assessment-based improvements. Descriptions are current as of June 2010, unless otherwise indicated.

Unit Name	Does your unit review its performance in relation to its objectives? If so, please describe how this is done.							If your unit has engaged in assessment to improve performance, please provide one or more examples of this work
	The process by which objectives are selected for review	Types of Data	Source of Data	The timeline	How the results are used to inform practices	To whom the results are disseminated	If your unit has a plan for assessing its performance, provide it.	
Division of Administration	In multiple ways: during regular scheduled meetings and retreats, process of engaging in customer satisfaction surveys, consideration of benchmarks, and mandated external compliance reviews for compliance rather than performance goals.	Manager annual reports on work plan progress, and what have been ad-hoc surveys. Annual report submission has been uneven.	Divisional managers, surveys, including the customer satisfaction survey process implemented in Spring 2010.	Progress on objectives addresses weekly or biweekly in individual or staff meetings and annually as part of manager performance reviews.	To date, survey results have been used on an informal basis to focus improvement efforts.	Within the Division, typically between VCA and unit-specific manager	Plan is encompassed by responses as represented in the Division's Planning & Performance Assessment Flow Chart. The Division is building out and formalizing its assessment practices.	Division is in the process of improving its assessment planning infrastructure after a self-assessment. This includes: (1) ensuring annual report documenting workplan objective outcomes and plans for next year; (2) establishing a periodic review process; (3) evolving satisfaction survey process toward a standardized instrument; (4) determing the best way to assess and communicate progress toward the Division's goals under each of the 4 Ps; (5) improve the Division's webpage for communicating progress toward goals and objectives, survey results, etc. Toward this end, the Divison held an assessment-related retreat in Oct 2010.
Office of the Executive Vice Chancellor	In development.	Office of Academic Personnel & Payroll: Performance metrics, survey results.	Office of Academic Personnel and Payroll: Surveys of training participants, internally generated metrics related to accuracy and timeliness of services provided	Annually	Not addressed	Not addressed	Draft plan provided. Needs further development.	This first data report was shared with the VP for Academic Personnel, the EVC, Committee on Academic Personnel, and the School Deans. The results led to a discussion with the academic leadership at all levels about the review process and the need for timeliness of the academic reviews. It also validated the due dates for various academic reviews and led to a decision on School due dates for materials as well as the priority given to certain reviews such as tenure, appointments, mid-career, and other promotions. The deadlines for the academic reviews are posted on the Academic Personnel website.
Center for Research on Teaching Excellence (CRTE)	The CRTE's Annual Report summarizes the relationship of work performed to Center and university objectives, based in part on individual staff member self-assessments.	All CRTE workshops, orientations, and projects are formally assessed. The CRTE has also conducted needs assessments for graduate students and faculty. Staff record support related contacts with faculty, staff and students.	Surveys, interviews, focus groups, contact summaries, attendance records, assessment forms.	Annually	Results are used to determine the need for changes in faculty and graduate student development activities	The Annual Report is provided to Vice Provost for Undergrad Education and CRTE staff.	In development. A strategic plan for Center self-assessment is a basic objective of our July 7 retreat.	Assessment and anticipated modifcations to staff responsibilities and funding models to support its functions.
Graduate Division	Annual process	Documents, surveys.	Work products and surveys, at least one supported by IPA.	Annually	Results will be used to inform future planning.	Various with objectives but includes faculty, graduate division staff, student advisors.	Provided	N/A
Institutional Planning & Analysis (IPA)	Ongoing	Diverse	Internal to office, external in form of surveys	Varies with measure	Not addressed	Not addressed	Provided	N/A
Information Technology (IT)	Projects, tasks, user issues, and risks list are tracked on a regular basis	Diverse, related to project. Staff summaries, key performance metrics, project progress, and annual reports. Examples include IT Town Hall meetings, sometimes with snap polls.	Staff updates on progress, survey.	Weekly for projects & tasks; tri-weekly for user issues; ad-hoc for risks	Varies among groups. IT User Services (ITUS) group on an as needed, local basis, also generates formal projects and tasks; IT Leads continuously reeavluates with changing needs; IT Strategic Planning Group (ITSG) monitors project progress and corrects course as needed.	Executive Vice Chancellor, Advisory Committees, stakeholders via Town Hall meetings and reports on IT website - it.ucmerced.edu/about/reports, annually to the Chancellor's Cabinet and to leadership as part of the budget process.	No formal plan due to resource constraints; consists of infrastructure of continual, ongoing issue identification and resolution, active processes for project management, etc.	Assessment in 2007 resulted in resolution of specific issues, development of processes to assess IT performance from campus perspective, development of user list issues, formation of IT User Services group, etc. First section of annual report describes actions inspired by user feedback. On basis of user feedback, implemented DSS "Q" methodology to more efficiently manage help desk responses.

This table summarizes the assessment practices of non-Student Affairs administrative units, including examples of assessment-based improvements. Descriptions are current as of June 2010, unless otherwise indicated.

Unit Name	Does your unit review its performance in relation to its objectives? If so, please describe how this is done.							If your unit has engaged in assessment to improve performance, please provide one or more examples of this work
	The process by which objectives are selected for review	Types of Data	Source of Data	The timeline	How the results are used to inform practices	To whom the results are disseminated	If your unit has a plan for assessing its performance, provide it.	
Library	The library doesn't currently review performance in relation to comprehensive objectives. Individual projects and unit operations are assessed as needed to ensure programmatic responsiveness and fiduciary responsibility.							The Library has conducted formal user surveys and is empirically assessing instructional effectiveness. Data gathering is ongoing. Conclusions and actions to date are detailed in the "Appendix 2: Assessment."
Office of Undergraduate Education*								
Office of Research	Annual process	Interviews, user surveys, internal records, documents and other products.	Surveys, interviews, internal records. Some requires IPA support.	Annually	Results will be used to inform future planning.	Vice Chancellor for Research. SACA.	Provided	N/A
School of Engineering (SoE)	The SoE underwent a change of leadership in 2010. Development of assessment infrastructure will be led by the new Dean scheduled to begin in Fall 2010.							
School of Natural Sciences	Assessment plans in development, expected December 30, 2010 with School expected to by ready to undertake an administrative self-study beginning in June 2011.							N/A
School of Social Sciences, Humanities and Arts: Administration Functions	In development.							N/A
School of Social Sciences, Humanities and Arts: Student Advising	Assessment of the Special Academic Probation Program is ongoing. Periodic assessment was conducted in 2006, and attempted in 2008 with too few student responses to be meaningful.							In response to a 2006 *faculty* survey, SSHA Advising has worked to educate the faculty on its role within the institution and the School by involving them in outreach activities, student committees, and one-on-one discussions. In response to a 2006 *student* survey, (1) SSHA advising began publishing major and minor requirements in student handbooks and our website and implemented the "graduation plan". This has proven to be extremely useful for both advisors and students in that we have been able to identify and resolve issues well before graduation; (2) to receive additional interpersonal training, SSHA advisors attended professional conferences; (3) Adopted advisor specialization by major which has allowed for development of relationships between advisor and student as well as advisor and faculty. SSHA advising also regularly assesses its Special Academic Probation Program. Evidence from the first two years indicated that certain program components were not relevant to students with advanced standing and the program was modified to provide resources appropriate to their particular needs.
University Relations	Annually, areas for review need to be significant activities or new initiatives, measurable by a number and timeline for achievement.	We use Raisers Edge to produce fundraising data related to our development goals. We also use financial reports, contact reports, training attendance, web use and newspaper column/inches as other types of measures.		Measured quarterly, shared annually	We use these results in order to measure whether or not our practices are accomplishing our goals and if they are not, then we reevaluate both respectively.	Chancellor's Cabinet, Deans and Directors, Faculty Senate leadership and the UC Merced Foundation Board of Trustees.	This is the unit's initial effort at goal setting. This first effort is annual in scope. We are working on a three year plan.	During the 2009 fiscal year, the unit assessed its efforts in establishing goals and measuring performance. In response, the unit established goals and objectives/measures for achieving those goals for the 2010-2011 fiscal year and are currently working on a 3 year plan in order to provide a vision and plan for University Relations in the years to come.

*This structure is new and the oversight responsibilities for university curricular and co-curricular requirements are still being negotiated.

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UNIVERSITY OF CALIFORNIA, MERCED
P.O. BOX 2039
MERCED, CALIFORNIA 95344

7 May 2010

Dear Vice Chancellor Miller:

One of the new, overarching goals of WASC accreditation is to have institutions develop a "culture" of evidence-based improvement in support of our educational missions. As noted in the WASC Visiting Teams' Report for us[1], and as further highlighted by the WASC Commission in its Action Letter[2,3], WASC expects *systematic* assessment to be practiced across the institution. As the WASC Visiting Team put it, "viewing all units as delivering [contributing to or supporting] educational outcomes is encouraged." [4] Specifically, this means that strictly administrative units will need to change the practices by which they evaluate their effectiveness, usually by shifting evaluation from personnel reviews to unit-based outcomes assessment. In some cases, this will require a shift in rhetoric, in others a shift in emphasis, in still others a substantial change in practice.

To attend to WASC's expectations, UC Merced is

1) conducting a comprehensive review of assessment practices across the campus as part of our WASC Educational Effectiveness Review self-study, and, as you know,
2) developing a policy for administrative unit assessment[5].

With respect to bullet 1 and recognizing that many administrative units have not yet begun to engage in this level of evidence-based self-reflection, we are documenting how well assessment culture is developed in order to identify our resource needs and to establish an institutional baseline from which to further evolve. More specifically, the goals of UC Merced's review of assessment are to

- Describe the scope of assessment practices across the campus (e.g., identify which programs and units are at each stage --- nothing initiated; plan drafted; date scheduled; etc.);

[1] "…assessment is not consistent in other [non-Student Affairs administrative] support units at present" Report of the WASC Visiting Team Capacity and Preparatory Review, p. 8., March 3, 2010. p. 2.
[2] "Establish a system for the use of assessment and other data at administrative and institutional levels." WASC Commission Action Letter
[3] "Extend[ing] systematic program review from Academic Affairs to Student Affairs to other areas of the campus." WASC Commission Action Letter, March 3, 2010. p. 3.
[4] Report of the WASC Visiting Team Capacity and Preparatory Review, p. 44; WASC Commission Action Letter, p. 3.
[5] A draft Administrative Unit Assessment Process policy is currently being circulated for review and revision.

- Evaluate the quality of current assessment practices and processes, with particular focus on alignment between unit goals and institutional mission and goals;
- Examine what assessment results reveal about student learning relative to intended learning (where appropriate);
- Examine what assessment results reveal about the efficacy of co-curricular and administrative units relative to unit and University objectives;
- Use the data and evidence collected to identify the resources needed to sustain and improve assessment practices and student learning and support services across the institution.

To support this work, the Steering Committee asks that you please respond to the set of questions appended to this document as specifically as possible.

As with the Capacity and Preparatory Review Report, all affirmative assertions must be verified by supporting documentation. As such, please include these documents with your response, being sure to link this evidence directly to your narrative response. A simple number or letter-based reference system can be used for this purpose. For supporting documentation that is available online, URLs may be embedded in the text.

If you have any questions or would like to meet in person to discuss this request, please contact Laura Martin, lmartin@ucmerced.edu . Otherwise, **please submit your summary, including supporting documentation and examples, to Laura by June 9**.

Thank you very much for supporting our Initial Accreditation effort.

Sincerely,

Gregg Camfield
Professor and Chair
WASC Steering Committee

Questions

1) a. Have you identified, or are you in the process of identifying, performance goals and related objectives for the unit (as opposed to goals for individual administrators or staff members)? If so, please provide them.

Performance goals and objectives for the Division of Administration are contained in the Division's strategic plan (http://administration.ucmerced.edu/administrative-units/office-vice-chancellor-administration/strategic-plan-2009). Soon after the campus opened in fall 2005, the Division began creating multi-year goals for each of its units. During 2007-09, the Divisional effort of setting multi-year goals setting evolved into the Division's initial strategic plan.

b. How are they made available and to whom?

The Division's strategic plan is posted on the UCM web site (http://administration.ucmerced.edu/administrative-units/office-vice-chancellor-administration/strategic-plan-2009).

c. How do they align with the unit's mission?

The Division created its strategic plan following the typical business plan process.

Initially, the Division created its mission, vision and principles. Precursor inputs to these statements were both the UC and the UCM statements of mission, vision and principles (http://www.universityofcalifornia.edu/aboutuc/missionstatement.html) (http://www.ucmerced.edu/about_ucmerced/mission.asp). This process resulted in a clearly defined alignment of the Division's mission, vision and principles with those of the UC System and the UCM Campus.

Concurrently, the Division managers conducted an environmental scan (http://administration.ucmerced.edu/strategic-plan/strategic-plan-2009/key-campus-challenges/opportunities) using a simplified SWOT format. This scan shaped and helped prioritize the Division's initial workplans.

The sum of these efforts evolved into the Division's four strategic themes—process, people, place and stewardship (http://administration.ucmerced.edu/strategic-plan/strategic-plan-2009/4ps-diagram). Each of these four themes contains aligned goals designed to advance the four strategic themes. This structure ensures the Division's efforts are aligned with both the Campus and UC missions.

With this planning structure in place, the VCA and Divisional managers started creating multi-year workplans for each manager's unit (http://administration.ucmerced.edu/strategic-plan/strategic-plan-2009/departmental-objectives). The workplans create unit objectives supporting specific Divisional themes and goals. This process further ensures demonstrable alignment with the Divisional, Campus and UC missions.

d. How do they align the University's mission[1] and goals?

See answer to "1c" above.

e. Do they reflect the standards of a professional association? If so, please briefly describe.

Given the broad range of business responsibilities and regulatory compliance requirements falling under the purview of the VCA and the Division—the mission, vision, principles and workplans for the Division purposefully reflect the standards of a wide range of professional standards. Consider the major divisional units reporting to the VCA: (1) business and financial services; (2) capital planning and construction; (3) police and life safety services; (4) human resources; (5) facilities; and (6) fleet services. Each of these major units must comply with a range of federal, state, local regulations, UC systemwide policies, as well as various professional standards. The Divisional managers build compliance with regulations and professional standards into their workplans.

2) a. Does your unit review its performance in relation to its objectives?

The Division's current performance review process consists of a series of components, however, all the components are not yet fully realized into a standardized process and feedback system. The complete planning and assessment process is captured in Figure 1 "Division of Administration Planning and Performance Assessment Flowchart" (attached). The description of the performance assessment components follows below:

1. The VCA conducts standing meetings with each Divisional direct reporting manager on a weekly basis. During these "one-on-one" meetings, the VCA and manager review, update and modify, as needed, the objectives on which the manager is working.

2. The VCA conducts a bi-weekly staff meeting with all the direct reporting managers. The VCA and managers provide briefings and updates on their unit's objectives and related communications. (Not every single objective is discussed at a given staff meeting.)

[1] **UC Merced's Mission Statement:** "The University of California, Merced's mission is embodied in its proud claim of being the first American research university of the twenty-first century. As the tenth campus of the University of California, UC Merced will achieve excellence in carrying out the University's mission of teaching, research and service, benefiting society through discovering and transmitting new knowledge and functioning as an active repository of organized knowledge. As a key tenet in carrying out this mission, UC Merced promotes and celebrates the diversity of all members of its community."

3. The VCA and Divisional managers lead or participate in a range of standing or ad hoc campuswide advisory groups. Examples include the VCA Student Advisory Board, the TAPS Advisory Committee, the ECEC Parent Committee, and the Chancellor's Advisory Committee on Sustainability. Part of the role of each committee is to provide performance feedback to the units providing service.

4. The Division conducts ad hoc customer satisfaction surveys. Recent campuswide surveys have assessed: (1) custodial; (2) facilities; (3) parking; (4) human resources; and (5) business services. (The May 2010 HR and BFS customer satisfaction survey is attached.) The Division is currently establishing a standardized customer satisfaction survey process in partnership with UCM Institutional Planning and Analysis. The goal is to decrease the total number of Divisional surveys sent to the campus community while increasing the actionable data collected, plus enable year-over-year comparisons.

5. The Division participates in a number of external performance assessments mandated by law, UC policy or elective Divisional initiative. Recent examples include: (1) business services financial audit; (2) occupational safety and health compliance inspection; (3) fire safety inspection; (4) regional air quality control district permit compliance; and (5) USGBC LEED certification.

If so, please describe how this is done, including

i. The process by which objectives are selected for review[1].

Objectives for review are selected typically in one of four ways:

1. The Divisional manager's workplan objectives are normally discussed during the VCA's standing one-on-one meetings, the standing staff meeting and the divisional retreat.

2. Customer satisfaction information and feedback comes from standing advisory groups and ad hoc surveys. This data provides direction on which divisional objectives are advancing and which need attention.

3. Comparison against benchmarks. The benchmarks are usually higher education-specific metrics such as the CPEC space guidelines or comparable-institution comparisons for funding levels, salary parity, infrastructure, etc. Some benchmarks are external to the higher education environment such as the UCGBC LEED-certification standards.

4. Audits, licensure, legal compliance and mandated inspections tend to follow externally prescribed schedules set by the respective agency. Consequently, they are "selected" for review by default. It should be noted that external audits and similar requirements are viewed typically as mandated compliance goals, rather than performance goals.

[1] For example, are objectives identified annually, but without explicit consideration of future assessment work, or has the unit established a plan describing what objectives will be examined in what years?

ii. The source(s) and types of data

Divisional managers provide a written report of their progress toward achieving their workplan objectives on an annual basis. To date, the Division has been uneven in soliciting the managers' annual workplan progress in written form. The most current written annual reports are for 2007-08 (attached).

To date, most Divisional surveys are conducted on an ad hoc basis. The Division has not yet created a standardized survey instrument, nor a process that allows for straightforward year-over-year comparisons. The Division also has been uneven in communicating survey results to the campus community. Starting with the May 2010 BFS and HR customer satisfaction survey (attached), the Division is collaborating with UCM Institutional Planning and Analysis and moving toward a more systematic survey process.

Standardized forms, data capture and/or reports are normally part of external audits, licensure and other mandated compliance requirements.

iii. The timeline

The VCA and managers regularly discuss and determine next steps on unit objectives during the standing one-on-ones and staff meetings on a weekly or bi-weekly basis. Surveys are on an ad hoc basis as this time. External mandated assessments, such as audits, compliance inspections, etc, occur on schedules specific to the area and determined by the external entity. Divisional assessment toward unit-specific performance objectives currently is part of the manager's annual performance evaluation. However, solicitation of written unit performance assessments has been uneven.

iv. How the results are used to inform practices

Currently, the manager's workplan progress and task completion is the primary measure to assess progress toward Divisional goals. To date, managers have used survey results on an informal basis to determine customer satisfaction and identify areas on which to focus improvement efforts. Starting with the May 2010 BFS and HR survey, the Division will be able to more systematically assess customer satisfaction and start the process of year-over-year comparisons.

External audits and similar requirements are viewed and fulfilled as mandated compliance goals rather than performance goals.

v. To whom the results are disseminated

At this time, most Divisional workplan results, survey outcomes and regulatory reports are disseminated within the Division—typically between the VCA and the unit-specific manager.

b. If your unit has a plan for assessing its performance, please provide it.

The responses to questions "2a i-v" (above) capture the performance assessment plan currently in place in the Division. Also see Figure 1 "Division of Administration Planning and Performance Assessment Flowchart." The Division's performance assessment process is a work in progress and can be expected to improve continuously.

3) If your unit has engaged in assessment to improve performance[1], please provide one or more examples of this work, *including a description of any changes made to the practices of the unit in response to the results*. These examples are particularly important as they demonstrate that we practice "evidence-based improvement", which is a fundamental expectation of WASC.

The fully realized Divisional performance assessment flowchart is captured in Figure 1 "Division of Administration Planning and Performance Assessment Flowchart." Currently, the Division is putting in place the elements that will fill in the gaps in its assessment process, plus strengthen and better communicate an evidence-based systematic and ongoing improvement process. This effort will include:

1. Soliciting and ensuring the submission of annual written workplan objectives outcomes and plans for the year ahead.

2. Establishing a periodic performance review and evaluation process.

3. Evolving the survey assessment process toward a standardized instrument and a structure enabling year-over-year comparisons.

4. Determining the best way to capture and communicate progress toward the goals listed under the Division's four themes of process, people, place and stewardship. This will likely involve customer satisfaction survey results, benchmarks and qualitative inputs depending on the nature of each goal.

5. Improve the Division's webpage communication of its strategic plan, progress toward goals and objectives, survey results and other relevant performance assessment information.

[1] For example, user satisfaction surveys or metrics that describe unit productivity relative to goals.

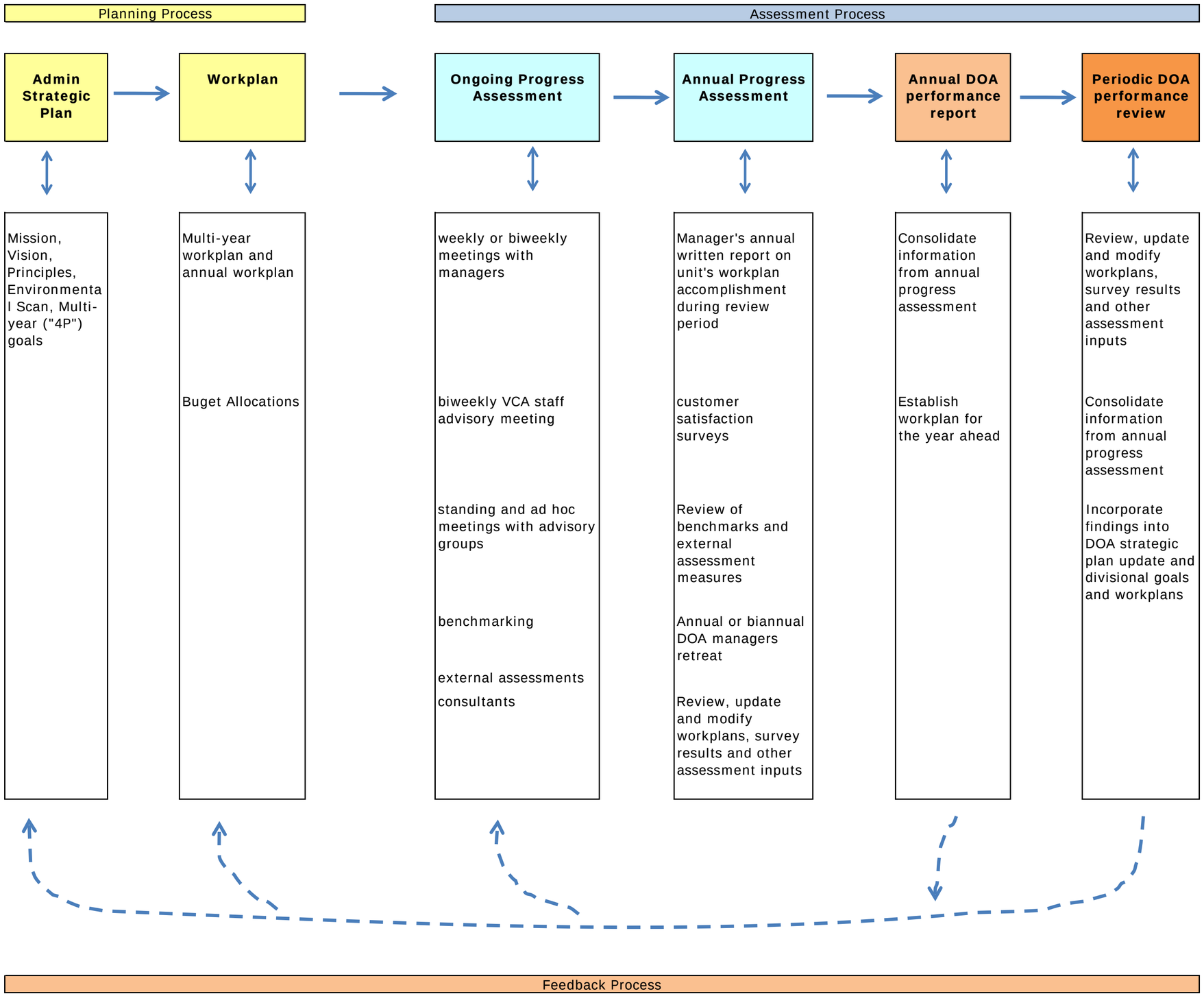
4) If your unit has not yet developed goals and objectives what is the timeline for completing this work and initiating assessment?

Division has developed goals and objectives (http://administration.ucmerced.edu/strategic-plan/strategic-plan-2009/departmental-objectives).

5) If your unit has goals and objectives but does not regularly assess its performance, what is the timeline for beginning this work?

The Division has started improving its performance assessment process with the response to this letter, dated May 2010, and anticipates the process update to be completed soon after the Division's next retreat in early 2011.

FIGURE 1. DIVISION OF ADMINISTRATION PLANNING & PERFORMANCE ASSESSMENT FLOWCHART



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BUDGET OFFICE

MISSION

"The mission of the Budget Office is to create and support an environment that advances our institutional mission of achieving distinction in education, research, and public service. The Budget Office is committed to bringing rigor to budgetary decision-making and transparency to budgetary process. Accordingly, in consultation with Senior Management, Academic Schools and all support units, we will do our utmost to deploy resources and promote sound resource management in the effective, timely, and prudent support of the University tri-partite mission."

ACCOMPLISHMENTS

- Maintained Services for the Campus Community.
- Invited to prepare a talk for the UC Budget Staff retreat (was able to highlight what we are doing at UC Merced for Budget and Planning).
- Provide a budget system for Departments, Schools, and Units to upload 2008-09 Budgets proposals.

MAJOR PROJECTS

- Work on the Budget Forecast Model for UC Merced. This model will incorporate the LREP; which will help in space planning and budget projections. In addition, a feeder model will be the Graduate Student model which will allow us to see how many Non-Resident graduate students we can admit and provide support for.
- Provide training classes to the campus community.

GOALS AND CHANGES

- Provide training classes to the campus community.
- Look for best practices from other UC campuses and other higher educational institutions.
- Look for new sources of funds for UC Merced.

CAPITAL PLANNING OFFICE

1 SOCIAL SCIENCES AND MANAGEMENT BUILDING
- Final review of construction documents for Social Sciences and Management Building
- Preparation of Furniture and Moveable Equipment List for Social Sciences Building – will submit to UCOP/State

2. SCIENCE & ENGINEERING BUILDING 2
- Re-programming Effort for increased scope of work with Executive Architect
- Launch Schematic Design and Re-Convene Building Advisory Committee

3. CAMPUS PHYSICAL PLANNING COMMITTEE (CPPC)
- Expand membership to include additional VC reps and a second faculty rep
- Use CPPC to review Call Letters to VCs for future Capital Projects

4. ADMINISTRATIVE SPACE
- Provide data needed for business decision regarding new off campus leased space and new lease/purchase trailers to accommodate academics (lecturers, post docs and graduate students) in time for Fall 2008

5. RESEARCH SPACE
- Provide recommendations regarding potential to use debt financing to gain additional research space on campus.
- Coordinate with UCOP Real Estate, External Finance, and Budget Office to determine possibilities

6. CHILD CARE CENTER
- Prepare Project Planning Guide and gain project approval by UCOP

7. STEM CELL RESEARCH FACILITY
- Prepare Project Planning Guide and gain project approval by UCOP

8. WEST CAMPUS NEIGHBORHOOD PLAN
- Prepare Report on behalf of Planning Advisory Committee

9. CAMPUS LRDP
- Provide PPD&C with program information for campus build out

10. HOUSING 3
- Prepare Regents “P” (Budget) Approval Item

PPD&C
2007-08 Goals & Accomplishments
2008-09 Goals

1. Complete Phase IA Projects/Resolve Claims by June 2007
Status: Accomplished $30M settled under $5M

- Mediation in Spring 2007 resolves Swinerton Claims on COB, LITC and Site and Infrastructure
- Mediation in June 2007 resolves Flintco Claim

2. Sierra Terraces Substantial Completion

- Building 1 by August 2007
- Building 2 by January 2008

Status: Accomplished

3. Revised Section 404 Permit Application for Campus Plan by Winter 2008
Status: On Track

- Footprint negotiated with Feds: August 2007
- Revisited Application on track for February 2008

4. Affirm Plan for PPD&C Relocation for Five Years by Summer 2008
Status: Pending

- Space Options identified Summer 2007
- VCA negotiating lease for Spring 2008 move

5. Complete Campus Design Guidelines by Summer 2008
Status: Pending

- Priority placed on Campus Planning
- Guidelines being developed within LRDP process

6. Complete Valley Dining Expansion by Aug 2008
Status: On-track

7. Complete LSSF by Fall 2008
Status: Delayed to Winter 2009

PPD&C Goals 2008-09

1. 404/LRDP DEIR/DEIS by Summer 2008
2. 404/LRDP FEIR/FEIS by winter 2008-09
3. Bid SS&MB under budget by Spring 2008
4. Relocate PPD&C to 5 year space by Summer 2008
5. Complete PPD&C Organization Plan by Fall 2008
6. Close Out Sierra Terraces by Spring 2008
7. Complete Valley Dining Expansion by Summer 2008
8. Complete LSSF by Winter 2009

Business & Finance

FY 07-08 ACCOMPLISHMENTS

Purchasing

- FYTD Cost Savings $626K, Rebates $30K
- Fall Vendor Fair, 28 vendors and 200 attendees
- Purchasing Policy/System Training, 112 hours with 171 attendees
- Corporate Card Change Over, 75 card holders with 10 hrs of training

Financial Services

- Control & Accountability, Monthly MSO Meeting for Training, Development, Communication, Kickoff Control Environment Assessment for Payroll Check Distribution Process & Cash Collection Process/Procedure.
- Deployed Express and trained 80 users for 35 hours.

Administrative Computing & Systems

- Major Upgrade for mybill/epay - accommodate additional merchant (VISA added, multiple ID added), automated bill generation and presentment, implemented Disaster Recovery Plan for Bills/Payments.
- Deferred Payment Plan for Students - flexible 3 installments, consolidated campus plans (one plan for all units including Housing/dining).
- Virtual Store, a retail services web portal, - Campus Unit can have their own channels. Current channels are, HR for Amusement Park, Dining for Catering, Alumni/Student Clubs, SPO/Univ Communication.
- Major Upgrade to PTR Web - Improved Reporting, Exception Reporting for Research Projects
- Conference/Training Services Application - Fee for service (ACH, CC), working on intra and intercampus recharge and PO process
- Desktop/training lab Support for BFS - about 30 employees, 22 training stations
- File Server Management for Admin Units - 50 users and counting

Student Business Services & Cashiering

- Fall Billing
  - Total Billed $14.78M
  - Pmt/Adjust ($13.43M)
  - Balance $1.35M
  - Ratio 91% on time (33% collected via web services, epay)
- Deferred Billing - Total Applicant 454 with 9 and 21 denials

- Fall Collection
  - Transaction Count 8,702, with a collection total of $20.5 millions and 32% of the transactions are through self services (web services.

HR Achievements 2007-2008

General

- Significantly improved HR customer service
- Wrote HR policy such as telecommuting policy
- In collaboration with BFS and Budget started the process of developing HR on line transaction form
- Reorganized HR in order to improve customer service

Compensation and Classification

- Reduced Reclassification Back log going back to August of 2006 to current within approximately 60 and 90 days
- Reduced significant campus equity issues and established equity guidelines
- Developed the Top Cat program
- Ist campus external market salary survey conducted

Benefits

- Obtained $32,000 in BE Smart About Safety funds to start a campus Health and Wellness program
- Added three new HR Benefits positions at no cost to the campus including Disability Manager, Health Care Facilitator, Health Care Facilitator Assistant
- Campus EAP program established
- Established Faculty Staff and Students Discount Tickets program and now through BFS can be paid for on campus e-pay
- On Campus Retirement Program Counseling
- Started Transitional return to work program

Training and Development

- Obtained the various required training for the configuration and set up of the Sum Total Learning Management System for the campus
- Increased skill set of HR staff through various training and seminars including World at Work Total Rewards, World at Work Job Analysis, the Art of Persuasion, UCRS Retirement training, Americans with Disability Training, Benefits , Risk Management and Wellness Summit
- Hired training Manager to start faculty and staff training program

Recruitment

- Non computer based job application program
- Expanded outreach and diversity recruiting efforts
- Managed over 300 recruitments

Labor Relations

- Provided instructor led Sexual Harassment Prevention Training

University of California, Merced
POLICE and PUBLIC SAFETY DEPARTMENT
2007/2008 Accomplishments to Date
January 15, 2008

Emergency Management

- ☑ Implemented campus emergency responder GETS/WEPS program.
- ☑ Provided campus wide Standard Emergency Management training through California OES.
- ☑ Collaboratively identified and tested current campus emergency notification capabilities, and interim crisis communications plan.
- ☑ Developed and provided full-scale active shooter exercise for campus and county.
- ☑ Identified and began purchase process for multifaceted campus emergency notification system.

Police Operations

- ☑ Implemented model traffic safety program that:
  - Attracted over 1,000 participants to a week long educational program
  - Received State grant funding for traffic education and enforcement programs.
  - Participated in grant funded countywide "Avoid the 11" campaign
- ☑ Successfully cleared noteworthy cases including death, thefts, and domestic violence.
- ☑ Collaborated with Student Housing and Student Health in presenting "Student Toolbox" series training for non-academic living skills.
- ☑ Hosted five regional law enforcement trainings

Community Service Officers

- ☑ Doubled the number of registrations of electronics
- ☑ Implemented peer educator program.

Mentor Program

- ☑ Collaborated with City Schools, School of Natural Science and School of Social Science, Humanities and Arts to address highly-at-risk fourth and fifth grade students for "Success in the Summer" UC Merced PD Mentor summer program.
- ☑ August through December provided mentoring to 210 elementary students, and daily one-on-one mentoring to 30 High-Risk students
- ☑ Collaborated with Student Government and Student Clubs in organizing and performing Merced Community Clean-ups and renovations. "
- ☑ Provided two community clean-ups and one Habitat for Humanity Assist
- ☑ Received City and County Recognition for program
- ☑ Provided twelve Civic Organization presentations
- ☑ Through quantitative criteria named next school to participate in program.
- ☑ Program nominated for California College and University Law Enforcement Administrators' Award of Distinction - to be awarded April 2008

Emergency Communications Center

- ☑ Responded to 100,321 telephone calls
- ☑ Purchased and installed bi-amping in the "tunnel."

Administration

- ☑ Numerous new trainer certifications were attained:
  - Citizen Emergency Response
  - National Incident Management System
  - First Aid/CPR/ automated external defibrillator (AED)
  - Major Crime Dispatching
  - Weaponless Defense
  - Less-Lethal Defense
  - Crowd Control
  - Baton
- ☑ Internal Promotions
- ☑ Recognized department members through dispatcher and officer of the year regional awards and departmental employee recognition celebrations.

Accomplishments Facilities Management - Campus Services

- Ran Operations Section of EOC for shooter exercise
- Ranchers Road paving
- COB, Lower Library, Ranchers Lot Improvements/Lots E & F Construction
- Campus Entrance and Library Landscape improvements
- Developed, implemented, and improved a comprehensive Recycling program; Initiated our Recycling website
- Events support: Commencements, Bobcat Days, and the Inauguration
- Custodial introduction sheets and satisfaction survey
- Custodial Services is Leading the way for UC campuses on “Green Cleaning Technology”. Currently 80% of our cleaning supplies and equipment are green certified products
- Improved service levels of Shipping/Receiving function while package volume increased significantly
- Finished a comprehensive Parking & Transit survey that will help us better meet the needs of customers in the future
- Update to Parking Regs and reestablishment of Parking Committee in progress
- Effectively transitioned most campus landscaping to new grounds crew and cared for turf, plants, shrubs, and trees. Maintained a beautiful campus.
- Mitigated dust on unpaved portion of Ranchers Road utilizing peach pits from local orchards
- Implemented TMA key and lock module
- Assisted Advancement Services and Admissions in doing 5,000 - 40,000 piece mailings

Accomplishments Facilities Management – Central Plant

- Established MEP system service contracts: Water Treatment, Generators, and Elevators.
- Completed PM's for major MEP systems & equipment
- Successfully completed management of over 40 lab renovations
- Developed scope and implemented Castle campus landscape project
- Solar Project: Successfully designed, procured all parts, plumbed 300 feet of underground water, built deck and installed all electrical for solar project at south west-end of Campus.
- COB and LITC Shutdown: Successfully performed a complete electrical shutdown and racked all main breakers for preventative maintenance to assure continued power reliability.
- S & E ATS reliability: Electrical team investigated the cause of intermittent electrical power interruptions in building, identified design/construction issues and made corrections
- Livingston House renovation (Wawona): The entire facility has been rewired, plumbed and the
  heating has been restored
- Eric's House (Wawona): New countertops were installed and electrical service upgraded
- SNRI (Wawona): Designed and procured the emergency Generator
- ALC Building Automation: Focused attention on design flaws in programming and installation
  practices for continued HVAC reliability (Campus wide)
- Library successfully froze piping to repair leaks in hot water supply.
- Replaced urinals per manufacture's recommendations in Library
- LITC KL183 Server Room Renovation
- Calculated all primary building performance targets to track energy saving efforts
- Developed & implemented equipment PM's for all campus buildings.
- Reviewed & updated campus MEP master specs to incorporate lessons learned for better performance for future projects.

Environmental Health & Safety Projects, Goals for Spring 2008

Implementation of campus EH&S policy	Complete
Develop (with FM) sanitary sewer mgmt plans	pending system wide model
Implement laboratory safety trainings series	Complete: 7 of 9 classes; 195 attendances
Develop, implement supervisors safety training class	Complete: 71 attendees
Implementation of BSAS - Ergonomic Program	
acquisition of ergonomic computer lending equipment	Complete
onsite workstation evaluations - on request	70 + to date
retain consultant for trades task evaluations	to be done
implement back injury prevention courses:	Custodians, Grounds
development of web pages within EHS web site	to be done
develop printed information/training materials	to be done
Implementation of Integrated Safety & Environ Mgmt	small bits & pieces
Resolve outstanding air permitting issues on generator	Complete
Assess hazardous materials tracking programs	under evaluation
contact vendors, assess products	
purchase hazmat tracking software program	

In addition:

- Improved EH&S coordination with PPD&C and FM on projects
- **Launch of Ergo-CAT online ergonomics program: FM & HR**
- **Use of UCSF Ergonomics program for on-campus consulting**
- Implemented Safe Driver training program – in vehicle
- In conjunction with PPD&C and FM, implemented construction site access policy

To be completed:

- **Revision and re-issue of Injury & Illness Prevention Plan**
- **Re-implementation of campus Safety Committee**

Special Assistant Support to VCA in 2007
Submitted by Jim Genes

- Help start Chancellor's Advisory Committee on Sustainability
- Staff campus Strategic Academic Plan effort
- Assist with campus EOC start-up as logistics section chief
- Staff divisional strategic planning process
- Served as interim director for SBDC Regional Network in Fresno
- Served as interim COO for Great Valley Center in Modesto
- Staffed campus academic space planning ad hoc committee
- Served as divisional liaison for campus visitor and conference services
- Continue participation in town-gown meetings
- Continue participation in University Community LLC meetings
- Continue participation in local watershed issues through Merced River Stakeholders
- Invited to serve on board of Friends of the River

University of California, Merced
Division of Administration

Customer Satisfaction Survey Report

May 2010

Submitted to
Division of Administration
University of California, Merced

Conducted by the
Assessment Resource Center
University of Missouri
2800 Maguire Blvd.
Columbia, MO 65211
(573) 882–4694

Division of Administration Customer Satisfaction Survey Report

DIVISION OF ADMINISTRATION CUSTOMER SATISFACTION SURVEY REPORT 4

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Division of Administration Customer Satisfaction Survey Report

Overview

The Division of Administration at the University of California, Merced wanted to know how it could improve services provided to its customers. The Director of Administration worked with the Assessment Resource Center (ARC) to develop a web-based questionnaire to assess the quality of customer service and support provided by two administrative divisions, Human Resources (HR) and Business and Finance Services (BFS). This questionnaire was adapted with permission from one originally developed by ARC with the Division of Finance and Administration at the University of Missouri.

The University of California, Merced Customer Satisfaction Survey had four common selected-response questions, additional unit-specific questions, and one open-response question asking for additional comments for each of the ten units. The five units within the Division of Human Resources were Benefits, Classification and Compensation, Recruitment, New Employee Orientation, and the HR Website. Units within the Division of Business and Finance Services were Payroll/Time Reporting (PTR) Systems, Accounts Payable and Disbursements, Student Business Services, Travel and Entertainment, and Financial Management and Systems Training.

Customers were asked to answer questions only for the units they had worked with over the preceding year. In order to determine this, the first survey question asked customers the frequency of their interactions with each specific unit. If they selected one of the choices "daily," "weekly," "monthly," "quarterly," or "twice a year," then they were directed to the set of questions evaluating that unit, referred to as "satisfaction" questions. If they chose "little or no interaction," then the survey skipped the satisfaction questions for that unit.

University of California, Merced provided ARC with a list of 1,798 customers of units within HR and BFS. In April 2010, an email cover letter, which included a Web link to the Customer Satisfaction Survey, was sent to 1,798 customers, followed by a reminder email to non-respondents thirteen days later. Tables 1 and 2 show the information regarding survey implementation.

Table 1: Survey Implementation Tracking

Tracking Units	Count
Surveys – Wave 1: Date Sent 4/7/10	
Emails sent with survey link	1,798
Customers accessing survey link by 4/20/10	519
Surveys – Wave 2: Date Sent 4/20/10	
Emails sent with survey link	1,279
Customers accessing survey link by 5/3/10	701
Undeliverables (Waves 1 & 2)	5
Refusal/decline (Waves 1 & 2)	0
Data collection ends 5/3/10	
Customers receiving survey link	1,793
Respondents* by 5/3/10	608
Survey response rate	33.9%

**Includes those who answered at least one survey question.*

Table 2: Survey Responses

All Surveys	Final Counts
Customers receiving survey request	1,793
Customers taking link to survey	701
Customers who followed link to survey but answered no questions	93
Customers answering at least one survey question	608
Customers who selected little or no interaction with all units	62
Customers taking survey who selected having interaction with at least one unit	546
Customers answering at least one satisfaction question for any unit	503

Customer Response by Unit

The Web survey began with a frequency-of-interaction question with six choices ranging from daily interaction to little or no interaction. Table 3 shows the percentage and number of respondents selecting each choice for each unit surveyed.

Table 3: Frequency of Interaction by Unit

How frequently do you interact with…	Daily	Weekly	Monthly	Quarterly	Twice a Year	Little or no Interaction	Total
Benefits	7 1.3%	14 2.6%	42 7.7%	56 10.3%	114 20.9%	313 57.3%	546 100.0%
Classification and Compensation	2 .4%	20 3.7%	41 7.5%	31 5.7%	61 11.2%	391 71.6%	546 100.0%
Recruitment	5 .9%	20 3.7%	28 5.1%	35 6.4%	52 9.5%	406 74.4%	546 100.0%
New Employee Orientation	2 .4%	4 .7%	16 2.9%	9 1.6%	39 7.1%	476 87.2%	546 100.0%
HR Website	9 1.6%	34 6.2%	81 14.8%	71 13.0%	60 11.0%	291 53.3%	546 100.0%
Payroll/Time Reporting (PTR) Systems	27 4.9%	116 21.2%	264 48.4%	25 4.6%	31 5.7%	83 15.2%	546 100.0%
Accounts Payable and Disbursements	25 4.6%	50 9.2%	82 15.0%	32 5.9%	37 6.8%	320 58.6%	546 100.0%
Student Business Services	26 4.8%	22 4.0%	41 7.5%	44 8.1%	47 8.6%	366 67.0%	546 100.0%
Travel and Entertainment	17 3.1%	34 6.2%	83 15.2%	66 12.1%	69 12.6%	277 50.7%	546 100.0%
Financial Management & Systems Training	26 4.8%	19 3.5%	27 4.9%	30 5.5%	42 7.7%	402 73.6%	546 100.0%

Note: The percentages are out of the 546 respondents who answered that they had interactions with at least one unit.

Respondents selecting at least "twice-a-year" interaction with a unit over the past year were directed to a set of customer satisfaction questions for that unit. Table 4 shows both the number and percentage of respondents who selected at least semiannual interaction and the number and percentage who selected little or no interaction.

Table 4: Customer Response by Unit

How frequently do you interact with…	Respondents selecting at least "twice a year" interaction	Respondents selecting "little or no interaction"
Benefits	233 42.7%	313 57.3%
Classification and Compensation	155 28.4%	391 71.6%
Recruitment	140 25.6%	406 74.4%
New Employee Orientation	70 12.8%	476 87.2%
HR Website	255 46.7%	291 53.3%
Payroll/Time Reporting (PTR) Systems	463 84.8%	83 15.2%
Accounts Payable and Disbursements	226 41.4%	320 58.6%
Student Business Services	180 33.0%	366 67.0%
Travel and Entertainment	269 49.3%	277 50.7%
Financial Management & Systems Training	144 26.4%	402 73.6%

Note: Percentages are out of the 546 respondents who answered that they had interactions with at least one unit.

Respondents were asked to classify their jobs into one of eight employment categories. Table 5 provides the number and percentage of respondents who selected each category.

Table 5: Division of Administration: Job Classification

What type of job do you have?	Number of Respondents	Percentage
Service or maintenance	25	5.3%
Skilled crafts	9	1.9%
Clerical or secretarial	48	10.3%
Technical or paraprofessional (includes MSOs)	39	8.3%
Professional (support/service)	118	25.2%
Executive, administrative, or managerial	131	28.0%
Primarily instruction or research (senate member)	35	7.5%
Primarily instruction or research (non-senate)	63	13.5%
Total	468	100.0%

Note: 78 respondents did not answer this question.

Customer Ratings for Division of Administration: Human Resources (HR) and Business and Finance Services (BFS) Combined

Respondents were asked to rate two departments of the Division of Administration with which they had at least "twice-a-year" (semiannual) interaction. There were ten possible units within these two departments that respondents could rate on a set of four common questions. Some respondents rated more than one unit and their responses are included for each unit they evaluated. Table 6 shows the total customer responses for all common questions for the ten units. Due to rounding, the total percentages may not equal 100%.

Table 6: Division of Administration (HR and BFS): Customer Satisfaction Ratings

Based on your most recent experience how would you rate the following:	Very Satisfied	Satisfied	Somewhat Satisfied	Dissatisfied	Very Dissatisfied	Total
Understanding your needs	273 16.3%	754 45.1%	405 24.2%	142 8.5%	99 5.9%	1673 100.0%
Timeliness	307 18.3%	720 42.9%	368 21.9%	163 9.7%	119 7.1%	1677 100.0%
Effectiveness	301 17.7%	718 42.2%	408 24.0%	161 9.5%	113 6.6%	1701 100.0%
Collaboration in working with you	321 20.5%	633 40.5%	357 22.8%	158 10.1%	95 6.1%	1564 100.0%

Note: Not all respondents answered each question for each unit; consequently, counts are not equal across questions.

In order to determine an overall rating for the Division of Administration, the means for each unit were calculated and weighted for each of the four common questions. The response choices ranged from very dissatisfied with a score of 1 to very satisfied with a score of 5. A mean score between 3 and 4 represents a response rating between "somewhat satisfied" and "satisfied."

Some respondents rated more than one unit and **each** of their ratings was considered in the calculations for the overall mean score. Table 7 shows the overall mean score from all customer responses for all units on each of the four common questions. The number of responses column shows the number of scores used to calculate the mean for each question.

Table 7: Division of Administration (HR and BFS): Customer Satisfaction Mean Scores

Question	Mean	Number of Respondents	Number of Responses
Understanding your needs	3.6	481	1673
Timeliness	3.6	485	1677
Effectiveness	3.5	488	1701
Collaboration in working with you	3.6	459	1564

Administration Units—Customer Satisfaction

The following report section shows the survey results for each of the survey's ten individual unit sections. These units are:

- Benefits
- Classification and Compensation
- Recruitment
- New Employee Orientation
- the HR Website
- Payroll/Time Reporting (PTR) Systems
- Accounts Payable and Disbursements
- Student Business Services
- Travel and Entertainment
- Financial Management & Systems Training

Benefits

Respondents were asked to classify their jobs into one of eight employment categories. Table 8 provides the numbers and percentage of respondents in each category of employment, among those who reported having at least semiannual interaction with Benefits.

Table 8: Benefits: Job Classification

What type of job do you have?	Number of Respondents	Percentage
Service or maintenance	8	4.0%
Skilled crafts	4	2.0%
Clerical or secretarial	10	5.0%
Technical or paraprofessional (includes MSOs)	18	9.0%
Professional (support/service)	58	29.1%
Executive, administrative, or managerial	68	34.2%
Primarily instruction or research (senate member)	10	5.0%
Primarily instruction or research (non-senate)	23	11.6%
Total	199	100.0%

Respondents were asked to rate Benefits on the four common questions plus two additional questions. Table 9 shows the customer responses for all questions.

Table 9: Benefits: Customer Satisfaction Ratings

Based on your most recent experience how would you rate the following:	Very Satisfied	Satisfied	Somewhat Satisfied	Dissatisfied	Very Dissatisfied	Total
Understanding your needs	30 14.0%	101 47.2%	45 21.0%	21 9.8%	17 7.9%	214 100.0%
Timeliness	31 14.6%	96 45.1%	51 23.9%	18 8.5%	17 8.0%	213 100.0%
Effectiveness	27 12.8%	85 40.3%	58 27.5%	22 10.4%	19 9.0%	211 100.0%
Collaboration in working with you	36 17.5%	91 44.2%	40 19.4%	25 12.1%	14 6.8%	206 100.0%
Transparency of process	30 14.7%	75 36.8%	49 24.0%	27 13.2%	23 11.3%	204 100.0%
Organization and clarity of information	31 14.6%	77 36.3%	53 25.0%	26 12.3%	25 11.8%	212 100.0%

Table 10 shows the mean score for each question asked about this unit. The mean was calculated by scoring the response choices from very dissatisfied (1) to very satisfied (5).

Table 10: Benefits: Customer Satisfaction Mean Scores

Based on your most recent experience how would you rate the following:	Mean	Number of Respondents
Understanding your needs	3.5	214
Timeliness	3.5	213
Effectiveness	3.4	211
Collaboration in working with you	3.5	206
Transparency of process	3.3	204
Organization and clarity of information	3.3	212
		Overall Mean: 3.4

Classification and Compensation

Respondents were asked to classify their jobs into one of eight employment categories. Table 11 provides the numbers and percentage of respondents in each category of employment, among those who reported having at least semiannual interaction with Classification and Compensation.

Table 11: Classification and Compensation: Job Classification

What type of job do you have?	Number of Respondents	Percentage
Service or maintenance	4	3.3%
Skilled crafts	2	1.6%
Clerical or secretarial	3	2.5%
Technical or paraprofessional (includes MSOs)	9	7.4%
Professional (support/service)	26	21.3%
Executive, administrative, or managerial	64	52.5%
Primarily instruction or research (senate member)	4	3.3%
Primarily instruction or research (non-senate)	10	8.2%
Total	122	100.0%

Respondents were asked to rate Classification and Compensation on the four common questions plus two additional question. Table 12 shows the customer responses for all questions.

Table 12: Classification and Compensation: Customer Satisfaction Ratings

Based on your most recent experience how would you rate the following:	Very Satisfied	Satisfied	Somewhat Satisfied	Dissatisfied	Very Dissatisfied	Total
Understanding your needs	19 15.6%	41 33.6%	31 25.4%	17 13.9%	14 11.5%	122 100.0%
Timeliness	14 11.6%	33 27.3%	27 22.3%	23 19.0%	24 19.8%	121 100.0%
Effectiveness	13 10.8%	35 29.2%	34 28.3%	18 15.0%	20 16.7%	120 100.0%
Collaboration in working with you	25 20.8%	33 27.5%	32 26.7%	17 14.2%	13 10.8%	120 100.0%
Transparency of process	15 12.4%	32 26.4%	28 23.1%	20 16.5%	26 21.5%	121 100.0%
Benchmarking for position classifications and salary comparables	11 9.3%	29 24.6%	29 24.6%	22 18.6%	27 22.9%	118 100.0%

Table 13 shows the mean score for each question asked about this unit. The mean was calculated by scoring the response choices from very dissatisfied (1) to very satisfied (5).

Table 13: Classification and Compensation: Customer Satisfaction Mean Scores

Based on your most recent experience how would you rate the following:	**Mean**	**Number of Respondents**
Understanding your needs	3.3	122
Timeliness	2.9	121
Effectiveness	3.0	120
Collaboration in working with you	3.3	120
Transparency of process	2.9	121
Benchmarking for position classifications and salary comparables	2.8	118
		Overall Mean: 3.0

Recruitment

Respondents were asked to classify their jobs into one of eight employment categories. Table 14 provides the numbers and percentage of respondents in each category of employment, among those who reported having at least semiannual interaction with Recruitment.

Table 14: Recruitment: Job Classification

What type of job do you have?	Number of Respondents	Percentage
Service or maintenance	1	.9%
Skilled crafts	0	.0%
Clerical or secretarial	6	5.1%
Technical or paraprofessional (includes MSOs)	11	9.4%
Professional (support/service)	22	18.8%
Executive, administrative, or managerial	56	47.9%
Primarily instruction or research (senate member)	16	13.7%
Primarily instruction or research (non-senate)	5	4.3%
Total	117	100.0%

Respondents were asked to rate Recruitment on the four common questions plus two additional questions. Table 15 shows the customer responses for all questions.

Table 15: Recruitment: Customer Satisfaction Ratings

Based on your most recent experience how would you rate the following:	Very Satisfied	Satisfied	Somewhat Satisfied	Dissatisfied	Very Dissatisfied	Total
Understanding your needs	14 12.6%	44 39.6%	9 8.1%	30 27.0%	14 12.6%	111 100.0%
Timeliness	13 11.5%	39 34.5%	11 9.7%	25 22.1%	25 22.1%	113 100.0%
Effectiveness	14 12.7%	38 34.5%	11 10.0%	28 25.5%	19 17.3%	110 100.0%
Collaboration in working with you	19 17.1%	41 36.9%	10 9.0%	25 22.5%	16 14.4%	111 100.0%
Reflection of campus needs	17 16.0%	30 28.3%	15 14.2%	23 21.7%	21 19.8%	106 100.0%
Clarity of process	15 13.6%	28 25.5%	16 14.5%	29 26.4%	22 20.0%	110 100.0%

Table 16 shows the mean score for each question asked about this unit. The mean was calculated by scoring the response choices from very dissatisfied (1) to very satisfied (5).

Table 16: Recruitment: Customer Satisfaction Mean Scores

Based on your most recent experience how would you rate the following:	Mean	Number of Respondents
Understanding your needs	3.4	111
Timeliness	3.2	113
Effectiveness	3.2	110
Collaboration in working with you	3.4	111
Reflection of campus needs	3.1	106
Clarity of process	3.0	110
		Overall Mean: 3.2

New Employee Orientation

Respondents were asked to classify their jobs into one of eight employment categories. Table 17 provides the numbers and percentage of respondents in each category of employment, among those who reported having at least semiannual interaction with New Employee Orientation.

Table 17: New Employee Orientation: Job Classification

What type of job do you have?	Number of Respondents	Percentage
Service or maintenance	3	5.3%
Skilled crafts	1	1.8%
Clerical or secretarial	2	3.5%
Technical or paraprofessional (includes MSOs)	5	8.8%
Professional (support/service)	13	22.8%
Executive, administrative, or managerial	26	45.6%
Primarily instruction or research (senate member)	2	3.5%
Primarily instruction or research (non-senate)	5	8.8%
Total	57	100.0%

Respondents were asked to rate New Employee Orientation on the four common questions plus three additional questions. Table 18 shows the customer responses for all questions.

Table 18: New Employee Orientation: Customer Satisfaction Ratings

Based on your most recent experience how would you rate the following:	Very Satisfied	Satisfied	Somewhat Satisfied	Dissatisfied	Very Dissatisfied	Total
Understanding your needs	5 10.2%	20 40.8%	9 18.4%	7 14.3%	8 16.3%	49 100.0%
Timeliness	8 15.7%	22 43.1%	10 19.6%	7 13.7%	4 7.8%	51 100.0%
Effectiveness	6 11.8%	17 33.3%	9 17.6%	12 23.5%	7 13.7%	51 100.0%
Collaboration in working with you	7 13.5%	22 42.3%	8 15.4%	9 17.3%	6 11.5%	52 100.0%
Frequency	6 11.8%	25 49.0%	11 21.6%	6 11.8%	3 5.9%	51 100.0%
Content	6 12.5%	18 37.5%	10 20.8%	6 12.5%	8 16.7%	48 100.0%
Follow-up with new employees and management	4 8.3%	15 31.3%	11 22.9%	9 18.8%	9 18.8%	48 100.0%

Table 19 shows the mean score for each question asked about this unit. The mean was calculated by scoring the response choices from very dissatisfied (1) to very satisfied (5).

Table 19: New Employee Orientation: Customer Satisfaction Mean Scores

Based on your most recent experience how would you rate the following:	Mean	Number of Respondents
Understanding your needs	3.1	49
Timeliness	3.5	51
Effectiveness	3.1	51
Collaboration in working with you	3.3	52
Frequency	3.5	51
Content	3.2	48
Follow-up with new employees and management	2.9	48
		Overall Mean: 3.2

HR Website

Respondents were asked to classify their jobs into one of eight employment categories. Table 20 provides the numbers and percentage of respondents in each category of employment, among those who reported having at least semiannual interaction with the HR Website.

Table 20: HR Website: Job Classification

What type of job do you have?	Number of Respondents	Percentage
Service or maintenance	4	1.8%
Skilled crafts	4	1.8%
Clerical or secretarial	18	8.3%
Technical or paraprofessional (includes MSOs)	24	11.0%
Professional (support/service)	67	30.7%
Executive, administrative, or managerial	74	33.9%
Primarily instruction or research (senate member)	7	3.2%
Primarily instruction or research (non-senate)	20	9.2%
Total	218	100.0%

Respondents were asked to rate the HR Website on the four common questions plus two additional questions. Table 21 shows the customer responses for all questions.

Table 21: HR Website: Customer Satisfaction Ratings

Based on your most recent experience how would you rate the following:	Very Satisfied	Satisfied	Somewhat Satisfied	Dissatisfied	Very Dissatisfied	Total
Understanding your needs	20 9.8%	91 44.6%	71 34.8%	16 7.8%	6 2.9%	204 100.0%
Timeliness	21 11.8%	85 47.8%	50 28.1%	15 8.4%	7 3.9%	178 100.0%
Effectiveness	24 11.7%	84 40.8%	72 35.0%	16 7.8%	10 4.9%	206 100.0%
Collaboration in working with you	21 13.0%	68 42.2%	52 32.3%	12 7.5%	8 5.0%	161 100.0%
Content	24 11.3%	89 42.0%	72 34.0%	17 8.0%	10 4.7%	212 100.0%
Organization	21 9.9%	94 44.3%	69 32.5%	20 9.4%	8 3.8%	212 100.0%

Table 22 shows the mean score for each question asked about this unit. The mean was calculated by scoring the response choices from very dissatisfied (1) to very satisfied (5).

Table 22: HR Website: Customer Satisfaction Mean Scores

Based on your most recent experience how would you rate the following:	Mean	Number of Respondents
Understanding your needs	3.5	204
Timeliness	3.6	178
Effectiveness	3.5	206
Collaboration in working with you	3.5	161
Content	3.5	212
Organization	3.5	212
		Overall Mean: 3.5

Payroll/Time Reporting (PTR) Systems

Respondents were asked to classify their jobs into one of eight employment categories. Table 23 provides the numbers and percentage of respondents in each category of employment, among those who reported having at least semiannual interaction with PTR Systems.

Table 23: PTR Systems: Job Classification

What type of job do you have?	Number of Respondents	Percentage
Service or maintenance	23	5.8%
Skilled crafts	7	1.8%
Clerical or secretarial	40	10.1%
Technical or paraprofessional (includes MSOs)	38	9.6%
Professional (support/service)	107	27.0%
Executive, administrative, or managerial	118	29.8%
Primarily instruction or research (senate member)	23	5.8%
Primarily instruction or research (non-senate)	40	10.1%
Total	396	100.0%

Respondents were asked to rate PTR Systems on the four common questions plus two additional questions. Table 24 shows the customer responses for all questions.

Table 24: PTR Systems: Customer Satisfaction Ratings

Based on your most recent experience how would you rate the following:	Very Satisfied	Satisfied	Somewhat Satisfied	Dissatisfied	Very Dissatisfied	Total
Understanding your needs	88 23.9%	196 53.3%	60 16.3%	14 3.8%	10 2.7%	368 100.0%
Timeliness	110 29.4%	190 50.8%	46 12.3%	14 3.7%	14 3.7%	374 100.0%
Effectiveness	103 27.1%	197 51.8%	51 13.4%	17 4.5%	12 3.2%	380 100.0%
Collaboration in working with you	80 24.5%	156 47.9%	58 17.8%	21 6.4%	11 3.4%	326 100.0%
Online FAQ section	57 21.5%	136 51.3%	56 21.1%	9 3.4%	7 2.6%	265 100.0%
Timesheet processing	114 29.9%	186 48.8%	51 13.4%	16 4.2%	14 3.7%	381 100.0%

Table 25 shows the mean score for each question asked about this unit. The mean was calculated by scoring the response choices from very dissatisfied (1) to very satisfied (5).

Table 25: PTR Systems: Customer Satisfaction Mean Scores

Based on your most recent experience how would you rate the following:	Mean	Number of Respondents
Understanding your needs	3.9	368
Timeliness	4.0	374
Effectiveness	4.0	380
Collaboration in working with you	3.8	326
Online FAQ section	3.9	265
Timesheet processing	4.0	381
		Overall Mean: 3.9

Accounts Payable and Disbursements

Respondents were asked to classify their jobs into one of eight employment categories. Table 26 provides the numbers and percentage of respondents in each category of employment, among those who reported having at least semiannual interaction with Accounts Payable and Disbursements.

Table 26: Accounts Payable and Disbursements: Job Classification

What type of job do you have?	Number of Respondents	Percentage
Service or maintenance	8	4.3%
Skilled crafts	1	.5%
Clerical or secretarial	24	12.8%
Technical or paraprofessional (includes MSOs)	15	8.0%
Professional (support/service)	37	19.7%
Executive, administrative, or managerial	64	34.0%
Primarily instruction or research (senate member)	16	8.5%
Primarily instruction or research (non-senate)	23	12.2%
Total	188	100.0%

Respondents were asked to rate Accounts Payable and Disbursements on the four common questions plus two additional questions. Table 27 shows the customer responses for all questions.

Table 27: Accounts Payable and Disbursements: Customer Satisfaction Ratings

Based on your most recent experience how would you rate the following:	Very Satisfied	Satisfied	Somewhat Satisfied	Dissatisfied	Very Dissatisfied
Understanding your needs	28 17.0%	70 42.4%	47 28.5%	11 6.7%	9 5.5%
Timeliness	30 17.2%	64 36.8%	44 25.3%	22 12.6%	14 8.0%
Effectiveness	31 18.0%	72 41.9%	43 25.0%	16 9.3%	10 5.8%
Collaboration in working with you	38 23.5%	52 32.1%	47 29.0%	18 11.1%	7 4.3%
Processing of accounts payable check requests	29 18.2%	62 39.0%	39 24.5%	14 8.8%	15 9.4%
Responses to questions about vendors	32 22.7%	50 35.5%	32 22.7%	18 12.8%	9 6.4%

Table 28 shows the mean score for each question asked about this unit. The mean was calculated by scoring the response choices from very dissatisfied (1) to very satisfied (5).

Table 28: Accounts Payable and Disbursements: Customer Satisfaction Mean Scores

Based on your most recent experience how would you rate the following:	Mean	Number of Respondents
Understanding your needs	3.6	165
Timeliness	3.4	174
Effectiveness	3.6	172
Collaboration in working with you	3.6	162
Processing of accounts payable check requests	3.5	159
Responses to questions about vendors	3.6	141
		Overall Mean: 3.5

Student Business Services

Respondents were asked to classify their jobs into one of eight employment categories. Table 29 provides the numbers and percentage of respondents in each category of employment, among those who reported having at least semiannual interaction with Student Business Services.

Table 29: Student Business Services: Job Classification

What type of job do you have?	Number of Respondents	Percentage
Service or maintenance	8	5.3%
Skilled crafts	2	1.3%
Clerical or secretarial	19	12.7%
Technical or paraprofessional (includes MSOs)	16	10.7%
Professional (support/service)	31	20.7%
Executive, administrative, or managerial	45	30.0%
Primarily instruction or research (senate member)	1	.7%
Primarily instruction or research (non-senate)	28	18.7%
Total	150	100.0%

Respondents were asked to rate Student Business Services on the four common questions plus three additional questions. Table 30 shows the customer responses for all questions.

Table 30: Student Business Services: Customer Satisfaction Ratings

Based on your most recent experience how would you rate the following:	Very Satisfied	Satisfied	Somewhat Satisfied	Dissatisfied	Very Dissatisfied	Total
Understanding your needs	24 19.5%	58 47.2%	22 17.9%	13 10.6%	6 4.9%	123 100.0%
Timeliness	30 22.9%	62 47.3%	24 18.3%	10 7.6%	5 3.8%	131 100.0%
Effectiveness	31 24.6%	56 44.4%	23 18.3%	10 7.9%	6 4.8%	126 100.0%
Collaboration in working with you	32 26.0%	54 43.9%	13 10.6%	17 13.8%	7 5.7%	123 100.0%
Customer service	38 30.2%	46 36.5%	23 18.3%	11 8.7%	8 6.3%	126 100.0%
Product ease of use	24 22.6%	46 43.4%	20 18.9%	9 8.5%	7 6.6%	106 100.0%
Anticipation of customer need	25 22.1%	46 40.7%	19 16.8%	13 11.5%	10 8.8%	113 100.0%

Table 31 shows the mean score for each question asked about this unit. The mean was calculated by scoring the response choices from very dissatisfied (1) to very satisfied (5).

Table 31: Student Business Services: Customer Satisfaction Mean Scores

Based on your most recent experience how would you rate the following:	Mean	Number of Respondents
Understanding your needs	3.7	123
Timeliness	3.8	131
Effectiveness	3.8	126
Collaboration in working with you	3.7	123
Customer service	3.8	126
Product ease of use	3.7	106
Anticipation of customer need	3.6	113
		Overall Mean: 3.7

Travel and Entertainment

Respondents were asked to classify their jobs into one of eight employment categories. Table 32 provides the numbers and percentage of respondents in each category of employment, among those who reported having at least semiannual interaction with Travel and Entertainment.

Table 32: Travel and Entertainment: Job Classification

What type of job do you have?	Number of Respondents	Percentage
Service or maintenance	3	1.3%
Skilled crafts	1	.4%
Clerical or secretarial	23	10.1%
Technical or paraprofessional (includes MSOs)	17	7.5%
Professional (support/service)	50	21.9%
Executive, administrative, or managerial	87	38.2%
Primarily instruction or research (senate member)	26	11.4%
Primarily instruction or research (non-senate)	21	9.2%
Total	228	100.0%

Respondents were asked to rate Travel and Entertainment on the four common questions plus three additional questions. Table 33 shows the customer responses for all questions.

Table 33: Travel and Entertainment: Customer Satisfaction Ratings

Based on your most recent experience how would you rate the following:	Very Satisfied	Satisfied	Somewhat Satisfied	Dissatisfied	Very Dissatisfied	Total
Understanding your needs	31 15.0%	86 41.7%	60 29.1%	16 7.8%	13 6.3%	206 100.0%
Timeliness	37 17.4%	89 41.8%	55 25.8%	14 6.6%	18 8.5%	213 100.0%
Effectiveness	39 18.2%	88 41.1%	56 26.2%	19 8.9%	12 5.6%	214 100.0%
Collaboration in working with you	42 21.3%	77 39.1%	52 26.4%	13 6.6%	13 6.6%	197 100.0%
Processing of travel reimbursement requests	48 21.8%	81 36.8%	50 22.7%	20 9.1%	21 9.5%	220 100.0%
Procedures for submitting travel requests	36 16.6%	77 35.5%	66 30.4%	21 9.7%	17 7.8%	217 100.0%
Resources (at UC Merced Campus) for questions related to travel	35 17.3%	64 31.7%	60 29.7%	23 11.4%	20 9.9%	202 100.0%

Table 34 shows the mean score for each question asked about this unit. The mean was calculated by scoring the response choices from very dissatisfied (1) to very satisfied (5).

Table 34: Travel and Entertainment: Customer Satisfaction Mean Scores

Based on your most recent experience how would you rate the following:	Mean	Number of Respondents
Understanding your needs	3.5	206
Timeliness	3.5	213
Effectiveness	3.6	214
Collaboration in working with you	3.6	197
Processing of travel reimbursement requests	3.5	220
Procedures for submitting travel requests	3.4	217
Resources (at UC Merced Campus) for questions related to travel	3.4	202
		Overall Mean: 3.5

Financial Management & Systems Training

Respondents were asked to classify their jobs into one of eight employment categories. Table 35 provides the numbers and percentage of respondents in each category of employment, among those who reported having at least semiannual interaction with Financial Management & Systems Training.

Table 35: Financial Management & Systems Training: Job Classification

What type of job do you have?	Number of Respondents	Percentage
Service or maintenance	2	1.6%
Skilled crafts	1	.8%
Clerical or secretarial	12	9.8%
Technical or paraprofessional (includes MSOs)	13	10.7%
Professional (support/service)	28	23.0%
Executive, administrative, or managerial	56	45.9%
Primarily instruction or research (senate member)	6	4.9%
Primarily instruction or research (non-senate)	4	3.3%
Total	122	100.0%

Respondents were asked to rate Financial Management & Systems Training on the four common questions plus four additional questions. Table 36 shows the customer responses for all questions.

Table 36: Financial Management & Systems Training: Customer Satisfaction Ratings

Based on your most recent experience how would you rate the following:	Very Satisfied	Satisfied	Somewhat Satisfied	Dissatisfied	Very Dissatisfied	Total
Understanding your needs	14 12.6%	47 42.3%	30 27.0%	13 11.7%	7 6.3%	111 100.0%
Timeliness	13 11.9%	40 36.7%	36 33.0%	15 13.8%	5 4.6%	109 100.0%
Effectiveness	13 11.7%	46 41.4%	34 30.6%	12 10.8%	6 5.4%	111 100.0%
Collaboration in working with you	21 19.8%	39 36.8%	30 28.3%	10 9.4%	6 5.7%	106 100.0%
How to use Payroll Time and Attendance (PTR)	22 22.2%	49 49.5%	19 19.2%	6 6.1%	3 3.0%	99 100.0%
How to process accounts payable requests	13 14.9%	35 40.2%	28 32.2%	6 6.9%	5 5.7%	87 100.0%
Purchasing	20 21.5%	30 32.3%	27 29.0%	10 10.8%	6 6.5%	93 100.0%
Financial Systems	12 11.0%	40 36.7%	36 33.0%	14 12.8%	7 6.4%	109 100.0%

Table 37 shows the mean score for each question asked about this unit. The mean was calculated by scoring the response choices from very dissatisfied (1) to very satisfied (5).

Table 37: Financial Management & Systems Training: Customer Satisfaction Mean Scores

Based on your most recent experience how would you rate the following:	Mean	Number of Respondents
Understanding your needs	3.4	111
Timeliness	3.4	109
Effectiveness	3.4	111
Collaboration in working with you	3.6	106
How to use Payroll Time and Attendance (PTR)	3.8	99
How to process accounts payable requests	3.5	87
Purchasing	3.5	93
Financial Systems	3.3	109
		Overall Mean: 3.5

Conducted by the Assessment Resource Center

Paula McFarling, Senior Coordinator

Bridget Murphy, Coordinator

John Fortman, Programmer/Analyst–Specialist

UNIVERSITY OF CALIFORNIA, MERCED

Division of Administration Staff Leadership Retreat

What gets measured gets done.

- Peter Drucker

October 29, 2010

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UCM Administration Staff Leadership Retreat
Friday, October 29, 2010
Merced College Business Resource Center, 630 W. 19th Street

Attendees: Sonia Johnston, Ben Lastimado, Monir Ahmed, John White, Gail Benedict, Rita Spaur, Danielle Waite, Tom Lollini, Kathy Jefferds, Sajid Mian, Tibor Toth, Kevin Creed, Mary Miller, Jim Genes

AM

8:00 Coffee (15 minutes)

8:15 Welcome (15 minutes)
- Review agenda
- Housekeeping, ground rules, parking lot, etc.

8:30 Review goal of finishing Administration Division Strategic Plan document (15 minutes)
- What's done, what's missing, what needs updating

8:45 Review UCM's WASC administrative unit assessment policy (30 minutes)

9:15 Stakeholder presentations of progress reports on AY 2008-11 objectives (90 minutes)
- Prepared reports on 3-year plan progress during past 2 years, ie AY 2008-2010
- Include completed, work-in-progress, modified

10:00 Break (15 minutes)

10:15 ***Continued:*** Progress report presentations on AY 2008-11 objectives

11:00 Shared vision to set-up the next 3-year planning period, AY 2011-2014 (45 minutes)

11:45 Lunch out (90 minutes)

PM

1:15 Complete design of "VCA Unit Annual Performance Assessment" report form (30 minutes)

1:45 Complete Administration customer satisfaction survey design and process (30 minutes)

2:15 Break (15 minutes)

2:30 Review completed "VCA Project Tracking Spreadsheet" (45 minutes)
- Ensure S.M.A.R.T. criteria and meshing with 3-year objectives where appropriate

3:15 Next Steps to prepare for January 2011 follow-on meeting (60 minutes)
- Discussion of agenda
- Annual Performance Assessments to be completed before January meeting
- AY 2011-14 objectives to be completed before January meeting
- Discussion of professional development need

4:15 Conclude

How the Administration Division's Four Themes Fit Together

PROCESS THEME
1. Align administrative processes and priorities with the academic vision and priorities.
2. Make it easier for faculty/staff/students to do their jobs.
3. Ensure that campus policies and practices add value.
4. Leverage system-wide and other campuses' business and IT processes.

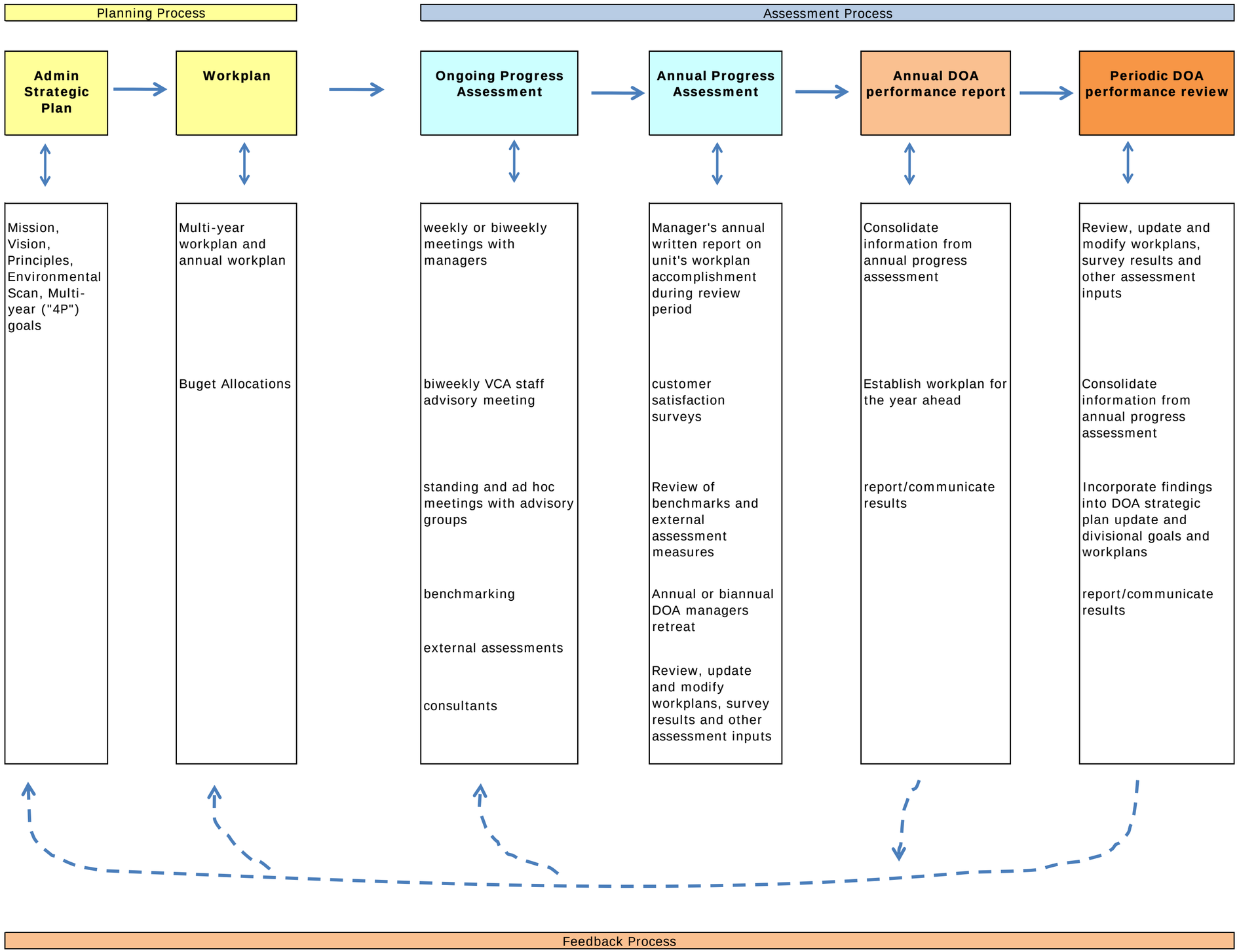
PEOPLE THEME
1. Attract and retain students, faculty and staff whose involvement adds value to the individual and to the university.
2. Create a culture of inclusion, facilitating diversity in all areas.
3. Provide professional development opportunities for all employees, enhancing performance and creating an environment for lifelong learning.
4. Provide leadership in creating a high quality work and learning environment.

PLACE THEME
1. Build a welcoming and engaging campus, investing in the public realm – "first impressions count."
2. Evolve the capital program, in terms of quality and quantity of facilities, to attract leading scholars and students – "it just keeps getting better."
3. Achieve even higher sustainable outcomes – "it just keeps getting greener."
4. Through better practices, such as adaptable spaces, flexible funding, evolving standards, achieve better facilities for less cost – "it just keeps getting cheaper."
5. Collaborate to balance operational issues with design issues, life cycle costs with construction costs.

WHAT SUCCESS LOOKS LIKE
1.Customer Satisfaction
2. Adequate Controls in Place/Minimal Audit Findings
3. Efficient Use of Resources
4. Acquiring Additional Resources

STEWARDSHIP THEME
1. Acquire sufficient resources to support the academic priorities of the campus and to serve the people of California.
2. Allocate resources in alignment with campus priorities.
3. Balance acceptable risk with innovation, efficiency and speed.
4. Ensure prudent and ethical management of all resources.
5. Create a sustainable internal economy, making the most of limited resources.

FIGURE 1. DIVISION OF ADMINISTRATION PLANNING & PERFORMANCE ASSESSMENT FLOWCHART



Financial Perspective

Focuses primarily on looking backward and is past tense
How do we look to our resource/funding providers?
How do we look to our stakeholders?

Examples of Financial Perspective

stewardship and fiduciary responsibility
cost-benefit data
cost effectiveness
risk assessment
revenue generation/self-supporting activities

Examples of Financial Metrics

profit/loss statements
balance sheets
budget reports
revenue, cost savings, budget strategies
risk mgnt programs, internal controls
net operating ratio, facilities condition
reinvestment ratio, debt capacity
revenue generation, research funding

Customer Perspective

Focuses on customer satisfaction and is future tense but does not account for constraints and controls

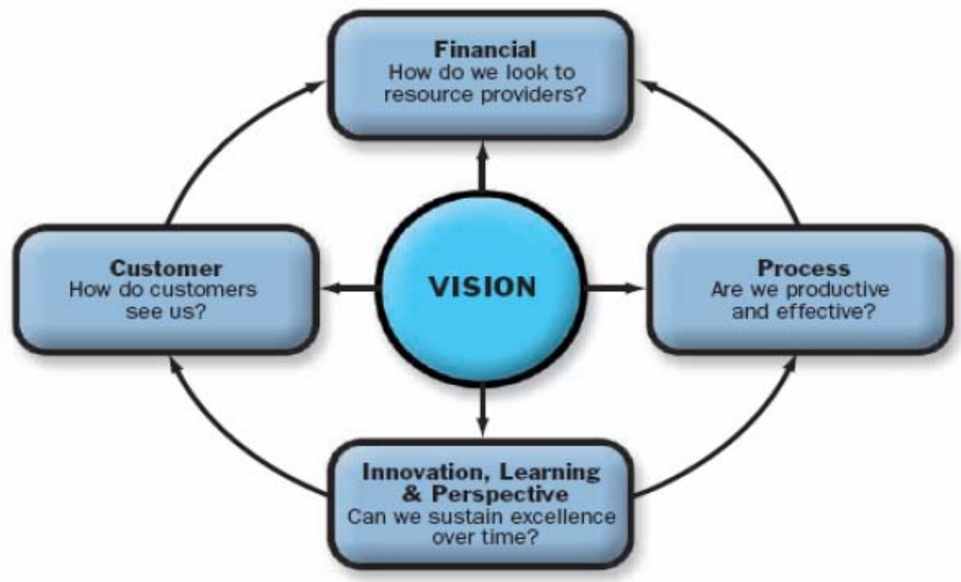
How do our customers (students, faculty, staff, alumni) see us?
How do our stakeholders (legislators, regents, donors, grant agencies) see us?

Examples of Customer Perspective

Customer satisfaction
Value to stakeholders

Examples of Customer Metrics

faculty, staff, student surveys
Survey Monkey
advisory boards



Balanced Scorecard
Source: R. Kaplan & D. Norton

Internal Business Processes Perspective

Focuses on process performance
Are we productive and effective?

Examples of Internal Business Process Perspective

What must we excel at?
Are services meeting customer requirements?
Internal operations efficiency
Internal operations effectiveness
Policy effectiveness
Process efficiency
Anticipation of the future
Accountability
Turn-around time
accuracy

Examples of Internal Business Process Metrics

best practices
internal controls
productivity
effectiveness
accuracy
cycle time, quick-turnaround
core competencies

Innovation and Continuous Learning Perspective

Focuses on sustainability and workforce wellness
How do our employees (UCM Admin Services) employees feel?

Examples of Innovation and Continuous Learning Perspective

How do we sustain excellence over time?

employee satisfaction
skilled workforce aligned to mission
effective use of technology
entrepreneurial/innovative culture
continuous improvement
employee training
culture, attitudes
mentors, tutors

Examples of Innovation and Continuous Learning Metrics

improve training
improve communication
enhance quality of work/life

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UC MERCED

POLICY FOR ANNUAL ASSESSMENT AND PERIODIC REVIEW OF ADMINISTRATIVE UNITS

Overview

To promote continuous, evidence-based improvement in support of the University's mission of teaching, research and service, the UC Merced Administrative Unit Assessment Policy (AUAP) outlines the minimum requirements for a coupled Annual Assessment and Periodic Review process. As an umbrella policy, the AUAP recognizes differences in the professional cultures of administrative units across the campus.

Introduction & Purpose

Every administrative unit uniquely contributes to the realization of UC Merced's mission[1], with the quality of this work influencing the degree to which UC Merced achieves excellence. For the purposes of this policy a "unit" is a functional group tasked with specific responsibilities that is located within a School or administrative entity (ex. a Division) led by a Dean, Vice Chancellor or equivalent. The term Division refers to a non-academic, administrative domain composed of one or more units reporting to a Vice Chancellor.

To maintain focus on contribution, quality, and improvement, and in support of transparency and accountability, the Administrative Unit Assessment Policy (AUAP) outlines the minimum requirements of a coupled Annual Assessment and Periodic Review process that is grounded in the mission, goals and objectives of an administrative unit.

As described by this policy, Annual Assessment[2] involves an evidence-based appraisal of the extent to which a unit is meeting its service or learning objectives for the purpose of taking action to improve effectiveness. Also with the goal of improvement, Periodic Review builds on Annual Assessment asking a unit to comprehensively examine the efficacy of its Annual Assessment activities for improving the quality of its services, and to review its goals and objectives in light of the collective results of Annual Assessment and the evolving institutional and unit context.

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[1] "The University of California, Merced's mission is embodied in its proud claim of being the first American research university of the twenty-first century. As the tenth campus of the University of California, UC Merced will achieve excellence in carrying out the University's mission of teaching, research and service, benefiting society through discovering and transmitting new knowledge and functioning as an active repository of organized knowledge. As a key tenet in carrying out this mission, UC Merced promotes and celebrates the diversity of all members of its community."

[2] Assessment is a process by which information is obtained relative to some known objective or goal. Assessment refers to the collection of data to describe or better understand an issue in order to improve student learning or unit effectiveness. Evaluation, in contrast, is the process of drawing a conclusion about worth or quality relative to a standard.

Both Annual Assessment and Periodic Review are intended to support meaningful and effective assessment processes for the purpose of appraising the quality of a unit's work relative to an intended level of performance that is determined by the unit.

This policy also expects that results of Annual Assessment and Periodic Review will inform the planning, decision-making and budgeting processes of the unit and/or division in a manner that reinforces evidence-based improvement by supporting, as feasible, actions to implement improvements in performance.

As outlined by this policy, Figures 1 and 2 represent the relationship between unit planning and assessment processes for a generic unit and the Division of Administration respectively. The latter illustrates how the policy can be implemented within the context of unit-specific planning and assessment infrastructure.

Scope and Oversight

The AUAP is an umbrella policy that outlines the minimum requirements for Annual Assessment and Periodic Review, recognizing that specific planning and assessment strategies and infrastructure may differ among the professional cultures of administrative Divisions, Schools or their equivalent. As such, these entities may develop their own policies and procedures, providing they meet the expectations outlined by this policy.

The AUAP applies to all administrative units reporting to the Chancellor, Executive Vice Chancellor and Provost, and Vice Chancellors for Administration and University Relations. The leadership of a Division, School or equivalent administrative entity determines the granularity at which the policy is implemented, being sure to address distinct and essential functional units.

The Chancellor or designate oversees the AUAP, including Periodic Review. The Senate-Administrative Council on Assessment (SACA) evaluates implementation of the AUAP with respect to how well assessment is conducted, including the completeness of the assessment process.

ANNUAL ASSESSMENT

Purpose & Process

In support of evidence-based improvement, Annual Assessment involves

(1) Developing an assessment plan anchored in the unit's mission and supporting goals, objectives, and for some administrative units outcomes[3].
(2) Implementing the plan to collect data/evidence[4].

[3] See Appendix A for definitions of these terms.
[4] Evidence in its broadest sense includes everything that is used to determine the truth of an assertion, including assertions in the form of objective or outcome statements, and can be quantitative (data) or qualitative in nature.

(3) Analyzing and interpreting data/evidence relative to desired levels of performance.
(4) Using these results to identify and implement actions to improve the degree to which the unit is meeting its objectives. Actions should address both the unit's service activities and its assessment practices, the latter affecting a unit's ability to meaningfully appraise its efficacy.
(5) Reporting assessment methods, results and actions to be taken, at the unit and Division/School levels.
(6) Considering assessment conclusions in formulating the unit's budget.

Annual Assessment Plan:

An example template for developing an Annual Assessment plan is provided in Appendix A.

Schools, Divisions, or equivalent administrative entities may develop their own Annual Assessment planning infrastructure provided it meets the six expectations outlined above, including evidence-based mechanisms for assessing the degree to which the unit meets its objectives, goals, and ultimately mission. To support excellence in teaching, research, and service, the unit's mission, goals and outcomes must be aligned, in hierarchical fashion, with the relevant overarching missions, including ultimately UC Merced's mission[1]. As appropriate, unit missions, goals, and objectives should also be informed by expectations established by relevant professional societies and organizations. The introduction to Appendix A provides guidance for developing mission, goals, objectives and outcomes.

All assessment plans should also attend to good assessment practices, including the generation of reliable and valid results that are appraised in relation to a desired level of performance (i.e. a standard). Appendix B explains these terms. For many administrative units, a customer satisfaction survey may be one of several useful lines of evidence for assessing achievement of unit goals.

Units also may elect to elaborate a multi-year assessment plan, developing an integrated set of annual plans based on a comprehensive set of objectives for the unit. In this way, units can plan for assessments that may require multiple years of data or maximize the information gained from assessment tools like surveys. A multi-year assessment plan is a useful product of Periodic Review.

Unit Annual Assessment Report

An example template for an Annual Assessment Report for individual units is provided as part of Appendix A.

Schools, Divisions, or equivalent administrative entities may develop their own Annual Assessment reporting structure, provided it addresses (1) the unit's progress in meeting its objectives and/or student learning outcomes, (2) associated actions for improvement addressing unit services and/or programs and, as necessary, the assessment process, (3)

progress on WASC-related action items[5] and (4) contributions to Institutional Assessment Initiatives. Items 3 and 4 need only be addressed as relevant.

Annual Assessment Report for Divisions, Schools, or Equivalent Entities

On behalf of the Division, School or equivalent entity, the Vice Chancellor, Dean or equivalent shares with the Chancellor or designate and SACA an Annual Assessment Report that includes (1) a brief summary and evaluation of each unit's progress as provided in the unit's Annual Assessment Report, (2) a summary of resource needs identified through the assessment process, including an explanation of their priority in the budgeting process, (3) as relevant, responses to Institutional Assessment Initiatives, and (4) each unit's Annual Assessment Report.

Budgeting

As appropriate, each unit's Annual Assessment Report will inform each its budget request.

Timeline

The timeline for submitting annual reports is to be determined by the Vice Chancellor or Dean or equivalent in accordance with the unit's annual budgeting and timeline process.

PERIODIC REVIEW

Purpose

Building upon Annual Assessment, Periodic Review involves a comprehensive and retrospective review of assessment practices and results to inform unit planning. Specifically, units will

(1) Evaluate the efficacy of Annual Assessment activities for improving the quality of a unit's services;
(2) Compile and review Annual Assessment results, comprehensively considering what has been learned about the unit's performance relative to its responsibilities and intended performance; and
(3) In light of the bullets 1 and 2, as well as evolving unit and institutional context and priorities, review the unit's goals and objectives, identifying plans for improving performance, including the quality of assessment as a means of evidence-based improvement.

Schedule

Periodic Reviews of all administrative units normally must be conducted at least once every seven years. The exact time interval should be responsive to the unit's development or

[5] These include action items from UC Merced's self-studies, WASC Visiting Team Reports and WASC Commission Action letters. These reports are available at accreditation.ucmerced.edu.

management needs balanced with the practical need to manage the number of reviews conducted annually.

In order to optimize the effective use of resources required for these Periodic Reviews, senior administrators may request a waiver of the scheduled formal review of a unit. The reason for the waiver should be based on a review of the unit's annual reports and the supporting evidence of consistent, strong, and effective performance. It may also be requested because of recent changes in the management of a unit that may suggest the need for additional time to implement and/or assess the unit's function. The Chancellor or designate approves requests to postpone a review.

Process

The Periodic Review process involves the following components.

(1) A self-study that includes sections addressing the three purposes of Periodic Review outlined above (see *Purposes*) and results in a report that is submitted to the appropriate Vice Chancellor or Dean. An example template is provided in Appendix C.
(2) A review phase in which a review team examines the unit's self-study documents and submits a written assessment and recommendations to the unit and Vice Chancellor or Dean. The review team should be external to the unit but can be internal to the campus. See Appendix D for details.
(3) A planning phase in which the unit develops an implementation plan for addressing recommendations raised in the self-study and the review team assessment. Plans should be explicit and realistic and include a timeline for implementation.
(4) A dissemination phase in which the Chancellor or designate distributes a summary of the unit's review, including recommendations and action items, to the unit head and SACA. This summary will also be available at as evidence of the institution's commitment to institution-wide assessment.

A School, Division or equivalent entity may develop its own Periodic Review process and template provided it meets the three purposes outlined in the *Purposes* section above and includes steps equivalent to the four components outcomes in this section.

Budgeting

The results of Periodic Review should be considered in formulating the unit's budget.

Timeline for Conducting Periodic Review

By June 1 each year, after consultation with SACA, the Chancellor or designate will notify the Vice Chancellors and/or Deans as to which administrative units have been scheduled for the formal Periodic Review. Vice Chancellors or Deans may determine the timeline for completing Periodic Review in keeping with their unit's periodic review policy, internal timelines, planning processes. An example timeline is provided in Appendix E.

Appendix A: Example Template for an Annual Assessment Plan & Report

The following template was developed by UC Merced's Division of Student Affairs to guide annual assessment planning within the Division. It is provided as an example and, therefore, may not precisely match the assessment planning needs of all administrative units. Divisions or Schools may adapt it as necessary to meet the needs of their units in relation to this policy.

University of California-Merced
Annual Assessment Plan Template

A) Elements of an Assessment Plan:

Mission Statement
*Departmental/unit missions should be directly aligned with those of the University and School/Division. A mission statement should include approximately 3-5 sentences that identify the **name** of the department, its **primary functions**, **modes of delivery** and **target audience**.* Mission statement should be approximately 100 words or less.
Planning Goals
Planning Goals are broad statements that describe priorities and intentions of an administrative unit; what the unit intends to do. Goals are used primarily for planning, and if available linked to the School/Division/unit strategic plan. Planning Goals may be identified on an annual basis or for a larger time interval.
Student Learning Outcomes[6]
Student Learning Outcomes (SLO) address what a student learns or how a student changes by participating in a program or a service. A SLO is a measurable statement describing how students demonstrate what they know or are able to do, or how they have changed, as a result of your department's intervention. Often a SLO begins with "Students will be able to…." SLOs animate Planning Goals, specifying the way in which the Goal is to be met and how achievement will be measured. In a sentence, clearly articulate a SLO. Briefly explain why it is important an outcome (learning result) to measure.
Program Objectives
Program Objectives support program improvement around issues like timeliness, efficiency and participant or customer satisfaction. A Program Objective is a statement that describes how a department or unit measures the degree to which it is fulfilling a purpose outlined by a Planning Goal. Program Objectives animate Planning Goals, specifying the way in which the Goal is to be met and measured. Assessing more than one Program Objective per Planning Goal can provide insights for improving performance that cannot be generated via consideration of a single Objective. For example, a unit may pair an Objective related to customer satisfaction with one considering key service performance metrics to generate insight into the quality of service from both customer and provider perspectives. An Objective and Learning Outcome can be paired to similar effect. For each Program Objective briefly explain why this is important to measure.

[6] Only units or departments that work directly with students will have student learning outcomes. Units that provide learning-based services to faculty and staff also may have learning outcomes.

Measures

Measures describe the methodology and timeframe for data collection and, as possible, the criteria/standard for evaluating sufficiency or success (ex. X% of respondents will rate X service as satisfactory or better). Measures also should identify the population from which data are collected.

B) Elements to be addressed in Annual Assessment Report:

Results

Provided for each Program Objective and Learning Outcome, results include a brief narrative of findings, and/or essential tables or graphs that summarize the results. The results should indicate the extent to which the Program Objective or Learning Outcome was met relative to the criteria or standard outlined in the Measures portion of the Assessment Plan.

Conclusions

Provided for each Program Objective and Learning Outcome the conclusion should summarize briefly the collection and analyses of data, including any lessons learned for improving the assessment process and the meaningfulness of the results. Please be sure to address any conclusions that involve the integration of results from a pair of complementary Objectives or an Objective and Learning Outcome. Critically, It also must "close the loop" by identifying what decisions and/or program modifications were made on the basis of these analyses.

C) Developing the Annual Assessment Plan:

Based on the elements described in part A above, the Annual Assessment Plan should describe:

(1) The unit's mission;
(2) The Planning Goals to be addressed in a given year, including the rationale for each Goal;
(3) For each Goal, the supporting Program Objective(s) and/or Learning Outcome(s) and rationales for each Objective or Outcome, and
(4) For each Objective and/or Outcome, the Measure.

Results and Conclusions will be addressed in the Annual Assessment Report, which describes the results of the work planned here.

D) Developing the Annual Assessment Report

To complete the Annual Assessment Report, add to the unit's Assessment Plan (part C above) the Results and Conclusions sections described in part B above. In other words, add the following steps

(5) For each Objective and/or Outcome, describe the Results.
(6) For each Objective and/or Outcome, describe the Conclusions.

Appending the final steps of the assessment process to the planning description provides the unit with a complete record of the assessment activities undertaken that year.

Finally, as relevant, please be sure to summarize:

- **Progress on WASC–Related Action Items.** Describe, with supporting evidence, the unit's progress in addressing relevant WASC- related action items that were identified in the most recent WASC report(s). Append the supporting evidence to this report.
- **Contributions to institutional assessment initiatives.** Provide requested materials or analyses related to Institutional Assessment Initiatives.

Appendix B: Explanation of Additional Assessment Terms.

Reliability: Reliability addresses the degree to which a procedure is expected to generate the same observation repeatedly under the same conditions. It is the consistency of the measurement or result.

Validity: Validity describes the degree to which an assessment procedure generates useful information (evidence or data) that bears directly on the expectation(s) described by the text of the unit's objective or learning outcome. For learning outcomes, valid evidence must also be aligned with the criteria[7] used to evaluate learning.

Validity also depends upon sample size[8] or sampling approach, with the goal of generating data that characterize the norm for, or are representative of, the population being studied. That is, the sampling approach should produce information that is not biased. Validity is questioned, for example, when the sample size is small relative to the total size of the population of interest or if the demographics of the sample differ from those of the population from which the sample was drawn.

Together valid and reliable assessment practices are the foundation for confidence in conclusions about the degree to which the unit's objective or learning outcome was met. Confidence in assessment results, and actions taken on their behalf, can also be enhanced by employing multiple and complementary lines of evidence. For example, assessment of a service-related objective might benefit from surveying aspects of user satisfaction while also gathering information on how users actually engage with the service.

Standard: The expectation or point of comparison for determining the degree to which a unit's objective or learning outcome was met (ex. X% of respondents will rate X service as satisfactory or better.). The terms standard, benchmark and criterion are often used interchangeably. Standards or benchmarks may be locally determined, externally determined against peers or professional standards, or referenced against previous measurements to gauge improvement. When identifying a standard consider the purpose(s) for engaging in assessment; what is the rationale for identifying this level of performance as a goal? If locally set, be realistic but also unafraid to stretch the unit to improve. To take maximum advantage of the information collected through assessment, consider the distribution of observations (ex. the percentages of respondents reporting different degrees of satisfaction), not just a single metric like a mean or median, when assessing a unit's performance relative to a standard.

[7] Criteria are the specific skills or abilities to be measured.

[8] As an example, the number of survey respondents relative to the total number of individuals to which the survey was sent.

Appendix C: Periodic Review Self-Study Template

A. Introduction, Mission, Objectives, and the Unit's Role within the University

1) Define the unit's mission. What services are provided and to whom? How does the mission support the campus' mission?

2) List its objectives with reference to the unit's "customers". These should describe the essential functions of the unit in a measurable way. Do they reflect the standards of a professional association?

3) Where are the mission and objectives publicly available? Are they well aligned with the unit's mission?

4) Describe how the unit is organized and resourced. Is the unit organized and resourced to foster its objectives?

5) Beyond the unit's mission and objectives, in what ways does the unit contribute to the success of the campus and other units?

B. The Planning Processes of the Unit

How does the unit use the campus' mission or campus-wide strategic planning documents to make decisions, set priorities, and plan strategically?

C. Assessment Plan and Measurement of Objectives

Describe how the unit assesses its performance in order to identify strengths and weaknesses and to improve performance. For each objective identified in Section A describe a) the measures/data that are used to determine how well the unit meets the objective and, thereby, serves the needs of the customers; b) the goal level of performance with respect to these measures/data; c) how frequently data are gathered; and d) how frequently results are analyzed, conclusions drawn, and, as needed, improvements identified and enacted.

D. Progress on WASC–Related Action Items

Summarize the unit's contributions to addressing WASC-related action items identified in the most.

E. Special Issues to be Addressed

1) Has the unit been reviewed by a professional organization for accreditation, credentialing or similar purposes? If so, describe the outcomes and major conclusions of this review. 2) Address any additional assessment questions or steps specific to this unit and/or this periodic review, including those related to Institutional Assessment Initiatives, as relevant.

F. Evaluation of the Unit

1) Reflect on the methods and process used to assess the unit's objectives detailed in Section C. Have they been effective? Have they or can they be improved? 2) Review the unit's responses to Sections D through F and identify outstanding issues to be addressed. How will these be addressed, including the time table? 3) Describe changes the unit has made based on assessment results over the last five years and the impact of these changes on the delivery of services and/or the alignment of services with institutional priorities. 4) What support is needed to improve or develop the skills of the staff in the unit?

Appendix D: External Review Process

Team Selection

The external Review Team must consist of a minimum of two individuals external to the unit undergoing review. They may be drawn from other units on campus (internally), from other institutions (externally), or a combination of both. If the unit serves students, the external review team should include at least one student.

The unit head submits to the Vice Chancellor or Dean a ranked roster of nominees for approval. For each nominee, the roster includes a) contact information, b) a brief description of relevant qualifications, and c) a description of any relationship to the unit.

Team Coordination

With roster approval, the VC, Dean or unit head coordinates the Team's review of the unit's self-study according to the timeline.

Appendix E: Example Periodic Review Timeline.

June 1: EVC sends list of administrative units scheduled for Periodic Review (PR) in fiscal year to Vice Chancellors and/or Deans.

July 1: VC or Dean submits list of Review Team participants for each unit to EVC or designate.

Oct. 15: Unit submits Self-Study to appropriate VC or Dean

Nov. 1: VC or Dean submits Self-Study to Review Team

Feb. 1: Review Team submits assessment and recommendations to Unit and VC or Dean.

March 1: Unit and VC or Dean submit Implementation Plan, based on results of Self-Study and Review Team Assessment to EVC or designate.

May 1: EVC or designate summarizes review of unit and outlining recommendations and action items, sent to unit head and SACA.

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Figure 1. Generic example of Annual Assessment & Periodic Review planning and implementation.

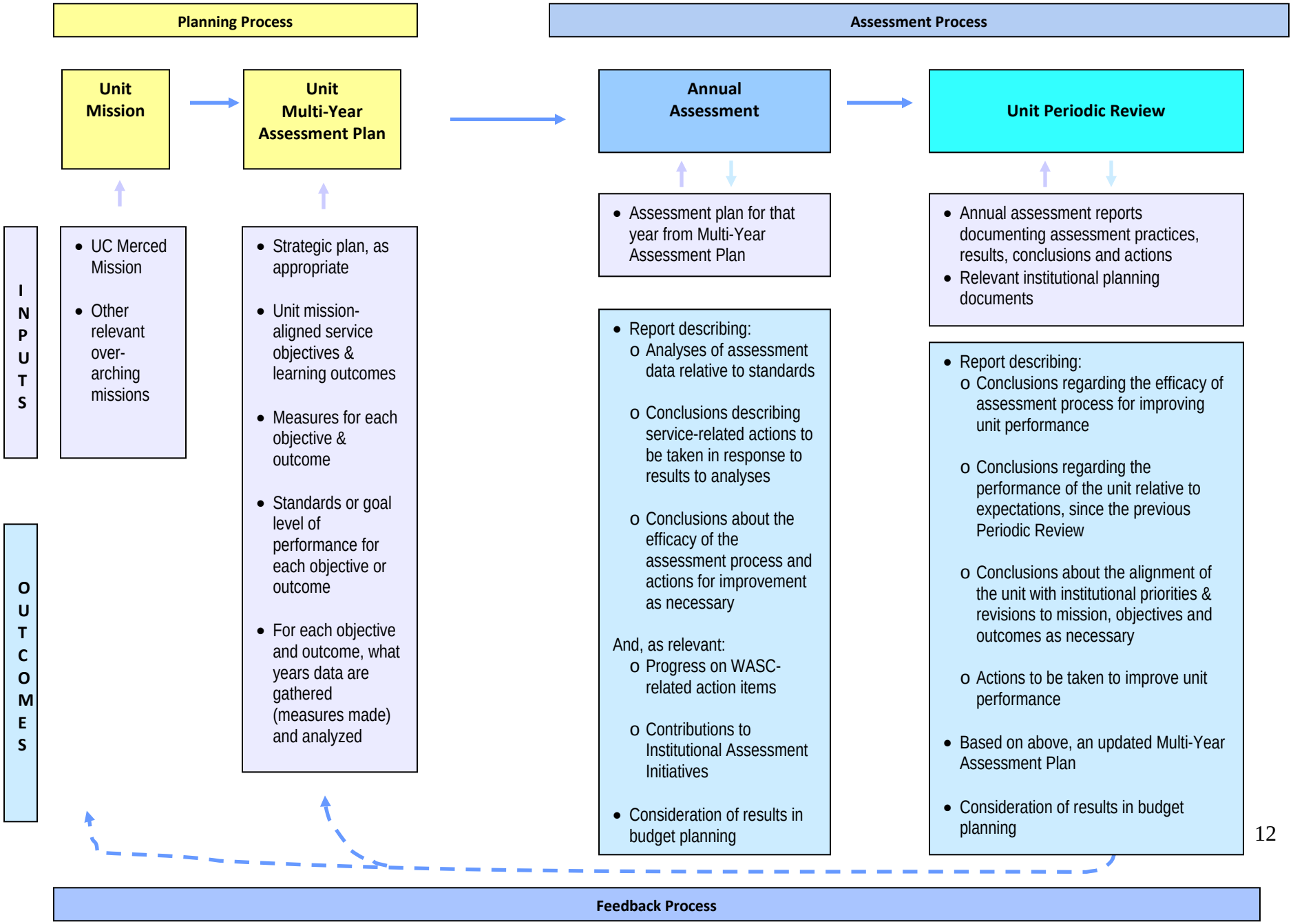
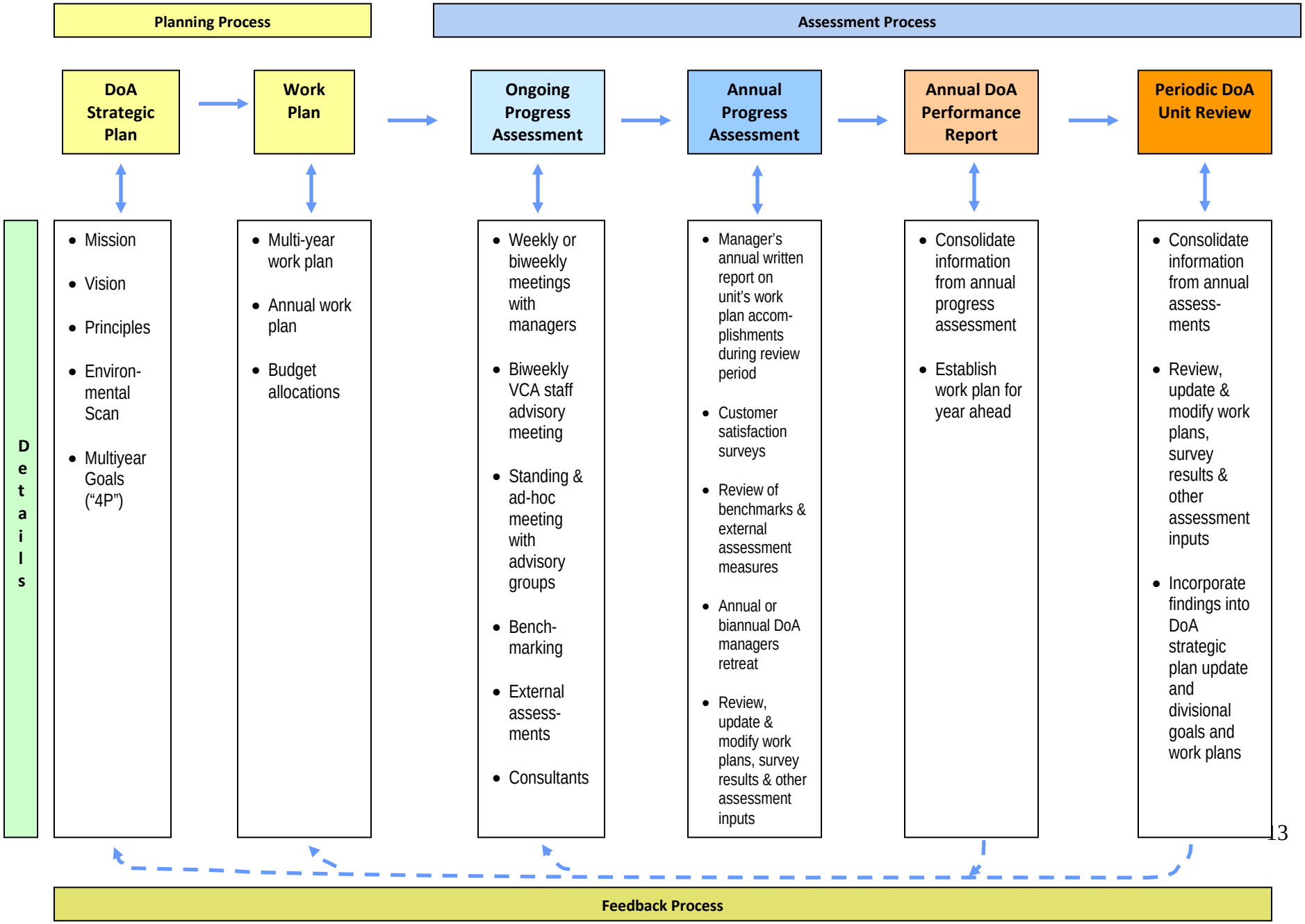


Figure 2. Division of Administration (DoA) Planning & Performance Assessment Flowchart



VCA Unit Annual Performance Assessment

Unit: _____

VCA Direct Report: _____

Review Period: _____

Today's Date: _____

---

1. **Were the unit's objectives for the review period achieved?**

    a. Assess the unit's progress during the review period in achieving the unit's goals. Discuss the outcomes for the objectives listed in the unit's "4P" goals in the current three year plan.

        i. Include benchmark data, metrics and quantitative information, in addition to surveys and qualitative information, where relevant. Relate to campus progress in fulfilling UC Mission of teaching, research and public service. Relate to contributions addressing Division's WASC-related action items.

    b. Benchmarking

        i. Measures and comparison of operations, practices, performance against comparable institutions.

        ii. Identifying and applying "best practices."

        iii. Identifying reference point(s) and setting goals and targets.

2. **How effective were the outcomes?**

    a. Assess how effective the outcomes were in achieving the intent of the objective and related “4P” goal.

        i. Include any adjustments made to increase effectiveness during the review period. Include relevant information regarding resources, constraints and opportunities.

    b. Periodic evaluation of strategies, action plans and tactics to assess success of planning process.

    c. Includes measure of current performance versus previously set expectations.

    d. Consider any changes or events impacting desired courses of action.

    e. Assess difference between current position and desired position

    f. Enables creations of strategies, plans, resource allocation to close the gap.

3. **What are your unit objectives for the next review period?**

    a. Provide an updated “4P” spreadsheet for your unit.

    b. Describe using the SMART objectives model

        i. S=specific, M=measureable, A=agreed upon, R=realistic, T=time/cost bound
        ii. Include steps required to reach objectives, resources to implement action plans
            1. money, people, time, property, technology.

VCA Direct Report	VCA Unit	Assessment Elements	Elements Surveyed in Spring 2010 Customer Satisfacation Survey
Sonia Johnston	Admin Ops		
Kathy Jefferds	Budget		
Monir Ahmed	BFS	General Accounting	
			Accounts Payable and Disbursements
		Payroll	
			Payroll/Time Reporting (PTR) Systems
		Purchasing	
		Student Business Services	Student Business Services
		Travel & Entertainment	Travel and Entertainment
		Risk Services	
		Administration Computing	Financial Management & Systems Training
John White	Capital Planning	Capital Program	
		Space Management	
Danielle Waite	ECEC		
Kevin Creed	EH&S	Research Safety	
		Hazardous Materials and Waste	
		Fire Safety and Code Compliance	
		Disability Management	
Tom Atkins	Facilities	Custodial	
		Grounds	
		Crafts	
		Transportation & Parking Services	
		Physical Plant	
		Mail Services	
		Building Maintenance	
Ben Lastimado	HR	Benefits	Benefits
		Classification/compensation	Classification and Compensation
		Staff & Professional Development	
		Employment	
			Recruitment
			New Employee Orientation
		Labor Relations	
		Wellness Programs	
			HR Website
Tom Lollini	PPD&C	PPD&C	
		Environmental Affairs	
Rita Spaur	Police	Police Services	
		Public Safety	

University of California, Merced
Division of Administration

Division of Business and Finance Services

Customer Satisfaction Survey Report

Spring 2010

Submitted to:
Division of Administration
UCMerced
June 8, 2010

Conducted by the
Assessment Resource Center
University of Missouri
2800 Maguire Blvd.
Columbia, Missouri 65211
(573) 882-4694

Table 9: PTR Systems: Customer Satisfaction Mean Scores

Based on your most recent experience how would you rate the following:	Mean	Number of Respondents
Understanding your needs	3.9	368
Timeliness	4.0	374
Effectiveness	4.0	380
Collaboration in working with you	3.8	326
Online FAQ section	3.9	265
Timesheet processing	4.0	381
		Overall Mean: 3.9

Payroll/Time Reporting (PTR) Systems: Comments

Customers were given an opportunity to answer two open-response questions about this unit/office. Their responses are listed below, alphabetically and verbatim.

What is Payroll/Time Reporting (PTR) Systems doing well?

How can Payroll/Time Reporting (PTR) Systems improve?

UNIVERSITY OF CALIFORNIA
UCMERCED

Administrative Periodic Review Schedule

2011
Academic Personnel
Sponsored Projects
Research Development
Facilities
Dean's Office, School of Natural Sciences

2012
Information Technology
Communications
Library
BFS
Graduate Division

2013
IPA
Budget
Technology Transfer

2014
Academic Senate
Government Relations
Police
Vice Provost for Undergraduate Education

2015
PPD&C
Research Compliance
Dean's Office, School of Social Sciences, Humanities and Arts

2016
Capital Planning
Dean's Office, School of Engineering
Vivarium

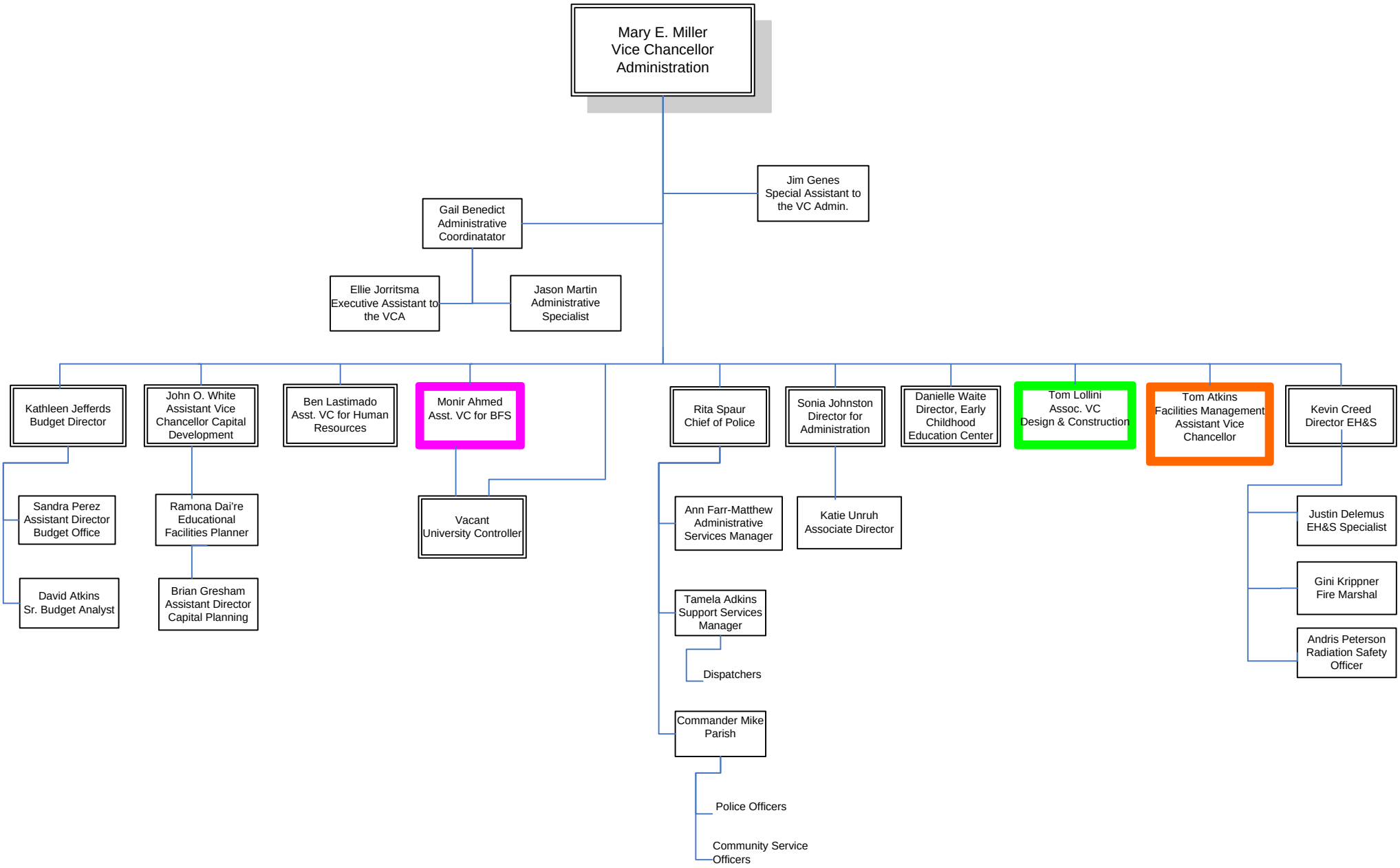
2017
Human Resources
Fundraising
Environmental Health and Safety

2018 Cycle starts again

DRAFT

8/24/2010

UC Merced – Vice Chancellor for Administration



	A	B	C	D	E	F	G
1							
2	**Unit: UCM Division of Adminstration**						
3	**Stakeholder: Mary Miller**						
4							
5	**Themes**		**Goals**		**Objectives - 36-month period from July 2008 to June 2011**		
6							
7	**Process**						
8			Align administrative processes and priorities with the academic vision and priorities.		Propose space allocations maximizing the accommodation of needs		
9			Make it easier for faculty/staff/students to do their jobs.		Create a Website for pertinent campus and system policies and procedures	Offer extensive "how-to" training on topics ranging from business processes to lab safety	
10			Ensure that campus policies and practices add value.		Eliminate processes that do not add value and streamline others		
11			Leverage system-wide and other campuses' business and IT processes.		Roll out the Business Continuity Plan		
12	**Stewardship**						
13			Acquire sufficient resources to support the academic priorities of the campus and to serve the people of California.		Continue working with UCOP to ensure UC Merced has sufficient operating funding	Identify budget efficiency opportunities in individual departments and schools	
14			Allocate resources in alignment with campus priorities.				
15			Balance acceptable risk with innovation, efficiency and speed.		Identify key campus risks and develop mitigation plans	Determine implementation plan for Lab Chemical Management Task Force report	
16			Ensure prudent and ethical management of all resources.		Determine adequacy of controls and minimize the potential for loss, fraud and audit findings		
17			Create a sustainable internal economy, making the most of limited resources.		Create a model sustaining the campus until self-sufficiency can be attained		
18	**People**						
19			Attract and retain students, faculty and staff whose involvement adds value to the individual and to the university.		Ensure Housing 3 stays on track for Fall 2010 opening		
20			Create a culture of inclusion, facilitating diversity in all areas.		Seek donor funding for equipment and furniture for SS&M building	Increase diversity in hiring	Create and deliver an inspiring "New Employee Orientation" program
21			Provide professional development opportunities for all employees, enhancing performance and creating an environment for lifelong learning.		Open the Early Childhood Education Center during Spring 2009	Design and communicate a new set of UCM Principles of Community	Develop robust career development opportunities for staff
22			Provide leadership in creating a high quality work and learning environment.		Roll out a transparent budget process, with Website, for the campus	Provide budget and financial report templates facilitating units' financial status understanding	
23	**Place**						
24			Build a welcoming and engaging campus, investing in the public realm – "first impressions count."		Acquire the 404 Permit in spring 2009	Complete LRDP and secure Regents approval	
25			Evolve the capital program, in terms of quality and quantity of facilities, to attract leading scholars and students – "it just keeps getting better."		Achieve successful installation of the *"Beginnings"* sculpture		
26			Achieve even higher sustainable outcomes – "it just keeps getting greener."		Construct a photovoltaic solar field during summer of 2009	Explore other energy efficient, energy conservation programs	Implement cost-effective measures to reduce energy use and waste
27			Through better practices, such as adaptable spaces, flexible funding, evolving standards, achieve better facilities for less cost – "it just keeps getting cheaper."		Ensure SE2, Infrastructure 4 and Castle renovation funded with state funds	Increase state funding for UCM five-year capital plan	Seek alternative funding sources for construction of new facilities
28			Collaborate to balance operational issues with design issues, life cycle costs with construction costs.				

	A	B	C	D	E	F	G
1							
2	**Unit: Budget**						
3	**Stakeholder: Kathy Jefferds**						
4							
5	**Themes**		**Goals**		**Objectives - 36-month period from July 2008 to June 2011**		
6							
7	**Process**						
8			Align administrative processes and priorities with the academic vision and priorities.				
9			Make it easier for faculty/staff/students to do their jobs.		Develop and enhance Budget Office Web site and provide documents and tools for campus; release the management report template for use by campus personnel (Kathy Jefferds)		
10			Ensure that campus policies and practices add value.		Finish the 'Resource Allocation Handbook' and post on web site (Kathy Jefferds)		
11			Leverage system-wide and other campuses' business and IT processes.				
12	**Stewardship**						
13			Acquire sufficient resources to support the academic priorities of the campus and to serve the people of California.		Devise new ways to leverage resources; bring in more operating funds. Implement new models for maintaining projections and reports. Establish Campus Recharge Committee and systemize current recharge proposals; ensure recharge activity is reasonable (Kathy Jefferds)	Develop Business and Staffing Plan for the campus in order to plan for strategic investments and build reserves to weather lean financial years (Kathy Jefferds)	Enhance the work of the Campus Budget Committee; align the cycle, CALL, and process to better serve the academic and campus units. Post charts and information about allocations on the Web (Kathy Jefferds)
14			Allocate resources in alignment with campus priorities.				
15			Balance acceptable risk with innovation, efficiency and speed.				
16			Ensure prudent and ethical management of all resources.		In conjunction with BFS, develop workshops for campus community (Kathy Jefferds)	Promote the use of the "Resource Allocation Handbook" (Kathy Jefferds)	
17			Create a sustainable internal economy, making the most of limited resources.		Build on Resource Management efforts by working with individual units on annual plans (Kathy Jefferds)	Provide tools for units to track budgets and to forecast spending; research a new online budget system (Kathy Jefferds)	
18	**People**						
19			Attract and retain students, faculty and staff whose involvement adds value to the individual and to the university.				
20			Create a culture of inclusion, facilitating diversity in all areas.				
21			Provide professional development opportunities for all employees, enhancing performance and creating an environment for lifelong				
22			Provide leadership in creating a high quality work and learning environment.		Reinforce the role of the Budget Office as a partner with campus units (Kathy Jefferds)		
23	**Place**						
24			Build a welcoming and engaging campus, investing in the public realm – "first impressions count."				
25			Evolve the capital program, in terms of quality and quantity of facilities, to attract leading scholars and students – "it just keeps getting better."				
26			Achieve even higher sustainable outcomes – "it just keeps getting greener."				
27			Through better practices, such as adaptable spaces, flexible funding, evolving standards, achieve better facilities for less cost – "it just keeps getting cheaper."		Work with Capital Planning on alternative funding possibilities for construction (Kathy Jefferds)		
28			Collaborate to balance operational issues with design issues, life cycle costs with construction costs.				

	A	B	C	D	E	F	G
1							
2	**Unit: Capital Planning**						
3	**Stakeholder: John White**						
4							
5	**Themes**		**Goals**		**Objectives - 36-month period from July 2008 to June 2011**		
6							
7	**Process**						
8			Align administrative processes and priorities with the academic vision and priorities.		Work with Academic Affairs, Student Affairs and Information Technology to improve and expand data systems and data warehouse to produce information necessary for resource requests and justification of additional space for the campus (John White)	Inspire and coordinate integrated academic, physical, capital and financial planning in support of Ten Year Capital Improvement Program and campus Long Range Development Plan (John White)	
9			Make it easier for faculty/staff/students to do their jobs.		Continue to improve and expand Facilities Link web based space planning application to assist campus users with wide array of space planning and capital project information. Provide training to departments (John White)		
10			Ensure that campus policies and practices add value.		Update Capital Planning website every six months (John White)		
11			Leverage system-wide and other campuses' business and IT processes.				
12	**Stewardship**						
13			Acquire sufficient resources to support the academic priorities of the campus and to serve the people of California.		Provide campus units with AutoCAD drawings, floor plans, lease information, building and room information using Facilities Link. Continuously maintain Facilities Link data in real time (John White)	Assess on campus and off campus capital and real estate opportunities that support the mission of the University and campus objectives, example - facilities for international students and graduate students (John White)	
14			Allocate resources in alignment with campus priorities.				
15			Balance acceptable risk with innovation, efficiency and speed.				
16			Ensure prudent and ethical management of all resources.				
17			Create a sustainable internal economy, making the most of limited resources.				
18	**People**						
19			Attract and retain students, faculty and staff whose involvement adds value to the individual and to the university.				
20			Create a culture of inclusion, facilitating diversity in all areas.				
21			Provide professional development opportunities for all employees, enhancing performance and creating an environment for lifelong				
22			Provide leadership in creating a high quality work and learning environment.		Facilitate approval process for capital projects, renovations and alterations on behalf of customers. Communicate results. Post information in Facilities Link Archives (John White)		
23	**Place**						
24			Build a welcoming and engaging campus, investing in the public realm – "first impressions count."		Continue working with PPD&C and Facilities Management in a collaborative environment to plan and implement projects and seed new sources of funding (John White)		
25			Evolve the capital program, in terms of quality and quantity of facilities, to attract leading scholars and students – "it just keeps				
26			Achieve even higher sustainable outcomes – "it just keeps getting greener."				
27			Through better practices, such as adaptable spaces, flexible funding, evolving standards, achieve better facilities for less cost – "it just keeps getting cheaper."				
28			Collaborate to balance operational issues with design issues, life cycle costs with construction costs.				

	A	B	C	D	E	F	G	H
1								
2	**Unit: Physical Planning, Design & Construction**							
3	**Stakeholder: Tom Lollini**							
4								
5	**Themes**		**Goals**		**Objectives - 36-month period from July 2008 to June 2011**			
6								
7	**Process**							
8			Align administrative processes and priorities with the academic vision and priorities.		Coordinate implementing actions for LRDP with Strategic Academic Plan by Spring 2009 (Tom Lollini)	Publish reveiw and approval processes involved in capital development (Tom Lollini)		
9			Make it easier for faculty/staff/students to do their jobs.		Update and adopt campus guidelines and standards for captial projects by Winter 2009 (Tom Lollini)			
10			Ensure that campus policies and practices add value.		Establish Campus Design Review Committee by Winter 2009 (Tom Lollini)	Update, expand and maintain contracts for "Campus Standard" products by Summer 2009 (Tom Lollini)		
11			Leverage system-wide and other campuses' business and IT processes.		Survey and select Capital Project Mgmt. software systems and plan UCM implementation by end of 2009 (Tom Lollini)			
12	**Stewardship**							
13			Acquire sufficient resources to support the academic priorities of the campus and to serve the people of California.		Toward Zero Net Energy Goal: Facilitate installation of Solar Center by Fall 2009 (Tom Lollini)	Arrange for Solar power installation on Social Science and Management Building by 2010 (Tom Lollini)	Arrange for solar power installation on Housing 3 by 2011 (Tom Lollini)	
14			Allocate resources in alignment with campus priorities.					
15			Balance acceptable risk with innovation, efficiency and speed.		Revamp Capital Project contracting procedures to enhance efficiency and appropriately allocateauthority and accountability by 2009 (Tom Lollini)			
16			Ensure prudent and ethical management of all resources.		Establish departmental training program focused on project risk management (Tom Lollini)			
17			Create a sustainable internal economy, making the most of limited resources.					
18	**People**							
19			Attract and retain students, faculty and staff whose involvement adds value to the individual and to the university.		Deliver Social Science and Management Building by Spring 2010 (Tom Lollini)	Deliver Housing 3 for occupancy by Fall 2010 (Tom Lollini)	Deliver Science and Engineering 2 for occupancy by Fall 2012 (Tom Lollini)	
20			Create a culture of inclusion, facilitating diversity in all areas.		Plan for project opening celebrations for project and department staff by Spring 2009 (Tom Lollini)			
21			Provide professional development opportunities for all employees, enhancing performance and creating an environment for lifelong learning.		Establish staff development pogram by Spring 2009 (Tom Lollini)			
22			Provide leadership in creating a high quality work and learning environment.		Integrate renovations and alterations requests into seemles process of distribution to FM or PPD&C (Tom Lollini)			
23	**Place**							
24			Build a welcoming and engaging campus, investing in the public realm – "first impressions count."		Integrate and coordinate area landscape improvements with each captial project (Tom Lollini)		Establish entry area landscape improvements program and identify potential funding sources by 2010 (Tom Lollini)	
25			Evolve the capital program, in terms of quality and quantity of facilities, to attract leading scholars and students – "it just keeps getting better."		Publish final LRDP for Regents Approval and achieve 404 permit for campus by Spring 2009 (Tom Lollini)	Publish final University Community Plan Amendment by Spring 2010 (Tom Lollini)		
26			Achieve even higher sustainable outcomes – "it just keeps getting greener."		Plan for celebration of campus sustianability achivements in Spring 2009 (Tom Lollini)	Upgrade campus standards for minimum LEED Gold objectives by 2009 (Tom Lollini)	Establish electronic contract review and approval system and recharge time card reporting system by 2009 (Tom Lollini)	Establish electronic document archiving systems by 2010 (Tom Lollini)
27			Through better practices, such as adaptable spaces, flexible funding, evolving standards, achieve better facilities for less cost – "it just keeps getting cheaper."		Develop Master Plan for Phase 1.0 by 2009 involving faculty and staff in process (Tom Lollini)	Develop capital campaign items for the public realm (Tom Lollini)		
28			Collaborate to balance operational issues with design issues, life cycle costs with construction costs.					

	A	B	C	D	E	F	G	H	I
1									
2	**Unit: Business and Finanical Services**								
3	**Stakeholder: Monir Ahmed**								
4									
5	**Themes**		**Goals**		**Objectives - 36-month period from July 2008 to June 2011**				
6									
7	**Process**								
8			Align administrative processes and priorities with the academic vision and priorities.		Simplify identification and processing of non-resident alien taxation assessment need (Erica Fernandez)				
9			Make it easier for faculty/staff/students to do their jobs.		Develop and deploy training for faculty and administrators dealing with federal grants (Autumn Zindel)	More communication to the campus on payroll related matters (shylah hamilton)	Provide purchasing reference information to PI handbook (Cindi Deegan)		
10			Ensure that campus policies and practices add value.		Improve CGA billing and collections process (Autumn Zindel)	Perform control review for all campus cashiering operation (Oli Nandkishore)	Develop cross-functional focus groups to discuss processes improvement while maintaining control environment objective (Sheryl Ireland)	clearly define roles and responsibilities for preparers, reviewers, department heads and security administrators for Payroll Processing (Shylah Hamilton)	Encourage feedback following all training sessions and improve/change content on a regular basis. Create and deploy web-based procurement training on selected topics by 2010. Add FAQs to Purchasing website. (Cindi Deegan)
11			Leverage system-wide and other campuses' business and IT processes.		Explore and formalize plan for financial system to be deployed at expiration of current contract with UCLA (Monir Ahmed/Yaheya Quazi)	Develop a roll-out plan for UC Ready Business Continuity Software (Sheryl Ireland)	Leverage training on the Express system to increase usage, and travel policy and procedural knowledge (Kim Groesbeck)	Evaluate and implement and automated recharge systems (Kim Groesbeck)	Increase Systemwide Strategic Sourced Contracts (Cindi Deegan).
12	**Stewardship**								
13			Acquire sufficient resources to support the academic priorities of the campus and to serve the people of California.		Develop Tax Manual, identify impacted units and services and assure compliance by developing control measures (Erica Fernandez)	Formalize and initiate surplus property disposition (Cindi Deegan)			
14			Allocate resources in alignment with campus priorities.						
15			Balance acceptable risk with innovation, efficiency and speed.		Increase number of local campus blanket contracts to provide additional flexibility to campus (Cindi Deegan)	Create Contract & Grant Manual specific to UCM (Autumn Zindel)	Reduce audit vulnerabilities by formalizing audit follow-up and corrective action tracking process, and reviewing, testing and updating SAS 112 and system descriptions (Sheryl Ireland)		
16			Ensure prudent and ethical management of all resources.						
17			Create a sustainable internal economy, making the most of limited resources.						
18	**People**								
19			Attract and retain students, faculty and staff whose involvement adds value to the individual and to the university.						
20			Create a culture of inclusion, facilitating diversity in all areas.						
21			Provide professional development opportunities for all employees, enhancing performance and creating an environment for lifelong						
22			Provide leadership in creating a high quality work and learning environment.		Formalize an efficient control structure and communicate to employees to improve compliance (Sheryl Ireland)	Increase campus presence for the buyers and meet with major clients fore frequently			
23	**Place**								
24			Build a welcoming and engaging campus, investing in the public realm – "first impressions count."						
25			Evolve the capital program, in terms of quality and quantity of facilities, to attract leading scholars and students – "it just keeps						
26			Achieve even higher sustainable outcomes – "it just keeps getting greener."		Achieve paperless bid process in Procurement by 2010 (Cindi Deegan)	Increase and maintain campus standards in commonly purchased equipment, furniture, etc			
27			Through better practices, such as adaptable spaces, flexible funding, evolving standards, achieve better facilities for less cost – "it just keeps getting cheaper."						
28			Collaborate to balance operational issues with design issues, life cycle costs with construction costs.						

	A	B	C	D	E	F	G	H	I
1									
2	**Unit: Human Resources**								
3	**Stakeholder: Ben Lastimado (Freya Foley)**								
4									
5	**Themes**		**Goals**		**Objectives - 36-month period from July 2008 to June 2011**				
6									
7	**Process**								
8			Align administrative processes and priorities with the academic vision and priorities.						
9			Make it easier for faculty/staff/students to do their jobs.		Develop and transmit various HR policies (Freya Foley)	Continue to investigate and model best practices in HRIS (Freya Foley)			
10			Ensure that campus policies and practices add value.		Implement and maintain *Career Tracks* staff classification program (Freya Foley)	Continue to strengthen content and utility of HR Website (Freya Foley)	Continue to develop HR Generalist Model (Freya Foley)		
11			Leverage system-wide and other campuses' business and IT processes.						
12	**Stewardship**								
13			Acquire sufficient resources to support the academic priorities of the campus and to serve the people of California.		Establish model for user charge backs for HR training & services (Freya Foley)	Develop and deliver cost-effective & sustainable LMS (Freya Foley)			
14			Allocate resources in alignment with campus priorities.						
15			Balance acceptable risk with innovation, efficiency and speed.						
16			Ensure prudent and ethical management of all resources.						
17			Create a sustainable internal economy, making the most of limited resources.						
18	**People**								
19			Attract and retain students, faculty and staff whose involvement adds value to the individual and to the university.						
20			Create a culture of inclusion, facilitating diversity in all areas.		Develop and implement Affirmative Action Policy and metrics (Freya Foley)	Increase diversity in hiring (Freya Foley)	Develop and strengthen non-cash rewards & recognition programs (Freya Foley)	Strengthen health & wellness programs (Freya Foley)	Strenghten EAP initiatives (Freya Foley)
21			Provide professional development opportunities for all employees, enhancing performance and creating an environment for lifelong learning.		Develop Diversity/Cultural Awareness Training (Freya Foley)	Develop and strengthen Total Compensation Awareness (Freya Foley)	Strengthen health & wellness programs Freya Foley)	Strenghten EAP initiatives (Freya Foley)	
22			Provide leadership in creating a high quality work and learning environment.		Develop HR Liaison Advisory Group (Freya Foley)	Develop On-Boarding & New Employee Orientation programs (Freya Foley)	Develop and present Management/Supervisor training program (Freya Foley)		
23	**Place**								
24			Build a welcoming and engaging campus, investing in the public realm – "first impressions count."		Develop Newcomers Club (Freya Foley)				
25			Evolve the capital program, in terms of quality and quantity of facilities, to attract leading scholars and students – "it just keeps getting better."						
26			Achieve even higher sustainable outcomes – "it just keeps getting greener."						
27			Through better practices, such as adaptable spaces, flexible funding, evolving standards, achieve better facilities for less cost – "it just keeps getting cheaper."						
28			Collaborate to balance operational issues with design issues, life cycle costs with construction costs.						

	A	B	C	D	E	F	G
1							
2	**Unit: UCM Police and Emergency Management**						
3	**Stakeholder:Rita Spaur**						
4							
5	**Themes**		**Goals**		**Objectives - 36-month period from July 2008 to June 2011**		
6							
7	**Process**						
8			Align administrative processes and priorities with the academic vision and priorities.				
9			Make it easier for faculty/staff/students to do their jobs.		Enhance and streamline campus lost & found program (Rita Spaur)		
10			Ensure that campus policies and practices add value.		Devlop succession technical manuals as appropriate to maintain productivity and reduce stress for successor (Rita Spaur)		
11			Leverage system-wide and other campuses' business and IT processes.				
12	**Stewardship**						
13			Acquire sufficient resources to support the academic priorities of the campus and to serve the people of California.		Implement campus wide life safety and security program (Rita Spaur)	Develop, educate, and implement campus workplace violence and whistleblower programs (Rita Spaur)	Implement safety and emergency coordinator program (Rita Spaur)
14			Allocate resources in alignment with campus priorities.				
15			Balance acceptable risk with innovation, efficiency and speed.		Seek UCOP funding for proactive risk mitigation in vulnerable research areas (Rita Spaur)		
16			Ensure prudent and ethical management of all resources.				
17			Create a sustainable internal economy, making the most of limited resources.		Initiate a sustainable culture for seeking alternative operational funding (Rita Spaur)		
18	**People**						
19			Attract and retain students, faculty and staff whose involvement adds value to the individual and to the university.		Continue to develop innovative community outreach programs (Rita Spaur)		
20			Create a culture of inclusion, facilitating diversity in all areas.				
21			Provide professional development opportunities for all employees, enhancing performance and creating an environment for lifelong learning.				
22			Provide leadership in creating a high quality work and learning environment.		Activate UC Merced LIVESCAN program (Rita Spaur)		
23	**Place**						
24			Build a welcoming and engaging campus, investing in the public realm – "first impressions count."		Enhance way finding to on and off-campus facilities (Rita Spaur)		
25			Evolve the capital program, in terms of quality and quantity of facilities, to attract leading scholars and students – "it just keeps getting better."				
26			Achieve even higher sustainable outcomes – "it just keeps getting greener."		Cultivate a culture of operational continutity through mitigation,preparedness, response and recovery (Rita Spaur)	Identify EOC locations and S&E needs (Rita Spaur)	Ensure life safety alarm activation, testing and maintenance (Rita Spaur)
27			Through better practices, such as adaptable spaces, flexible funding, evolving standards, achieve better facilities for less cost – "it just keeps getting cheaper."		Design appropriate hard target research facilities beginning with S&E II (Rita Spaur)		
28			Collaborate to balance operational issues with design issues, life cycle costs with construction costs.				

	A	B	C	D	E	F	G
1							
2	**Unit: Division of Administration**						
3	**Stakeholder: Sonia, Danielle, Jim**						
4							
5	**Themes**		**Goals**		**Objectives - 36-month period from July 2008 to June 2011**		
6							
7	**Process**						
8			Align administrative processes and priorities with the academic vision and priorities.		Include final SAP doucment elements into Admin Division Strategic Plan by Q3 2009 (Jim Genes)		
9			Make it easier for faculty/staff/students to do their jobs.		On-line access to all policies and campus awareness of policies by Q4 2009 (Sonia Johnston)	Implement paperless solutions for paper-based or cumbersome functions by Q4 2009 (Sonia Johnston)	NAEYC accreditation of Early Childhood Education Center by Q2 2011 (Danielle Waite)
10			Ensure that campus policies and practices add value.				
11			Leverage system-wide and other campuses' business and IT processes.				
12	**Stewardship**						
13			Acquire sufficient resources to support the academic priorities of the campus and to serve the people of California.				
14			Allocate resources in alignment with campus priorities.				
15			Balance acceptable risk with innovation, efficiency and speed.		Raise visibility of the campus ERM committee as a recognized and valued resource in addressing UCM risk management by Q2 2009 (Jim Genes)		
16			Ensure prudent and ethical management of all resources.				
17			Create a sustainable internal economy, making the most of limited resources.		Employ Admin Strategic Plan as tool in budget decision-making and performance assessment by Q2 2009 (Jim Genes)		
18	**People**						
19			Attract and retain students, faculty and staff whose involvement adds value to the individual and to the university.				
20			Create a culture of inclusion, facilitating diversity in all areas.				
21			Provide professional development opportunities for all employees, enhancing performance and creating an environment for lifelong learning.				
22			Provide leadership in creating a high quality work and learning environment.				
23	**Place**						
24			Build a welcoming and engaging campus, investing in the public realm – "first impressions count."				
25			Evolve the capital program, in terms of quality and quantity of facilities, to attract leading scholars and students – "it just keeps getting better."				
26			Achieve even higher sustainable outcomes – "it just keeps getting greener."		Establish campus sustainability office by Q4 2009 (Jim Genes)		
27			Through better practices, such as adaptable spaces, flexible funding, evolving standards, achieve better facilities for less cost – "it just keeps getting cheaper."				
28			Collaborate to balance operational issues with design issues, life cycle costs with construction costs.				

	A	B	C	D	E	F	G
1							
2	**Unit: EH&S**						
3	**Stakeholder: Kevin Creed**						
4							
5	**Themes**		**Goals**		**Objectives - 36-month period from July 2008 to June 2011**		
6							
7	**Process**						
8			Align administrative processes and priorities with the academic vision and priorities.		Implementation of Institutional Biosafety Committee (Kevin Creed)		
9			Make it easier for faculty/staff/students to do their jobs.		Update of hazardous materials inventory including purchase and implementation (Kevin Creed)		
10			Ensure that campus policies and practices add value.		Re-implementation of Campus Safety Committee (Kevin Creed)	Improve frequency and documentation of laboratory safety surveys (Kevin Creed)	
11			Leverage system-wide and other campuses' business and IT processes.				
12	**Stewardship**						
13			Acquire sufficient resources to support the academic priorities of the campus and to serve the people of California.		Initiate formalized process for Be Smart About Safety Program (Kevin Creed)		
14			Allocate resources in alignment with campus priorities.				
15			Balance acceptable risk with innovation, efficiency and speed.		Accelerate implementation of Ergo-CAT Online assessment and training program (Kevin Creed)		
16			Ensure prudent and ethical management of all resources.				
17			Create a sustainable internal economy, making the most of limited resources.				
18	**People**						
19			Attract and retain students, faculty and staff whose involvement adds value to the individual and to the university.				
20			Create a culture of inclusion, facilitating diversity in all areas.				
21			Provide professional development opportunities for all employees, enhancing performance and creating an environment for lifelong learning.				
22			Provide leadership in creating a high quality work and learning environment.		Increase support capacity to campus projects for Title 24 Code plan (Kevin Creed)		
23	**Place**						
24			Build a welcoming and engaging campus, investing in the public realm – "first impressions count."				
25			Evolve the capital program, in terms of quality and quantity of facilities, to attract leading scholars and students – "it just keeps getting better."				
26			Achieve even higher sustainable outcomes – "it just keeps getting greener."				
27			Through better practices, such as adaptable spaces, flexible funding, evolving standards, achieve better facilities for less cost – "it just keeps getting cheaper."				
28			Collaborate to balance operational issues with design issues, life cycle costs with construction costs.				

	A	B	C	D	E	F	G
1							
2	**Unit: Facilities**						
3	**Stakeholder: Tom Atkins**						
4							
5	**Themes**		**Goals**		**Objectives - 36-month period from July 2008 to June 2011**		
6							
7	**Process**						
8			Align administrative processes and priorities with the academic vision and priorities.				
9			Make it easier for faculty/staff/students to do their jobs.		Develop detailed training for FM employees for business processes and professional development. Offer this resource to other campus units when complete (Tom Atkins)		
10			Ensure that campus policies and practices add value.		Help develop policies and procedures to help reduce confusion, streamline and solidity the hiring process, on-line recharge tool, and monthly budget reporting tool (Tom Atkins)		
11			Leverage system-wide and other campuses' business and IT processes.				
12	**Stewardship**						
13			Acquire sufficient resources to support the academic priorities of the campus and to serve the people of California.		Increase energy efficiency efforts to capture purchased utility savings in the areas of new building design and building maintenance (Tom Atkins)	Investigate, scope, and implement a retrofit to the campus steam system to reduce purchased utilities and labor costs (Tom Atkins)	
14			Allocate resources in alignment with campus priorities.				
15			Balance acceptable risk with innovation, efficiency and speed.		Establish weekly purchase order/construction contract review team to facilitate critical projects (Tom Atkins)		
16			Ensure prudent and ethical management of all resources.				
17			Create a sustainable internal economy, making the most of limited resources.		Promote and encourage the most sustainable transportation practices and increase Average Vehicle Ridership (AVR) each year (Tom Atkins)		
18	**People**						
19			Attract and retain students, faculty and staff whose involvement adds value to the individual and to the university.				
20			Create a culture of inclusion, facilitating diversity in all areas.				
21			Provide professional development opportunities for all employees, enhancing performance and creating an environment for lifelong learning.				
22			Provide leadership in creating a high quality work and learning environment.		Develop and implement a broad based Transportation Demand Management program that effectively balances parking construction with all means of alternative transportation (Tom Atkins)		
23	**Place**						
24			Build a welcoming and engaging campus, investing in the public realm – "first impressions count."				
25			Evolve the capital program, in terms of quality and quantity of facilities, to attract leading scholars and students – "it just keeps getting better."				
26			Achieve even higher sustainable outcomes – "it just keeps getting greener."		Develop and implement a well defined and effective design and construction review process that reasonably balances budget, aesthetics, and operational needs and fully considers and addresses the Total Cost of Ownership (Tom Atkins)		
27			Through better practices, such as adaptable spaces, flexible funding, evolving standards, achieve better facilities for less cost – "it just keeps getting cheaper."				
28			Collaborate to balance operational issues with design issues, life cycle costs with construction costs.				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	1
DESCRIPTION	WASC Assessment of Administrative Units Policy (SACA)
OWNER	Jim Genes
BORN-ON DATE	4/7/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Review SACA draft policy, meet with Laura Martin, created DoA planning & assessment flowchart	5/27/2010	completed	
2 Key Milestone	Complete SACA/Gregg Camfield WASC questions	6/9/2010	completed	Completed questions and reviewed 6/10/2010 SACA policy draft and provided comment
3 Key Milestone	Review SACA policy draft dated 7/1/2010	9/1/2010	completed	Returned 7/20/10 SACA draft to Susan Sims, et al
4 Key Milestone	Waiting for SACA comments on latest AUAP draft (as of 10/6/10)			
5 Finish		fall 2010		

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	2
DESCRIPTION	Implement ERM solution for Campus
OWNER	Monir Ahmed
BORN-ON DATE	7/17/2007
DATE COMPLETED	On-going project

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Rewrite ERM Charter	Oct-10	in progress	Allign the charter to math objective set for Executive Committee on Ethichs & Audit Compliance
2 Key Milestone	Reappoint Panel Members	Dec-10	in progress	
3 Key Milestone	Reconvene regularly scheduled meetings	Jan-11		
4 Key Milestone	Update UC Merced ERM Maturity Workplan	Jun-11		revise/update the plan from last submission last year.
5 Finish	n/a			

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	3
DESCRIPTION	Debt Affordability Model
OWNER	Kathy Jefferds
BORN-ON DATE	3/23/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Meet as part of Workgroup to update and populate the new tool.	Spring-summer 2010	Ongoing	This is a joint project between Budget, BFS and Capital Planning. This is potentially a useful tool for assessing debt thresholds.
2 Key Milestone	Budget updated assumptions which are parameters that drive the calculations. Entered current income and revenue information for Auxiliaries.	10/14/2010	Ongoing	Utilizing best estimates to predict available resources for debt service for the campus.
3 Key Milestone	Utilize for Housing 4			
4 Key Milestone				
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	4
DESCRIPTION	UCM AMERICAN WITH DISABILITIES ACT PROGRAM
OWNER	Ben Lastimado
BORN-ON DATE	2/18/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Establish ADA committee of campus constituents	4/1/2010	Completed	Committee meets every month since April 2010
2 Key Milestone	ADA Policy and Procedure	7/1/2010	Completed	Policy & Procedure w/ VC for Administration for cabinet approal
3 Key Milestone	A) ADA Complaint Process B) ADA Training	12/1/2010	Work in prog	Sub-committees establised to work on A & B
4 Key Milestone	Adding 5 additional disability managers	Nov 2,2010		Volunteers from committee to be trained on how to conduct the ADA "interactive process." Training conducted by law firm Liebert,Cassidy, Whitmore
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	5
DESCRIPTION	Position Control System
OWNER	Lastimado/Ahmed/Jefferds
BORN-ON DATE	3/23/2010
DATE COMPLETED	

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start	Develop Project Scope/Specification		Draft Provided	HR and Budget is reviewing the draft specification
2	Key Milestone	Created a formal committee that included members outside BFS, Budget, & HR	5/1/2010	Completed	Committee includes representatives from Information Technology and Institutional Research
3	Key Milestone	Draft model of position control to be reviewed	11/1/2010	WIP	Committee will review draft model, revise if necessary and determine best department to manage position control
4	Key Milestone	Draft model of position control presented to VC Miller	1/1/2011	WIP	Recommendationn as to department(s) to manage position control will also be recommended
5	Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	6
DESCRIPTION	Records Management System
OWNER	Sonia Johnston
BORN-ON DATE	3/23/2010
DATE COMPLETED	**On Going**

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start	Investigate other campus systems for potential use at UC Merced.			UCOP and UCM IT are both looking at systems. UCM is looking at a wider audience to include Financial Aid and Academic Personnel for a multi-functional content management and tracking system. BFS in conjunction with Admin are working on both committees to help find the best solution in regards to Records Management Policy.
2	Key Milestone	Serve on ECMS committee to investigate campus needs and create proposal for the AITC (Administrative Information Technology Council) .		Presented to CIO 8/27/10	UCM IT has submitted a budget for an electronic content management system based on needs from campus committee. Once budget secured, committee will draft an RFP.
3	Key Milestone	Educate campus community on Records Management and Retention Policies.	8/1/2010	complete	In coordination with BFS, created and presented to Admin Officers/MSO "Fundamentals of Records Management."
4	Key Milestone	Create a Website for Records Management information.	8/1/2010	complete	In coordination with BFS, created a website with the information from the presentation and contact information for faculty and staff. BFS maintains and updates site as needed.
5	Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	7
DESCRIPTION	Policies and Procedures On-Line Manual
OWNER	Sonia Johnston
BORN-ON DATE	December-08
DATE COMPLETED	**On Going**

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Work with units to post current policies and procedures	On Going		Begin Date: 28 P&P posted on line
2 Key Milestone	Improve Searches	10/1/2009	Done	Added directions to make site base searches easier.
3 Key Milestone	Create Menu for ease of use	1/1/2010	Done	Created jumps to the site is more user-friendly
4 Key Milestone	Continue to Increase # of P&P on line	10/21/2010	Done	AS OF TODAY: 171 P&P posted on line
5 Finish	On Going			Continue to look for ways to streamline the website; add additional policies; assist in the development of new and revised policies.

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	8
DESCRIPTION	Castle Facilites Upgrade Project
OWNER	Tom Atkins
BORN-ON DATE	3/23/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Task List Developed	Q2, 2009	Completed	
2 Key Milestone	Increased interior lighting.	Q3, 2009	Completed	
3 Key Milestone	Improve building hot water boiler systems.	Q3, 2009	Completed	
4 Key Milestone	Install central compressed air for both 1200 and 1201 Buidlings.	Q4, 2010	Completed	Lab hook ups in progress.
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	9
DESCRIPTION	Castle "Same Services as Campus" Project
OWNER	Tom Atkins
BORN-ON DATE	3/23/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Task List Developed	Q2, 2009	Completed	
2 Key Milestone	Install DI water supply in 1201 Bldg.	Q1, 2010	Completed	
3 Key Milestone	Customer hookups for labsEstablish Maintenance Contracts for critical lab equipment.	Q3, 2010	Completed	
4 Key Milestone	FM has taken responsibility for specific lab equipment.	Q4, 2010	Completed	
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	10
DESCRIPTION	Lab Safety Program
OWNER	Kevin Creed
BORN-ON DATE	3/23/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Briefing of Chancellor's Cabinet as Risk & Compliance committee - completed			
2 Key Milestone				Deans for SNS and SSHA briefed, new dean for Engineering to be briefed 10-15.
3 Key Milestone	Development of key policies: PPE, and Compliance Assurance	est. 1/1/2011		
4 Key Milestone	Implementation of Chancellor's Lab Safety Award	5/1/2011		
5 Finish	Ongoing - continuous improvement			

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	11
DESCRIPTION	Administrative Process Improvement Initiative for Faculty
OWNER	Monir Ahmed
BORN-ON DATE	3/23/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Write Charter		complete	
2 Key Milestone	Appoint Committee Members		complete	
3 Key Milestone	1st Meeting		scheduled	
4 Key Milestone	Prepare position/status paper	Dec-10		
5 Finish	Submit improvement workplan	Mar-11		

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	12
DESCRIPTION	Campus Visitor and Users Policies
OWNER	Gail Benedict
BORN-ON DATE	3/23/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	First draft	6/1/2010		Done and reviewed by VCA staff
2 Key Milestone	Policy review with Director of Administration prior to campus meeting. Final draft ready before campus meeting	8/23/2010		Done
3 Key Milestone	Camus Meeting: tentative date October 5	10/5/2010		
4 Key Milestone				
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	13
DESCRIPTION	Prepare UCM Indirect Cost Recovery Rate for resubmission
OWNER	Monir Ahmed
BORN-ON DATE	3/23/2010
DATE COMPLETED	

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start				Awaiting response from HHS for first submission
2	Key Milestone				
3	Key Milestone				
4	Key Milestone				
5	Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	14
DESCRIPTION	Campus Recharge Process Refresh
OWNER	Kathy Jefferds
BORN-ON DATE	3/23/2010
DATE COMPLETED	

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start	Draft Charge Letter for VCA to approve and enlist members for Committee	Summer 2010	Ongoing	Prepare charge letter for newly recruited members of the Recharge Committee
2	Key Milestone	All selected members of the Committee agreed to participate. Email prepared for inventory of MSOs/DOs for current formally approved recharges.	April-May 2010	Ongoing	
3	Key Milestone	Prepare Sandra Perez to work closely with Campus Units on recharge proposals. Work with BFS on implementation process.	Oct-Nov 2010	Ongoing	Transition Assistant Director to guide recharge process for the campus consistent with position description, talents, and strengths.
4	Key Milestone	Begin inventory on existing formally approved recharges	Oct-Nov 2010	Ongoing	Gather information for Committee review
5	Finish	Call formal meeting of the Committee to launch process for 2011-12 budget cycle. Approve calendar for the 2011-12 cycle. Review new materials for proposals.	Before Thankgiving 2010	Ongoing	Begin cycle by review of existing recharges and

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	15
DESCRIPTION	Improper Disposal of Records (UCLA Unshreded Documents)
OWNER	Monir Ahmed
BORN-ON DATE	4/7/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start				
2 Key Milestone				
3 Key Milestone				
4 Key Milestone				
5 Finish	TASK COMPLETED	SPRING 2010		

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	16
DESCRIPTION	UCM Staff Training and Development Program
OWNER	Ben Lastimado
BORN-ON DATE	3/7/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Establish UCM Training & Development Committee	4/1/2010	Completed	Committee consist of campus employees
2 Key Milestone	Supervisory Training	4/1/2010	On going	Conducted 62 supervisory training sessions since Apr 2010
3 Key Milestone	Committee sent campus survey	6/1/2010	Completed	Campus staff surveyed regarding training needs. Survey developed and implemented by Institutional Research
4 Key Milestone	Committee reviewing survey	10/1/2010	WIP	Committee devising draft campus wide training and development subjects and schedule
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	17
DESCRIPTION	Sustainability Memo (Gary Lowe email regarding Talent Management Program)
OWNER	Ben Lastimado
BORN-ON DATE	4/7/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Established "draft idea for Talent Management Program"	7/1/2011	WIP	Waiting for T&D committee to complete campus training and development subjects and schedule first
2 Key Milestone				
3 Key Milestone				
4 Key Milestone				
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	18
DESCRIPTION	New Employee Orientation "Onboarding"
OWNER	Ben Lastimado
BORN-ON DATE	4/7/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	HR Manager Joanne Dunlap assigned tasks	Completed	Completed	
2 Key Milestone	A committee established by HR Manager Dunlap to assist in developing employee orientation	7/1/2010	Completed	Committee consist of campus constituents with assistance from Training & Development committee
3 Key Milestone	Orientation video	Fe2011	WIP	Committee working with UCM Public Relations & Training and Development Committee
4 Key Milestone				
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	19
DESCRIPTION	Campus Parking Fee (Tiered Pricing Structure)
OWNER	Tom Atkins
BORN-ON DATE	4/7/2010
DATE COMPLETED	

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start	Numerous /meetings discussions with TAPS Advisory Committee to develop recommendations for tiered approach	8/23/2010	ONGOING	These discussions will be ongoing with the Advisory Committee; charge is to address all apsects of Transportation and Parking on an ongoing basis.
2	Key Milestone	Work with BFS on ePay system upgrades to accommodate new tiered system; also work with Payroll to generate and implement GPN layout for direct deposit	8/23/2010	COMPLETED	
3	Key Milestone	Work with vendors to develop parking permits; signage layout; striping plan	9/13/2010	COMPLETED	This process was a phased approach; all aspects completed by delivery date.
4	Key Milestone	All Faculty and Staff tiered permits entered in system and available online for purchase	8/23/2010	COMPLETED	
5	Finish	Grace period ends for all Faculty/Staff to purchase permits; Parking enforcement begins	9/13/2010	COMPLETED	

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	20
DESCRIPTION	3rd Party Campus Building for Teaching (Tent Project)
OWNER	John White
BORN-ON DATE	4/7/2010
DATE COMPLETED	

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start	Evaluation of various options: 1) traditional State funding for instruction and research; 2) hybrid funding (State and non-State funded elements); or 3) 3rd Party Development	5/1/2010	Complete	In consultation with UCOP decided to pursue non-State funded Academic Surge Facility using University equity $20 M
2	Key Milestone	Upon further discussion with UCOP and informed by State budget, it was agreed to pursue a two times larger State-funded project since the programs would be entirely eligible for State funding. One year delay to occupancy as a result. Preliminary Plans to begin 2010-11 using University Funds and requested State funds for Working Drawings and Construction during 2011-12. Project Planning Guide submitted to the State.	7/26/2010	Complete	
3	Key Milestone	Preparation of Business Case Analysis as part of programming efforts led to re-consideration of project site and building solution. It is expected that a single building instead of two buildings will be contructured, which will require a revised Project Planning Guide and re-validation of project scope and budget	10/26/2010	In progress	Working to finalize Business Case Analysis for UCOP - expected by November 15, 2010
4	Key Milestone	Expect to receive feedback from DOF if there is State support for the project. Next milestone will be Governor's Budget during January 2011 followed by Legislative Hearings in Spring 2011. Successful outcome is dependent upon timely passage of 2011-12 State Budget Act and State Lease Revenue Bonds during Fall 2011. Process could delay occupancy of the project beyond current planned occupancy of January 2014.	12/1/2010	Future	
5	Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	21
DESCRIPTION	Modify Existing Campus Space for Teaching
OWNER	John White
BORN-ON DATE	4/7/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Completed campuswide Instructional Space Utilization Report	4/29/2010	Complete	
2 Key Milestone	Report with recommendations of establishment of four working committees sent to Provost for review, comment, approval, adoption.	5/29/2010	Pending	
3 Key Milestone	Formation of initial project description for future capital project titled "Campus Instructional Space Renovations", which has been included in Ten Year Capital Plan. Includes modification of existing instructional space in Classroom and Office Building and Science and Engineering Building as a follow-on project to SE-2 with Preliminary Plans proposed for State funding in 2012-13 and completion during 2014-15.	9/30/2010	Pending	UCOP Budget Office apprised of project and toured affeted space. Campus introduced possibilty of advancing the COB renovations to an earlier time frame with cost about $1 M.
4 Key Milestone	Requested assignment of PPDC project director to begin work plan for programming and cost estimating. Preliminary Plans proposed for 2012-13 and DPP would need to be completed during 2011-12.	10/26/2010	Pending	
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	22
DESCRIPTION	Capital Projects Outcomes Assessment Report (Post Occupancy Evaluation)
OWNER	John White
BORN-ON DATE	4/7/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Would like to work jointly with PPDC and FM to create a Post Occupancy Evaluation Matrix and process to used for compleiton of SE-2 project and possibly retroactively for SE-1 project.			Joint with PPD&C. Have not had time to pursue. Remains an objective.
2 Key Milestone				
3 Key Milestone				
4 Key Milestone				
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	23
DESCRIPTION	Using "Golf Course Well" for Campus Irrigation
OWNER	Tom Lollini/Tom Atkins
BORN-ON DATE	7/1/2010
DATE COMPLETED	

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start	Summary cost benefit analysis prepared by PPD&C presented to FM	2/17/2010	complete	PPD&C initiated study of potential costs and savings of converion of irrigation system to campus well water supply indicating possible 6 mo to 12 mo payback.
2	Key Milestone 2A Key Milestone 2B	2A. Feasibility Study by Stantec Engineers authorized by FM 2B. Well Test	2A. 6/15/2010 2B. 9/21/2010	2A. complete 2B. complete	2A. Stantec prepares analyusis indicating positive outcome and recommends analysis of well capacity for long range planning purposes and basis of design. 2B. Flow rate of 350 GPM, with adequate recharge rate.
3	Key Milestone	UC Merced repairs irrigation meter and conducts field test to validate design demand. Stantec designs well modifications and piping system.	11/10-12/10	open	AfterUCM field test, Stantec to prepare multiple design options and consult UC Merced stakeholders on preferred option. Lost two weeks.
4	Key Milestone	Construction documents and bidding.	1/11-/2/11	open	Stantec will proceed to completed CD's one month after consultation.
5	Finish	Construction	3/11-5/11	open	Goal is to have system operational for 2011 irrigation season. Bid docs/const.

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	24
DESCRIPTION	Grants Accounting Process Improvement Team
OWNER	Monir Ahmed
BORN-ON DATE	7/23/2010
DATE COMPLETED	

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start				please delete - merged with Admin Process Improvement initiative
2	Key Milestone				
3	Key Milestone				
4	Key Milestone				
5	Finish	MERGED WITH PROJECT #11 ABOVE			

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	25
DESCRIPTION	Annual Chancellors's Report on Artrs UC Merced Presents
OWNER	Gail Benedict
BORN-ON DATE	
DATE COMPLETED	

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start	First draft with Dunya Ramicova	6/30/2010	Done	Draft prepared and reviewed by Professor Ramicova
2	Key Milestone	Final draft to Mary Miller	8/16/2010	Done	Mary is reviewing
3	Key Milestone	Submit to VCA to present at Cabinet	9/15/2010	Done	On Cabinet agenda for 9/21/10
4	Key Milestone				
5	Finish	VCA presented to Cabinet on 9/21/10 with no objections	9/21/2010	Done	

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	26
DESCRIPTION	Accreditation of the ECEC
OWNER	Danielle Waite
BORN-ON DATE	6/29/2010
DATE COMPLETED	

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start	Apply to the National Accreditation Commission (NAC) for Early Care and Education Programs upon ECEC one year anniversary	8/10/2010	Done	NAC Accreditation Manual has been received and fees have been paid
2	Key Milestone	Review documents and begin self study process	11/12/2010		
3	Key Milestone	Submit request for validation visit	6/30/2010		
4	Key Milestone	Validation visit by NAC	within 3 months		
5	Finish	NAC Accredition of ECEC	within 4 months of visit		

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	27
DESCRIPTION	Licensing of ECEC
OWNER	Danielle Waite
BORN-ON DATE	7/7/2008
DATE COMPLETED	6/29/2009

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start	Component 1 session for Community Care Licensing	7/23/2008	Done	Orientation session to qualify for license application attended by Dwaite and Gbenedict
2	Key Milestone	Submisssion and payment for ECEC licenses.	11/4/2008	Done	Receive by CCL on 11/6 and confirmation of submittal and fees paid received 12/4.
3	Key Milestone	Component 3 session for Community Care Licensing	1/28/2009	Done	Dwaite and Svega attended session for regulations and required paperwork.
4	Key Milestone	Component 2 session for Community Care License - on site inspection.	6/19/2009	Done	Licensing analyst review program and facility. Both licenses (infant/toddler and prek) were verbally approved.
5	Finish	Licenses received - program allowed to open.	6/25/2009	Done	ECEC opened serving children on Monday, June 29, 2009

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	28
DESCRIPTION	Official HR & PAYROLL Personnel Files
OWNER	Ben Lastimado
BORN-ON DATE	7/1/2010
DATE COMPLETED	

	SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1	Start	Established a campus Official personnel file committee	Completed	WIP	Committee consists of campus employees
2	Key Milestone	Sub-committee established to create a "mock" HR personnel and "mock" Payroll personnell file	12/1/2010	WIP	At the Nov 2011 meeting committee will determine what is in/out of official files
3	Key Milestone	Committee to determine who should "hold on to" official personnel files	1/1/2011	WIP	
4	Key Milestone	Recommendationn to VC Miller	3/1/2011	WIP	Recommendation to VC Miller and for cabinet approal
5	Key Milestone	Response to UCOP auditor findings on official file completed	7/1/2011	WIP	UCM is required to correct UCOP auditor findings by Jul 2011

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	29
DESCRIPTION	Affirmative Action/EEO/Diversity UCM Plan & Strategies
OWNER	Ben Lastimado
BORN-ON DATE	4/1/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	HR Manager Joanne Dunlap appointed as Title IX Officer	Completed	WIP	
2 Key Milestone	Received 2009-2010 AA plan & established AA/EEO/Diversity committee	6/1/2010	Completed	Committee consists of campus constituents
3 Key Milestone	Draft policy & procedure in development stage	12/1/2010	WIP	Waiting for 2010-2011 AA plan from consultant Nov 2011
4 Key Milestone	AA/EEO/Diversity strategies	4/1/2011	WIP	Strategies will be tied to Recruitment
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	30
DESCRIPTION	Salary Structure for Non-Represented Employees - Career Track
OWNER	Ben Lastimado
BORN-ON DATE	7/1/2008
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Project started July 2008 w/briefing to administrators	Completed	Completed	Previous AVC for HR Foley and Lori Hoffman started project
2 Key Milestone	82% of non-represented positions are mapped	10/1/2010	WIP	Effective July 2010 a new team assumed the project
3 Key Milestone	Communication with campus employees	Ongoing	Ongoing	Career track team continuess to provide briefings to departments, division, , VCs, MSO meetings
4 Key Milestone	Campus wide communication	11/1/2011	WIP	Working with University Public Relations for campus wide communication (Brenda Ortiz)
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	31
DESCRIPTION	Update Campus Vulnerability Study
OWNER	Rita Spaur
BORN-ON DATE	11/1/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Conviene stakeholders	11/15/2010		
2 Key Milestone	Identify current campus vulnerabilities	12/15/2010		
3 Key Milestone	codify using mandated format	1/30/2011		
4 Key Milestone	Identify mitigations for each vulnerability	3/15/2011		
5 Finish		4/15/2011		

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	32
DESCRIPTION	Develop Department Emergency Coordinator Program
OWNER	Rita Spaur
BORN-ON DATE	1/1/2011
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Conviene Emergency workgroup	1/1/2011		
2 Key Milestone				
3 Key Milestone				
4 Key Milestone				
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	33
DESCRIPTION	Laboratory Safety Audit Action Items
OWNER	Kevin Creed
BORN-ON DATE	8/6/2010
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start	Audit report issued	8/6/2010		
2 Key Milestone	12 Action Items to be implemented by campus: due dates in November, January and February			October 1st due dates were met.
3 Key Milestone	Full implementation of LMS so that researchers can access e-courses and faculty can check on their research staff training.			Achievement depends upon HR progress in LMS system.
4 Key Milestone				
5 Finish	close out of action items and audit findings	est. 2/1/2011		

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER	34
DESCRIPTION	
OWNER	
BORN-ON DATE	
DATE COMPLETED	

SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start				
2 Key Milestone				
3 Key Milestone				
4 Key Milestone				
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER 35				
DESCRIPTION				
OWNER				
BORN-ON DATE				
DATE COMPLETED				
SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start				
2 Key Milestone				
3 Key Milestone				
4 Key Milestone				
5 Finish				

VCA PROJECT TRACKING SPREADSHEET

PROJECT NUMBER 36				
DESCRIPTION				
OWNER				
BORN-ON DATE				
DATE COMPLETED				
SCHEDULE	MAJOR TASKS	DELIVERY DATE	TASK STATUS	EXPLANATIONS / DETAILS
1 Start				
2 Key Milestone				
3 Key Milestone				
4 Key Milestone				
5 Finish				

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UNIVERSITY OF CALIFORNIA, MERCED
P.O. BOX 2039
MERCED, CALIFORNIA 95344

Questions

1) a. Have you identified, or are you in the process of identifying, performance goals and related objectives for the unit (as opposed to goals for individual administrators or staff members)? If so, please provide them.

Academic Personnel and Payroll:

The Academic Personnel and Payroll Unit staff conducted a two-day workshop to train everyone on current assessment literature and strategies, the practical application of assessment tools, and the UCM assessment policies. The outcomes from the session included: the staff re-writing the current mission statement, goals and objectives to better align and support the UC Merced mission statement (See Appendix A). The mission statement will be posted on the Academic Personnel Website by November 1, 2010.

The Unit staff also defined the future steps for the assessment process for the unit and the first assessment activity to be conducted. The assessment activity involved collecting, reviewing, and reporting the data for the timeliness of processing of academic review files. This first data report was shared with the VP for Academic Personnel, the EVC, Committee on Academic Personnel, and the School Deans. The results led to a discussion with the academic leadership at all levels about the review process and the need for timeliness of the academic reviews. It also validated the due dates for various academic reviews and led to a decision on School due dates for materials as well as the priority given to certain reviews such as tenure, appointments, mid-career, and other promotions. The deadlines for the academic reviews are posted on the Academic Personnel website.

Future activity will be to finalize the mission statement and goals for the unit as well as an assessment of whether stated objectives have been met by the stated timeline.

Academic Planning:

Over the past five years the EVC/Provost has served as the main academic planning officer. Annual goals for academic planning are constructed annually in consultation with the Chancellor, the Deans and the Academic Senate. These goals are vetted through the Deans to the Schools and their faculty and are used by the budget committee to focus resource allocations in support of the specific academic goals of the institution. The goals also are coordinated with the Senate Committee on Academic Planning and Resource Allocation (CAPRA).

Although the campus has established an office of the Vice Provost for Academic Planning and Resource Allocation, the individual acting in this capacity has been serving as the interim Dean of the School of Social Sciences, Humanities and Arts for the past 2.5 years. He returned to 100% duties as the Vice Provost for Academic Planning in January 2010. During this academic year, the Vice Provost will begin the process of

developing a mission statement and strategic goals for the Academic Planning unit while also working on the development of a meaningful algorithm for the development of the instructional budgets.

b. How are the goals and objectives made available and to whom?

The Academic Personnel and Payroll Unit goals and objectives are in development and currently internally available.

c. How do the goals and objectives align with the unit's mission?

Both the Academic Personnel and Academic Payroll Offices are support units that help to facilitate the academic mission of the campus by assuring a consistent, transparent process for the appointment and promotion of faculty, postdoctoral students and graduate students. This unit works in conjunction with the international office to assure that international scholars receive appropriate visas. The basic objectives of these offices are to assure the timely process of appointing new faculty and students.

Academic Planning goals are established on an annual basis and directly serve UC Merced's primary missions of teaching and research. As the chief academic officer of the university the goals of the Academic Affairs unit drive the university-wide annual goal setting and the subsequent resource allocations needed to assure the successful completion of the annual goals and objectives.

d. How do the goals and objectives align the University's mission[1] and goals?

As a growth institution a major annual goal is the proper allocation of new faculty lines to address both the teaching and research missions of the campus.

e. Do they reflect the standards of a professional association? If so, please briefly describe

No, they are goals that are institution specific and meet the needs of a growing university.

2) a. Does your unit review its performance in relation to its objectives? If so, please describe how this is done, including

- **i. The process by which objectives are selected for review[2].**
- **ii. The source(s) and types of data**
- **iii. The timeline**
- **iv. How the results are used to inform practices**
- **v. To whom the results are disseminated**

---

[1] **UC Merced's Mission Statement:** "The University of California, Merced's mission is embodied in its proud claim of being the first American research university of the twenty-first century. As the tenth campus of the University of California, UC Merced will achieve excellence in carrying out the University's mission of teaching, research and service, benefiting society through discovering and transmitting new knowledge and functioning as an active repository of organized knowledge. As a key tenet in carrying out this mission, UC Merced promotes and celebrates the diversity of all members of its community."

[2] For example, are objectives identified annually, but without explicit consideration of future assessment work, or has the unit established a plan describing what objectives will be examined in what years?

b. If your unit has a plan for assessing its performance, please provide it.

The Academic Personnel and Payroll Unit staff conducted a two-day workshop to train everyone on current assessment literature and strategies, the practical application of assessment tools, and the UCM assessment policies. The outcomes from the session included: the staff re-writing the current mission statement, goals and objectives to better align and support the UC Merced mission statement (See Appendix A).

3) **If your unit has engaged in assessment to improve performance[1], please provide one or more examples of this work, *including a description of any changes made to the practices of the unit in response to the results*. These examples are particularly important as they demonstrate that we practice "evidence-based improvement", which is a fundamental expectation of WASC.**

The Office of Academic Personnel engaged in assessment activity that involved collecting, reviewing, and reporting the data for the timeliness of processing of academic review files. This first data report was shared with the VP for Academic Personnel, the EVC, Committee on Academic Personnel, and the School Deans. The results led to a discussion with the academic leadership at all levels about the review process and the need for timeliness of the academic reviews. It also validated the due dates for various academic reviews and led to a decision on School due dates for materials as well as the priority given to certain reviews such as tenure, appointments, mid-career, and other promotions. The deadlines for the academic reviews are posted on the Academic Personnel website http://academicpersonnel.ucmerced.edu/pdf/Submission_Deadlines.10-11.pdf

4) **If your unit has not yet developed goals and objectives what is the timeline for completing this work and initiating assessment?**

Academic Planning:

Although Academic Planning is done in a repeatable, formal process annually, no formal assessment of this planning process has been developed or carried out. The Vice Provost for Academic Planning returned to 100% in January 2010 from serving as the Acting Dean of the School of Social Sciences, Humanities and Arts for over two years. During this academic year, the Vice Provost and I will develop the mission statement and strategic goals for the Unit.

5) **If your unit has goals and objectives but does not regularly assess its performance, what is the timeline for beginning this work?**

The Academic Personnel and Payroll Offices will be among the Administrative offices to undergo a periodic assessment review as mandated by SACA. This review will be undertaken in the 2011-12 academic year. In preparation for this review the unit will develop and disseminate the goals and objectives for each of these units.

[1] For example, user satisfaction surveys or metrics that describe unit productivity relative to goals.

Appendix A

Assessment and Planning Retreat

6/28/10

Academic Affairs: Academic Personnel and Payroll Mission Statement

Academic Affairs is the umbrella for multiple programs, which operate under the Executive Vice Chancellor and Provost. The Academic Personnel and Payroll unit provides support and guidance to the Chancellor, Executive Vice Chancellor, Deans, faculty, instructional and research appointees, student and staff in the academic community of University of California, Merced. As stewards of university academic policies and resources, the Academic Affairs units are responsible for academic payroll, appointments and advancement, EVC's budget, academic payroll, academic space management, academic information management systems, affirmative action, and accreditation.

The Academic Affairs team provides leadership in promoting the University of California, Merced's principles of community, a commitment to student learning, and upholding the University of California standard of excellence.

In support of the University of California, Merced's mission of teaching, research and service, Academic Affairs serves as a resource by providing training and direction on academic policies and procedures that facilitates the recruitment and retention of the most qualified and diverse academic employees as well as ensures that appropriate safeguards and adherence to University, Sate and Federal regulations are maintained.

Academic Affairs is committed to actively promoting, supporting, and celebrating the on-going growth and achievements of University of California, Merced.

Academic Affairs Goals

Goals	Outcome	Measures	Action Item
1. Develop and Maintain Policies and Procedures	1a. Create and Update MAPP 1b. Streamline procedures	1a. X # polices written/reviewed/yr	Draft new policies for senate review in October/November 2010
2. Provide on-going training on Academic Review and Appointment process, payroll, budget, and academic information management systems for School Staff, faculty and Academic Affairs Staff and administrators	2a. Schedule x# sessions/year to inform staff and faculty Accurate and timely submissions of materials/entries 2b. Timely and accurate processing; increased knowledge for Academic Staff and Administrators	2a. X% of compliance to deadlines, errors of materials submitted 2b. Evaluation of training sessions 2c. % errors of entries workload spread out time to process reduced	Conduct bi-monthly training for School staff Analyze 2009-10 data for academic review processing Analyze payroll entries for error rates
3. Provide Professional Development for all staff in Academic Affairs	3a. Increased understanding of colleagues, work processes, statutory regulations, the university community, developing skills, building management and leadership abilities.	Meeting, surveys	Develop schedule of training opportunities for staff and have staff apply for development awards
5. Respect and Understand the diversity of the University Community			
6. Develop Process for Summer Salary	Timely, correct info submitted	'n' % error free	Payroll unit develop schedule and training by October 2010
7. Develop databases and systems	Expanding Digital Measures Decrease reliance on spreadsheets Increase efficiency for case review Enhance reporting	Review UCSD/Irvine Products Review capability of DM Cases processed on-line by July 1, 2011 Analyze management reporting requirements for UCOP/UCM	Meeting with UCI and UCSD scheduled in September 2010
8. Understanding and respecting differences	Increased awareness of cultures represented on campus Involvement with campus community	Attending workshop training, move-in day, Bobcat day, etc. Volunteering with student groups	Staff volunteer for various campus activities

Working Documents for Assessment Workshop: Background:

AA Mission Old

Introduction - ***Describe who we are and what we do.....
Together with administration of the UCM schools
Academic Personnel and Payroll for Faculty, Research, Teaching Assistants, Lecturer, Staff and Student Assistants
Academic Information Management Systems (AIMS)
Space and Resource Planning

Academic Affairs mission is to provide the university's academic community with effective service and guidance in the areas of developing and maintaining policies and processes to ensure the implementation of University, State and Federal regulations.

Academic Affairs provides responsible management as effective stewards of university resources, providing leadership to the academic community knowledge, traing, communication.

Background Academic Affairs Mission

- Through guidance ensuring equality while celebrating diversity among all with excellence of service and respectability
- Through guidance ensuring equality and promoting diversity for all with excellence of service and respectability
- Through continual knowledge and training, we will promote transparency and good stewardship
- on policy....in a respectful and equitable manner.
- Pursuit of knowledge related to UCM policy, systems, and application of University, State and Federal regulations
- is to … achieve excellence through providing efficient and prompt service to the University Academic community by providing leadership training and guidance on policy and procedures
- Accountable for management of resources
- The mission is to support the Academic community of UCM through providing excellence service in the areas of maintaining and transmitting information on University, State and Federal regulations, Providing guidance on University process and procedures and ensuring transparent and equitable implementation of (MAPP/APM)

UCM Mission Statement Highlights

- Achieve Excellence
- Creation and Transmission of Knowledge
- Promoting and Celebrating Diversity
- Benefit Society
- Teaching, Research and Service
- Repository of Organized knowledge

Academic Affairs Mission Statement Highlights

Who

- Serve and Support

Policy

- Guide, Ensure, Inform, Direct, Assist, Evaluate, Interpret, Create, Implement

Excellence

- Pay People correctly and on time
- Timely Responses
- Respectful
- Fix problems
- Informative (of Process)
- Staff keep learning

Promote Diversity

- Respect/Demeaner
- Compassionate, patient
- Find resources translate, follow up with email, right methods
- Equal treatment
- Ensure equity across units

Benefit Society

- Transparent
- Guiding faculty on policy procedure to free them up for teaching time
- Ensure funding is managed
- Good Stewards
- Help student learn
- Protect, risk law, safety
-

Academic Affairs Customers

- Faculty
- Lecturers
- Researchers/Post Doc/Lab Staff
- Setudent Assistants
- Graduate Student Researchers
- Academic Staff

To Do List

Now

1. New Faculty Orientation, Finalize Faculty Handbook/Binding (8/19/2010)
2. Policy Writing and Review (September ->> CAP)
3. Finalize Mission/Goals/Measures/Outcomes
4. EVC/AA-Budget Framework, Account Structure, Funding, Funding Requests to EVC,Standard EVC Reporting
5. Fiscal Close
6. DM Faculty Data for Current Review (65%)
7. Revamp DM Bio-bibliography report
8. Finalize Schedule Temp Appointments (Lec, TA, etc)
9. Payroll PAN Reviewing
10. Finalize Process for Volunteer Worker (Same as #2)
11. Lock Personnel file cabinets
12. Complete Hiring Process for APO Payroll Staff
13. Faculty List PPS
14. 09/10 Complete Cases Appt/Merit/Promotions
15. 10/11 Personnel Action Processing
16. #2 ->> MT
17. MT ->> DM Training
18. Prepare for CAP/Faculty Meeting (09/09/2010)
19. Affirmative Action Reporting UCOP ->> Lecturers (applicant Pool) thru PAWS
20. Hiring process for NT Assistant

Soon

1. UCSD/Irvin Excursion (AIMS)
2. Cleanup Share Drive (Budget Tracking/Reporting, Files (Deleted/Moved), Reorganize by function, to be named later, FTE
3. DM Faculty Data for Rest of 9/10
4. AIMS Evaluation of needs for Reporting
5. Crosstraining for Temp Appointments.
6. Additional training for School Staff, APC
7. APO Website Update
8. Re-Establish regular APO Staff Meetings

Eventually

1. Crosstraining in Payroll
2. Summer Salary 9th-Tracking System (DB)
3. LOA/Sabbatical Reporting in DM (ASMD (DOS)/Stop the Clock)
4. Policy Decision regarding Relocation/Moving

Nice to have

1. Add rest of Academic Employees (Lectures, Adjuncts, Researchers)
2. MT Database needs analysis

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OFFICE OF RESEARCH AND GRADUATE DIVISION

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May 24, 2010

To: Gregg Camfield

From: Samuel J. Traina, Vice Chancellor for Research and Graduate Dean

Re: Status of Assessment Activities of the Office of Research and the Graduate Division

---

This memo is in response to the enquiry on the status of assessment activities of the Office or Research and the Graduate Division. At this time, neither unit has adopted in formal assessment activities with the exception of an annual survey of graduated students at UC Merced. We are working on our assessment programs this summer with the intention of having them in place by September 1, 2010.

I do not however, want to give the impression that these units have operated in the absence of any kind of assessment at all. Several programs within the Office of Research fall under formal regulations promulgated by the Federal Government. Annual reports are routinely filed with different offices in D.C. pertaining to our performance in these areas. Additionally, the animal research program at UCM was recently accredited by ALAAC. It is that not all UC campuses have attained this accreditation but is required by UC policy.

While we have not performed formal assessments to date, I have regularly conducted performance evaluations of each of my unit heads and we have gone over the goals for each unit on annual basis.

Once again, we are currently developing our formal assessment programs for the Office of Research and the Graduate Division. These will be in place by the end of that summer and will be reflected in the annual reports of each of the units at that time.

Graduate Division
Assessment Plan

Mission Statement

The Graduate Division serves to promote, advance, and support intellectual discovery, scholarly achievement and life long learning for our next generation of leaders. The Division fosters collegial partnerships to ensure excellence in the quality of its programs and services and to advocate for the needs of our graduate students.

We uphold the pioneering spirit and mission of our campus, affirm our diverse community through fairness and equity, and respond to the varying requirements of a dynamic environment and to complement the needs of a changing society.

University of California, Merced Mission Statement and Principles of Community

In 2005, a campus mission statement was approved and is located in the following website:

http://www.ucmerced.edu/about_ucmerced/mission.asp

The Graduate Division's mission is congruent and supportive of the campus' mission "…of teaching, research and service, benefiting society through discovering and transmitting new knowledge and functioning as an active repository of organized knowledge. As a key tenet in carrying out this mission, UC Merced promotes and celebrates the diversity of all members of its community."

Further, the Graduate Division subscribes to the philosophical convictions of the Principles of Community: http://studentaffairs.ucmerced.edu/principles-community Thus, while recognizing the importance of student learning as an important component of graduate student success, the operational tasks of the Graduate Division is to ensure that implementation of various administrative support duties results in the contribution toward a comprehensive analysis of the quality of our graduate student experience at University of California, Merced (UCM).

The Role of the Graduate Division

The Graduate Division encompasses all post-baccalaureate advanced academic degree programs at University of California, Merced and all academic graduate students. The Dean of Graduate Studies (Graduate Dean) is responsible for the administration of graduate and post-doctoral study at UCM in accordance with academic policies established by the Academic Senate via the Graduate Council, and is the Academic Dean of all graduate students at UCM. The Graduate Dean is also the Vice Chancellor for Research, responsible for campus-wide research policies and administration of a number of research functions including contract and grant administration, research conduct, interdisciplinary research units, and technology alliances with the commercial business sector.

The Graduate Division serves as the campus-wide advocate for the advancement of graduate education and strives for standards of excellence, fairness, and equity in all graduate programs at UCM. To fulfill this mission, the Graduate Division:

- Facilitates programmatic activities that help develop and promote academic quality through strategic planning, policy development, and effective resource allocation.
- Articulates the views, needs, and priorities of graduate education within the context of general policy and budget development to ensure that academic goals properly inform campus-wide decision-making.
- Facilitates communication among schools and administrative offices to ensure that the academic policies established by the Academic Senate's Graduate Council are implemented through efficient and rational administrative procedures.
- Protects the general welfare of graduate students and postdoctoral fellows in all areas of concern, including, but not limited to, financial support, apprentice personnel conditions, intellectual property, equal opportunity, and sexual harassment.
- Administers appropriate regulatory activities designed to ensure campus-wide and UC system-wide accountability aimed at ensuring academic quality standards and other institutional policies and regulations related to graduate students and postdoctoral fellows.
- Encourages timely completion of graduate degrees by monitoring student degree progress, encouraging faculty advising and mentoring, and ensuring fair and equitable treatment of all students.
- Provides campus-wide student services that facilitate academic progress.
- Enhances access, representation, and the educational experience of underrepresented students in order to achieve the University's diversity objectives. Develops institutional initiatives to enhance the pool of qualified applicants and, by implementing Graduate Council policies, ensures the academic excellence of entering students.
- Works with the Graduate Council to develop local graduate education policies. Provides information, institutional data, and analysis of issues impacting graduate education to support the Council's policy functions, and recommends new policies. Implements Graduate Council policies and provides outcome assessment and analysis.
- Works with the Council in evaluating new program initiatives and assessing continuing programs.
- Provide central administrative services that help sustain and improve the quality of graduate education.

<u>The Role of Graduate and Research Council</u>

The Graduate and Research Council is a standing committee of the Academic Senate, Merced Division, charged with reviewing and regulating graduate education within the framework of Academic Senate regulations. The Graduate Council reviews all proposals for new degree programs and carries out, on behalf of the Academic Senate, mandated periodic reviews of existing graduate programs.

Representatives include members of the Academic Senate, the Vice Chancellor of Research and Graduate Dean (ex officio), and two graduate students. One Council member is appointed campus representative to the UC System-wide Academic Senate Coordinating Committee on Graduate Affairs (CCGA). There is a monthly meeting schedule during the academic year.

The Graduate Council sets policies and standards for admission to graduate student status, eligibility for fellowships and assistantships; establishes policies relating to graduate degrees; approves changes in degree requirements; establishes procedural rules for graduate study; sets policy for satisfactory academic progress, graduate student course

loads, transfers of academic credit, part-time study, and leaves of absence.

Planning Goals for Graduate Division

In the next ten years, it is the goal of the Graduate Division to encourage substantial growth in the numbers, quality and diversity of the graduate student population, to foster high quality doctoral programs and to expand the services it offers to academic units, faculty, graduate students and postdoctoral scholars.

For each of the following assessment methods and measures, a brief statement of purpose and execution of the goal follows, accompanied by the office, governance, or persons responsible for the gathering, evaluation, summarizing, and presentation of information to the Graduate and Research Council and Dean of Graduate Division.

Priorities to pursue these goals for 2010-2011 academic year will require the following action:

Planning Goal #1 – Student Learning Outcomes
Offices: Graduate and Research Council, Program Chairs and Faculty, Graduate Dean

The complexity of assessment and designing methods that are dynamic, significant, and oriented toward program improvement and enhanced learning is needed at the forefront for academic program review. Student learning outcomes will assist the Graduate and Research Council in its consideration of the quality of graduate programs and will serve as a shared goal of educating our graduate students.

Objective

Graduate Division will assist and provide support for the Graduate and Research Council to create a university-wide graduate student learning goals that relate to the specific graduate group program goals and the student learning objectives that is unique to each academic graduate program.

Measures

By the end of 2010-2011 fiscal year, the Graduate and Research Council will produce university-wide Graduate Student Learning Goals.

Planning Goal #2 – Recruitment and Outreach

Offices: Graduate Division, Graduate Program Faculty and Coordinators

Expand program specific support for recruitment activities, including funding for faculty visits to campuses with underrepresented populations, on-campus visits by prospective students, website enhancements, and the revision of recruitment materials.

Objectives

Work with key personnel to review program specific outreach and recruitment activities, goals and objectives. Provide assistance, support and monetary funds as needed to execute such goals. Engage more graduate student and faculty involvement in local, regional, and national conferences.

Measures

An established plan for outreach and recruitment activities for program specific focus will engage more faculty and current graduate students in the process of outreach and recruitment. At the end of the season, administer a quick survey to analyze future planning and execution.

Planning Goal #3 – Graduate Student Survey

Offices: Graduate Division, Student Affairs, and Institutional Planning and Analysis

The purpose of the survey is to assess a student' current perceptions and experiences of the quality of graduate student learning, support, assistance and program effectiveness.

Objective

An annual survey conducted at the end of fiscal year to assess students' experiences. Institutional Planning and Analysis provides a comprehensive general summary of survey results with specific office or academic program needs analysis provided upon request.

Measures

Survey results compiled and presented to the Graduate and Research Council, Student Affairs and key offices as part of the assessment for student success and learning outcomes goals. This survey has been administered electronically since 2006.

Planning Goal #4 - Enrollment Management

Offices: Graduate Division, Student Information Systems, Registrar, and Institutional Planning and Analysis

The Graduate Division works collaboratively with the Student Information System team for variety of projects and needs. An undergraduate audit system was launched in 2009 allowing key personnel to review student records for purposes such as advising and graduation clearance.

Using the undergraduate audit system as the base foundation, create and launch a graduate audit system for implementation during this academic year.

Objectives
Continue to work with the three Graduate Group Coordinators and the Registrar's Office, in the development, test and launch of the degree audit system.

Measures
Implementation of the degree audit system this academic year. Evaluation and success of the system for users will be initiated on a monthly basis. Once launched, indicators for success of the system will require feedback and analysis by users on the system's user friendliness to assess a student's profile for purposes of persistence, success and retention in their academic program.

Planning Goal #5 Graduate Awards and Scholarship

Offices: Graduate Division and Sponsored Projects

A key component of measuring students' highest level of academic achievement is through awards and scholarship. With the recent flux of monetary funds made available to graduate students, it is imperative to adequately process such transactions in the most efficient and ethical methods available.

Objectives
Develop a document with the listing of all fellowship opportunities, eligibility requirements and deadline dates for campus community to review. Communicate the document to key constituents along with access from the Graduate Division website.

Measures

A review of the number of graduate students receiving monetary funds from fellowships and grant awards is evidence of student academic performance and scholarly achievement. The analysis will include students receiving awards from external and internal venues.

Summary

As the campus strives for full WASC accreditation, it is imperative that a comprehensive assessment of the graduate student learning outcomes and objectives are at the forefront of measuring overall quality of the graduate programs at UC Merced. An assessment plan will provide direct analysis of the current climate of programs along with providing appropriate measures for future planning.

Periodic Review of the Graduate Division

UC Merced will be eligible to join the Council of Graduate Schools (CGS), in the 2011-2012 academic year. During that year the Graduate Division will conduct a self study of its practices as per CGS guidelines. In the 2012-2013 academic year, the Graduate Division will undergo a formal periodic review. This review team will include a member of the GRC, representation from another UC Graduate Division, and a formal representative from CGS.

The results of this review will be shared with the Graduate Dean, the GRC, the EVC and the School Deans.

Assessment Plans for the Administrative Units of the Office of Research

Mission Statement

UC Merced's Office of Research (OR) provides administrative support, education and oversight to facilitate the research activities of the University's faculty, staff and students.

The OR is currently divided into five units comprised of Sponsored Projects Services, Research Compliance and Integrity, Research Development Services, Technology Transfer, and the Laboratory Animal Resource Center. Each of these units reports directly or indirectly to the Vice Chancellor for Research (see attached organizational chart).

The units within the OR seek a balance between serving the needs of their customers (faculty staff and students engaged in research) and assuring compliance with university policies as well as state and federal research regulations. Thus, these units engage in an array of educational activities to assure compliance with research policies and regulations.

During the summer of 2010, each of the administrative units within OR drafted their initial plans for annual assessment. These plans include program goals for the current fiscal year and proposed methods of assessing the progress towards meeting these goals. All of these units are in the process of bringing up new functions, and have focused primarily on these new activities in their assessment plans. However, attention will also be paid to established and ongoing functions within these units.

Each of the units will conduct user satisfaction surveys as partial assessment measures but they will also collect additional data pertinent to their individual missions.

Annual assessments will be collected by the Vice Chancellor for Research and submitted to SACA for review. These annual assessments will be used to inform the ongoing development of both short and long term goals for the unit.

Each unit will participate in a periodic review at a frequency established by SACA. For each unit, the periodic review will be summative and include a self-assessment and self study, informed by the cumulative annual assessments, as well as an external review. The latter will be conducted by at least 1 one member of the unit's customer base (typically a faculty member) and at least one member external to the campus. In some cases external review might also include formal review by an external accreditation team. For example, the Laboratory Animal Resource Center is now accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC international). AAALAC accreditation, required by system wide UC policy, is considered the gold standard for animal research programs. AAALAC accredited institutions are reviewed by an external team every three years. Thus the periodic review of the Laboratory Animal Resource Center will include external input from the AAALAC site visit team.

While it is the purview of SACA to establish a campus schedule for periodic reviews, the OR respectfully requests the following initial schedule for the periodic review of its units.

Academic Year	**OR Administrative Unit(s)**
2011-2012	Sponsored Project Services Research Development Services
2013-2014	Technology Transfer
2015-2016	Research Compliance
2016-2017	Laboratory Animal Resource Center

Office of Research Compliance and Integrity
Assessment Plan

Mission Statement

The mission of the Office of Research Compliance and Integrity is to provide broad oversight, resources, training and education for the integrity and compliance issues relating to the conduct of research at the University of California, Merced.

The Office of Research Compliance and Integrity attempts to facilitate and better the research community at UC Merced through the following actions:

- Implementing policy and procedural requirements governing research misconduct, conflicts of interest, human subjects research, animal subjects research, biosafety, stem cell research and export controls in accordance with state, federal and the University of California laws and regulations

- Promoting research integrity by providing education, training and resources to faculty, staff, researchers and students in research compliance and the responsible conduct of research

- Formulating and supervising recommendations regarding ethical practices and professional, federal, state and all other policies or requirements relating to research

- Creating, maintaining and improving the UC Merced research integrity and compliance infrastructure.

Planning Goals

The priorities and intentions of the Office of Research Compliance and Integrity for the 2010 – 2011 years are the following:

1. In conjunction with Environmental Health and Safety, develop and seat the Institutional Biosafety Committee (IBC) charged with providing oversight on all matters relating to the safe use of hazardous biological materials and organisms. A comprehensive Biosafety program is a required element of any academic research program and the Office of Research is committed to provide that service to faculty researchers, staff and students.

2. To put in place a comprehensive Responsible Conduct of Research (RCR) training program for all individuals engaged in research at the UC Merced campus. The RCR training program will make available RCR training to all researchers to ensure the ability of those individuals to make ethical research decisions as they matriculate through their careers

3. To continue to provide guidance, instruction and service in the research compliance areas of Human Subjects Research, Animal Subjects Research, Conflict of Interest management and mitigation, and research misconduct.

Student Learning Outcomes

1. Faculty and researchers will be able to make decisions on whether their research has any biohazard risks, whether those risks should be assessed by the IBC, and have general knowledge of the risks of using biohazard agents in a research program. They will know how to contact, access, and submit an application for the use of biohazards through the IBC approval process. Users will also be required to participate in biohazard safety training through an online process using the Collaborative Institutional Training Initiative (CITI) organization training modules. Achievement of learning outcomes will be measured by the number and passing percentage of individuals taking the online biohazard training as well as by the number of application submitted to the IBC for review. The Office of Research will also participate in a customer satisfaction survey that will address the satisfaction of students, staff and faculty who perform research with potential biohazards with the IBC/Biohazard safety program.

2. By participating in the RCR training program, students will be able to use the knowledge gained to make logical, ethical decisions about their research projects and programs throughout their careers as both students and professional scientists. In addition, the training on research ethics will establish a solid foundation for those students who choose not to stay in the research field but to branch out into fields of business, teaching, administration, etc. The Office of Research will provide multiple avenues of training: 1) a formal RCR class (QSB294) offered once per academic year and taught by both the Office of Research staff and UC Merced faculty; 2) online training provided by the Collaborative Institutional Training Initiative (CITI) that allows students and users to access RCR training electronically and at their own pace; 3) tailored, in-person training by Office of Research staff upon request and at several times throughout the year (e.g. Graduate Student Orientation) and 4) various materials, books, websites, that are continually made available to students/users throughout the year. Achievement of the student learning outcomes will be measured through the numbers of students enrolled in the formal RCR class, through the accounting and passing rate/percentage of students taking the online training, and generally through a count of how many times the Office of Research is contacted to deal with RCR issues. The Office of Research will also participate in a customer satisfaction survey that will address the satisfaction of students, staff and faculty who engage in RCR training program and use any of its sources for RCR education.

3. For the other activities of the Office of Research, users will continue to be provided with the services relating to the Institutional Review Board (IRB human subjects research), the Institutional Animal Care and Use Committee (IACUC), the Conflict of Interest committee (COIC) and guidance on research misconduct. The Office will

measure the success of these programs by monitoring protocol review, protocol approval process, maintenance of outside accreditation (Association for the Assessment and Accreditation of Laboratory Animal Care, AAALAC) of the animal welfare program, and number of cases reviewed by the COIC. The Office of Research will also participate in a customer satisfaction survey that will address the satisfaction of students, staff and faculty who regularly use the above outlined services.

Program Objectives

The objectives of the Office of Research Compliance and Integrity are as follows:

1. To provide guidance to the faculty, staff and students of UC Merced on issues around research integrity, compliance and responsibility. A key component of this objective is to make available a complete IBC/biohazard safety program. Currently, UC Merced has no IBC and a very limited biohazard safety program. Our objective is to expand the program and provide IBC review of potentially biohazardous risks to the faculty as a required service on an academic research campus. Our timeline is to have the first IBC meeting in Fall of 2010. Initially, the effectiveness and efficiency of the IBC and the biohazard safety program will be measured by the committee members, who have expertise in similar programs. After establishing routine processes, the Office of Research will attempt to gain data in customer satisfaction through a comprehensive customer survey. This objective will be tied to other research compliance activities in the office that parallel and dovetail with the mission and function of the IBC and biohazard safety program. Examples of such activities are, human subjects research, animal subjects research, export control functions, etc.

2. To provide a broad RCR training program that allows access by all researchers, students, trainees etc, who have need of instruction in RCR for any reason. The goal is to have this program in place by the end of the academic calendar year 2011. Since the requirement for RCR training is based on new regulations by federal funding agencies, the success of the RCR training program will be partially assessed by the success of UC Merced researchers and graduate students in particular, in gaining extramural funding. Our expectations for an RCR training program are increased rates of success of graduate students and postdoctoral researchers in gaining independent, extramural funding, faculty outreach to our office to provide RCR training to their staff and students, and in general, a culture of knowledge and compliance that has RCR embedded within it.

3. To continue the functions of the Office of Research that already provide the foundation necessary for ethical research in the areas of human subjects, animals subjects conflict of interest, and research misconduct. The measurement of the success of these activities will be in parallel with the measurement of the success of the above mentioned activities of the IBC and

RCR. The success of any comprehensive Research Compliance and Integrity program is dependent upon the responsible office providing all aspects necessary for UC Merced researchers to be successful in extramural funding, publishing of research results, and providing service and teaching to students and the community. These broad functions are intimately tied together and thus the services provided by the Office of Research are tantamount to a successful research program at an academic university.

SPONSORED PROJECTS SERVICES
ANNUAL ASSESSMENT PLAN

FY 2011

MISSION STATEMENT

The Mission of the Sponsor Projects Services Office is to provide effective and timely pre- and post-award services to faculty, staff and students, for extramurally-sponsored research and educational projects at UC Merced.

Sponsored Projects Services (SPS) pre-award office at UC Merced is responsible for the effective and timely handling of proposals to external sponsors and the negotiation and the administration of awards. SPS pre-award office also oversees limited submission programs, and interfaces with the human subjects, animal care and use committees, and the conflict of interest advisory committee.

Sponsored Projects Services (SPS) post-award office at UC Merced is responsible for assisting the Principal Investigator (PI) with the day-to-day administration of faculty research grants, cooperative agreements and contracts[1]. SPS post-award is also responsible for approval and reconciliation of all purchasing, travel and reimbursements charged against faculty awards. It has the primary responsibility of determining the suitability of all charges on grants.

The American Recovery and Reinvestment Act (ARRA) Account Analyst performs both pre- and post-award management of ARRA extramural funding from varied federal and state sponsors under contracts and grants.

Sponsored Projects Services office reports to the Vice Chancellor for Research and Dean of the Graduate Division.

UNIT FUNCTIONS

The functions of SPS pre-award office include the following:

- Proposal and budget development assistance
- Proposal review, authorization, and transmissions
- Grant and contract negotiation and acceptance
- Processing award documents

[1] The School of Engineering is responsible for the post award management of Engineering accounts.

- Subaward/subcontract preparation and administration
- Non-financial post-award assistance
- Award Closeout
- Liaison with compliance committees
- Policy coordination
- Material Transfer Agreements (incoming)
- Nondisclosure Agreements
- Research activity and associated reports
- Electronic research administration systems with sponsors
- Faculty and staff general inquiries

The functions of SPS post-award office include the following:

- Award set-up and monitoring
- Monthly expenditure statements and projections
- Policy clarification and compliance
- Reconciliation
- Cost Sharing collection
- Award re-budgeting
- Purchasing, travel and reimbursement approvals
- Subaward setup and monitoring
- Financial award closeout
- Faculty and staff general inquiries

PLANNING GOALS

By centralizing pre-and post-award services, faculty have one principal point office to contact pertaining to their extramurally sponsored University activities. The Vice Chancellor for Research is the chief research officer of the campus and is the primary advocate for the research community.

The priorities of the SPS office for FY2011 are the following:

1. Implement the Kuali Coeus software program. This will allow the Sponsored Projects Services office to go from a paper based system to an electronic system of tracking proposals, awards, subawards, material transfer agreements and to provide reports on proposal and award activities of the campus to our internal and external stakeholders.

2. Assist with the creation of the UC Merced PI Portal. The PI Portal will provide Principal investigators and their staff with online access to project financial reports and certifications, effort reporting and certifications, funding opportunities, and to Kuali Coeus.

PROGRAM OBJECTIVES

The objective of the SPS office in implementing Kuali Coeus is to increase the ease of routing an electronic proposal for academic approvals on campus, and to implement a successful system-to-system functionality that will allow actual proposal submission to Grants.gov without downloading and completing an online.

The objective of creating a PI Portal is to decrease the administrative burden presently borne by faculty.

MEASURES

The methodology that will be used to evaluate the success of the Kuali Coeus software program and the PI Portal is for users to complete a brief survey after usage. The survey would be done during the pilot phase and during the rollout phase to the campus. The information derived from this survey will determine if any changes to be to these systems.

In addition, the Sponsored Projects Services office will keep track off the number of interactions with individuals outside the office that are of a simple or complex nature. The tracking of e-mail messages, telephone calls, walk-ins, and meetings will take place during anticipated busy months (January, June, July) and anticipated less-busy months (February, March, April).

The effective submission of proposals by the SPS will also be assessed by comparing the number of submittals which meet the submittal deadline versus the number of submittals that are not able to be submitted by the deadlines set by the extramural sponsors. Data will be collected for those proposals in which the PI initiates the process by or before the internal deadlines set by SPS. This will be compared to submittal data for those proposals in which the PI initiates the submittal process after the internal deadlines set by SPS.
In additional to tabulating and tracking internal award statistics, SPS will conduct annual customer satisfaction surveys to assist in its assessment of meeting the needs of UC Merced's research community.

NOTE: Both planning goals are dependent upon the technical assistance of others outside of the Office of Research.

Laboratory Animal Resource Center
Assessment Plan

Mission Statement

The UC Merced Laboratory Animal Resource Center is a team of professionals committed to the advancement of science in collaboration with the research community by promoting the humane care and use of animals used in biomedical research and teaching.

The Laboratory Animal Resource Center (LARC) provides animal husbandry and veterinary services to the research community at UC Merced through the following actions:

- Providing space and equipment to meet the needs of diverse research programs.
- Providing quality, humane care for research and teaching animals in the most cost effective and efficient manner.
- Providing veterinary care to research animals as outlined in the Animal Welfare Act, the Guide for the Care and Use of Laboratory Animals, and the American College of Laboratory Animal Medicine.
- Provide personable, quality customer services to the research community.
- Provide teaching and training opportunities to animal users to promote the appropriate use of animals in research and teaching.

Planning Goals

The priorities and intentions of the Laboratory Animal Resource Center for the 2010 – 2011 years are the following:

4. In conjunction with Facilities Management, develop, install, and test an automatic notification process within the building management system capable of dialing a phone tree when environmental conditions are outside set parameters.
5. In conjunction with School of Natural Science programmers design and implement an on-line enrollment system for the Occupational Health and Safety program covering personnel working with animals and/or animal tissues in the course of their work or studies at UC Merced.
6. To outfit a core lab capable of assisted reproductive techniques, caesarian and embryo rederivation, and cryopreservation of valuable mouse strains used in biomedical research and teaching.
7. To complete the caging purchases necessary to meet the needs of the faculty that use animals in biomedical research and teaching.

8. To continue to provide guidance, instruction and service to faculty and staff engaged in research activities involving animals in biomedical research and teaching at UC Merced.

Student Learning Outcomes

4. Faculty, research staff or students, and husbandry staff are trained in species specific environmental parameters appropriate for the health and well-being of the species and consistent the research objectives. In addition to building management control system monitoring husbandry staff document daily environmental parameters. Often research staff or students volunteer to perform environmental monitoring and animal welfare checks. With the knowledge of species specific environmental parameters research staff and students will be able to contact the appropriate facilities personnel to address heating, ventilation, and air conditioning issues. This knowledge is a critical component of all research projects involving animals. Daily documentation logs are compared to building management control system data on a quarterly basis thus providing a basis for determining accuracy of documentation and response to environmental incidents.

5. Faculty, research staff or students, and husbandry staff having contact with animals or animal tissues in the course of their employment or studies at UC Merced are required to enroll in the Occupational Health and Safety Program (OHSP). There are risks associated with the use of animals in biomedical research and teaching. The OHSP is designed to provide preventative medicine services and health related education to those employees and students. With this service and information employees and students will be able to perform their work or research safely. An on-line form submission and enrollment system will facilitate the program process as well as provide a means to measure faculty, research staff or students, and husbandry staff compliance.

6. Faculty, research staff or students and husbandry staff will have the opportunity to learn and perform assisted reproductive techniques, caesarian and embryo rederivation, and cryopreservation. Assisted reproductive techniques can be used to aid breeding programs. Rederivation can be used to rid strains of diseases detrimental to research. And cryopreservation can be used to archive valuable mouse strains used in biomedical research and teaching. Quality control will be performed with respect to each procedure allowing a measurement of success.

Additional Assessment

1. Customer satisfaction with LARC staff and facilities will be assessed through a customer satisfaction survey.

2. As part of its federal assurance, the LARC routinely goes through surprise inspections by the USDA. The LARC is also a major component of the UC Merced's Animal Welfare Program (AWP). The AWP is formally accredited by the American

Association for the Advancement of Laboratory Animal Care (AAALAC), a private nonprofit organization that is committed to best practices in laboratory animal research. Annual performance reports must be filed and approved by AAALAC to maintain accreditation. Continued accreditation serves as an additional annual assessment of the LARC.

Program Objectives

The objectives of the Laboratory Animal Resource Center are as follows:

1. To provide an animal housing facility where environmental parameters can be set and maintained as outlined in the "Guide for the Care and Use of Laboratory Animals" and the laws and regulations that govern the use of animals in biomedical research and teaching. Regulation of body temperature within normal variation is necessary for the well-being of homeotherms. In the vivarium this is accomplished through species specific temperature and humidity settings. Additionally appropriate ventilation is necessary to supply oxygen; remove thermal loads caused by animal respiration, lights, and equipment; dilute gaseous and particulate contaminants; adjust the moisture content of room air; and, where appropriate, create static-pressure differentials between adjoining spaces. Currently environmental parameters are set in and controlled by the building management system program. Alarm points are appropriately set and flagged when environmental values are outside set point ranges. Upgrading this system with automatic dial up notification will facilitate quicker emergency response if conditions warrant adding additional protections to animals and faculty/student research projects.

2. To provide a program and aide in compliance for all personnel, employees and students, to minimize the risks associated with the use of animals in biomedical research and teaching. Program elements include: recommendations for working safely following a physician's review of personal medical history and work site risk assessment; and educational material including personal hygiene, personal protective equipment, zoonoses, animal handler asthma and allergy, reproductive health, and links to CDC. Currently: enrollment in the OHSP and training material is paper based; individuals may enroll at any time of the year; enrollment is annual and individuals must renew each year. This has led to some lapses in coverage and compliance. An on-line form submission and enrollment system will facilitate the enrollment and renewal process preventing lapses in coverage and ensuring compliance.

3. To provide space and equipment necessary to provide training and/or service in the areas of assisted reproductive techniques, caesarian and embryo rederivation, and cryopreservation of valuable mouse strains used in biomedical research and teaching.

Research Development Services
Office of Research
Annual Assessment Plan
FY 2011

Mission Statement

The mission of the Research Development Services (RDS) Unit in the Office of Research at the University of California, Merced (UC Merced) is to promote growth in campus extramural funding for research and graduate training and to expand UC Merced's capacity to pursue major disciplinary, multi and interdisciplinary team based research initiatives.

Planning Goals

The priorities and intentions of Research Development Services for the 2010 – 2011 year are the following:

1. To maintain and increase funding support for and the quality of graduate and undergraduate research at UC Merced. It should be noted that federal funding for research is expected to decline over the next three years due to the current fiscal environment; RDS funding goals need to recognize and address this likely change.
2. To expand UC Merced's capacity to lead and participate in large multidisciplinary and interdisciplinary team-based research initiatives.
3. To develop collaborative relationships among UC Merced faculty and with external partners in order to blend faculty expertise with funding opportunities and to increase research capacity.
4. To build relationships with extramural research funding agencies and potential collaborators and partners.
5. To monitor and analyze and provide advice and assistance to UC Merced faculty and administration regarding new/emerging/changing funding opportunities and environments.
6. To compile and assess data on research development activities and on the research enterprise at UC Merced.

<u>Program Objectives</u>

The objectives of Research Development Services are as follows:

1. To identify and disseminate information to faculty and graduate students regarding research funding opportunities, including limited submission opportunities through periodic email and newsletter announcements, development of electronic list serves geared to specific interest areas, and maintenance of calendars on the RDS website indicating Letter of Intent, Pre-Proposal and Proposal due dates for announced research funding opportunities, as well as the matrix of Limited Submission internal and external deadlines. This objective supports Planning Goals number 1, 2, 3, 5 and 6 above.

2. To develop, plan and implement training workshops and classes for faculty and graduate students on research proposal writing and seeking research funding, and

to participate in orientation programs for new faculty and graduate students. This objective supports Planning Goals number 1, 2, 3 and 5 above.

3. To provide technical assistance, advice and support to UC Merced faculty in developing successful proposals, particularly to support the planning, coordination, and submission of large and/or complex research funding applications. This objective will be addressed through the provision of proposal writing and editing services, with a focus on effective communication and responsiveness to the funder requirements. Priority will be given to support for the planning, coordination, and submission of large and/or complex research funding proposal applications and for proposals to support graduate student research and training. This objective supports all six Planning Goals above.

4. To participate in regional and national Research Development organizations, conferences and activities and to work with the Deans of the Schools, UC Merced Center and Research Institute Directors, Vice Chancellor for Research, Director of Sponsored Projects, and the University External Relations in order to build relationships with potential funding and research partners and to increase the visibility of the research enterprise at UC Merced at the regional, state and national levels. This objective supports Planning Goals 1,2,3,4 and 5, above.

5. To develop expertise and disseminate information regarding funding opportunities specifically targeted to UC Merced's status as a Hispanic Serving Institution. This objective supports Planning Goals 1, 2, 4 and 5 above.

6. To work with the Sponsored Projects Office to integrate research development activities and proposal applications at UC Merced into the electronic web-based data information system currently under development. This objective supports all six Planning Goals, above.

Measures

RDS will measure and assess its progress in meeting the above goals and objectives in support of its mission through achievement of the following by June 30, 2011.

1. Development, with advice from faculty experts at UC Merced, of a matrix to track UC Merced faculty funding success rates over a three year window, based on faculty FTE amounts; the matrix will also compare funding rates per faculty FTE to funding rates at other University of California campuses.

2. Distribution of least 12 email alerts and 2 electronic 'funding update' newsletters to the UC Merced faculty and graduate student lists, with links to updates and calendars on the RDS website as well as information about funding trends;

3. Development of at least two specialized list serve lists for interested faculty and focused on specific research interests or areas of funding;

4. Planning, development and implementation of at least 2 workshops on seeking research funding and proposal writing for graduate students, as well as participation in the annual graduate and faculty student orientations and as a guest lecturer in QSB 294 (Graduate Education and the Practice of Responsible Research);

5. Planning, development and implementation of at least one workshop or panel training session on seeking research funding that is directed specifically to junior (tenure track, not yet tenured) faculty;

6. Planning, development and implementation of at least one set of UC Merced visits with workshops, information sessions and consultations for faculty from officials/program officers from a major governmental and/or private funding source;

7. Coordinate and participate in the development process for at least 30 submitted faculty proposals that: support collaborative and multi-disciplinary research efforts, foster the capacity of junior faculty to build independent research careers, and/or address student research opportunities;

8. Development and initiation of a customer satisfaction survey that will measure the satisfaction of faculty with RDS services.

9. Development and initiation of a customer survey for faculty designed to measure RDS impact on increased faculty capacity to seek independent research funding and to be successful in working in interdisciplinary research efforts.

Assessment Plan for the Office of Technology Transfer
Office of Vice Chancellor for Research

MISSION

The Office of Technology Transfer (OTT) at the University of California, Merced Campus (UCM) exists to provide assistance to all inventors at UCM in registering and coordinating with the technology transfer office at the University of California Office of the President (UCOP) patent, trademarks, and trade secrets.

The UCM OTT provides interpretation of policy, procedures and rules that impact technology transfer to the stakeholders at UCM. The Office serves as a conduit between UCM and UCOP. OTT coordinates all Material Transfer Agreements (MTAs) for outgoing items and Nondisclosure Agreements (NDAs) as they impact maintenance and control of intellectual property.

GOALS

Provide high quality assistance to the stakeholders at the University of California, Merced (UCM):

- to understand the requirements, procedures and rules involved in reporting inventions
- to assist the faculty, staff and students in completing all required paperwork including a Record of Invention (ROI) form and assignments to the Board of Regents.
- to serve as a conduit to provide a copy of the completed ROI form to the University of California Office of the President for future processing.
- to review and approve any licensing agreements
- to act on behalf of the UCM inventor(s) and assure that their rights are protected
- to help the faculty understand the restrictions and requirements when sharing intellectual property (IP) with collaborators and colleagues and help them prepare an MTA for negotiation
- to educate the inventors on the requirements for discussing IP with potential licensees, competitors or colleagues and assist them in preparing an NDA.

STUDENT, STAFF OR FACULTY LEARNING OUTCOMES

- A website will be maintained and reviewed at least annually to ensure that information needed to become a functioning inventor is provided. Instructional efforts will be provided regularly to provide the basic understanding in inventorship and how to report an invention/discovery. The information provided will be sufficient such that the inventor will have the skills to complete an ROI form.

- An inventor will have access to the Director of OTT within 24 hours of a request to discuss policy, requirements and procedures.

- When an ROI is received it will be reviewed and required information or changes will be requested of the primary inventor within 24 hours. The outcome will be a high quality ROI, acceptable to UCOP.

- After guiding the inventors in the proper method of disclosure of inventions or discovery of intellectual property, the director will interface between UCM and the office of technology transfer at UCOP. Tracking, patenting and licensing procedures will be carried out. The results will be an expedited transfer of the ROI to a patent attorney and appropriate information for marketing and commercialization.

- The director participates with UCOP in the prosecution of any patenting, marketing, licensing and contractual negotiation with industrial partners or venture capitalists.

- The director shall act as the single conduit for the campus. A complete record will be maintained for each case (defined by PI and invention number). The outcome is a case file valuable in answering inquiries and specifics on any case.

- A booklet of inventions shall be maintained and used for historical records and as marketing information to interest potential licensees and to recognize faculty, staff and students' activities. The outcome is a booklet.

PROGRAM OBJECTIVES

- Program objectives include having a program that inspires the inventor to report inventions. The program shall provide activities which assist the inventor to report inventions and understand the roles and responsibilities of the inventor. When classes or presentations are made by the director, a record will be kept on the event.

- The ROI will demonstrate that the inventor has the skills to process an invention. Email records between the inventor and patent attorney will demonstrate that appropriate activities have taken place to refine the process.

- Blank MTAs and NDAs will be contained on the website to facilitate and expedite the process of sharing IP or carrying out discussions with potential licensees.

- A customer satisfaction survey will be carried out each year providing each outcome and activity of the process to see if stakeholders are reasonably satisfied with the OTT services and to see what changes may need to be made to benefit the stakeholder.

MEASURES

- The director shall contact members of UCOP and those private sector people when carrying out patent application procedures to see what the current level of performance is and how the process may be improved. Director of OTT shall keep records of ROIs requiring revision after submitting to UCOP.

- Student, staff and faculty will be surveyed to receive diagnostics on each phase of the process at UCM, UCOP and at the patent attorney.

- Records will be kept of when an ROI is received by OTT at UCM and processed, to see if 24-hour turnaround time is being met.

Role of the Center for Research on Teaching Excellence in Assessment Activities

Consistent with the Center's mission, all eight Center staff (4.5 FTE) contribute to the pedagogical development of faculty, lecturer and graduate teaching assistants, a responsibility that is routinely assessment focused for such matters as learning outcomes at the course, program and institutional levels. Each member of the Center also attends to other assessment responsibilities: two full-time positions commit variable but often significant amounts of time to WASC accreditation and substantive-change compliance respectively; one half-time position specializes in instructional technology that is used for assessment (e.g., use of online course evaluations, "clickers" e-journals, etc.), and one .67 position attends primarily to the testing and training of international teaching assistants.

Compared to teaching and learning centers (TLCs) at other UC campuses and throughout the United States, the broad range of assessment responsibilities assumed by our Center staff is atypical. In the UC system, nearly all TLCs combine faculty and TA development with instructional technology, but no TLC directly supports WASC accreditation and/or substantive change compliance. At a new campus such as ours, consolidating these latter functions within the Center achieves a relative degree of efficiency that would not be possible if these same functions were distributed entirely in the schools and in separate administrative units such as Institutional Planning and Analysis or a new Office of Academic Planning. Nevertheless, if the Center continues to be staffed with 4.5 FTE positions, it cannot keep pace with faculty and TA development needs, especially as the campus adds more faculty (including lecturers) and new graduate teaching assistants. Neither can the Center sustain the same quality of assessment support for these constituents.

As part of our campus response to the WASC Capacity and Preparatory Review, since Fall 2009 the Center has worked closely with all 25 Faculty Accreditation Organizers (FAOs) to assist them with assessment needs. The latter have included development of learning outcomes for syllabi, and alignment of those course outcomes with program and institutional outcomes; development and evaluation of protocols for formative and summative assessment of learning; and meeting with faculty groups to address questions about accreditation reporting and its potential alignment with annual assessment reporting. In Spring 2010 the Center also began assisting FAO-equivalents in the some administrative units.

It is important to stress that the Center has established or helped to refine nearly all assessment practices at our campus. That support was initially tied to the university's candidacy for Initial Accreditation, and specifically to crafting a strategy for the Capacity and Preparatory Review. The 2009 WASC site-visit team in its subsequent 2010 letter noted that a "culture of assessment is quite evident in academic affairs (with strong support from the Center for Research on Teaching Excellence and the IPA) and in some support units, such as Student Affairs." (p.8)

Members of the Center have attended WASC conferences since 2007, when the CRTE was formed, and for the last two years have presented sessions at WASC's Academic Resource Conference. Karen Dunn Haley serves as a WASC reviewer of substantive change proposals that are submitted by other universities in the WASC region, and Laura Martin will participate as a site reviewer for Pomona College's reaccreditation in 2011. Further, Dr. Martin serves as the university's WASC coordinator and as the Center's representative on the newly formed Senate-Administration Council on Assessment.

1) **a. Have you identified, or are you in the process of identifying, performance goals and related objectives for the unit (as opposed to goals for individual administrators or staff members)? If so, please provide them.**

The following goals and outcomes for the Center as a unit are tentative, subject to staff review as part of our CRTE Retreat on July 7, 2010. Individual goals and outcomes will evolve thereafter.

CRTE Goals and Outcomes*

Goal 1: Support assessment of teaching and learning throughout the university.

Outcome 1a.: Consult with faculty and staff on assessment of teaching and learning at institutional, program, course, and classroom/section levels (e.g., WASC accreditation, substantive change compliance, program reviews, and faculty preparation for individual teaching reviews).

Outcome 1b: Organize curricular and co-curricular efforts to identify, analyze and use evidence of learning outcomes.

Goal 2: Sponsor instructional-development initiatives for faculty and teaching assistants.

Outcome 2a: Offer orientations, workshops, online resources, individual consultations, and limited funding for curricular projects.

Outcome 2b: Consult on adoption and use of various instructional technologies (e.g. UCMCROPS, e-portfolios, clickers, podcasts).

Outcome 2c: Recommend pedagogical topics for institutional research and for grant applications.

Goal 3: Develop expertise of Center staff as exemplars of best practices for teaching and learning.

Outcome 3a: Attend professional workshops and conferences.
Outcome 3b: Collaborate with Center colleagues on development of orientations, workshops and research projects.
Outcome 3c: Exchange current information about best practices of teaching and learning.
Outcome 3d: Compose and circulate drafts of scholarly articles, research grants, and professional presentations.

*Goals and outcomes for the English Language Institute will be developed separately.

B. CRTE Functions to be Assessed: 2010-2015

- Orientations
  - New Faculty
  - New, prospective and returning Graduate Teaching Assistants

- Accreditation and Assessment support
    - Faculty Accreditation/Assessment Organizers
    - WASC Accreditation subcommittee
    - WASC Steering Committee
    - Senate Administration Council on Assessment
    - Program review
    - Co-curricular units
    - Extracurricular units
    - Students Assessing Teaching and Learning (see also Grant Projects)

- Workshops
    - Teaching Matters Series
    - Teaching and Technology Series

- English Language Institute
    - International TA (ITA) Observation and Instruction
    - ITA testing for confirmation of English proficiency
    - Summer language programs for overseas students
    -
- Internal Grant Support
    - Mini-grant awards to faculty
    - Instructional Internships for graduate students

- External Grant-Funded Initiatives
    - FIPSE Guidebook project
    - Peer Mentoring and Students Assessing Teaching and Learning

- General Support of Teaching and Learning
    - Individual consultations
    - Program consultation

Alternate Goals:

- Establish a firm foundation of support for teaching and learning
- Foster an enduring commitment throughout the university to principles of evidence-based, student-centered education
- Offer diverse opportunities, including online resources and instructional technology information, that promote the overall professional development of faculty and graduate students.
- Prepare all instructors, including International Teaching Assistants, for the challenges and rewards of educating UC Merced's diverse student population.

Alternate Outcomes:

- Participants will leave orientations or workshops with appropriate resources and knowledge of where to find further information.
    - Participants will demonstrate awareness of and ability to implement teaching and learning best practices conveyed in orientations and workshops.
- A reasonable percentage of UC Merced graduate students will take advantage of Center offerings, including grant opportunities, orientations, and workshops (as benchmarked by percentages at similar institutions).

- Increasing numbers of faculty and staff will refer graduate students to the Center and will be aware of Center opportunities and resources.

b. How are they made available and to whom?

This information has been distributed to Center staff only so far.

c. How do they align with the unit's mission?

CRTE Mission Statement (first sentence): "*The Center for Research on Teaching Excellence (CRTE) advocates a union of scholarship and instruction that is grounded in the academic principles of research and evidence*." [http://crte.ucmerced.edu/]

Outcome 1b of Goal 1 specifically notes that we will "identify, analyze and use evidence of learning outcomes." Key alignment: evidence

Outcome 2c of Goal 2 engages Center staff in recommending "pedagogical topics for nstitutional research and for grant applications." Key alignment: research

Outcome 3d of Goal 3 notes that Center staff will "Compose and circulate drafts of scholarly articles, research grants, and professional presentations." Key alignment: scholarship and research

CRTE Mission Statement (second sentence): "*To enable students to excel academically, we support a campus-wide culture that values, fosters, and rewards continuous improvement in teaching and learning*." [http://crte.ucmerced.edu/]

Outcome 1a of Goal 1 enjoins Center staff to "Consult with faculty and staff on assessment of teaching and learning…" Key alignment: teaching and learning

Outcomes 2a, b and c of Goal 2 and outcome 3c of Goal 3 support "a campus-wide culture that values" students' academic success.

d. How do they align the University's mission[1] and goals?

The Center's mission "advocates a union of scholarship and instruction that is grounded in the academic principles of research and evidence." This crucial focus on research and the scholarship of teaching and learning complements the university's research mission as it finds "new ways of connecting people to new knowledge." It also directly aligns the Center with undergraduate <u>and</u> graduate education plus an array of co-curricular services such as tutoring, mentoring and supplemental instruction. Given this broad network of Center connections with undergraduate, graduate and administrative units of the university, the current location of the Center in the Office of Undergraduate

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Education potentially limits or misdirects advocacy for the entire range of Center services and especially those in support of graduate education. This misplacement in an office of undergraduate education constitutes a relatively minor problem at a small university like UC Merced, but as the campus grows and as we strive to promote (and fund) our services for graduate students, a different "home" with a broader university mission would provide better alignment with our own mission.

e. Do they reflect the standards of a professional association? If so, please briefly describe.

The Center's goals and outcomes align closely with the Professional and Organizational Development (POD) network, which is essentially the professional organization for teaching and learning centers nationally. [http://www.podnetwork.org/about.htm] POD's "three purposes" are

- To provide support and services for its members through publications, conferences, consulting, and networking. [

[Compare with the Center's Goal 3: Develop expertise of Center staff as exemplars of best practices for teaching and learning.

- To offer services and resources to others interested in faculty development.

[Compare to the Center's Goal 2: Sponsor instructional-development initiatives for faculty and teaching assistants.

- To fulfill an advocacy role, nationally, seeking to inform and persuade educational leaders of the value of faculty, instructional, and organizational development in institutions of higher education.

[Compare to the Center's Goal 1: Support assessment of teaching and learning throughout the university.]

2) a. Does your unit review its performance in relation to its objectives? If so, please describe how this is done, including

i. The process by which objectives are selected for review[2].

Each member of the Center staff submits to the Center director a self-assessment of his or her work performed during a fiscal year (i.e., from July through June). In drafting an Annual Report, the Center director summarizes the relationship of work performed to Center and university objectives. For the last two years, the Center's Annual Report

[2] For example, are objectives identified annually, but without explicit consideration of future assessment work, or has the unit established a plan describing what objectives will be examined in what years?

and its series of Newsletter have focused primarily on Goal 1 as it relates to UC Merced's accreditation process and related assessment support.

ii. The source(s) and types of data

Assessment History:

- In 2007-2008, the Center interviewed a broad range of faculty (over half in each School) to determine priorities and expectations regarding the Center; some faculty expressed concern about TA training.
- All workshops conducted between January 2008 and April 2010 have included assessment forms and the results have been recorded.
- The Center gathered assessment forms regarding 2008 TA and New Faculty Orientation and included questions in the Graduate Student Survey administered by Grad Division.
- In 2009, the Center responded to comments in TA Orientation surveys and assessment forms; instructional interns were included in 2009 orientation workshops and overall planning. Specific attempts were made to gear workshops to Natural Science and Engineering grad students. Separate series evolved addressing "Teaching Matters" and "Teaching and Technology." The spring semester of Teaching Matters was geared toward 3rd or 4th year students and job-hunting requirements (the development of a teaching portfolio) in an effort to continue to appeal to students who already had attended beginning teaching workshops.
- Recognizing the need for graduate students to have greater financial support in the 3rd and 4th years and for a need to further their professional development especially with regard to assessment experience, the Center applied for a FIPSE grant and was approved for funding starting in Fall 2009.

Current Assessment Methods:

- Annual Graduate Student Survey (Grad Division administered)
- Workshop Assessment Forms
- Post-Orientation Graduate Student Survey (Grad Division administered)
- FIPSE Evaluator Assessment
- Feedback post-TA Observations
- CRTE self-reports of faculty contacts
- Reports generated by FAOs, Evidence Providers, and external WASC reviewers provide indirect evidence of Center support

Potential Additional Assessment Methods:

- Selected focus groups (including faculty and administrators, such as Sam Traina)
- Additional questions on workshop assessment forms that indicate whether graduate
- students have met workshop outcome(s)
- Employer surveys in future years

iii. The timeline

Timeline 2010-2015:

2010-2011: Continue to insert questions into grad student survey and to assess individual workshops and orientation. Attempt to add questions to workshop assessment forms that ascertain whether specific skills have been transmitted in the workshop. Create two focus groups for faculty and for graduate students to inquire further into whether they believe grad student needs are being met. Create benchmarks with comparable institutions and assess where the Center is in relation to providing number and quality of workshops and web resources, as well as instructional technology assistance.

2011-1012: Continue to insert questions into grad student survey and to assess individual workshops and orientation**.** Determine where the Center is in relation to the benchmark institutions.

2012-2013: Continue to insert questions into grad student survey and to assess individual workshops and orientation**.** Determine where the Center is in relation to the benchmark institutions.

2013-2014: Continue to insert questions into grad student survey and to assess individual workshops and orientation. Survey students who have received the doctorate and been placed in jobs to ask for a comparison with their peers from other institutions; do they believe Center workshops prepared them for teaching?

2014-2015: Continue to insert questions into grad student survey and to assess individual workshops and orientation. Determine where the Center is in relation to the benchmark institutions. Survey students who have received the doctorate and been placed in jobs to ask for a comparison with their peers from other institutions; do they believe Center workshops prepared them for teaching?

iv. How the results are used to inform practices

Attendance tallies and survey results of workshops and orientations for TAs and faculty are used to determine the need for changes in faculty development activities. These topics are discussed at Center staff meetings.

v. To whom the results are disseminated

The Vice Provost for Undergraduate Education receives an Annual Report that summarizes results of Center performance in relation to its mission, goals, and objectives. Center staff members also receive this summary report. Indirectly, some evidence of Center support for in meeting its goals is published in quarterly issues of our Newsletter. For instance, recipients of mini-grant awards and certificates are highlighted.

b. If your unit has a plan for assessing its performance, please provide it.

A strategic plan for Center self-assessment is a basic objective of our July 7 retreat.

3) If your unit has engaged in assessment to improve performance[3], please provide one or more examples of this work, *including a description of any changes made to the practices of the unit in response to the results*. These examples are particularly important as they demonstrate that we practice "evidence-based improvement", which is a fundamental expectation of WASC.

Over the next five years, we anticipate implementing strategic changes that ensure long-term quality and sustainability of "core" CRTE functions in support of instructional faculty and graduate students. These changes are based on evidence in our Annual Reports, including a draft of the 2010 report.

1. Reduce support for external accreditation reviews

The Center for Research on Teaching Excellence has been deeply involved in UC Merced's preparation for its Initial Accreditation review, an involvement that has been documented in seven of the eight Center Newsletters issued since 2008. The Center's role in assisting faculty and administrators with assessment and accreditation has also been summarized in our Annual Reports.

From 2007 through 2009, nearly 85% of Center activity was directly or indirectly focused on accreditation and assessment-related tasks. Since Fall 2009, however, we have progressively shifted our attention to other responsibilities, for instance, to offer more faculty-development or TA workshops on teaching and learning. Currently, the Center workload is about evenly split between assessment/accreditation tasks (50% of staff duties) and more traditional responsibilities of a teaching and learning center for faculty and TA workshops, consultations, and online training (the other 50% of staff duties).

This change reflects how assessment responsibilities are being resourced throughout the university. In effect, as the university grows and as the Center remains at 4.5 FTE staff (two full-time and five part-time staff), we cannot sustain support for assessment and accreditation without scaling back on our other responsibilities for faculty/TA development. In other words, without additional lines in the near future, we cannot maintain our current 50/50 balance between assessment support and more traditional support for teaching and learning.

Accordingly, in Fall 2010 the Center initiated a transition in staff workload that by Fall 2010 should result in a 25% reduction of our support for assessment and accreditation activities. We will, of course, continue to provide assessment-related assistance to individual faculty and academic programs, but we can no longer make that support a Center priority. Also, since the Center does not have dedicated administrative staff support, we cannot function as a clerical resource for assessment/accreditation needs.

2. Supplement funding of CRTE services or restrict range of services

[3] For example, user satisfaction surveys or metrics that describe unit productivity relative to goals.

Since the Center is not adequately resourced for a dual role in support of both instructional and accreditation needs, and since the university will continue to grow over the next five years, we must plan a shift from 100% state funding of Center staff to about 50% state funding, and simultaneously seek the balance from external grants. In effect, we anticipate that the university will approximately double in size over the next five years, with proportionally more faculty, graduate students and staff who seek Center support.

An alternative to this shift in funding would be to restrict Center support to a subset of our clients, perhaps focusing primarily on graduate students or on faculty but not on both equally. If we are successful obtaining grant funding, then this latter strategy will be obviated.

This scenario is based on the assumption that additional FTE for new staff positions will not be allocated to the Center. Instead, we anticipate that an Office of Assessment will eventually be established with responsibility for assessment/accreditation support currently provided by the Center. However, if additional FTE is allocated to the Center for new positions, we can sustain our current level of support for assessment, accreditation, and annual program review.

4) If your unit has not yet developed goals and objectives what is the timeline for completing this work and initiating assessment?

   N/A

5) If your unit has goals and objectives but does not regularly assess its performance, what is the timeline for beginning this work?

We will continue to conduct annual self-assessment.

Annual Report
Center for Research on Teaching Excellence
August 14, 2009

Mission:

The Center for Research on Teaching Excellence advocates a union of scholarship and instruction that is grounded in the academic principles of research and evidence. To enable students to excel academically, we support a campus-wide culture that values, fosters, and rewards continuous improvement in teaching and learning.

The Center's director was hired in March, 2007, with a charge to develop a new teaching and learning center at UC Merced. Several months thereafter, the director met separately with more than 35 faculty, administrators, staff, and graduate and undergraduate students to assess campus needs and expectations for the proposed Center. Based on these consultations, the Center's mission emerged to engage the entire UC Merced academic community in the scholarly practices of teaching and learning.

During the summer of 2007 the director contacted by phone or met in person with six colleagues holding similar positions at other UC campuses (UC San Diego, Irvine, Santa Cruz, Davis, Santa Barbara and Riverside). These external contacts at other sister institutions helped to refine the Center's role at a research university, specifically to align established research methods with the design and delivery of effective instruction.

The ongoing Western Association of Schools and Colleges (WASC) accreditation review of our campus prompted the final and perhaps most important aspect of the Center's mission as we all strive to remain focused on improvement in teaching that enables students to excel as learners. This student-centered perspective was strongly endorsed by the Center staff when our mission statement was officially approved on 1/17/08.

Center Staff:

Dr. Laura Martin, WASC Coordinator (100%)
Dr. Anne Zanzucchi, Assessment Coordinator (50%)
Dr. Michael Truong, Faculty Development Coordinator (50%)
Dr. Karen Dunn-Haley, Substantive Change Coordinator (100%)

Belinda Bernstein, MA TESOL, English Language Institute Coordinator (67%)
Adriana Signorini, MA TESOL, Peer Mentor / SATAL Coordinator (33%)

Dr. Robert Ochsner, Director (50%)
Linda-Hart Brown, Administrative Analyst (20%)
Juana Dumagan, MSO

Implementation of the Center's mission occurs through the efforts of two full-time and four part-time staff members, all of whom share responsibilities for assessment and faculty development. Two of the six staff members are assigned to the Center's English Language Institute to test and train international teaching assistants and to develop academic-support programs for undergraduates (e.g., non-credit grammar classes, peer mentoring opportunities, and student-initiated assessment strategies).

Center Services and Programs:

- Accreditation Support

In the fall of 2008, the Center assumed primary administrative responsibility to prepare the university for its Fall 2009 Capacity and Preparatory Review. One Center position was reclassified as a WASC Coordinator and another position was added for a Substantive Change Coordinator. These accreditation appointments complement the Center's original focus on faculty development, but they also reduce the Center's opportunity to offer additional workshops, consultations, and related support services for teaching and learning, at least for the next two years. In Spring 2011 the campus will have completed its review for Initial Accreditation, and at that time the Center will likely redirect some attention to its non-accreditation functions. This shift in emphasis should not be interpreted as disengagement from accreditation since the campus will necessarily continue with annual assessment activities. In other words, we anticipate that two years from now the university will have established a "culture of evidence," and once this fundamental goal of the ongoing accreditation effort has been met, the Center can appropriately attend to complementary issues of effective teaching and successful learning.

Prior to that transition, the Center will work closely with Faculty Accreditation Organizers in their implementation of assessment plans, review of student-learning outcomes, and subsequent application of findings to reform the curriculum. For instance, in Fall 2009 the Center is collaborating with Institutional Planning and Analysis to meet individually with all FAOs (and their colleagues) as they examine evidence of their first Program Learning Outcome. These meetings will recur, as needed, throughout the semester and continue into Spring semester 2010.

During AY 2008-2009 the CRTE provided significant support to UC Merced's application for Initial Accreditation including development of the Capacity and Preparatory Review Report submitted on July 3, 2009. This support has been informed and guided by our representation on the WASC Steering Committee, its guiding Administrative Subcommittee, and our participation in the 2009 POD conference and WASC's Academic Resources Conference.

To support faculty development in learning-outcomes based assessment, the CRTE offered workshops, personal consultations and mini-grants focused on the formulation, communication, and use of learning outcomes at the course and program levels, the development of multi-year assessment plans and the implementation of

course and program level assessment. This work continues into 2009-2010 with the assignment of one CRTE staff member to each undergraduate program to provide assessment guidance and support on a regular basis.

To identify areas in need of further development, CRTE staff assessed our campus capacity for learning outcomes-based assessment by 1) collecting and evaluating all course syllabi for the presence and quality of student-learning outcomes and 2) assessing the quality of program-learning outcomes and program-assessment plans. The results and implications of these assessments were included in the Capacity and Preparatory Review Report.

- WASC Syllabus-Alignment Project: Spring Semester 2008 – Spring 2010

As an administrative priority, the Center has implemented a syllabus-alignment project recommended by Dr. Amy Driscoll, an accreditation consultant that the Center hired in 2007. The immediate objective of this project has been to ensure that by Fall 2009 all course syllabi will have explicit goals and outcomes, as required for the WASC Educational Effectiveness review in 2010. To that end, during the summers of 2008 and 2009 the Center staff obtained and reviewed all course syllabi to identify those with explicit goals and outcomes and to target courses that still need to include these requirements. In AY2008-2009 the staff met with any faculty member who requested assistance in listing goals and outcomes on syllabi. This support will continue into AY 2009-10 as new faculty, lecturers and TAs need help in developing learning outcomes.

- **Substantive Change 2008-2009**

In early Fall of 2008, Karen Dunn-Haley and Robert Ochsner consulted with Anthropology faculty regarding submission of its recently UGC-approved major for WASC substantive change approval and fast-track approval. At this time, Karen Dunn-Haley was a half-time Faculty Development Coordinator; in February, she was hired full-time to serve as Accreditation Coordinator for Substantive Change and Faculty Development Coordinator. WASC Academic Liaison Officer (ALO), Nancy Tanaka, filed applications with WASC for both a new major and fast-track approval in October 2008. As a result of changes to the WASC fast-track template in mid-December, the deadline for submission was moved from January to March 21, and both submissions were filed at that time. WASC later responded asking for more information, mainly about budget, and information was provided. The Center staff participated in a mock review in preparation for the WASC substantive change committee's teleconference on May 22, and shared anticipated questions with the teleconference participants -- Laura Martin, Robert Ochsner, the Anthropology faculty, Kathy Jefferds, and Hans Bjornsson. The result of the teleconference was approval for the major and rejection of fast-track approval. The committee advised UC Merced to resubmit the fast-track approval after the CPR visit; concerns about budget resources and our pre-Initial Accreditation status were mentioned. Consultations began in summer 2009 with Sociology faculty, who recently received

UGC approval for a new major. The anticipated date for application for this new major and a second attempt at fast-track approval is late fall 2009. Consultations have begun regarding submission of the QSB graduate emphasis for new doctoral program approval in the coming year.

- Faculty Development Workshops and Consultations (Martin, Zanzucchi, Dunn-Haley, Truong)

During the entire academic year (AY 2008-2009), the Center offered a workshop series for graduate students and faculty, and an additional teaching and technology session open to all. Total participants in our workshops were 230, which is a tally rather than individual count.

The teaching and technology series was well attended (83), and the course management system (CROPS) introduction was most popular (40). Beginner and advanced workshops on CROPS will be offered this coming year.

Faculty workshops were grouped as the "Year of the Syllabus", part of our broader goal of facilitating a learning outcome-focused approach to teaching. Forty total faculty attended these four workshops, focused on developing program learning outcomes, creating learning outcome focused syllabi, linking learning expectations to a syllabus, and development an assessment plan. In additional to Year of the Syllabus workshop offerings, we also co-sponsored with Natural Sciences two workshops focused on developing student seminars (15 participants) and a workshop on education-focused grant writing (7 participants) with individual consultations that followed (4).

Summary of participants in CRTE workshops, orientations, and consultations for AY 2008-9

1. **<u>Workshop – Total of 230 participants</u>**

    a. **Teaching and Technology: 83 total**
        i. CROPS Workshop: 40
        ii. Clickers: 11
        iii. DimDim: 5
        iv. Second Life: 13
        v. Technology Incorporation: 5
        vi. E-Portfolios: 9

    b. **Teaching Matters: 107**
        i. Panel on Engaging Students: 16
        ii. Theater in Classroom: 20

iii. Facilitating Classroom Discussion: 6
iv. Backwards Design: 27
v. TA Role in Accreditation: 15
vi. Scaffolding Assignments: 13
vii. Teaming with Faculty: 10

c. Year of the Syllabus: 40

i. Designing PLO Workshop: 15
ii. Will Syllabus Meet WASC Standards: 7
iii. Linking Learning with Syllabus: 5
iv. Developing an Assessment Plan: 13

2. <u>Orientations – Total of 95 participants</u>

a. TA Orientation: 82
b. Faculty Orientation: 13

3. <u>Individual/Group Consultations: Total of 168 participants[1]</u>

a. Accreditation: 31
b. Assessment: 13
c. Center Opportunities: 20
d. Classroom Practices: 26
e. Grant Development: 8
f. Scholarship of T&L: 12
g. Teaching and Technology: 26
h. Others: 32

"Teaching Matters" had high attendance with 107 participants in 7 workshops. The series likely benefited from the School of Natural Sciences' recommendation that all teaching assistants visit at least two workshops.

Our orientations serve all instructional faculty and new graduate students (95 total). In addition to orientation and workshops, CRTE staff meet frequently with faculty on an individual basis, with the most common topics being accreditation (31), classroom practices (26) and teaching and technology (26).

- CRTE Website and Newsletters

[1] This number does not represent unique participants. We consulted with some people on more than one issue, which resulted in multiple tallying. For example, a faculty may have been consulted on Accreditation and Center Opportunities, and thus be counted twice – one under Accreditation and one under Center Opportunities.

The Center's website can be accessed at http://crte.ucmerced.edu/ with links to our first two issues of the CRTE Newsletter and to other Center projects and resources.

- Mini-Grant and Fellowship Awards

In March 2008 the Center began accepting applications for Mini-Grant and Fellowship awards. Mini-grants of $5,000 are awarded to individual faculty who submit a proposal that addresses some significant aspect of teaching and learning; successful applicants must also examine specific evidence of effective teaching or some other educational experience that promotes student learning. Fellowships confer up to $7,000 to a faculty member's School for a one-course release from teaching responsibilities in order to have the fellow devote the equivalent time to learning more about "best practices" of effective teaching and participate as a presenter in Center workshops.

In Spring semester 2008, the Center received five mini-grant applications and awarded three proposals. One fellowship application was submitted but review was postponed pending completion of a mini-grant awarded to the same applicant. All recipients were assistant professors, two in social sciences and one in natural sciences. In Fall 2009 four additional mini-grant applications were submitted and two were awarded.

- ELI Summer Bridge (Mary Smith for 2008 and Belinda Braunstein for 2009)

During the summer of 2007, a Bridge program was piloted for nine students with the goal of enhancing the academic success skills of underrepresented students. Throughout the Fall 2007 and Spring 2008 semesters, ELI staff met and collaborated with Admissions personnel and educators from the surrounding county to facilitate admission of these students to the Summer 2008 program. Twenty-four students enrolled who represent 12 high schools and three counties. Of these students, 11 speak another language solely or mostly in their homes. These students are receiving instruction and support in reading and writing, as well as academic and social skills that promote successful transition to the university. Assessment of the skills they are developing and confidence they are gaining is ongoing.

ELI Report (Belinda Braunstein)

Testing & Classes: For the 2008-2009 fiscal year, the English Language Institute (ELI) continued to support international graduate students and the departments that employ them through testing, course offerings, and a spring workshop series. Eighteen graduate students (seven from NS, five from SSHA, and six from ENG) were tested for their language skills at the beginning of the fall semester and three students in the spring. Based on these results and individual student requests, 31 graduate students and visiting scholars enrolled in a total of three sections - two in the

fall, one in the spring - of Oral Communication Skills for International Scholars, the non-credit course offered each semester by the ELI. Of this group, 15 were required to take the class, and 16 enrolled of their own volition. A second round of testing was conducted upon completion of each course, and early testing of three new TAs was conducted in June of 2009. Additionally, we arranged for both school- and individual-reserved Versant online fluency and pronunciation testing for international graduate applicants to complete from their home countries as requested by the schools of Engineering and Natural Science.

Undergraduate Workshop: To serve undergraduates whose first language is not English, a twice-weekly grammar workshop series was offered in Spring 2009. This was developed at the request of Writing Program instructors and students seeking specific language assistance, especially where first language interference affects writing. Open to anyone on campus, the workshops were heavily attended by undergraduates who speak a language other than English at home.

Resource Development: As we strive to identify tools that will assist international teaching assistants, the ELI arranged this summer for five international graduate students to pilot test accent reduction software which may be used in the fall as an independent study resource or to compliment the Oral Communication Skills course.

- ELI Testing, Placement, and Training of International Graduate Students (Mary Smith for 2008 and Belinda Braunstein for 2009)

The State of California mandates that the oral competency and presentation skills of all instructional staff whose first language is not English be evaluated before they begin teaching. That evaluation of oral proficiency began in Spring 2008 for five current UC Merced teaching staff and 12 potential international teaching assistants (ITAs). Of this latter group, five were admitted for Fall 2008.

A semester-long workshop was piloted with three current ITAs and one international scholar who lacked fluency in oral English. During this course, the participants worked on their individual language skills and investigated the cultural aspects of teaching at a U.S. institution that may vary from their country of origin. They also began to evaluate their teaching practices and how effectively they communicate in their classrooms, planning steps to improve their teaching and oral communication skills. All incoming ITAs (20) for Fall 2008 will be evaluated for their oral competency and those who demonstrate incomplete proficiency will participate in the Oral Communication workshop, receiving support in language and cultural accommodation to the American educational setting.

Students Assessing Teaching and Learning (SATAL)

During the spring semester of 2009, the Center for Research on Teaching Excellence set up an assessment support program formed by undergraduates and supervised by

one faculty member called: Students Assessing Teaching and Learning (SATAL). SATAL is open to all instructional faculty and programs at UC Merced and helps to improve assessment efforts in collecting indirect evidence in support of Student Learning Outcomes. Since this assessment data collection is carried out by peers, the program provides faculty members and programs with descriptive, objective reporting collected in a non-threatening manner. During the spring semester, 10 undergraduate students participated in the SATAL program, attending 100 hours of training sessions in classroom observation, interviewing and reporting techniques. During Spring Semester and Summer Session 2009, SATAL collaborated with 1) the pilot project: "Reading Diagnostics" by discussing the reading prompts and questions; 2) Summer Bridge Program focus group sessions and reporting and 3) Summer Bridge mid and final-course evaluations.

Peer Mentoring Program (PMP)

The Peer Mentoring Program (PMP) concentrates its efforts on providing incoming freshmen with a unique mentoring relationship to increase college student retention and persistence. There are 30 peer mentors who have served 180 mentees during Fall 08 semester and 120 during the Spring 09 semester. Peer mentors log in 350 hours monthly for mentoring and other individual and group responsibilities within the program such as: attending the program meetings, preparing social events, carrying out new mentors interviews, facilitating training sessions, publicizing the program, updating the website, conducting surveys, and assisting other programs on campus. During an academic year the program holds 10 regular meetings, and program managers and supervisor meet twice weekly for program planning and assessment purposes. The PMP coordinator's job is to plan and prepare the program schedule with the activities for the semester, assign and supervise the mentors' responsibilities by mentoring them and following up on their duties, making sure peer mentors carry their duties out till their completion.

- Faculty and TA Orientations (Karen Dunn-Haley)

During faculty preparation week (i.e., the week before classes start on August 26), the Center will conduct two orientations, one for new faculty and lecturers (date TBD) and the other for new TAs (8/19/08). We will use these occasions to introduce participants to teaching at UC Merced, specifically as they address the learning needs of "at risk" undergraduates. The latter include first-generation students who are first in their family to attend college; and generation 1.5 students who are fluent in spoken English and another language but not fluent in standard academic discourse, especially for formal writing and public speaking. These orientations also provide an opportunity for the Center to introduce faculty and TAs to key principles of accreditation such as distinguishing between teaching goals and learning outcomes and "closing the loop" through action research.

For AY 2008-2009 the Center offered a "Year of the Syllabus" series of workshops centered on syllabus components and focused on preparing faculty for syllabus

alignment and WASC review. The orientations for new faculty and TAs introduced the "Year of the Syllabus," and potentially offered new lecturers connections with peer mentors. For the upcoming academic year (AY2009-2010), a similar initiative will introduce faculty to institutional assessment and the pending Educational Effectiveness review.

U N I V E R S I T Y O F C A L I F O R N I A

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Responses Regarding IPA's Assessment Practices
June 21, 2010

Involvement in institutional assessment of college and university programs and objectives is a long-standing contribution of units such as Institutional Planning & Analysis, Institutional Research, Institutional Studies, Institutional Assessment, and all other related titles or combinations. Only recently have the regional accrediting agencies included assessment expectations for these units as an important part of the accreditation and reaccreditation periodic reviews. Although, over the last few years, the national and regional professional organizations for these units, the Association for Institutional Research (AIR, http://www.airweb.org/) as well as NEAIR, RMAIR, MIDAIR, SAIR, and CAIR (http://www.airweb.org/?page=577) increasingly have emphasized assessment issues in workshops and sessions at their annual forum and regional conferences, as well as in their publications (http://www.airweb.org/?page=5), there have not yet been any formal guidelines or templates provided either for best practices or for the review of these units. Professionals in this area, however, have played prominent roles in recent national discussions about higher education accountability and assessment, such as the post-Spellings Commission meetings to design a common Voluntary System of Accountability (VSA) for all public and private higher education institutions. At a basic level, IPA at UC Merced has been playing a major role in the campus' institutional assessment and accountability efforts, as evidenced by the development and annual updates of documents such as:

- UC Merced Profile (VSA)
- UC Merced Campus Profile, Accountability Framework
- Common Data Set

All of these documents can be found on IPA's website: http://ipa.ucmerced.edu/student.htm.

UC Merced's IPA office seems to be a pioneer for the UC System in terms of WASC's new expectations for similar units, given WASC's revised standards (2005) for outcomes and institutional assessment. UC Merced's IPA has been involved in all three WASC Review Site Visits so far, beginning in Spring 2006. At a recent meeting of the UC IR directors, we brought up the subject of Administrative Unit reviews and, especially, reviews of IR offices given WASC's new expectations. As a result of this discussion, we are proposing a session at the 2010 CAIR (California Association for Institutional Research) conference in November, dealing with the topic of assessment expectations for IR units and administrative unit reviews.

After UC Merced's last WASC Team Visit (Spring 2009), the campus re-designed and enhanced its assessment strategy, beginning with the formation of a Senate-Administrative Committee on Assessment (SACA), which is responsible for leading the campus' assessment efforts, formulating policies related to assessment, and recommending an assessment resource-allocation plan. This Committee began meeting in Spring 2010 and has just begun its tasks for setting the assessment strategy for the campus.

In the meantime, UC Merced's IPA unit has started planning for its review, in spite of the fact that there is no campus-approved guideline for these reviews yet. For over a year now, IPA also has been the driving force for a discussion with the other campus planning units about key performance indicators (KPIs) for the campus. IPA and the Budget and Capital Planning offices meet monthly to coordinate planning issues. We are not yet at the point to make recommendations to the Chancellor's Cabinet regarding KPIs, but we are on track to do so next academic year (2010-11). (See draft documents attached.)

IPA's Mission and Functions

Not surprisingly, given IPA's mission and functions (http://ipa.ucmerced.edu/about.htm)[1], we play a ***significant role supporting the assessment efforts of other UC Merced units***, academic, co-curricular, and administrative. IPA "provides ongoing support for campus planning and decision-making to help advance the educational mission and effectiveness of the institution." We do this by integrating and analyzing campus and external data sources, developing and maintaining reporting systems and processes that ensure data integrity, accuracy, and consistency, so campus leadership has the information they need to make good, data-driven decisions. We support campus strategic planning and facilitate decision-making in areas of enrollment management, resource allocation, campus performance/benchmarking and the setting of campus goals and objectives. We enhance institutional effectiveness by making information and analyses widely available to the campus community. IPA serves as the primary source for official campus statistics and leads the campus Survey Coordinating Committee to ensure the quality and usefulness of campus surveys. We also abide by our professional association's Code of Ethics (http://www.airweb.org/?page=140).

It is important to note that UC Merced only has five years of history at this point, as we now are in our sixth recruitment cycle and only two freshman cohorts have reached the four-year graduation milestone; the first cohort will not reach the six-year graduation milestone until May 2011. Unlike mature campuses, we do not have years of history and standard reports to rely on for projections and assessments. We do, however, have the advantage of being able to identify "best" (or at least good) practices on which to build our decision support systems. As founding director of IPA, one of my first goals was to organize a team to design and build an integrated system to support institutional reporting and decision-making. As a first step, with help from IT, we set up a preliminary reporting database based on snapshots of the student and payroll/personnel systems, so that we could track admissions, enrollment, and personnel data over time from the campus' opening. Partnering with the campus' CIO, we garnered the support of the Provost to expand the concept and begin UC Merced's Data Warehousing project, to integrate data from major administrative systems (Student Information System, Payroll/Personnel, Financial/Budget, Facilities/Capital Planning). We still have a "bare-bones" team of IT and IPA professionals (only one of whom is 100% dedicated to the project), but we have made a lot of progress. ***The campus' ability to assess the institution and to make decisions based on data is absolutely dependent on the success of this initiative.***

At the same time that we are setting up the infrastructure to support institutional assessment, we also are developing reports, analyses and other mechanisms to address the campus' information needs. As part of the numerous WASC accreditation steps already completed, we have submitted documents and links that demonstrate the types of evidence-based support we have been developing. For the full list of these reports, please see UC Merced's accreditation web site (http://accreditation.ucmerced.edu/). Examples of the types of reports/analyses generated either proactively by our unit or at the request of our various constituents include:

- Admissions ("2009 Melt Analysis")
- Financial Aid ("Financial Aid Strategy 2008-09 Evaluation Report")
- Enrollment Management/Student Success ("UC Merced Retention and Graduation Rates")
- Enrollment planning ("Enrollment Projects-Current Model")
- Student Learning ("Repeat Course Analysis")
- Classroom utilization ("Classroom Utilization Projections")
- Faculty workload ("Faculty Workload, by School & year")
- Resource planning ("Budget Projection Scenarios")
- Accountability ("2010 Accountability Framework")
- Survey research ("Learning from the NSSE")
- Academic program review ("UCM Academic Program Review Data-Math")

[1] The mission and goals of IPA were formulated by the Director of IPA, based on over 30 years of experience in the field, and reviewed/sanctioned by the EVC/Provost.

- Faculty Assessment Organizers (FAOs) support
- WASC CPR IPA report ("Institutional Planning & Analysis_WASC CPR Report, 2009")
- Benchmarking (NSSE/BCSSE, UCUES, KPIs, Faculty/staff/student ratios) ("UCM KPIs")

Alignment of IPA's Mission and Goals with Campus Mission

IPA's overarching goal is to provide campus decision-makers with the data and evidence they need to make good decisions and to monitor the campus' progress in fulfilling its mission:

Teaching

IPA analyzes and tracks data to monitor the campus' effectiveness in attracting diverse and academically talented students who can be successful at UC Merced. This includes retention and graduation analyses, course-taking behaviors, identifying determinants of success in majors/minors as well as patterns of success for undeclared students. It also includes support of FAOs and Academic Program Reviews, faculty workload analyses, and linking enrollment projections to resource allocations (faculty, temporary teaching, classroom and lab space, budgets, etc.).

Research

IPA provides information about undergraduate and graduate student participation in research. The campus' early years have attracted a very diverse student body that sets a high priority on being able to work closely with faculty on research projects. If we are to maintain this reputation, we must diligently monitor the indicators of success in this area.

All faculty members are expected to be successful researchers. This usually means they must obtain federal or other externally supported grants or contracts for their research projects. Most grantors require institutional data as part of their application process. One of IPA's objectives is to make these data available to faculty (and others) on IPA's web site. As new information is needed, we add these data to the web site and include them in routine updates.

IPA also monitors research related indicators of success, such as research dollars awarded, research expenditures, faculty awards and citations, and benchmarks these data against UC campuses and other research universities nationally. These types of indicators are used in evaluating campus' membership in important organizations or its classification in many reports and rankings: Carnegie Classification, US News, AAU, IPEDS, NRC, Reuters, etc.

Service

The Regents chose to build the University of California's tenth campus in the State's underserved Central Valley to help increase the college-going rate, especially the UC-going rate of this area. They recognized that the Central Valley's population (largely immigrant, low-income, ethnically very diverse, and educationally disadvantaged) was projected to grow faster than the more affluent areas of California. A large part of UC Merced's service mission was to provide this region, representing the face of California's future, with access to education, especially an education grounded in discovery and research in areas important to the improvement of society.

Campus institutional assessment, therefore, must include the monitoring of its impact on the Central Valley and societal issues most prevalent there (health, air quality, sustainability, education). IPA plays a role in helping to identify metrics useful in monitoring the campus' progress. Early metrics include annual college-going (especially to UC) rates of HS graduates from counties in the Central Valley (data provided by CPEC: http://www.cpec.ca.gov/StudentData/CollegeGoingRates.asp). Other metrics include the number of faculty research grants and contracts that have led to inventions, patents and licenses related to improvements in health, air quality, education, and alternative energy sources and other efforts to improve our planet's sustainability (http://www.ucmerced.edu/news_articles/01132010_publication_highlights_uc_merced.asp).

IPA's Objectives and Performance Measures

Objective 1: Integrate and analyze campus and external data sources

Measures:

A. Design daily Operational Data Store (ODS) feeds from major administrative systems
   i. Student Information System (SIS) refreshed daily
   ii. Payroll/personnel/financial/budget system (QDB) refreshed daily
   iii. Potential systems to be added in the future: Recruitment (PAWS), research grants and contracts (COEUS), Degree Audit system, Facilities Link, University Relations (alumni and donors)

B. Build integrated data marts that support decision-making in priority areas: Enrollment Management, Resource Allocation, Faculty Workload, Classroom Utilization
   i. First data mart prototype (Admissions) scheduled to be released/demonstrated August 4, 2010
   ii. Second data mart prototype (Enrollment) targeted for release and linked to Admissions in December 2010

C. Make decisions based on analyses of data from multiple sources
   i. Enrollment targets (admissions, housing, capital planning, budget & financials, personnel)
   ii. Allocation of faculty lines (Admissions, enrollments, faculty teaching activity, budget & financials)

Objective 2: Develop and maintain reporting systems and processes that ensure data integrity, accuracy, and consistency and that facilitate good, data-driven decisions

Measures:

A. Develop and enhance Data Warehouse
   i. Developed data snapshots of student and personnel information, starting with the campus' very first semester (fall 2005) as a basis for official, consistent, historical reporting
   ii. Began development of a campus-wide data warehouse, working with major functional offices to ensure data security, integrity, accuracy, and consistency; SIS users are migrating from reporting against production system to using the ODS

B. Coordinating with other planning units to establish consistent definitions for data and reports used for planning and decision-making

C. IPA serves as primary source for official campus statistics

D. Set up and use edit process involving functional offices for files submitted to UCOP (used for IPEDS, US News, and other external and internal reporting)

Objective 3: Enhance institutional effectiveness by making information and analyses widely available to the campus community

Measures:

A. Maintain IPA website to keep data and information up to date; capture customer feedback via a short survey that randomly invites responses to questions about their data search and success/needs; also provide a feedback/data request link; IPA web use statistics are monitored

B. Share information and reports to the EVC Coordinating Council for feedback and suggestions

C. Periodically meet with Deans, Student Affairs Directors, faculty committees (e.g., CAPRA, UGC) to share survey and other data for feedback and suggestions

D. Lead campus Survey Coordinating Committee to ensure quality and usefulness of campus surveys

E. Participate in national, State, and UC institutional research/planning forums to stay informed about latest research studies and best practices

F. Work with FAOs to be sure they have the data they need to support their program assessments

G. Support Academic Program Review by providing program data and, where possible, comparative data.

IPA Unit Review

IPA has not had a formal unit review. We started to develop a review process, but put it on hold pending formal guidelines and schedule being developed by SACA. We plan to launch a survey in Fall 2010 to campus access to, need for, and use of data/information.

UCMERCED

First-Time Freshmen Melt Analysis

Applications	Fall 2009 SIR's	Fall 2009 Melt	2009 Melt%	2008 Melt%	2007 Melt%	2006 Melt%	2005 Melt%
Regular	1,164	209	18.0%	20.6%	18.2%	20.6%	15.3%
Early Referral	89	22	24.7%	N/A	N/A	N/A	N/A
Pool	172	66	38.4%	22.0%	24.0%	21.8%	27.2%
Total	**1,425**	**297**	**20.8%**	**20.7%**	**19.1%**	**21.7%**	**19.0%**
Gender							
Female	768	174	22.7%	20.4%	23.5%	23.3%	20.4%
Male	651	122	18.7%	21.0%	14.8%	20.5%	17.6%
Decline to State	6	1	16.7%	25.0%	0.0%	0.0%	0.0%
Total	**1,425**	**297**	**20.8%**	**20.7%**	**19.1%**	**21.7%**	**19.0%**
Ethnicity							
African-American	116	21	18.1%	24.7%	18.8%	27.8%	21.3%
Asian	471	92	19.5%	19.1%	23.4%	20.5%	20.0%
Hispanic	499	102	20.4%	22.7%	18.4%	25.5%	13.9%
Native American	12	1	8.3%	20.0%	0.0%	0.0%	0.0%
White	262	57	21.8%	16.5%	10.6%	14.4%	20.6%
International	24	15	62.5%	50.0%	33.3%	100.0%	42.9%
Unknown/Decline to State	41	9	22.0%	16.7%	28.6%	20.0%	26.1%
Total	**1,425**	**297**	**20.8%**	**20.8%**	**19.1%**	**21.7%**	**19.0%**
First Language							
Another Language	232	56	24.1%	25.0%	28.3%	31.9%	22.8%
English Only	575	108	18.8%	17.2%	14.6%	16.4%	17.1%
English & Another Language	618	133	21.5%	22.6%	20.3%	23.7%	20.3%
Total	**1,425**	**297**	**20.8%**	**20.7%**	**19.1%**	**21.7%**	**19.0%**

Prepared by Institutional Planning & Analysis

UCMERCED

First-Time Freshmen Melt Analysis

Origin	Fall 2008 SIR's	Fall 2008 Melt	2008 Melt%	2007 Melt%	2006 Melt%	2005 Melt%
Central Coast	17	4	23.5%	15.4%	0.0%	37.5%
Foreign Country	10	5	50.0%	0.0%	50.0%	0.0%
Inland Empire	37	16	43.2%	36.4%	7.7%	21.2%
Inyo-Mono	2	0	0.0%	0.0%	100.0%	66.7%
Los Angeles	245	66	26.9%	21.2%	38.6%	26.1%
Monterey Bay	8	1	12.5%	36.4%	0.0%	9.1%
North Coast	5	2	40.0%	0.0%	0.0%	0.0%
North San Joaquin Valley	245	30	12.2%	15.7%	15.3%	8.6%
Orange County	55	18	32.7%	25.8%	35.7%	28.6%
Out of State	10	5	50.0%	40.0%	12.5%	21.4%
Sacramento - Tahoe	74	14	18.9%	18.4%	32.0%	28.6%
San Diego - Imperial	46	13	28.3%	20.6%	36.0%	24.4%
San Francisco Bay Area	334	54	16.2%	18.9%	16.8%	16.2%
South San Joaquin Valley	72	13	18.1%	10.0%	9.5%	12.5%
Superior California	4	0	0.0%	0.0%	0.0%	0.0%
Upper Sacramento Valley	3	1	33.3%	0.0%	100.0%	0.0%
Total	**1,167**	**242**	**20.7%**	**19.1%**	**21.7%**	**19.0%**
GPA Range						
Under 2.00	1	1	100.0%	0.0%	0.0%	0.0%
2.00 - 2.49	1	1	100.0%	0.0%	0.0%	0.0%
2.50 - 2.99	104	30	28.8%	14.5%	26.7%	21.8%
3.0o - 3.49	600	122	20.3%	20.8%	23.0%	21.8%
3.50 - 3.99	382	77	20.2%	18.5%	20.2%	16.1%
4.00 & over	75	9	12.0%	15.6%	15.6%	9.5%
Unknown	4	2	50.0%	28.6%	28.6%	19.0%
Total	**1,167**	**242**	**20.7%**	**19.1%**	**21.7%**	**19.0%**

Prepared by Institutional Planning and Analysis

UCMERCED

First-Time Freshmen Melt Analysis

Admits	Fall 2008 SIR's	Fall 2008 Melt	2008 Melt%	2007 Melt%	2006 Melt%	2005 Melt%
Applied at UC Merced only	68	13	19.1%	13.7%	13.5%	8.1%
Admitted at one or more UC's	570	124	21.8%	22.3%	23.1%	20.8%
Applied but not admitted at other UC's	529	105	19.8%	16.2%	21.8%	16.9%
Total	**1,167**	**242**	**20.7%**	**19.1%**	**21.7%**	**19.0%**
Parental Education Level						
No High School	153	35	22.9%	29.7%	34.6%	11.4%
Some High School	101	27	26.7%	20.4%	25.9%	6.4%
High School Graduate	130	23	17.7%	14.9%	21.0%	17.9%
Some College	151	20	13.2%	19.1%	17.6%	20.8%
2-Year College Graduate	74	15	20.3%	19.0%	24.1%	3.6%
4-Year College Graduate	250	54	21.6%	16.2%	16.4%	20.2%
Post Graduate Study	251	54	21.5%	18.8%	20.0%	23.0%
Unknown	57	14	24.6%	17.3%	32.1%	34.1%
Total	**1,167**	**242**	**20.7%**	**19.1%**	**21.7%**	**19.0%**
Financial Aid Applicants						
Filed FAFSA prior to March 2nd deadl	860	145	16.9%	15.4%	16.1%	N/A
Filed FAFSA after March 2nd deadline	91	19	20.9%	14.9%	14.6%	N/A
Did not file a FAFSA application	216	78	36.1%	24.3%	40.3%	N/A
Total	**1,167**	**242**	**20.7%**	**19.1%**	**21.7%**	**19.0%**

Prepared by Institutional Planning and Analysis

UCMERCED

First-Time Freshmen Melt Analysis

Major	Fall 2008 SIR's	Fall 2008 Melt	2008 Melt%	2007 Melt%	2006 Melt%	2005 Melt%
Applied Mathematical Sciences	17	5	29.4%	22.2%	N/A	N/A
Bioengineering	47	9	19.1%	23.1%	29.0%	5.4%
Biological Sciences	194	34	17.5%	13.7%	12.8%	10.5%
Chemical Sciences	29	4	13.8%	10.5%	28.6%	N/A
Cognitive Sciences	6	0	0.0%	0.0%	N/A	N/A
Computer Science & Engineering	74	14	18.9%	15.4%	10.7%	16.3%
Earth Systems Science	4	2	50.0%	0.0%	20.0%	0.0%
Economics	18	4	22.2%	0.0%	N/A	N/A
Environmental Engineering	21	4	19.0%	16.7%	37.5%	0.0%
History	20	2	10.0%	0.0%	N/A	N/A
Literature & Cultures	25	5	20.0%	N/A	N/A	N/A
Management	44	8	18.2%	10.5%	29.4%	16.2%
Materials Science & Engineering	4	0	0.0%	0.0%	33.3%	N/A
Mechanical Engineering	57	11	19.3%	10.3%	11.5%	N/A
Physics	13	5	38.5%	11.1%	28.6%	N/A
Political Science	47	7	14.9%	16.7%	N/A	N/A
Psychology	107	26	24.3%	26.2%	N/A	N/A
Undeclared	359	80	22.3%	23.6%	25.8%	22.0%
Undeclared Engineering	19	6	31.6%	18.8%	22.2%	8.6%
Undeclared Natural Sciences	27	3	11.1%	27.8%	16.7%	31.4%
Undeclared SSHA	35	13	37.1%	14.3%	16.7%	31.4%
Total	**1,167**	**242**	**20.7%**	**19.1%**	**21.7%**	**19.0%**

Prepared by Institutional Planning and Analysis

UCMERCED

First-Time Freshmen Melt Analysis

Gift Aid Offered	Fall 2008 SIR's	Fall 2008 Melt	2008 Melt%	2007 Melt%	2006 Melt%	2005 Melt%
No gift aid	306	100	32.7%	28.6%	30.3%	N/A
Less than $1,000	26	4	15.4%	18.8%	7.1%	N/A
$1,000 - $2,500	62	9	14.5%	4.5%	22.2%	N/A
$2,501 - $4000	25	11	44.0%	30.0%	50.0%	N/A
$4,001 - $5,000	97	23	23.7%	58.3%	35.7%	N/A
$5,001 - $10,000	133	37	27.8%	14.8%	11.5%	N/A
$10,001 - $15,000	200	25	12.5%	18.4%	12.8%	N/A
$15,001 - $20,000	296	32	10.8%	3.0%	2.2%	N/A
$20,001 & Above	22	1	4.5%	0.0%	10.0%	N/A
Total	**1,167**	**242**	**20.7%**	**19.1%**	**21.7%**	**19.0%**
High School API Ranks						
1	44	15	34.1%	N/A	N/A	N/A
2	62	12	19.4%	N/A	N/A	N/A
3	96	13	13.5%	N/A	N/A	N/A
4	30	8	26.7%	N/A	N/A	N/A
5	100	18	18.0%	N/A	N/A	N/A
6	66	10	15.2%	N/A	N/A	N/A
7	80	15	18.8%	N/A	N/A	N/A
8	85	14	16.5%	N/A	N/A	N/A
9	90	19	21.1%	N/A	N/A	N/A
10	136	29	21.3%	N/A	N/A	N/A
Total	**789**	**153**	**19.4%**	**19.1%**	**21.7%**	**19.0%**

Prepared by Institutional Planning and Analysis

First-Time Freshman Applicants - Regular only

Gender	Fall 2008	%	Fall 2007	%	Fall 2006	%	Fall 2005	%
Female	5,645	47.5%	4,373	49.9%	3,863	48.0%	4,037	50.1%
Male	6,178	52.0%	4,382	50.1%	4,135	51.4%	3,995	49.6%
Decline to State	67	0.6%	0	0.0%	45	0.6%	21	0.3%
Total	**11,890**		**8,755**		**8,043**		**8,053**	
Ethnicity								
African-American	723	6.1%	460	5.3%	383	4.8%	378	4.7%
Asian	4,186	35.2%	3,332	38.1%	3,488	43.4%	3,380	42.0%
Hispanic	3,180	26.7%	2,328	26.6%	1,741	21.6%	1,826	22.7%
Native American	77	0.6%	38	0.4%	45	0.6%	43	0.5%
White	2,637	22.2%	1,920	21.9%	1,824	22.7%	1,911	23.7%
International	424	3.6%	197	2.3%	101	1.3%	163	2.0%
Unknown/Decline to State	663	5.6%	480	5.5%	461	5.7%	352	4.4%
Total	**11,890**		**8,755**		**8,043**		**8,053**	
Parental Education Level								
No High School	1,203	10.1%	916	10.5%	811	10.1%	787	9.8%
Some High School	789	6.6%	587	6.7%	430	5.3%	486	6.0%
High School Graduate	1,521	12.8%	1,080	12.3%	984	12.2%	963	12.0%
Some College	1,445	12.2%	1,146	13.1%	935	11.6%	963	12.0%
2-Year College Graduate	668	5.6%	507	5.8%	413	5.1%	447	5.6%
4-Year College Graduate	2,507	21.1%	1,822	20.8%	1,721	21.4%	1,779	22.1%
Post Graduate Study	2,991	25.2%	2,106	24.1%	2,217	27.6%	2,247	27.9%
Unknown	766	6.4%	591	6.8%	532	6.6%	381	4.7%
Total	**11,890**		**8,755**		**8,043**		**8,053**	

Note: Parental Education figures based on highest achievement level of either parent

First-Time Freshmen Applicants

Origin	Fall 2008	%	Fall 2007		Fall 2006		Fall 2005	%
Central Coast	317	2.7%	221	2.5%	183	2.3%	202	2.5%
Foreign Country	147	1.2%	50	0.6%	72	0.9%	58	0.7%
Inland Empire	665	5.6%	476	5.4%	361	4.5%	393	4.9%
Inyo-Mono	3	0.0%	6	0.1%	2	0.0%	3	0.0%
Los Angeles	3,275	27.5%	2,487	28.4%	2,254	28.0%	2,359	29.3%
Monterey Bay	147	1.2%	123	1.4%	85	1.1%	108	1.3%
North Coast	39	0.3%	24	0.3%	28	0.3%	29	0.4%
North San Joaquin Valley	1,087	9.1%	815	9.3%	786	9.8%	738	9.2%
Orange County	901	7.6%	671	7.7%	538	6.7%	689	8.6%
Out of State	263	2.2%	139	1.6%	123	1.5%	112	1.4%
Sacramento - Tahoe	693	5.8%	507	5.8%	446	5.5%	337	4.2%
San Diego - Imperial	655	5.5%	560	6.4%	458	5.7%	482	6.0%
San Francisco Bay Area	3,246	27.3%	2,370	27.1%	2,481	30.8%	2,264	28.1%
South San Joaquin Valley	391	3.3%	256	2.9%	192	2.4%	231	2.9%
Superior California	21	0.2%	27	0.3%	22	0.3%	32	0.4%
Upper Sacramento Valley	40	0.3%	23	0.3%	12	0.1%	16	0.2%
Total	**11,890**		**8,755**		**8,043**		**8,053**	

Note: Table includes only regular applicants

Data Source: IPA Enrollment Table

Prepared by Institutional Planning and Analysis

First-Time Freshman Applicants - Referral pool only

Gender	Fall 2008	%	Fall 2007	%	Fall 2006	%	Fall 2005	%
Female	5,297	56.3%	3,595	56.7%	3,418	56.5%	3,425	56.8%
Male	4,089	43.5%	2,744	43.3%	2,636	43.5%	2,600	43.2%
Decline to State	18	0.2%	0	0.0%	0	0.0%	0	0.0%
Total	**9,404**		**6,339**		**6,054**		**6,025**	
Ethnicity								
African-American	440	4.7%	341	5.4%	333	5.5%	305	5.1%
Asian	2,283	24.3%	1,616	25.5%	1,617	26.7%	1,514	25.1%
Hispanic	1,871	19.9%	1,181	18.6%	1,181	19.5%	1,104	18.3%
Native American	69	0.7%	61	1.0%	44	0.7%	40	0.7%
White	4,173	44.4%	2,781	43.9%	2,536	41.9%	2,754	45.7%
International	2	0.0%	2	0.0%	0	0.0%	0	0.0%
Unknown/Decline to State	566	6.0%	357	5.6%	343	5.7%	308	5.1%
Total	**9,404**		**6,339**		**6,054**		**6,025**	
Parental Education Level								
No High School	313	3.3%	164	2.6%	161	2.7%	159	2.6%
Some High School	234	2.5%	141	2.2%	142	2.3%	117	1.9%
High School Graduate	715	7.6%	459	7.2%	446	7.4%	401	6.7%
Some College	1,131	12.0%	729	11.5%	786	13.0%	740	12.3%
2-Year College Graduate	590	6.3%	446	7.0%	413	6.8%	418	6.9%
4-Year College Graduate	3,073	32.7%	2,043	32.2%	1,983	32.8%	1,972	32.7%
Post Graduate Study	2,683	28.5%	1,872	29.5%	1,725	28.5%	1,917	31.8%
Unknown	665	7.1%	485	7.7%	398	6.6%	301	5.0%
Total	**9,404**		**6,339**		**6,054**		**6,025**	

Note: Parental Education figures based on highest achievement level of either parent

First-Time Freshmen Applicants

Origin	Fall 2008	%	Fall 2007		Fall 2006		Fall 2005	%
Central Coast	519	5.5%	320	5.0%	293	4.8%	299	5.0%
Foreign Country	0	0.0%	24	0.4%	25	0.4%	23	0.4%
Inland Empire	343	3.6%	255	4.0%	259	4.3%	235	3.9%
Inyo-Mono	10	0.1%	6	0.1%	3	0.0%	6	0.1%
Los Angeles	2,600	27.6%	1,697	26.8%	1,678	27.7%	1,604	26.6%
Monterey Bay	157	1.7%	89	1.4%	110	1.8%	133	2.2%
North Coast	35	0.4%	24	0.4%	18	0.3%	32	0.5%
North San Joaquin Valley	269	2.9%	175	2.8%	186	3.1%	165	2.7%
Orange County	1,156	12.3%	813	12.8%	712	11.8%	581	9.6%
Out of State	18	0.2%	83	1.3%	80	1.3%	74	1.2%
Sacramento - Tahoe	590	6.3%	422	6.7%	366	6.0%	427	7.1%
San Diego - Imperial	1,068	11.4%	604	9.5%	726	12.0%	747	12.4%
San Francisco Bay Area	2,472	26.3%	1,709	27.0%	1,498	24.7%	1,583	26.3%
South San Joaquin Valley	113	1.2%	77	1.2%	68	1.1%	75	1.2%
Superior California	33	0.4%	16	0.3%	13	0.2%	16	0.3%
Upper Sacramento Valley	21	0.2%	25	0.4%	19	0.3%	25	0.4%
Total	**9,404**		**6,339**		**6,054**		**6,025**	

Note: Table includes only referral pool applicants

Data Source: IPA Enrollment Table

Prepared by Institutional Planning and Analysis

Evaluation of UC Merced's 2008-09 Financial Aid Strategy

Introduction

This study seeks to determine the effectiveness of three different approaches to distributing financial aid funds provided to UC Merced by the University of California Office of the President. Pioneer Grants (Award Type XXX) are need-based awards that targeted California residents admitted as freshmen who declared a major at the time of application for admission and submitted a FAFSA on time, but were offered no other gift aid, for whom parental income is less than $160,000 and the difference between their calculated budget and estimated parental contribution is less than $8,000. Discover Grants (Award Type XX2) are need-based awards that targeted California residents admitted as freshmen who submitted a FAFSA on time and were determined to be eligible for a Cal Grant A. Trustee Awards (Award Type XX3) are merit-based awards that targeted applicants admitted as freshmen who have an eligibility score greater than or equal to 5215, where the eligibility score is computed as the lesser of 4.3 or the applicant's high school grade point average times 1000 plus the UC score used to determine eligibility for admission times five (i.e., MIN(gpa, 4.3)*1000 + uc_score*5). Details about how the UC score is computed can be found at http://www.universityofcalifornia.edu/admissions/undergrad_adm/paths_to_adm/freshman/scholarship_reqs.html.

Method

Comparison groups were constructed from the pool of 2006 applicants for admission (or for Trustee Awards only, 2007 applicants for admission) using the population targeting characteristics specified above. Applicants from the 2006 pool are the preferred comparison group, because UCOP provided no special funding for financial aid in 2006, but in 2007 UCOP provided funding that was used to entice applicants to enroll. Hence, a comparison between 2006 and 2008 applicants with similar characteristics is a comparison between applicants who received no aid made available by UCOP and applicants offered such aid, whereas a comparison between 2007 and 2008 applicants is confounded by the fact that UCOP provided special funds to UC Merced for financial aid in 2007. However, because the UC scores that are part of the formula used to determine eligibility for Trustee Awards were not available for 2006 applicants, it was necessary to use the pool of 2007 applicants to construct a comparison group for the Trustee Award analysis. In all three comparisons, the dependent variable used to determine the effectiveness of each financial aid approach is enrollment status (enrolled/did not enroll) and the variable used to predict enrollment is award status (offered award/not offered award). Because the resulting tables are two by two tables, Fisher's Exact Test was used to determine the statistical significance of observed differences.

Results

The target population characteristics used to define comparison groups did not work perfectly. For example, Pioneer Grant and Trustee Award decisions were made at a specific point in time but the population characteristics may have changed after the award decisions were made (e.g., due to a review of information provided on the FAFSA or because missing information that prevented making an award was subsequently provided). The evaluator did not have the information that was available to financial aid officers at the time they made the award decisions, but rather only had the

"final" information about applicants that was a result of an ongoing process involving the admissions and financial aid departments. The population characteristics that were used by the evaluator to define the intervention (or treatment) group for Pioneer Grants indicated that 331 applicants met the eligibility criteria, but only 276 Pioneer Grants were awarded. (Presumably those who met the eligibility criteria but did not receive an award offer did not provide all the information needed to establish their eligibility by the time the award offer was made, but did provide that information subsequently.) In addition, only 246 of the 276 recipients of Pioneer Grant offers had all the characteristics used to determine eligibility for a Pioneer Grant by the end of the admissions/financial aid process. Hence, only 74% of those meeting the established eligibility criteria for an award offer when the fall semester began actually received a Pioneer Grant offer, and only 89% of those who actually received an offer met the eligibility criteria for an award four months after the award offer was made. Because the evaluator knew who received an award offer, it was possible to adjust membership in the intervention group accordingly, so people who met the eligibility criteria but did not receive an award were excluded from the intervention group. However, no such adjustments could be made to the comparison group. As a result, error exists in the comparison group that could bias the results. This error is even greater for Discover Grants and Trustee Awards than it is for Pioneer Grants. For Discover Grants, only 48% of those meeting the eligibility criteria at the beginning of the fall semester received an award offer, although 370 (93%) of the 400 award offer recipients continued to meet all the eligibility criteria by the time the fall semester began. For Trustee Awards, only 53% of those meeting the eligibility criteria at the beginning of the fall semester received an award offer, although 1890 (99%) of the 1901 award offer recipients continued to meet all the eligibility criteria by the time the fall semester began.

The Pioneer Grant strategy appears to be effective. While only 5.7% of the 523 students in the comparison group drawn from the 2006 pool of applicants enrolled at UC Merced, 11.4% of the 246 applicants meeting all the criteria used to establish the comparison group enrolled in 2008. This 5.7 percentage point increase in enrollment is statistically significant ($p=.008$).

The Discover Grant strategy also appears to be effective. While only 19.3% of the 244 students in the comparison group drawn from the 2006 pool of applicants enrolled at UC Merced, 25.7% of the 370 applicants meeting all the criteria used to establish the comparison group enrolled in 2008. This 6.4 percentage point increase in enrollment is not statistically significant ($p=.078$) when a two-tailed test is conducted, but is statistically significant ($p=.040$) for a one-tailed test. Given the noise in the data due to the problems constructing a comparison group, and given that a two-tailed test of the 8.3 percentage point difference between 2008 and 2007 was significant at the .003 level, it seems appropriate to conclude that this strategy is effective.

The Trustee Award strategy, however, does not appear to be effective. Of the 3613 members of the comparison group drawn from the 2007 pool of applicants, 216 (6.0%) enrolled, but only 4.1% of the 1890 applicants meeting all the criteria used to establish the comparison group enrolled in 2008. This 1.9 percentage point difference (in the wrong direction) is statistically significant ($p=.004$).

Conclusion

Assuming *ceteris paribus* conditions, it appears the biggest bang for the buck would be obtained by continuing the Discover Grant strategy, with the Pioneer Grant strategy being a close second. The Trustee Award strategy, which involves providing merit-based rather than need-based aid, does not appear to be effective.

UC Merced Retention and Graduation Rates:
Almost Four Years after Opening
April 2009

"Successful retention is no more than, but certainly no less than, successful education."
(Tinto (1990), "The Principles of Effective Retention." *The Journal of the Freshman Year Experience, 2 (1):* 37)

Background

The characteristics of the student population at any campus result from its recruitment and admit processes and student application and campus choice processes. It is just as important for the *campus* to determine which students would be more likely to persist and succeed through graduation as it is for each *student* to determine the best fit for his or her college experience.[1] Why do students choose UC Merced; which students are most likely to succeed?

This report analyzes what we know about the students we have attracted to UC Merced during its first four years and how successful we have been in retaining them so far. From a student perspective, getting a degree, even if it is not from the first college in which they have matriculated, is evidence of success. Therefore, we also will examine what we know about students who left UC Merced before receiving a degree but enrolled elsewhere.

Most of the emphasis will be on undergraduates although, with a research mission and a mission to encourage undergraduates to pursue graduate careers, we also will examine the first few years of retention for our master's and doctoral students. In order to know how well we are doing, as a campus, in terms of such metrics as retention and graduation rates, we need to benchmark our progress against similar institutions. In one sense, UC Merced has no peers, no rapidly-growing campuses with only three to four years of history and a research university mission with an enrollment under 3,000 students. We are, however, part of the larger University of California system of 10 campuses, of which eight others have similar research university missions to educate undergraduates as well as graduate students. These are the campuses to which we will most often compare ourselves. We also, however, realize that we cannot expect in the near term to reach the same levels of success as the other UC campuses in many areas. More importantly, we are setting (hopefully realistic) short-term and long-term goals for improving the retention (and ultimately graduation) rates for our students. And we need to allow ample time for interventions to have an impact.

There are some important contextual items to note about UC Merced in the first four years. Each year there were significant changes, from new buildings to course offerings to student activities. Classes were held in the Library in the first year because the first classroom building was not available until Fall 2006. Housing increased from 600 beds in Fall 2005 to over 1000 by Fall 2008. The Recreation and Wellness Center opened in Fall 2006 and organized club sports began shortly after. Student clubs and activities increased from 54 in the first year to over 100 and still counting as of Spring 2009. The International Programs Office was formed in Fall 2008. ***These and other evolving aspects of campus life have important implications both for recruiting students and retaining them.***

[1] Pascarella, E.T. & Terenzini, P.T. (2005). *How College Affects Students* (Vol. 2). San Francisco: Jossey-Bass.

Who are our students?

UC Merced opened in Fall 2005 with 706 new freshmen, 132 new transfers, 5 new master's and 19 new doctoral students.[2] These students met the same eligibility requirements as students at all the other UC campuses; however the freshmen tended, on average, to reflect the lower eligibility ranges for college preparation indicators (SATs, HS GPAs, writing test scores, number of A-G courses, and High School API ranks). Most of the transfer students came from California community colleges, completed 60 to 80 transferable units with a GPA of at least 2.4. The average GPA for transfers was 3.4 in Fall 2005. The preparation of subsequent cohorts of freshmen and transfers in Fall 2006 through Fall 2008 has been fairly stable.

These undergraduate students, both freshman and transfer cohorts, are ethnically diverse (no ethnic majority); many are first generation college students (47-50%) and low income (38-40% receiving Pell Grants). They come from throughout the State of California: about 30% from the San Joaquin Valley, another 30% from the San Francisco Bay area, and almost 30% from Southern California. About 2% come from other states or countries. Unlike most campuses nationwide, UC Merced's undergraduates have a higher percentage of males than females (starting in Fall 2006). Almost all (over 99%) are full-time students. Over 80% of new freshmen and, depending on the year and availability of housing, 13-34% of new transfers live on campus, in student housing. The ratio of lower division to upper division undergraduates is gradually evening out, as the earlier freshman cohorts (the bulk of the new students each fall) are flowing through the curriculum and reaching junior and senior class standing. In the first two years, lower division students had very few upperclassmen to help guide them. The number of new undergraduate degree programs, starting at nine in 2005, more than doubled to 20 in 2008. During all four years the most popular major remained the same: Biological Sciences.

Why admitted students do not enroll?

Starting with the Fall 2006 cohort of new freshmen, UC Merced has gathered information each year, through an online survey, about the reasons admitted students chose not to enroll here. Almost all UC applicants submit their application online. In addition to the admissions letter and materials about UC Merced, students also receive their admit notification electronically and can file their "Statement of Intent to Register" (SIR) online as well. At UC Merced, when admitted students indicate their intent *not* to register, that is, when they reject the offer of admission to this campus and check off "SIR-No" on the web site, they are given a link to a short survey. Analyzing the data from this survey for the three cohorts (Fall 2006 – Fall 2008) reveals that the predominant reasons for not choosing UC Merced were different for the Fall 2006 cohort and the subsequent two cohorts. In Fall 2006, the top reasons were that the "student body is too small, "campus facilities were not impressive," and thirdly "my major wasn't offered at UC Merced." For the Fall 2007 and 2008 cohorts, the top reasons were that "the location of the campus was not appealing," and "the campus was too far from home." The small size of the student body and the absence of their major became the third and fourth

[2] Two master's and 7 doctoral students enrolled in fall 2004, having come with their mentors who were among the campus' founding faculty.

reasons, respectively, for these later cohorts. Most of the students who *rejected* UC Merced's offer of admission indicated that they intended to enroll at another UC campus. For the Fall 2006 cohort, this meant most likely UC Davis or UC Riverside, whereas for the Fall 2007 and 2008 cohorts, it typically meant UC Davis or UC Irvine.

Reasons for Choosing UC Merced

A survey conducted about mid-way through the first semester, starting with the very first class in Fall 2005, asked all new undergraduates to reflect on *why they had chosen to enroll* at UC Merced.[3] Response rates for new freshmen were 51% in 2005, 38% in 2006, and 32% in 2008. Only about a sixth to a quarter of the new freshmen indicated that UC Merced had been their first choice college when they applied. Declining percentages over these years (39% in Fall 2005, 35% in Fall 2006 and 34% in Fall 2008) said UC Merced had been less than their third choice. For those who responded that UC Merced was not their first choice, the largest percentage (in Fall 2008) indicated that their first-choice college was UC Davis (27%), then UC Berkeley (15%), UCLA (10%), UC Irvine (9%), and another 16% split among UC San Diego, UC Santa Barbara, UC Santa Cruz, and UC Riverside. Clearly, the other UC campuses are formidable competitors for UC Merced.

As noted earlier, the campus has changed substantially each year for the first four years, and still the campus is changing and evolving much more rapidly than other campuses. This makes year-to-year comparisons very difficult to interpret and leads us to be very cautious in making projections or predictions. Only in the first year could the freshman cohort be the "first class" at UC Merced. This "first class" status was very important to them. In fact, 87% indicated that it was an important reason for their choosing to enroll here (53% said 'very important;' 34% said 'somewhat important'). The newness of the campus attracted many of the freshmen in Fall 2006 (79%) and 2008 (86%), as well. Also across all three years, the reputation of the campus and the UC system was a very or somewhat important reason for choosing UC Merced (83% in Fall 2005, 81% in Fall 2006, and 87% in Fall 2008).

The campus size as well as the potential for close interaction with faculty and the personal attention from faculty and staff were major reasons for the Fall 2006 and 2008 freshmen to choose UC Merced (these response items were not included in the Fall 2005 questionnaire). Almost 90% (89% in Fall 2008) said that the small size of the campus attracted them here). Over 90% indicated that the opportunity to work closely with faculty was a very or somewhat important reason for attending. From Fall 2006 and 2008, the quality of their intended major increasingly played an important role in their choosing to attend UC Merced (from 64% in Fall 2005 to 82% in Fall 2008 indicating it as at least somewhat important). Over three-quarters of the Fall 2006 and 2008 freshman respondents also said that the opportunity to be involved in research projects was an important college choice factor.[4]

Of the top reasons undergraduates give for choosing UC Merced, two eventually will drop off the list (newness and small size of the campus) unless we find creative ways to maintain aspects of these features when enrollments reach over 10,000 and the physical

[3] Because of problems with a new online survey application in Fall 2007, this cohort's data are not included in these analyses. Only data for the Fall 2005, 2006, and 2008 freshman cohorts are reported.
[4] This item was not included on the Fall 2005 survey.

campus ages. As the University grows, we also will need to find ways to maintain our culture of personal attention from faculty and staff that attracts this niche of prospective students. Establishing new schools, such as Management or Medicine colleges and Honors Programs, and living/learning communities in the Residence Halls that encourage students to identify with smaller groups of peers and faculty are some of the ways the campus can continue to attract students looking for frequent faculty-student interactions.

[Insert Table 1]

Freshman Retention

Nationally, first-year freshman retention rates for four-year public colleges average about 77%.[5] It varies by state, with Oklahoma being the lowest (63%) and Virginia the highest (86%). California's average is 84%. UC Merced's rate for the Fall 2007 cohort was 79%. The two earlier cohorts had slightly higher rates (80% for 2006 and 82% for 2005). The average for all public high and very-high research universities (Carnegie Classification)[6] was 82%. This group includes all the other UC campuses, where the range was from 85% (UC-Riverside) to 97% (both UCLA and UC Berkeley). The average for the eight UCs was 92%. So, although UC Merced's first-year retention rates compare favorably with all four-year public colleges, and meet the average for all high-to-very-high public research universities, the sister UC campuses establish a much higher benchmark. Obviously, this first-year retention rate sets the stage for subsequent retention and graduation rates and therefore it is very important for us to understand why students leave or stay, whether there are patterns associated with certain student characteristics, and to identify institutional characteristics that contribute to attrition or persistence.

[Insert Table 2]

Voluntary vs Involuntary Attrition

Of the 706 first-time freshmen in Fall 2005, 76% were in good standing after their first semester, 22% were on academic probation, and 2% were dismissed. The most recent comparative data for other UC campuses (Fall 2004) reveals a wide range (almost 14 percentage points difference) in freshman first-term rates for academic difficulty. On average, about 9% of the UC freshmen complete their first term with GPAs below 2.0.

Ninety-seven percent of Fall 2007 UC Merced freshmen in good academic standing and the majority on academic probation (92%) returned for the spring semester. Most of the 17 students who left in good standing enrolled elsewhere (7 at a 2-year, 2 at a CSU, 1 at a UC) and 7 either did not transfer or their transfer information was unknown.[7] Of those who left having been placed on probation or dismissed, most did not enroll elsewhere (or their enrollment

[5] NCHEMS Information Center; Retention: First-Time College Freshmen Returning Their Second Year; Four-Year Public Colleges; Fall 2007 cohort.
http://www.higheredinfo.org/dbrowser/?level=nation&mode=data&state=0&submeasure=224
[6] 2009 U.S. News "America's Best Colleges," reflecting Fall 2007 data.
[7] Status obtained from the National Student Clearinghouse (NSC).

status was unknown). Over a third of them, however, enrolled in a 2-year college (11) and one enrolled in a CSU. The Fall 2006 freshman cohort was much smaller, but the good academic standing rate was very similar (75%). This cohort had about twice the dismissal rate (5.5%) as the Fall 2007 and 2008 cohorts after the first semester, and a large percentage of those subsequently enrolled in a 2-year college.

[Insert Tables 3A & 3B]

Concerned about the probation and dismissal rates for these early cohorts, the campus increased efforts to identify at-risk students sooner and to provide more support. Success Workshops for struggling students identified through mid-semester grades reporting were implemented in Fall 2005. The first Summer Bridge program was offered in Summer 2007 and, once there was a critical mass of upper division undergraduates, a Peer Mentoring Program was launched in Fall 2008. These and other retention efforts are described in greater detail later in this report.

In Spring 2008 a follow-up survey was conducted of students who had left UC Merced voluntarily (had not been dismissed) during the previous three years before graduating. Traditionally, it is very difficult to obtain responses from this category of former students. There is the problem of having good contact information for them as well as the lack of incentive for these students to respond. The students' email addresses (typically hotmail or gmail) from the latest UC Merced information were used to invite them to take this brief online survey. Only 18% of these 417 "drop-outs" responded. The respondents were statistically similar to the population in terms of gender, ethnicity, major, and entering level (freshman or transfer).

Over 95% of the respondents indicated that academic and campus life reasons were very important in their decision to leave. Personal and financial reasons were less likely to be very important to them (76% and 53%, respectively, said these categories were very important). The academic reasons most often reflected dissatisfaction with the variety of courses offered (50%), their preferred major not being offered (42%), or the fact that their career plans had changed (28%). Dissatisfaction with campus life was associated with the location of the campus (too rural or isolated - 43%), too little campus social life (32%), and not enough recreational facilities (30%). Many (if not all) of these reasons can be attributed to the newness of the campus.

Characteristics of Retained Students

In the first cohort, Fall 2005, the male freshman first-year retention was higher than the female rate (85% vs. 80%), but this did not hold up in subsequent years. For the Fall 2006 cohort, the retention rate for both males and females was 80%, and for the Fall 2007 cohort, the male rate was slightly lower than the female rate (78% vs. 80%).

Pell recipients (low-income students) seem to be progressing at fairly similar rates compared to the cohorts as a whole.

Whereas Asian/Pacific Islander freshmen had the highest first-year retention rates compared to other ethnic groups in the Fall 2005 cohort, Hispanics had the highest first-year

rates for the Fall 2006 cohort and all groups were within four percentage points of each other for the Fall 2007 cohort.

Comparing retention rates by major becomes complex because some students switch their majors and most undeclared students choose a major by their third year. Looking at retention by their major at time of matriculation (regardless of whether or not they switched), there is a lot of variability in first-year retention rates across the three cohorts by School and within Schools. We need to have more cohorts and more stability in the curriculum (the graduating class this spring represents the first students to go through a full four-year curriculum), to better discern patterns in retention related to programs. We will continue to monitor retention rates within programs and Schools annually.

[Insert Table 4]

The University of California makes publicly available (on the Web) comparative statistics for freshman and transfer applicants and enrollees via a tool called StatFinder. These data allow us to compare trends in UC Merced's first few years to the much more mature UC campuses and system-wide[8] for information such as admissions rates, persistence and graduation rates, and college GPAs by entering class. As noted earlier, the average 1st-year retention rates for the UC System have been 9 to 12 points higher than UC Merced's for the first three cohorts (Fall 2005 through Fall 2007). The 2nd-year rates have averaged 17 points higher (for the Fall 2005 and Fall 2006 cohorts) at other UC campuses. The differences were generally smaller for Chicano/Latino freshmen, students who had passed the UC Analytic Writing Placement Exam (AWPE), students with HS GPAs below 3.00, and those in the lower SAT ranges.

StatFinder results indicate that UC Merced's African-American freshmen consistently have lower 1st -year retention rates (76-79%) than other ethnic groups, but that is not true of 2nd -year rates. In fact, the 2nd year rates for Whites are lowest. Similarly, although the first-year retention rates have been slightly higher for UC Merced students from families where at least one parent has a bachelor's degree than for those who are first generation (neither parent has a bachelor's degree), this is not necessarily true for the second-year rates. Even the academic performance of the students' high school (API) does not clearly show a relationship between rank and persistence at UC Merced, whereas, across all UCs, students from high schools with higher API ranks tend to persist at higher rates. Predictive modeling, such as the National SAT Validity study (described later) and those being developed by the Office of Planning & Analysis (IPA) will be more useful in understanding the importance of some of these characteristics, especially how they may interact in explaining their impact on retention and academic success.

[8] UC System-wide data include UC Merced, however UC Merced has a very small impact on the System-wide averages. The selection criteria used by StatFinder for different populations (e.g., freshmen, transfers) are slightly different from the criteria used by UC Merced IPA for campus reporting. StatFinder, for the purposes of determining persistence, graduation, and UC GPA, excludes freshman and transfer enrollees from the cohorts if they did not complete their first term of enrollment at UC.

[Insert Tables 5 & 6]

First-Year Freshman Cumulative UC GPA

On average, compared to the UC System as a whole, the average, first-year college grades of UC Merced freshmen tend to be about one-third to one-half letter grade below that of their counterparts. For the Fall 2007 cohort, for instance, the first-year college GPA for UC Merced freshmen averaged 2.57 compared to 2.96 System-wide. The gap tends to be higher for females than males, partly because females System-wide tend to have higher 1st-year GPAs than males, whereas at UC Merced the male freshmen tend to have higher GPAs than the female freshmen. The gap is substantially less for African-American, Hispanic, and first-generation college students.

The gap also is less when controlling for HS GPA and for those who passed the UC Analytic Writing Placement Exam (AWPE) and, on the other end, those who did not meet admissions writing requirement and therefore placed into WRI 001 (the campus' entry-level writing course). Comparisons between UC Merced and all UC campuses on a related indicator (SAT Writing) also shows the tendency for the gap in 1st-year GPAs to be lower for those with lower SAT Writing scores than for those with higher scores. For the Fall 2007 cohort, across the eight categories of 20-point HS GPA intervals, UC Merced's freshmen had, on average, .11 to .18 points lower for their first-year college GPAs. None of this is particularly surprising, since studies based on all types of institutions have repeatedly shown over the years that HS GPA and related academic preparation indicators are consistently the best predictors of 1st-year college GPA and retention.

[Insert Tables 7 & 8]

National SAT Validity Study

UC Merced participated in the national SAT validity study conducted by the College Board in 2008. This study examined how well SAT scores, high school GPA (HS GPA), HS Academic Performance Index (API) Score, first language, first generation status, low income status, and intended major predicted the academic success of Fall 2007 first-time freshmen after their first year. Academic success was defined in terms of the grade point average earned at UC Merced during the freshman year. Consistent with decades of research nationwide, HS GPA was a much better predictor than SAT scores of college GPA during the first year at UC Merced. HS GPA alone explained 61% of the variance in college GPA for all Fall 2007 freshmen who remained enrolled in Fall 2008. HS GPA with the other non-SAT score variables explained 78% of the variance. Among those variables, the High School API score was the most important predictor.

Notable variations by discipline[9] include:

[9] There were too few Engineering majors to allow further analyses. The College Board required that each breakout category have at least 75 students.

- For students with no declared major, the SAT critical reasoning score is the most important of the SAT predictors of first-year college GPA, while the writing score was of no value.
- For students intending to major in Social Sciences, Humanities, or Arts fields, the SAT writing score was the most important of the SAT predictors; critical reading scores were of no value.
- Finally, for students intending to major in the Natural Sciences, the SAT math score was the most important of the SAT predictors; the reading score was of little value.

These results were shared with the Admissions Office. In addition, the College Board identified 89 students as having a first year GPA substantially lower than that predicted by their preadmission characteristics. This report of potential at-risk students (at risk of dropping out or transferring) was shared with the UC Merced Student Advising & Learning Center.

Transfer Student Retention/Graduation

The first-year retention rates for UC Merced's transfer cohorts have been over 80% for each of the last three years (Fall 2005, 2006, and 2007). System-wide, the rates average 92% for each of the three years (StatFinder).[10] Second-year retention rates for UC Merced transfer students (2005 and 2006 cohorts) were 71% and 72%, respectively. The averages for the other UCs, again, were about 10 percentage points higher. Prior college GPA may explain some of the difference. Because of the small number of transfers in UC Merced's cohorts, we must be very cautious when trying to interpret further disaggregation (by GPA, gender, ethnicity, etc.). It may be at least another four to five years before we have enough cohorts to reveal underlying patterns affecting retention rates for transfer students. For instance, whereas the first-year retention rates for first-generation vs. non-first-generation college students System-wide are fairly stable, ranging from 91.1% to 92.0% on average for first-generation and from 92.2% to 92.7% for non-first-generation college students in the Fall 2005, 2006 and 2007 cohorts, the ranges for UC Merced transfer students were 79.1% to 82.4% and 77.8% to 91.3%, respectively.

At this point (Spring 2009), we have two-year graduation rates for two transfer cohorts. About 46% of the pioneering transfer class of Fall 2005 graduated within two years (compared to about 51% for the other UC campuses, on average). Only 31% of UC Merced's Fall 2006 class, however, graduated in two years (again, compared to the UC average of 51%).

[Insert Table 9]

First-Year Transfer Cumulative UC GPA

The average first-year cumulative GPA for transfer cohorts System-wide was 2.97 for each of the Fall 2005, 2006, and 2007 cohorts. The cumulative GPAs for UC Merced's cohorts

[10] Again, as indicated earlier for the freshman comparisons, UC System-wide data include UC Merced, however UC Merced has a very small impact on the System-wide averages. The selection criteria used by StatFinder for different populations (e.g., freshmen, transfers) are slightly different from the criteria used by UC Merced IPA for campus reporting. StatFinder, for the purposes of determining persistence, graduation, and UC GPA, excludes freshman and transfer enrollees from the cohorts if they did not complete their first term of enrollment at UC.

were .14 to .18 points lower (2.82, 2.83, and 2.79, respectively) than the System-wide average but were actually on par or higher than two of the other campuses. Like new freshmen, the higher the GPA category for new transfers prior to transferring (prior college GPA), the more likely they attain higher 1st-year GPAs at their UC institution. In some cases, this also is true for UC Merced transfers, but not consistently so. As noted earlier when discussing retention, it may be at least another four to five years before we have enough cohorts, and more transfers in those cohorts, to reveal underlying patterns affecting the academic success of transfer students.

[Insert Table 10]

UC Merced Retention Programs

Over the last four decades, a number of models or theories have been developed to try to explain college attrition patterns.[11] These theories evolved from sociological (Spady) and psychological (Bean) models to those that included student involvement (Astin) and organizational or institutional characteristics (Pascarella, Tinto, Berger, Kuh). Over time they have led to the development of interventions that foster retention.

Based on studies at more mature colleges and universities, three strategies have been cited as making the greatest contributions to undergraduate retention at four-year colleges.[12] These high impact strategies include:

1. First-year programs (freshman seminars, "university 101 courses," learning communities, integration of advising with first-year curricula)
2. Academic advising throughout the curricula (increased advising staff, advising interventions with selected student populations)
3. Learning support (supplemental instruction, comprehensive learning assistance center/lab, reading center/lab, summer bridge programs, tutoring programs).

The most recent ACT survey about retention practices and successes in four-year public colleges (228 institutional respondents) identified three top campus retention practices that had the greatest impact on student retention: 1) freshman seminar/university 101 courses for credit, 2) learning communities, and 3) advising interventions for selected student populations. UC Merced has implemented all three types of practices, some institution-wide and some within Schools or particular programs. Examples include:

Freshman seminars. Freshman seminars help new freshmen make the transition to university life by giving them a chance to get to know a faculty member personally and to work with a small group of peers to study a topic in depth. The courses are one-credit and non-letter-graded (pass/no pass only). They introduce students to undergraduate research opportunities and, in some cases, help students decide on a major. At the onset, Fall 2005, freshman seminars were required by each of the three Schools. Over 200 students enrolled in

[11] McClanahan, R. (2004). "Review of Retention Literature." In Habley & McClanahan, ACT Report: "What Works in Student Retention? Four-Year Public Colleges." (Appendix I).

[12] Habley, W.R. & McClanahan, R. (2004). ACT Report: "What Works in Student Retention? Four-Year Public Colleges." (p. 23).

the first semester and another 245 students enrolled in Spring 2006. Enrollments in subsequent semesters fell as fewer seminars could be offered because of increasing upper-division course demands on faculty. Two of the Schools (Natural Sciences and Social Sciences, Humanities & Arts) no longer require the seminars and the School of Engineering changed the requirement to include a choice: freshman seminar or service learning. The Faculty Senate is reviewing the sustainability of offering freshman seminars along with the two-course general education requirement.

USTU 010 (Introduction to Undergraduate Education). This course was offered for the first time in Fall 2008. So far, 37 freshmen have completed the course (either in Fall 2008 or Spring 2009). Participation in the course is not voluntary, but some students who met the criteria for participation could not take the course due to other course conflicts or because the one section of USTU 010 was full. The target population for the course in Fall 2008 consisted of undeclared freshmen who were placed into WRI 001, the campus' entry-level writing requirement. In Spring 2009, the target population consisted of freshmen who were eligible for dismissal at the end of their first fall semester, appealed the dismissal action, and were allowed to continue in Spring 2009. USTU combines weekly large-group, interactive lectures with small-group discussion sections, focusing on topics related to navigating campus life and using effective strategies for learning. A preliminary assessment of the impact of the Fall 2008 USTU course was conducted in early spring, comparing grades and retention of the freshmen who took the USTU course with a comparison group of freshmen who were undeclared and who enrolled in WRI 001 in the fall. A requirement of the USTU class is that students cannot miss more than one class. Results of the preliminary assessment revealed that those who met this attendance requirement did substantially better (first-semester GPA of 3.14 vs. 2.33) than those who enrolled but did not meet the attendance requirement. They also did better than those who met the criteria for placement into USTU 010 but did not enroll in the course. [There was no difference between those who enrolled in the course but did not meet the attendance requirement and those who did not enroll in the course at all.] At this time, it is too early to determine the longer-term impact of this course on the retention of these at-risk students.

Learning Communities. Three Living Learning Communities were offered starting in Fall 2007 for Academic Excellence and Green Hall (sustainable and environmental awareness), and in Fall 2008 for RPM (the Residential Management Program for first-year and continuing Management and Economics majors and minors). Students in the Academic Excellence Hall must have a GPA minimum of 3.0. Members participate in programs and activities that support and encourage academic success, research, service, and leadership. They act as mentors, assisting other students with tutoring, study skill workshops, academic goal setting, etc. Green Hall members apply their efforts to issues of global environmental change, policy and management of natural resources, sustainable rural and urban environments and environmental leadership. They also work closely with representatives from the Sierra Nevada Institute and Yosemite National Park. RPM activities include formal presentations by faculty, alumni, or industry representatives, covering topics such as graduate school preparation, career exploration, professional development, faculty research, etc. Continuing RPM members serve

as mentors to incoming freshman members. So far, 175 students have participated in these housing-based learning communities.

Mid-Semester Grades. In Spring of 2005, the Undergraduate Council (UGC) approved a 3-year trial of mid-semester grade reporting for all lower-division courses. UC Merced is the only UC campus that issues mid-semester grades. The goals for the program were twofold: to provide positive feedback to new students who were doing well academically and to assist the University in identifying and helping students who were struggling academically. In addition to grade reporting, freshman students with a grade of D+ or lower were required to participate in a "Success Workshop" to help them assess why they are failing and to direct them to other resources that may help them improve their academic performance. In February 2008, the UGC approved a request to extend this program another five years. Follow-up analyses conducted by the Student Advising and Learning Center found that "struggling students who attend Success Workshops actually have a higher retention rate year to year (84%) than that of the Fall 2005 or Fall 2006 cohort in general."[13]

Peer Mentoring Programs. The Peer Mentoring Program helps new freshmen adjust to the academic and social demands of university life by pairing them with more experienced upper-division students who have demonstrated academic and personal success. Mentors provide information about professors, courses, resources, and events on campus. They serve as friendly role models and guides, at the same time fostering independence. Of the 925 first-time freshmen in Fall 2008, almost 19% participated in the mentoring program. Their fall-to-spring retention rate was over 97%, compared to the overall rate of 82% for the cohort. Participants and non-participants had comparable average HS GPAs (3.4) and 1st-semester UC GPAs (2.5), hence participation in the program does not seem to be influenced by level of academic preparation for college or academic performance during their first semester at UC Merced.

In Fall 2008, the Student Advising and Learning Center and the Department of Housing and Residence Life teamed up to create a live-in **Peer Academic Advisor program** (PAA). Student peer academic advisors are selected, trained and supervised by the Student Advising and Learning Center and School Advising staff, but live in the freshman residence halls at a reduced rate. Reflection on the first year of this program generated changes planned for subsequent years, including greater partnerships with other peer groups (Peer Mentoring Program, Career Center Educator, Peer Tutors, and UC Merced Police Department Mentor Program). Other aspects of the program are being modified, such as hours and locations as well as the tracking system to monitor student participation in the program. In Fall 2008, 40 students were seen during office hours (8am-8pm); 18 used the services in Spring 2009 (10am-6pm).

Summer Bridge. UC Merced's Summer Bridge program started in Summer 2007 with nine students from Merced County high schools who had writing deficiencies, but otherwise would be eligible to attend UC Merced as freshmen. Two-thirds were retained after one year.

[13] Letter from E. Boretz, Director of SALC, to UGC, January 9, 2008.

These students were all second language learners and still developing their academic English; for most of the students, intensive reading and writing instruction during an 8-week course enabled them to "bridge" their writing and reading skills gap and be academically successful in their first year at college. For instance, in Summer 2008, only 33% of the 23 students in the program demonstrated the mastery required of university writing at the initial writing diagnostic evaluation. By the final diagnostic, 54% evidenced proficiency in their academic writing. Many of the students developing their academic English also benefit from a focus on their academic math skills. For this reason, the program was expanded to include an intensive introduction to college math in Summer 2008. This additional work resulted in an increased pass rate at the end of the summer for the *Gateway Exam, a math assessment required of all freshmen during their first semester.* For Summer 2009, separate tracks in Math and in Writing will be offered, allowing students to choose the subject on which they focus, while offering intensive coursework in the alternate subject. Additionally, all students are introduced to strategies for improving a broad range of academic skills.

Orientation, Mandatory Freshmen Assembly and Learning Support. The data on retention and academic probation/dismissal has lead Student Affairs staff, working with colleagues in the Schools and the Vice Provost for Undergraduate Education, to refine and strengthen our messages about academic expectations. Tinto has found that high academic expectations are correlated positively with retention. In 2006, we modified the Parent Orientation schedule so that the first presentation the parents heard was about UC Merced's academic standards. Parents were informed about mid-semester grades, about the work load in a four credit class and the amount of studying students would need to do in a week in order to be successful. Given that almost half of our students are the first in their family to attend college, we have found these sessions (that have continued in 2007, 2008 and 2009) to be well received and have generated many questions from parent participants. Also in 2006, Student Affairs created a mandatory Freshmen Assembly that occurs the day before classes start. At the assembly current students, faculty, staff and the Vice Provost for Undergraduate Education talk with the students about academic expectations and the support (free tutoring, workshops, etc) that are available to them. We also provide the students with materials about UC Merced's Academic Honesty Policy.

Given that this generation of students is extremely comfortable with technology we have created web-based materials on learning that will be helpful to them. On learning.ucmerced.edu, students can find Pod-Casts with helpful information, tutoring schedules and information about the range of workshops that we offer, including: study skills, time management, academic writing, preparing for mid-terms and so forth.

School of Natural Science's EXCEL! Program. The EXCEL! Program, which started in Fall 2005, works with Natural Sciences faculty, advisors, and the Student Advising and Learning Center to help Natural Science's students successfully complete lower division math and science courses. The goal is to help students return to good academic standing. This program uses elements derived from existing successful math and science student retention programs at various colleges. Most of the participants have been from the freshman cohorts, with 89, 32, and 60 participating from Fall 2005, Fall 2006, and Fall 2007, respectively. Preliminary analysis

of the first two cohorts of participants shows that 30-44% (varying by cohort) of the freshman participants (who had not been in good standing at the end of their first semester) were still enrolled and in good standing by the end of their third semester (one year later) and 26-34% were still enrolled and in good standing by the end of their fifth semester (two years later). More detailed tracking of these students and assessment of program outcomes will continue.

School of Engineering's EPICS Program. The Foster Family Center for Engineering Service Learning program is a key component of an engineering education at UC Merced and the cornerstone of the school's learn-by-doing philosophy. This program, which is affiliated with the national Engineering Projects in Community Service (EPICS) program at Purdue University, supports the San Joaquin Valley's leading non-profit organizations and contributes to student success, professional preparedness and retention.

As a result of this program:

- Students gain long-term define-design-build-test-deploy-support experience, communication skills, experience on multidisciplinary teams, and leadership and project management skills. They also gain an awareness of the importance of community service and the understanding that the field of engineering is devoted to helping mankind.

- Community organizations gain access to technology and expertise that would normally be prohibitively expensive, giving them the opportunity to improve their quality of service and provide new services.

Ordinarily, students, particularly freshmen and sophomores, have little contact with "engineering" issues as their academic program is consumed with establishing a math and science foundation in their first two years of study. EPICS provides a connection to what a career in engineering is about—helping people by solving problems.

Also affiliated with EPICS, the **Service Learning Program** at UC Merced is a required programmatic resource (for engineering majors), the goal of which is to retain engineering students by providing a supportive academic environment that shows first hand how the field of engineering impacts others at the community level. Much of the focus of this program instills the value of teamwork, organization, goal setting, creating project timelines and developing good learning skills in an engineering environment. Service Learning projects are focused in four broad areas: human services, access and abilities, education and outreach, and the environment. Current clients include the Merced SPCA, Mountain Crisis Services, the California State Mining and Mineral Museum, the Castle Science and Technology Center, the Merced County Office of Education, the Merced County Probation Department, the Grassland Water District, and Bobcat Radio. This year's new clients are the Boys and Girls Club of Merced and Kiva.

In the 2008-2009 academic year, approximately 170 UC Merced students (almost one-third of all engineering students) participated on 10 multidisciplinary project teams. Each team of 10 to 15 students includes freshmen, sophomores, juniors, and seniors, and each team has a multi-year partnership with a community service or education organization.

Graduate Student Retention

Most of UC Merced's graduate students have entered as doctoral students. Because of the relatively small numbers of both master's and doctoral students, it is difficult to identify, with any confidence, emerging patterns that help to explain retention or attrition. Also complicating these analyses are the potential variations in pathways to degree completion, pathways that are not unique to UC Merced. Master's students, for instance, sometimes change their degree objective[14] to the Ph.D. after, or sometimes without, completing the master's degree. Similarly, doctoral students sometimes receive a master's degree along the way to their doctoral degree or voluntarily or involuntarily receive a "terminal" master's.

The latest UC studies of graduate completion and attrition rates were conducted in 2003 (for master's students entering in Fall 1996-98) and 2007 (for doctoral students entering in Fall 1992-94). Four-year completion rates were used for the master's cohorts, while ten-year completion rates were used for doctoral cohorts (as well as two-, four-, and ten-year attrition rates). Obviously, UC Merced cannot benchmark graduate student completion rates with these data yet, as we have had only one master's degree cohort that reached a four-year rate (Fall 2004 cohort) and no doctoral cohort that has reached a ten-year rate. Unlike bachelor's degree retention and graduation rates, graduate degree rates are not closely monitored nationally nor shared widely among institutions. There are no commonly accepted standards for measuring graduate student success as there are with bachelor's degree-seeking students. Furthermore, most studies of graduate student retention and time-to-degree emphasize the variability by academic discipline.[15] The UC studies also emphasize the large differences in completion rates by discipline area and even greater differences across campuses within a given discipline area.

The average 4-year completion rate across all UC campuses and discipline areas was 85%. In 9 of the 15 discipline areas completion rates differed by 31 to 52 percentage points! According to the UC report, "only in business and law, where students move through as cohorts in relatively set curricula, were completion rates uniformly high and campus differences small." UC Merced's first cohort of master's students was in Fall 2004, one year before the campus officially opened to undergraduates. Only two students were in that master's cohort. Four years later, as of Fall 2008, one had graduated and the other was still enrolled. Subsequent cohorts have grown in size, from 5 in Fall 2005 to 12 in Fall 2008. First-year retention rates have ranged from 60% to 75% and a total of four additional master's degrees have been granted; two from the Fall 2005 cohort and one each from the Fall 2006 and 2007 cohorts.

Beginning in 2004, the national Council of Graduate Schools (CGS), with funding from Pfizer and the Ford Foundation, organized a seven-year "Ph.D. Completion Project" to produce "comprehensive and useful data on attrition from doctoral study and completion of Ph. D. programs." They started with baseline data from cohorts of students entering doctoral programs at 30 participating institutions from 1992-03 to 2003-04. Based on these data, 23% on average completed their programs within 5 years, 35% within 6 years, 46% within 7 years,

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[14] With the approval, of course, of the Graduate Division and the appropriate graduate faculty.

[15] E.g.: Ott, M.D., Markewich, T.S., and Ochsner, N.L. (1984). Logit Analysis of Graduate Student Retention. *Research in Higher Education,* 21 (4): 439-460. Ferrer de Valero, Y. (2001). Departmental Factors Affecting Time-to-Degree and Completion Rates of Doctoral Students at One Land-Grant Research Institution. *The Journal of Higher Education, 72 (3): 341-367.*

and 57% within 10 years. The 10-year rate varied from 49% to 64%, depending on discipline area. The rates also varied by gender and discipline area (males had higher rates in Engineering, Life Sciences, and Math/Physical Sciences, but females had higher 10-year completion rates in Social Sciences and Humanities). International students had higher rates than domestic students across all discipline areas. Completion rates varied greatly by ethnicity across disciplines. African-American students had the lowest rates within Engineering and Math/Physical Sciences; Asians had the lowest rates in the Life Sciences and Social Sciences; and Hispanics had the lowest rates in the Humanities.

The UC-wide 10-year completion rate for doctoral cohorts was 57%. The rate by broad discipline areas ranged from 51% for Engineering/Computer Science to 71% for Life Sciences. Rates varied by ethnicity and also by citizenship. The average UC retention rate at the end of the second year was 87% and at the end of the fourth year the average doctoral retention rate was 71%.

Similar to UC Merced's master's degree cohorts, the first doctoral cohort of seven students arrived in Fall 2004, one year before the official campus opening. Four years later, the first doctoral candidate (representing 14.3% of the cohort) had graduated (in Summer 2008) and 57% were still in the pipeline. Subsequent doctoral cohorts increased in number from 19 in Fall 2005 to 57 in Fall 2008. First-year retention for these students ranged from 83% to 95%. After year three, for instance, almost 90% of the Fall 2005 cohort was still pursuing the degree.

Over time we hope to obtain better benchmarking data for master's and doctoral degree retention and graduation rates. In the meantime, UC Merced has set up a system to track these rates, starting from the very first cohorts. We will provide breakdowns by program, gender, ethnicity, and citizenship as the graduate cohorts increase in size. The CGS research has shown that key factors influencing student retention and completion at the doctoral level include: selection, mentoring, financial support, program environment, research mode of the field, and processes and procedures. These certainly will be some of the early factors that the campus will focus on when developing interventions to increase graduate success metrics. Already the Graduate Division has instituted an annual survey of graduate students to obtain feedback on various characteristics of the programs and to monitor satisfaction levels. [See Appendix A.]

[Insert Table 11]

Next Steps

Besides tracking the retention and graduation rates, as well as GPAs by semester, the Office of Institutional Planning & Analysis (IPA) is developing predictive models for new freshmen and new transfers to help identify "at risk" students. These models will include demographic and academic preparation variables, as well as pre-college-choice interests (from the SAT survey), UCUES and NSSE survey responses, and co-curricular experiences (involvement in student life activities such as learning communities, student government, academic and non-academic clubs, etc.). IPA and Student Affairs are working with the Registrar to set up a way to track these experiences within the Banner Student Information System. Students will also benefit by being able to maintain a co-curricular "transcript" which will document their leadership experiences as well as their participation in various campus-sponsored activities.

UC Merced participated, for the first time, in the BCSSE (Beginning College Survey of Student Engagement) survey, a companion survey to the NSSE. The 2008 new freshmen were surveyed just before fall classes started. Student advising reports produced from the results were shared with advisors to help them relate the students' self-reported high school experiences and college expectations to their college success, especially during the first semester. UC Merced administers the NSSE every other year. Once we get the results from this year's survey (Spring 2009) in early Fall 2009, we will be able to relate responses from the BCSSE (pre-college expectations) to the NSSE (first-year experience) for those students who completed both surveys.

Continuing efforts to assess the existing retention programs, survey admitted and enrolled students, and track UC Merced students who drop out and subsequently enroll elsewhere, will also be used to inform programmatic decisions and resources. These efforts will be coordinated by a newly-formed Enrollment Management Council, in partnership with IPA, the Center for Research on Teaching Excellence (CRTE), and School as well as Student Affairs program directors.

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Appendix A

2008 Graduate Student Survey Analysis

In summer 2008, the UC Merced's Graduate Studies Division conducted an online survey of continuing graduate students. The purpose of the study was to measure student satisfaction levels with various experiences as a graduate student at UC Merced. The target population included 112 continuing graduate-level students who were expected to return for the Fall 2008 term. Seventy-two students participated in the survey for a 64% response rate.

Respondents were fairly representative of the sample population, especially in terms of ethnicity and degree level (Table 1). Males and students in four of the programs (Biological Engineering, Quantitative & Systems Biology, Social & Cognitive Sciences, and World Cultures) had substantially lower response rates (52-58% vs. 67-75%) than females and students in other programs.

Over 45% of respondents expect to graduate within the next 2 years and another 45% within 2-4 years. 36% of respondents were already graduate students before enrolling at UC Merced (many having come with faculty members when they left other campuses to work at UC Merced) and 31% were employed in a field related to their major.

Satisfaction with Aspects of Program

Table 2 highlights questions related to the respondents' programs, course work, and quality of interactions with faculty, advisors, and other staff. Overall, 86% of the respondents said that they were satisfied (somewhat or very) with their program at UC Merced.

The highest levels of satisfaction with aspects of the graduate students' programs were associated with the **intellectual caliber** of the faculty (94% were at least somewhat satisfied; 63% were very satisfied) and the programs' ability to **keep pace** with recent developments (86% were at least somewhat satisfied; 47% very satisfied). Areas needing the most improvement, according to most graduate students tended to revolve around **facilities** and **training/preparation** in teaching, research methods and TA-ing (for those for whom these were applicable). Only about a third of the graduate students were very satisfied with these aspects of their program.

Over three-quarters of the graduate students who had **teaching assistantships** felt that the amount of time they were expected to spend on TA duties was about right for them (Table 3). About two-thirds said agreed that the teaching experience provided through their program was adequate preparation for an academic/teaching career (although they should be surveyed

once they are actually in those careers to see if this holds up). Two-thirds or more also agreed that they were appropriately prepared and trained before entering the classroom and 62% felt they were appropriately supervised to help them improve their teaching skills.

The graduate student respondents almost unanimously agreed that their own **research interests are incorporated** into their thesis work (97%) and over 80% agreed that the **amount of coursework seemed appropriate** to the degree (although only 17% strongly agree to this) and that they get **ongoing and constructive feedback** from their program advisor.

Satisfaction with Quality of Interactions

Several items reinforced the overall positive response given to the graduate students' **relationships with faculty**: professional relationship with faculty advisor (90% at least somewhat satisfied), students in program are treated with respect by faculty (96% agreed), good rapport between faculty and students (93% agreed), good relationships and interactions with faculty personally (99% agreed), own advisor has student's interests in mind (96% agreed) and keeps track of student's research progress (94% agreed). Most students (59%) did not think that there were **tensions among faculty** that affected students, but two out of five did. The range, by School, for students who agreed or strongly agreed that faculty tensions affected them was 26% to 56%.

The generally good **relationships among graduate students** contributed to the overall favorable climate, as perceived by them (90% agreed that the overall climate of their program is positive). They tended to agree that the students in their program are collegial (90% agreed) and that relationships and interaction with other students in their program are good (90% agreed). Very few (8%) thought that the degree of competition among students is excessive.

Rating Quality of Course Work

Although respondents tended to think the **quality of instruction** in their courses was excellent (41%) or good (39%), the **availability of courses** needed to complete their program seemed to be a big concern. A little less than half (47%) said the availability was excellent or good (only 14% saying "excellent"). Given the competing demands of the faculty for conducting their own research, teaching undergraduates as well as graduate students, and trying to keep up with designing and offering courses as the first cohorts of both undergraduate and graduate students move through their programs, it is not surprising that the need for more course options has been identified as a problem. Seven of the open-ended comments for this set of questions stressed the need for more courses.

The graduate programs at UC Merced are highly interdisciplinary, by design. Even so, many of these graduate students responded favorably to the **encouragement to take courses outside their programs**. Over 60% rated this excellent or good. It is unclear, however, whether or how this might be related to the general feeling that not enough courses are offered. At least one student commented that he/she had to take courses outside the program in order to fill all the requirements.

Program Support and University Resources

Table 4 shows the relative satisfaction rates with types of support for the graduate students' programs as well as the usage and ratings of various types of university resources. Although most respondents were generally at least somewhat satisfied with **support directly related to their programs** (feedback on their research, advice on degree requirements, preparing for exams, preparing for their thesis, selecting a thesis advisor, and standards for writing in their field as well as for academic integrity), they were less satisfied with **support for the professional or career aspects** of their program. This is true even after adjusting for those students who said these aspects were not applicable to them (presumably at their stage in the program). The majority of students planned to work in academia (28% expected to have tenure-track faculty positions, 26% expected to become postdoctoral fellows), but 22% expected to become non-faculty researchers and 9% anticipated going into engineering or manufacturing positions (Table 5). Support items that need to be addressed or re-evaluated include: advising for career options especially outside academia, assistance in developing professional contacts outside one's program, and grant-writing advice.

Some university resources are much more geared to undergraduates than to graduate students. There is no graduate student housing on campus, for example. Some of these resources perhaps should be reviewed by the campus to determine whether or when such services should be offered to graduate students. For the purposes of this report, however, services that were not used by at least 50% of the respondents will not be evaluated. This list of infrequently-used services includes: Disability Services, Learning Assistance Center, Housing, Child Care Referral Services, Student Counseling Services, Career Services Center, University Police, and Financial Aid Office.

For those remaining resources, the highest rated were Library facilities (80% responding they were excellent or good), the Graduate Division (74%), on-campus computer facilities (71%), and pretty much a tie among Web-based campus computer services, Student Health Center, health insurance offered (GSHIP), Office of the Registrar, Bobcat Bookstore, and Billing & Payment Services (all around 58-66%). Parking provoked the most negative response (only 22% responding excellent or good). The campus shuttle service and dining services had the highest "poor" ratings.

Obstacles to Academic Progress

Not surprisingly, the most frequently cited obstacle to academic progress is "**work/financial commitments**" (Table 6). Three out of every five graduate students said this was at least a minor obstacle; almost 30% said it was a major one. Next on the list were "course scheduling" (50%), "program structure or requirements" (49%), and "family obligations" (48%). There is not much the campus can do about the students' family obligations, but one recommendation from this study is to conduct a few focus groups to find ways the campus can help improve the financial/work support, as well as course availability/scheduling and program structure/requirements.

Student Life

Graduate students tend to be much more focused on their studies and less interested in organized social activities than most undergraduates. UC Merced still is very small, however, so one would expect that it would be easier to engage graduate students in campus social activities geared toward them, especially those activities sponsored by their own School or program. Table 7 shows that UC Merced graduate students tend to be **aware of activities** and three-quarters or more seem to **attend these activities** at least occasionally regardless of sponsor (campus, School, or program). Open-ended responses ranged from "I'm here to work/finish my PhD, not to socialize," to "the socializing opportunities are improving but, in a town like Merced where there are very few options, the graduate school could step in and fill this void," or "social activities in the School are generally poorly organized and advertised at the last minute, making it difficult to attend."

General Assessment

Overall, the graduate student respondents rated their academic experience at UC Merced higher than other aspects (Table 8). About four out of five rated their academic experience and their graduate program as excellent or good. A little more than half, in contrast, rated their student life experience as highly. At most, only a third gave their experiences an excellent rating. Only a third would definitely select this campus again (although almost 60 % definitely would select their same field of study) or definitely recommend this campus to someone considering their own graduate program (Table 9A). Seven percent indicated that it was at least somewhat likely or they were uncertain whether they actually would stay in their programs to degree completion (Table 9B). These would be good questions to follow up on through focus groups or targeted surveys. What would be characteristic of an excellent academic experience or an excellent graduate program? Knowing what they know now, what would make them select this same campus or their UC Merced graduate program again? Or make them highly recommend the campus and program to someone considering their field?

Post-Script

Comparative data to help put these responses in perspective are relatively difficult to find. Some institutions conduct graduate student surveys and post the results on their Web sites. However, even these are not necessarily suitable comparisons. Sometimes the questions are identical or at least very similar, but the population of students might be too different from UC Merced's to provide a good benchmark. Other times the questions are too different, or the analyses use mean response instead of percentages, or they use ratings of quality (excellent, good, etc.) instead of satisfaction or agreement/disagreement.

Following is a short listing of graduate student survey analyses at other campuses:

U. of Colorado, Boulder
http://www.colorado.edu/pba/surveys/grad/05/index.htm

Michigan State U., East Lansing
http://grad.msu.edu/survey2k.htm

U. of Central Florida
http://www.irweb2.ucf.edu/oeas_survey/gss/gd_index.htm

State U. of West Georgia
http://www.westga.edu/~cogs/printable/GraduateSurveySpring2002.pdf

Kent State U.
http://www.kent.edu/aqip/Surveys/graduatesurvey.cfm

U. of Minnesota
http://www.cogs.umn.edu/survres.pdf

Stanford U.
http://news-service.stanford.edu/news/2005/february23/report-022305.html

Northeastern U.
http://www.northeastern.edu/oir/pdfs/01gss.pdf

Georgia State U.
http://www2.gsu.edu/~wwwire/pdf/2003-2005%20APR%20GRADUATE%20STUDENT.pdf

Table 1. Survey Population and Respondent Demographic Information					
	Population		Respondents		Response Rate
	N	%	N	%	%
Total	**112**	**100.0%**	**72**	**100.0%**	**64.3%**
Gender					
Female	43	38.4%	32	44.4%	74.4%
Male	69	61.6%	40	55.6%	58.0%
Ethnicity					
African-American	1	0.9%	0	0.0%	0.0%
Asian/Pacific Islander	7	6.3%	5	6.9%	71.4%
Hispanic	12	10.7%	9	12.5%	75.0%
White	38	33.9%	28	38.9%	73.7%
International	34	30.4%	21	29.2%	61.8%
Unknown	20	18%	9	12.5%	45.0%
Degree Sought					
Master's of Arts	3	2.7%	3	4.2%	100.0%
Master's of Science	14	12.5%	10	13.9%	71.4%
Doctorate	95	84.8%	59	81.9%	62.1%
Program					
Applied Mathematics	7	6.3%	5	6.9%	71.4%
Biological Engineering	7	6.3%	4	5.6%	57.1%
Electrical Engineering	14	12.5%	11	15.3%	78.6%
Environmental Systems	20	17.9%	15	20.8%	75.0%
Mechanical Engineering	3	2.7%	2	2.8%	66.7%
Physics & Chemistry	10	8.9%	7	9.7%	70.0%
Quantitative & Systems Biology	23	20.5%	12	16.7%	52.2%
Social & Cognitive Sciences	16	14.3%	9	12.5%	56.3%
World Cultures	12	10.7%	7	9.7%	58.3%

Table 2. Program, Quality of Interactions, and Course Work

Satisfaction with	Very Satisfied	Somewhat Satisfied	Somewhat Dissatisfied	Very Dissatisfied	Very/Somewhat Satisfied	Not Applicable
Overall satisfaction with program	**43%**	**43%**	**13%**	**1%**	**86%**	0%
Program						
Intellectual caliber of faculty	63%	32%	4%	1%	94%	0%
Program's ability to keep pace with recent developments in field	47%	39%	13%	1%	86%	1%
Adequacy of facilities	30%	41%	20%	10%	70%	0%
Quality of graduate-level teaching by faculty	44%	31%	20%	4%	76%	3%
Training in research methods	36%	38%	16%	10%	74%	3%
Amount of financial support	50%	31%	9%	10%	81%	1%
Teaching and TA preparation	35%	40%	15%	9%	75%	10%

Agreement with	Strongly Agree	Agree	Disagree	Strongly Disagree	Strongly Agree/ Agree	Not Applicable
Program						
Financial support for graduate students is distributed fairly	25%	48%	21%	6%	73%	0%
Staff in program are knowledgeable about rules and regulations that affect graduate students	31%	35%	21%	14%	65%	0%
There is a sense of intellectual community in program	24%	54%	16%	7%	77%	0%
Program structure encourages student collaboration or teamwork	13%	51%	26%	10%	64%	0%
Amount of coursework seems appropriate to the degree	17%	65%	14%	4%	82%	0%
Feedback on progress toward degree from advisor is ongoing and constructive	51%	31%	17%	1%	82%	0%
Own research interests are incorporated into my thesis work	53%	44%	3%	0%	97%	0%

Satisfaction with	Very Satisfied	Somewhat Satisfied	Somewhat Dissatisfied	Very Dissatisfied	Very/Somewhat Satisfied	Not Applicable
Quality of Interactions						
Advising & guidance	49%	32%	13%	7%	81%	0%
Professional relationship with faculty advisor	71%	19%	8%	1%	90%	0%
Helpfulness of staff in School or program	46%	38%	11%	6%	83%	0%

Faculty effort in helping to find employment	40%	29%	14%	17%	69%	51%
Opportunity to interact with across disciplines	31%	42%	16%	10%	73%	7%

Agreement with	Strongly Agree	Agree	Disagree	Strongly Disagree	Strongly Agree/ Agree	Not Applicable
Overall, the climate of my program is positive	**44%**	**46%**	**8%**	**1%**	**90%**	**0%**
Quality of Interactions						
Students in program are treated with respect by faculty	56%	40%	3%	1%	96%	0%
Rapport between faculty and graduate students in program is good	56%	38%	7%	0%	93%	0%
Own relationships and interactions with faculty are good	68%	31%	1%	0%	99%	0%
There are tensions among faculty that affect students	23%	18%	42%	17%	41%	0%
Students in program are collegial	42%	48%	7%	3%	90%	0%
Relationships and interaction with other students in program are good	55%	35%	7%	3%	90%	0%
Degree of competition among students is excessive	0%	8%	61%	31%	8%	0%
Am satisfied with amoung of time spent with advisor	53%	33%	14%	0%	86%	0%
My advisor has my interests in mind	60%	36%	4%	0%	96%	0%
There is a person or office I trust to report perceived abuse or misconduct in my program by my advisor or committee member	31%	40%	19%	10%	71%	0%
My advisor keeps track of my research progress and will help determine when I have accomplished enough work for my degree	57%	38%	6%	0%	94%	0%

Rating	Excellent	Good	Fair	Poor	Exellent/ Good	Not Applicable
Course Work						
Overall quality of course work in program	**26%**	**47%**	**22%**	**4%**	74%	**0%**
Availability of courses needed to complete program	14%	33%	35%	18%	47%	0%
Quality of instruction in courses	41%	39%	20%	0%	80%	0%
Encouragement to take courses outside program	16%	45%	17%	23%	61%	0%

Table 3. TA Experience						
Agreement with	**Strongly Agree**	**Agree**	**Disagree**	**Strongly Disagree**	**Strongly Agree/ Agree**	**Not Applicable**
As a teaching assistant, I was appropriately prepared and trained before entering the classroom.	36%	33%	16%	15%	69%	15%
As a teaching assistant, I was appropriately supervised to help improve my teaching skills.	25%	37%	22%	17%	62%	17%
The teaching experience available through my program is adequate preparation for an academic/teaching career.	24%	42%	18%	16%	66%	13%
The amount of time expected of me as a TA was about right.	25%	53%	14%	8%	78%	10%

Table 4. Program Support and University Resources

Satisfaction with:	Very Satisfied	Somewhat Satisfied	Somewhat Dissatisfied	Very Dissatisfied	Very/Somewhat Satisfied	Not Applicable
Program Support						
Courses, workshops or orientations on teaching	15%	48%	25%	13%	62%	14%
Assistance in developing professional contacts outside program	24%	29%	27%	20%	53%	18%
Feedback on your research	51%	36%	11%	1%	87%	1%
Advice on:						
Writing grant proposals	21%	30%	27%	21%	52%	20%
Publishing your work	38%	30%	18%	15%	67%	14%
Career options within academia	24%	36%	24%	17%	59%	17%
Career options outside academia	11%	33%	35%	21%	44%	20%
Research positions	18%	38%	34%	11%	55%	21%
Degree requirements	28%	42%	21%	9%	71%	0%
Preparing for examinations	32%	40%	22%	6%	72%	10%
Developing your thesis or dissertation proposal	34%	42%	20%	5%	75%	9%
Process required to select a thesis advisor	34%	36%	17%	13%	70%	24%
Standards for academic writing in your field	30%	41%	21%	8%	71%	7%
How to avoid plagiarism and other violations of the standards of academic integrity	37%	43%	11%	10%	79%	11%

How Frequently	Frequently	Occasionally	Never	Frequently/Occasionally
University Resources				
Library facilities	54%	44%	1%	99%
On-campus computer facilities	25%	49%	25%	75%
Web-based campus computer services (e.g., registration)	67%	32%	1%	99%
Graduate Division	22%	60%	18%	82%
Student Health Center	17%	51%	32%	68%
Health insurance (GSHIP)	27%	51%	21%	79%
Financial Aid Office	8%	36%	56%	44%
Career Services Center	1%	22%	76%	24%
Student Counseling Services	3%	11%	86%	14%
Child Care Referral Services	3%	4%	93%	7%
Disability Services	0%	3%	97%	3%

Learning Assistance Center	1%	4%	94%	6%
Billing and Payment Services	11%	69%	19%	81%
University Police	1%	29%	69%	31%
Housing	0%	6%	94%	6%
Office of the Registrar	14%	79%	7%	93%
Parking for students	35%	39%	26%	74%
Campus shuttle bus service (Cat Track)	32%	25%	43%	57%
Dining Services	31%	54%	15%	85%
Bookstore	19%	74%	7%	93%

Quality of experience with	**Excellent**	**Good**	**Fair**	**Poor**	**Exellent/ Good**	**Not Applicable**
University Resources						
Library facilities	31%	49%	13%	7%	80%	1%
On-campus computer facilities	28%	43%	22%	7%	71%	18%
Web-based campus computer services (e.g., registration)	28%	38%	28%	6%	66%	1%
Graduate Division	29%	45%	24%	2%	74%	10%
Student Health Center	21%	43%	23%	13%	64%	33%
Health insurance (GSHIP)	16%	43%	35%	7%	59%	18%
Financial Aid Office	11%	58%	8%	22%	69%	48%
Career Services Center	10%	30%	30%	30%	40%	71%
Student Counseling Services	8%	46%	15%	31%	54%	81%
Child Care Referral Services	0%	25%	0%	75%	25%	88%
Disability Services	0%	50%	0%	50%	50%	94%
Learning Assistance Center	0%	50%	17%	33%	50%	91%
Billing and Payment Services	9%	49%	29%	14%	58%	16%
University Police	10%	48%	32%	10%	58%	55%
Housing	9%	27%	18%	46%	36%	84%
Office of the Registrar	21%	43%	28%	8%	64%	6%
Parking for students	5%	17%	34%	44%	22%	10%
Campus shuttle bus service (Cat Track)	14%	26%	23%	37%	40%	39%
Dining Services	6%	41%	27%	25%	48%	10%
Bookstore	10%	53%	34%	3%	63%	3%

Table 5. Post Graduate School Plans

Professional Plans	Percentage
Engineering, Manufacturing	9%
Non-tenure-track faculty	4%
Tenure-track faculty	28%
Researcher (non faculty)	22%
Teacher	4%
Analyst	1%
Postdoctoral fellow	26%
Pursue another graduate degree (not at UC Merced)	6%
	100%
Type of Employer	
4-year college or university	54%
Community or junior college	4%
Elementary, secondary or special focus school	1%
Industry or business	21%
Hospital or clinic	0%
Non-profit organization or foundation	1%
U.S. (federal) government or your home country if not the U.S.	6%
State or local government	0%
National Laboratory	0%
Self-employed	0%
Unknown	13%
	100%

Table 6. Obstacles to Academic Progress

Rate extent of obstacle	Major	Minor	Not	Major/Minor
Work/financial commitments	29%	31%	40%	60%
Family obligations	16%	32%	52%	48%
Availability of faculty	7%	31%	63%	38%
Program structure or requirements	8%	40%	51%	49%
Dissertation topic/research	8%	32%	60%	40%
Course scheduling	8%	42%	50%	50%
Immigration laws or regulations	3%	10%	87%	13%
Other	5%	7%	88%	12%

Table 7. Student Life

How Frequently	Frequently	Occasionally	Never	Frequently/Occasionally
Social activites occur on campus?				
Organized university-wide social activities	18%	68%	14%	86%
Organized social activities within your school	23%	61%	17%	83%
Organized social activities within your advisor/research group	10%	62%	28%	72%
Do you attend social activities on campus?				0%
Organized university-wide social activities	11%	63%	26%	74%
Organized social activities within your school	24%	56%	20%	80%
Organized social activities within your advisor/research group	27%	46%	27%	73%

Table 8. General Assessment					
Rating	**Excellent**	**Good**	**Fair**	**Poor**	**Exellent/ Good**
Your academic experience at UC Merced	33%	50%	14%	3%	83%
Your student life experience at UC Merced	11%	45%	27%	17%	56%
Your graduate program at UC Merced	31%	49%	17%	4%	79%
Your overall experience at UC Merced	25%	53%	21%	1%	78%

Table 9A. Overall Evaluation of Campus and Program					
Likelihood of doing it again:	**Definitely**	**Probably**	**Probably Not**	**Definitely Not**	**Definitely/ Probably**
Select this same university?	32%	39%	18%	11%	71%
Select the same field of study?	59%	34%	7%	0%	93%
Recommend this university to someone considering your graduate program?	33%	38%	25%	4%	71%

Table 9B. Likelihood of Staying in Program						
Likelihood	**Very Likely**	**Somewhat Likely**	**Somewhat Unlikely**	**Highly Unlikely**	**Definitely/ Probably**	**Uncertain**
Stay in program until receive ultimate degree objective?	79%	14%	3%	1%	93%	3%

DRAFT

UC Merced
Enrollment Projections for Space Planning
Budgeted General Campus FTE through 2014-15 -- Undergraduate v. Graduate and Fall/Winter/Spring v. S

	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
	Actual	**Actual**	**Actual**	**Actual**	**Actual**	**Actual**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**
Fall/Spring HC																	
Undergraduate	0	819	1182	1712	2492	3105	3838	4470	5006	5448	5781	6082	6435	6776	7169	7575	8172
Graduate	12	37	77	120	184	228	239	281	323	369	424	492	558	624	691	757	832
Total	**12**	**856**	**1259**	**1832**	**2676**	**3333**	**4077**	**4751**	**5329**	**5817**	**6205**	**6574**	**6993**	**7400**	**7860**	**8332**	**9004**
			Diff	58	(44)	(94)	(327)	(405)	(471)	(478)	(350)	(24)	190	218	218	298	371
Fall/Spring FTE			**targets**	1,815	2,447	3,002	3,524	4,084	4,548	4,968	5,428	6,038	6,602	6,970	7,362	7,845	8,352
Undergraduate	0	824	1190	1757	2491	3096	3851	4489	5019	5446	5778	6062	6412	6752	7144	7547	7981
Graduate	12	38	79	126	190	236	240	279	321	368	422	489	556	621	687	754	820
Total	**12**	**862**	**1269**	**1883**	**2681**	**3332**	**4091**	**4768**	**5340**	**5814**	**6200**	**6551**	**6968**	**7373**	**7831**	**8301**	**8801**
Annualized HC Growth																	
Undergraduate		819	363	530	780	613	733	632	536	442	333	301	353	341	393	406	597
Graduate		25	40	43	64	44	11	42	42	46	55	68	66	66	67	66	75
Total		**844**	**403**	**573**	**844**	**657**	**744**	**674**	**578**	**488**	**388**	**369**	**419**	**407**	**460**	**472**	**672**
Fall/Spring FTE Growth																	
Undergraduate		824	366	567	734	605	755	638	530	427	332	284	350	340	392	403	434
Graduate		26	41	47	64	46	4	39	42	47	54	67	67	65	66	67	66
Total		**850**	**407**	**614**	**798**	**651**	**759**	**677**	**572**	**474**	**386**	**351**	**417**	**405**	**458**	**470**	**500**
Summer FTES																	
Summer Undergraduate			17	70	99	149	260	300	300	320	340	360	380	400	420	440	460
Summer Graduate			0	0	0	0	2	2	2	2	3	3	3	3	3	3	3
Total Summer			**17**	**70**	**99**	**149**	**262**	**302**	**302**	**322**	**343**	**363**	**383**	**403**	**423**	**443**	**463**
Annualized FTE																	
Total Undergraduate	0	824	1207	1827	2590	3245	4111	4789	5319	5766	6118	6422	6792	7152	7564	7987	8441
Total Graduate	12	38	79	126	190	236	242	281	323	370	425	492	559	624	690	757	823
Total FS + Summer	**12**	**862**	**1286**	**1953**	**2780**	**3481**	**4353**	**5070**	**5642**	**6136**	**6543**	**6914**	**7351**	**7776**	**8254**	**8744**	**9264**
Annualized FTE Growth				**667**	**827**	**701**	**872**	**717**	**572**	**494**	**407**	**371**	**437**	**425**	**478**	**490**	**520**
Targeted FTES		1000	1350	2000	2700	3418	4085	4802	5374	5932	6550	7332	8,065	8,633	9,258	9,962	10,710
FTE Growth Target			350	650	700	718	667	717	572	558	618	782	733	568	625	704	748
Proj/Actual - Targeted		**-138**	**-64**	**-47**	**80**	**63**	**268**	**268**	**268**	**204**	**-7**	**-418**	**-714**	**-857**	**-1004**	**-1218**	**-1446**
% Difference Target to Actual		-16.0%	-5.0%	-2.4%	2.9%	1.8%	6.2%	5.3%	4.8%	3.3%	-0.1%	-6.0%	-9.7%	-11.0%	-12.2%	-13.9%	-15.6%
FTE faculty (Ladder + Lect)		63	105	136	185	200	232.8	271.1	301.7	328.1	349.9	369.7	393.1	415.8	441.4	467.6	495.4
Ladder		45	69	83	110	118	134.7	151.7	168.7	184.7	201.7	218.7	234.7	251.7	268.7	284.7	300.7
Lecturer		18	36	53	75	82	98.1	119.4	133.0	143.4	148.2	151.0	158.4	164.1	172.7	182.9	194.7
Stu/Fac ratio		13.68	12.25	14.36	15.03	17.41	18.70	18.70	18.70	18.70	18.70	18.70	18.70	18.70	18.70	18.70	18.70
% Ladder Rank of faculty		71.4%	65.7%	61.0%	59.5%	59.0%	57.9%	56.0%	55.9%	56.3%	57.6%	59.2%	59.7%	60.5%	60.9%	60.9%	60.7%
Grad/Undergrad Hdct		4.4%	6.2%	6.7%	7.1%	7.1%	5.9%	5.9%	6.0%	6.3%	6.8%	7.5%	8.0%	8.4%	8.8%	9.1%	9.3%
Ladder Faculty Growth			24	14	27	8	17	17	17	16	17	17	16	17	17	16	16
Ladder Faculty New Hires							16	17	17	16	17	17	16	17	17	16	16
ENGR							3	3	2	3	2	3	2	3	2	3	2
NatSci							5	4	5	4	5	4	4	4	4	4	4
SSHA							8	9	8	8	9	9	8	9	9	8	9
Strategic Hires							-	1	2	1	1	1	2	1	2	1	1
% New Ladd Faculty by School																	
ENGR							18.8%	17.6%	11.8%	18.8%	11.8%	17.6%	12.5%	17.6%	11.8%	18.8%	12.5%
NatSci							31.3%	23.5%	29.4%	25.0%	29.4%	23.5%	25.0%	23.5%	23.5%	25.0%	25.0%
SSHA							50.0%	52.9%	47.1%	50.0%	52.9%	52.9%	50.0%	52.9%	52.9%	50.0%	56.3%
Strategic Hires							0.0%	5.9%	11.8%	6.3%	5.9%	5.9%	12.5%	5.9%	11.8%	6.3%	6.3%
Total Ladd Faculty FTE by School				83.8	110.1	118.7	134.7	151.7	168.7	184.7	201.7	218.7	234.7	251.7	268.7	284.7	300.7
ENGR				23.5	27.5	26.0	29.0	32.0	34.0	37.0	39.0	42.0	44.0	47.0	49.0	52.0	54.0
NatSci				31.7	41.1	46.5	51.5	55.5	60.5	64.5	69.5	73.5	77.5	81.5	85.5	89.5	93.5
SSHA				28.6	41.5	46.2	54.2	63.2	71.2	79.2	88.2	97.2	105.2	114.2	123.2	131.2	140.2
Strategic Hires				0.0	0.0	0.0	0.0	1.0	3.0	4.0	5.0	6.0	8.0	9.0	11.0	12.0	13.0
% Ladd Faculty FTE by School																	
ENGR				28.0%	25.0%	21.9%	21.5%	21.1%	20.2%	20.0%	19.3%	19.2%	18.7%	18.7%	18.2%	18.3%	18.0%
NatSci				37.8%	37.3%	39.2%	38.2%	36.6%	35.9%	34.9%	34.5%	33.6%	33.0%	32.4%	31.8%	31.4%	31.1%
SSHA				34.1%	37.7%	38.9%	40.2%	41.7%	42.2%	42.9%	43.7%	44.4%	44.8%	45.4%	45.9%	46.1%	46.6%
Strategic Hires				0.0%	0.0%	0.0%	0.0%	0.7%	1.8%	2.2%	2.5%	2.7%	3.4%	3.6%	4.1%	4.2%	4.3%
Total Lecturer FTE by School																	
ENGR						4.9	5.9	7.2	8.0	7.9	7.4	7.6	7.9	8.2	8.6	9.1	9.7
NatSci						16.8	20.6	23.9	26.6	28.7	29.6	29.4	30.1	30.4	31.1	32.0	33.1
SSHA						59.4	71.6	88.4	98.4	106.8	111.2	114.0	120.4	125.5	133.0	141.7	151.9
Total Lecturers						81.1	98.1	119.4	133.0	143.4	148.2	151.0	158.4	164.1	172.7	182.9	194.7
% Lecturer FTE by School																	
ENGR						6.04%	6.00%	6.00%	6.00%	5.50%	5.00%	5.00%	5.00%	5.00%	5.00%	5.00%	5.00%
NatSci						20.72%	21.00%	20.00%	20.00%	20.00%	20.00%	19.50%	19.00%	18.50%	18.00%	17.50%	17.00%
SSHA						73.24%	73.00%	74.00%	74.00%	74.50%	75.00%	75.50%	76.00%	76.50%	77.00%	77.50%	78.00%
							100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

DRAFT

UC Merced
Enrollment Projections for Space Planning
Budgeted General Campus FTE through 2014-15 -- Undergraduate v. Graduate and Fall/Winter/Spring v. S

	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
	Actual	**Actual**	**Actual**	**Actual**	**Actual**	**Actual**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**
Student/Ladder ratio		19.2	18.6	23.5	25.3	29.5	32.3	33.4	33.4	33.2	32.4	31.6	31.3	30.9	30.7	30.7	30.8
GSIs (TAs)		15	26	36	50	64	93	109	121	131	139	146	154	163	172	182	192
PostDocs (using ucsc)		6	11	9	17	18	23	30	39	46	52	59	67	79	88	98	109
ratio PD/FTEF		0.10	0.10	0.07	0.09	0.09	0.10	0.11	0.13	0.14	0.15	0.16	0.17	0.19	0.20	0.21	0.22
UCSC ratio		0.22															
Staff FTE		322	359	466	537	609											
Non-Fac Academic Appt FTE		27	18	20	26	20											
TOTAL Staff/Non-Fac		349	377	486	563	629	675	813	935	1,050	1,155	1,257	1,376	1,497	1,633	1,777	1,932
Ratio Staff to Faculty		5.1	3.4	3.4	2.9	3.0	2.9	3.0	3.1	3.2	3.3	3.4	3.5	3.6	3.7	3.8	3.9
%GradFTE		4.4%	6.1%	6.5%	6.8%	6.8%	5.6%	5.5%	5.7%	6.0%	6.5%	7.1%	7.6%	8.0%	8.4%	8.7%	8.9%
Annualized FTE growth		850	424	667	827	701	872	717	572	494	407	371	437	425	478	490	520
										sch of med							
Undergrads per Ladder Fac FTE		18.3	17.5	22.0	23.5	27.5	30.5	31.6	31.5	31.2	30.3	29.4	28.9	28.4	28.2	28.1	28.1
Grads per Ladder Fac FTE		**0.8**	**1.1**	**1.5**	**1.7**	**2.0**	**1.8**	**1.9**	**1.9**	**2.0**	**2.1**	**2.2**	**2.4**	**2.5**	**2.6**	**2.7**	**2.7**
Grads by Discipline																	
Arts			**0**	0	0	0	0	0	1	3	6	9	12	16	23	28	30
Humanities			12	14	21	26	18	20	20	22	38	44	50	58	64	73	79
Social Sciences/Psychology			14	18	26	40	43	62	79	93	122	148	176	216	250	285	336
Life Sciences			34	45	67	80	55	53	53	54	89	100	108	116	123	129	134
Physical Sci/Math			13	22	34	42	30	31	32	33	57	66	75	83	92	101	110
Engineering/Computer Sci			6	25	38	47	33	32	34	35	59	66	75	79	87	95	104
Professional Fields			0	0	0	0	0	0	0	0	2	4	4	5	5	6	6
Multi-Interdisc & Misc																	
Total Acad Grads			**79**	**126**	**190**	**236**	**167**	**171**	**178**	**185**	**319**	**369**	**414**	**462**	**511**	**560**	**609**
Total Grad Professional			**0**	0	0	0	75	110	145	185	106	123	145	162	179	197	214
Total State Supported Grads*			**79**	**126**	**190**	**236**	**242**	**281**	**323**	**370**	**425**	**492**	**559**	**624**	**690**	**757**	**823**
*Includes Summer																	
Ratio Grad Prof'l/Tot State Supp Grads							0.31	0.39	0.45	0.50	0.25	0.25	0.26	0.26	0.26	0.26	0.26
Grads by Discipline																	
Arts			0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.5%	1.5%	2.0%	2.5%	3.0%	3.5%	4.5%	5.0%	5.0%
Humanities			15.2%	11.1%	11.0%	11.0%	11.0%	11.5%	11.5%	12.0%	12.0%	12.0%	12.0%	12.5%	12.5%	13.0%	13.0%
Social Sciences/Psychology			17.7%	14.3%	2.0%	3.5%	5.0%	8.0%	9.0%	9.5%	11.0%	12.5%	14.0%	16.0%	17.0%	18.0%	20.0%
Life Sciences			43.0%	35.7%	35.0%	34.0%	33.0%	31.0%	30.0%	29.0%	28.0%	27.0%	26.0%	25.0%	24.0%	23.0%	22.0%
Physical Sci/Math			16.5%	17.5%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%	18.0%
Engineering/Computer Sci			7.6%	19.8%	20.0%	20.0%	20.0%	19.0%	19.0%	19.0%	18.5%	18.0%	18.0%	17.0%	17.0%	17.0%	17.0%
Professional Fields			0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.5%	1.0%	1.0%	1.0%	1.0%	1.0%	1.0%
Multi-Interdisc & Misc			0.0%	0.0%	14.0%	13.5%	13.0%	12.5%	12.0%	11.0%	10.0%	9.0%	8.0%	7.0%	6.0%	5.0%	4.0%
Total Acad Grads			100.0%	98.4%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Faculty by Discipline																	
Arts		0.00	-	-	-	-	-	-	1	2	3	4	5	6	9	10	11
Humanities		0.16	11	9	12	13	10	11	11	11	18	20	21	23	25	27	29
Social Sciences/Psychology		0.23	16	12	15	20	24	33	42	47	58	67	73	86	96	106	124
Life Sciences		0.17	12	30	39	40	31	28	28	27	42	45	45	46	47	48	50
Physical Sci/Math		0.25	17	15	20	21	17	16	17	17	27	30	31	33	35	37	41
Engineering/Computer Sci		0.28	19	17	22	24	18	17	18	18	28	30	31	32	33	35	39
Professional Fields		0.00	-	-	-	-	-	-	-	-	1	2	2	2	2	2	2
Multi-Interdisc & Misc		0.00	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Ladd Faculty FTE		1.00	69	83	110	118	135	152	169	185	202	219	235	252	269	285	301
			75	83	108	118	100	105	117	122	177	198	208	228	247	265	296
		Diff	(6)	-	2	-	35	47	52	63	25	21	27	24	22	20	5
Total bachelors degrees		2	61	63	305	390	455	610	770	937	1,021	1,079	1,160	1,238	1,306	1,385	1,477
Total masters degrees		-	2	2	13	8	5	11	13	16	20	24	28	31	37	40	46
Total doctoral degrees		-	-	1	5	14	23	31	39	42	36	44	57	64	72	80	87
% Undergrads by School (prorating Undeclared)																	
SSHA				43.5%	44.6%	44.4%	44.3%	45.2%	46.2%	47.0%	47.0%	48.0%	48.5%	49.0%	49.0%	49.5%	50.0%
Engineering				18.8%	20.5%	19.1%	19.1%	18.6%	18.1%	18.1%	18.1%	17.5%	17.0%	16.5%	16.0%	15.5%	15.0%
Natural Sciences				37.7%	34.9%	36.5%	36.6%	36.2%	35.7%	34.9%	34.9%	34.5%	34.5%	34.5%	35.0%	35.0%	35.0%
TOTAL				100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Undergrad FTES by School																	
SSHA				795	1155	1441	1821	2165	2457	2710	2875	3083	3294	3504	3706	3954	4221
Engineering				343	531	620	785	891	963	1044	1107	1124	1155	1180	1210	1238	1266
Natural Sciences				689	904	1184	1505	1734	1899	2012	2135	2216	2343	2467	2647	2795	2954
TOTAL				1827	2590	3245	4111	4789	5319	5766	6118	6422	6792	7152	7564	7987	8441
UG FTES per Ladd Fac by School																	
SSHA				27.8	27.8	31.2	33.6	34.3	34.5	34.2	32.6	31.7	31.3	30.7	30.1	30.1	30.1
Engineering				14.6	19.3	23.8	27.1	27.8	28.3	28.2	28.4	26.8	26.3	25.1	24.7	23.8	23.4
Natural Sciences				21.7	22.0	25.5	29.2	31.2	31.4	31.2	30.7	30.1	30.2	30.3	31.0	31.2	31.6
TOTAL				21.8	23.5	27.3	30.5	31.6	31.5	31.2	30.3	29.4	28.9	28.4	28.2	28.1	28.1

UC Merced
Enrollment Projections for Space Planning
Budgeted General Campus FTE through 2014-15 -- Undergraduate v. Graduate and Fall/Winter/Spring v. S

	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
	Actual	**Actual**	**Actual**	**Actual**	**Actual**	**Actual**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**	**Projected**

UCMERCED

Repeat Course Analysis

IPA conducted an analysis that examined courses which are repeated by UC Merced students. Our analysis looked at the type of courses most often repeated and if variables such as ethnicity, gender or major were factors. It is important to remember that some students may originally have taken a course at another institution (i.e. Merced College) and repeated that course at UC Merced.

The percent of students who must repeat courses has retention and graduation rate implications for the campus. From fall 2005 through spring 2009, slightly over 24% (877/3598) of the undergraduate student body at UC Merced has repeated at least one course. A chi-square analysis was run to determine if there was a statistically significant difference in students who repeated courses by ethnicity and gender. The analysis showed that males and under-represented minority students were more likely to repeat a course.

Table 1: Most repeated courses and the number of times students re-took the course

Courses	One	Two	Three	Four
Math 005 Pre-Calculus	191	25	1	0
Math 021 Calculus I	145	12	2	1
Math 022 Calculus II	126	11	2	0
Bis 001 Contemporary Biology	97	18	2	0
Chem 001 Preparatory Chemistry	69	2	2	0
WRI001 Academic Writing	69	4	0	0
Chem 008 Principles of Organic Chemistry	60	13	0	0

Student grades were recoded into numeric equivalents (A = 4.0, B = 3.0 etc.) to calculate the average increase in grades between the first and last time the student took the course. On average, student grades in the most repeated courses improved sufficiently to pass.

Table 2: Average grades for first and last time students took a repeated course

Course	First Time in Course	Last Time in Course
Math 005 Pre-Calculus	F	C-
Math 021 Calculus I	F	C-
Math 022 Calculus II	F	C
Bis 001 Contemporary Biology	D-	C-
Chem 001 Preparatory Chemistry	F	C
WRI 001 Academic Writing	D-	C-
Chem 008 Principles of Organic Chemistry	F	C

A Chi-square 2x2 analysis showed that males were more likely to repeat a course than females.

Table 3: Chi-Square 2x2 table for repeated course significance by gender (p = .007)

Group	Value
Females	3.9%
Males	4.4%
Chi-Square Expected Value	4.2%

A Chi-square 2x2 analysis showed that under-represented minority students (African-Americans, Hispanics & American Indians) were more likely to repeat a course than Asian or White students.

Table 3: Chi-Square 2x2 table for repeated course significance by ethnic group (p = .024)

Group	Value
Asian/White Students	4.0%
Under-represented Minority Students	4.5%
Chi-Square Expected Value	4.2%

An analysis was performed to determine if students in a specific major at time of course were more likely to repeat courses. Students with a Management major were found to be slightly more likely to repeat a course and undeclared students were slightly less likely to repeat a course.

Table 4: Majors of students who repeated courses, the percentage of majors for students who repeated courses and the representative range of majors among all undergraduate students from fall 2005 through spring 2009.

Major	N	% *	Range
Biological Sciences	267	30%	24% - 30%
Psychology	109	12%	1% - 13%
Undeclared	92	11%	12% - 15%
Management	73	8%	6% - 7%
Computer Science & Engineering	61	7%	5% - 7%
Mechanical Engineering	40	5%	2% - 6%
Bioengineering	36	4%	3% - 4%
Political Science	31	4%	3% - 5%
Cognitive Science	24	3%	2% - 3%
Undeclared Engineering**	20	2%	2% - 5%
Social & Cognitive Science	16	2%	1% - 14%
Undeclared Natural Science**	15	2%	1% - 5%
Economics	14	2%	1% - 2%
Chemical Sciences	12	1%	1% - 4%
Mathematical Sciences	11	1%	1% - 2%
All Other Majors	56	7%	N/A

*Percentages may not total to 100% due to rounding.

** Undeclared students with a school designation have not yet selected an area of concentration.

Classroom/Class Labs Projections
Draft
December 11, 2008

- Base year = Fall 2008 actuals; LREP projection model for Fall 2009-Fall 2013

- Four scenarios for projecting **undergraduate** headcount enrollments by School/Major for next 5 years (F09-F13)
  - Status quo: use same distribution for School/Major enrollments as F08
  - Engineering increases share at expense of other Schools
  - Natural Sciences increases share at expense of other Schools
  - Social Sciences, Humanities, and Arts increases share at expense of other Schools

- Distribute Undecided/Undeclared students according to their distribution by School where they end up in F08

	9%	25%	66%	
	Engr	NatSci	SSHA	Undeclared
F05 cohort	7.7%	24.4%	62.8%	5.1%
F06 cohort	9.1%	31.8%	47.0%	12.1%
F07 cohort	5.3%	7.6%	13.6%	73.5%

- Schools provide "typical" 8-semester course sequence for at least two majors (representing different classroom/class lab needs for course deliveries)
  - Engineering: Bioengineering; Mechanical Engineering
  - Natural Sciences: Biological Sciences (Human Biology); Applied Math
  - SSHA: Psychology; Management

- Schools grouped other majors into their two "typical" majors for classroom/lab planning:
  - Engineering:
    - Bioengineering includes: ½ of Computer Science/Engineering plus all of Materials Sciences & Engineering
    - Mechanical Engineering: includes all of Environmental Engineering + Computer Sci/Engrg
    - Undecided Engr: split proportionally (based on F08) between Bioengr & Mech Engrg (44% vs 56%)

  - Natural Sciences:
    - Biological Sciences (Human Biology): includes Chemical Sciences, Earth Systems Science, & Physics
    - Applied Mathematical Sciences (Physics emphasis)
    - Undecided Nat Sci split proportionally between BioSci & Math (95% vs. 5%)
  - SSHA:
    - Psychology: Cognitive Sciences, History, Literature & Cultures, Social & Cognitive Sciences, World Cultures & History
    - Management: Anthropology, Economics, Political Scienc
    - Undecided SSHA split proportionally between Psych & Mgmt (60% vs. 40%)
- Distributed headcounts into major/class level based on overall distribution by class level.
- Issues:
  - Arts?
  - New programs?
  - Gen Ed (CORE 1, CORE 100)?
  - Time courses are offered (7am-7pm; 7am-10pm; weekends)?
  - Delivery of F08 courses constrained by room availability?
  - Future delivery of courses could/should be different? Implications for room sizes needed?
  - Assumes students take only 8 semesters (freshman cohorts) or 4 semesters (transfers) and are FT
  - Does not include graduate enrollments

- Categorize F08 courses into room types and sizes (# stations)
- Project enrollments: typical majors by class level of students in each fall semester (freshmen, sophomore, junior, senior)
- Use 1st semester course schedule for freshmen, 3rd for sophomores, 5th for juniors, and 7th for seniors
- Calculate # of classrooms/labs needed to accommodate enrollments/seats

Provide projection scenarios to Provost by mid-late January 2009.

UC Merced Faculty Workload, by School			
	Student Credit Hours*		
	AY05-06	AY06-07	AY07-08
Engineering	2,301	3,032	4,551
Natural Sciences	9,470	14,503	21,005
SSHA	14,801	19,226	26,846
Total	**26,572**	**36,761**	**52,402**
*As of census date each semester			

UC Merced Faculty Workload, by School			
	% of Total Student Credit Hours*		
	AY05-06	AY06-07	AY07-08
Engineering	8.7%	8.2%	8.7%
Natural Sciences	35.6%	39.5%	40.1%
SSHA	55.7%	52.3%	51.2%
Total	100.0%	100.0%	100.0%
*As of census date each semester			

Source: IPA enrollment & instructional activity files

Prepared by: UCM IPA, May 14, 2008

UC Merced Campus Profile
Accountability Framework: 2010
(Published April 2010)

About UC Merced

UC Merced, as the 10th campus in the University of California system, is the first new American research university in the 21st century and the first UC in 40 years. Opened in Fall 2005,[1] the student-centered research university expands access to a UC education to historically underserved populations across the State, including those in the San Joaquin Valley where the campus is located. Nine of the 11 counties in the Valley experienced increases in the college-going rates of public high school graduates to UC campuses between 2005 (the year UC Merced opened) and 2008.[2]

Taking advantage of its proximity to the Sierra foothills and Yosemite National Park, the campus has developed a unique partnership with the National Park Service, Yosemite National Park and Sequoia & Kings Canyon National Park. This partnership offers unrivaled experiences for faculty, students and park personnel to foster important research that impacts the Sierra and the Valley and, through programs like the Yosemite Leadership Program, to guide students to become better stewards of the natural environment.

UC Merced faculty offer academic programs and provide research opportunities that promote in students the excitement of discovery and investigation. With a 16 to 1 Student-to-Faculty ratio (Fall 2009) and small class sizes (more than 70% of the classes are under 30 students; more than 80% under 50 students), UC Merced has all the advantages of a small, highly-selective liberal arts college along with the resources and educational stimulation of a world-class research university.

Growing fast

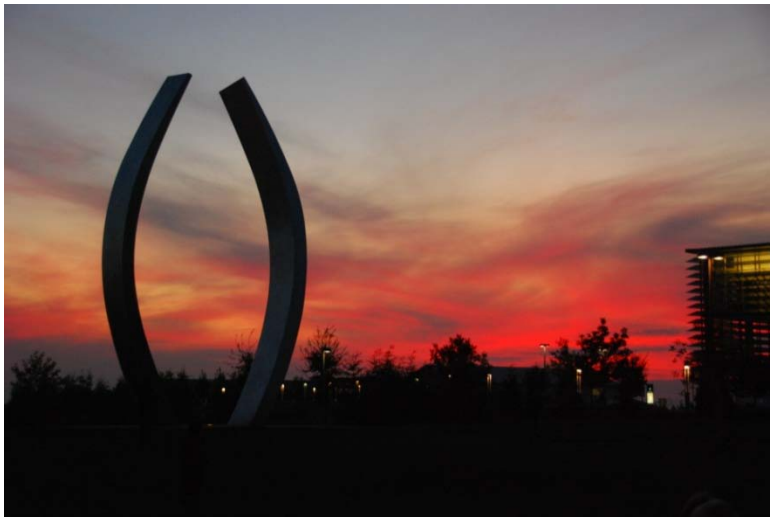
Like sister UC campuses established many years ago (e.g. UC Berkeley, UCLA and UC Irvine), UC Merced was placed in the rural outskirts of a city, with the expectation that the campus will gradually become integrated with the surrounding community. The campus' pioneering class consisted of 838 undergraduates (706 freshmen and 132 transfers) and 37 graduate students.[3] Four years later (Fall 2009), the student population had almost quadrupled (from 875 to 3,414). Freshman applicants to UC Merced grew by over 48% (from 14,078 to 20,851), while transfer applicants increased by over 53% (from 1,797 to 2,764). The campus opened with nine undergraduate degree programs and, by Fall 2009, doubled its offerings to 18. Long-range enrollment projections estimate that fall enrollments will exceed 5,000 by 2012 and 10,000 by 2020. In addition to its original three schools (Engineering, Natural Sciences, and Social Sciences, Humanities & Arts), the campus' future will include professional education schools, such as management and medicine, which are in the early planning stages.

[1] The campus actually opened in Fall 2004 with 13 graduate students who had come with the 65 founding faculty from other universities.
[2] Data obtained from the California Postsecondary Education Commission: http://www.cpec.ca.gov/StudentData/CaCGRTrendOptions.asp
[3] By contrast, UC Berkeley opened in 1868 with 40 students and 10 faculty. UCLA started in 1919 with only 2-year programs (260 junior college students and 1,078 students in a teachers training program) before adding the 3rd and 4th years in 1924.

Achievements in first few years

From the beginning, the Regents expected the campus to use the most advanced techniques in energy and resource conservation. UC Merced's commitment to environmental sustainability is reflected in its distinction as the first campus in the country with an expressed goal to achieve campus-wide LEED[4] certification. As of April 1, 2010 the campus has one Silver and six Gold LEED-certified buildings, with an additional three building certifications pending for existing buildings. The new 2009 Campus Long-Range Development Plan (LRDP) sets new standards for sustainability and environmental stewardship by raising the bar on UC Merced's previously stated goal of achieving LEED Silver certification for all buildings on campus. The new LEED goal is a minimum of Gold for future projects. In addition, the 2009 LRDP adds a new "triple-net-zero" goal for the university: to consume no offsite or nonrenewable energy, to produce no net carbon emissions, and to produce no landfill waste by 2020. The campus also commits itself to minimizing water consumption and exploring the feasibility of achieving water neutrality. As a "green" campus, UC Merced is leading the way in environmental stewardship and research to preserve the natural resources.

UC Merced Enrollment Growth			
	Fall 2005	Fall 2007	Fall 2009
Total Enrollment	875	1,871	3,414
Undergraduate Enrollment	838	1,750	3,190
Graduate Enrollment	37	121	224
Freshman Applications	14,078	15,094	20,851
First-Time Freshman Enrollment	706	669	1,128
Transfer Applications	1,797	1,825	2,764
New Transfer Enrollments	132	116	145
Full-Time Faculty	61	118	184
Part-Time Faculty	4	30	33



During the first two years, UC Merced went through a comprehensive WASC accreditation review and was granted candidacy in June 2007. The Initial Accreditation process is underway, with a decision target date of Spring 2011.

In addition to the accumulation of over $89 million in grants and contracts awarded to UC Merced faculty, several faculty members have received highly competitive national awards: one Young Investigator Career Award from the Department of Defense's Advanced Research Projects Agency (DARPA), two Presidential Early Career Awards for Scientists and Engineers (PECASE), four National Science Foundation Faculty Career Development (CAREER) Awards, one CIRM Young Investigator Award, and the Crashaw Prize (an international poetry award). Two UC Merced professors are members of the esteemed American Association for the Advancement of Science. Already in UC Merced's short history, students also have competed and won prestigious national and state awards, including three Strauss Foundation Awards and one Truman Scholar.

[4] Leadership in Energy and Environmental Design (LEED) is a program of the U.S. Green Building Council that rates structures on various aspects of environmental performance.

Undergraduate Access & Preparation

First-time freshmen

UC Merced draws its freshman cohorts from the State's UC-eligible applicants (top 12.5% of the high school graduates) as well as UC-qualified applicants from other states and countries.

Fall 2009 freshmen averaged 1034 on the SAT (Critical Reading and Math), over 20 points higher than the average for the State (1013). Their average high school GPA was 3.44 (middle 50% was 3.18-3.68).[5] This freshman class had 19 Regents Scholars. These prestigious Regents Scholarships are awarded to students based solely on their academic and personal achievements.

Freshman Characteristics	
	Fall 2009
Total	1128
Average SAT (Critical Reasoning & Math)	1034
Average HS GPA	3.44
% First-Generation College[1]	52.4%
% First Language Non-English	15.9%
% Low Income (Pell Grant Eligible)	53.0%
% Female	52.7%
% Ethnicity	
African-American	8.4%
Asian-American	33.6%
Hispanic	35.2%
Native American	1.0%
White	18.2%
International	0.8%
Unknown	2.8%
% California Residents	98.5%
% Live in Campus Housing	75.6%
[1]Neither parent graduated from a 4-year college.	

Part of UC Merced's mission is to increase access to a four-year college education, especially UC education, for the previously underserved high school graduate population in the San Joaquin Valley. In Fall 2009, 32% of the freshman class came from the Valley, compared to 26% in Fall 2005. More than half of the class (52%) were first-generation college students.[6] The campus admits a higher percentage of first-generation college freshmen than any other UC campus. Similarly, compared to the other UC campuses, Merced's freshman class is more likely to come from low-income families (50% of UC Merced Fall 2009 admitted freshmen indicated that they were low income, compared to 37% system-wide; 53% of enrolled freshmen were eligible to receive Pell Grants[7]). Many of these students also come to UC Merced as second-language learners. For about 16% of the new freshmen in 2009, English was not their first language. The success of these students is critical to the future of the Valley and California. UC Merced's support services include mid-semester grades and academic success workshops, general and major advising, tutoring, peer mentoring, as well as career and psychological counseling. First-year retention rates (Fall 2005-Fall 2008 cohorts) for first-generation college students averaged about 80%, compared to approximately 83% for freshmen from families with at least one parent who graduated from a 4-year college.

[5] To meet the UC System Scholarship requirement, students must attain a minimum GPA of 3.0 in A-G courses (15 units of required subject course work in History/Social Science, English, Mathematics, Laboratory Science, Language other than English, Visual and Performing Arts, and College-Preparatory Electives).
[6] Neither parent graduated from a four-year college.
[7] Federal Pell Grants are awarded to families with low incomes and are based on formula that includes family income, other assets, and household size. Generally, students with family incomes up to $55,000 may be eligible, although most Pell awards go to students with family incomes below $20,000.

Transfers

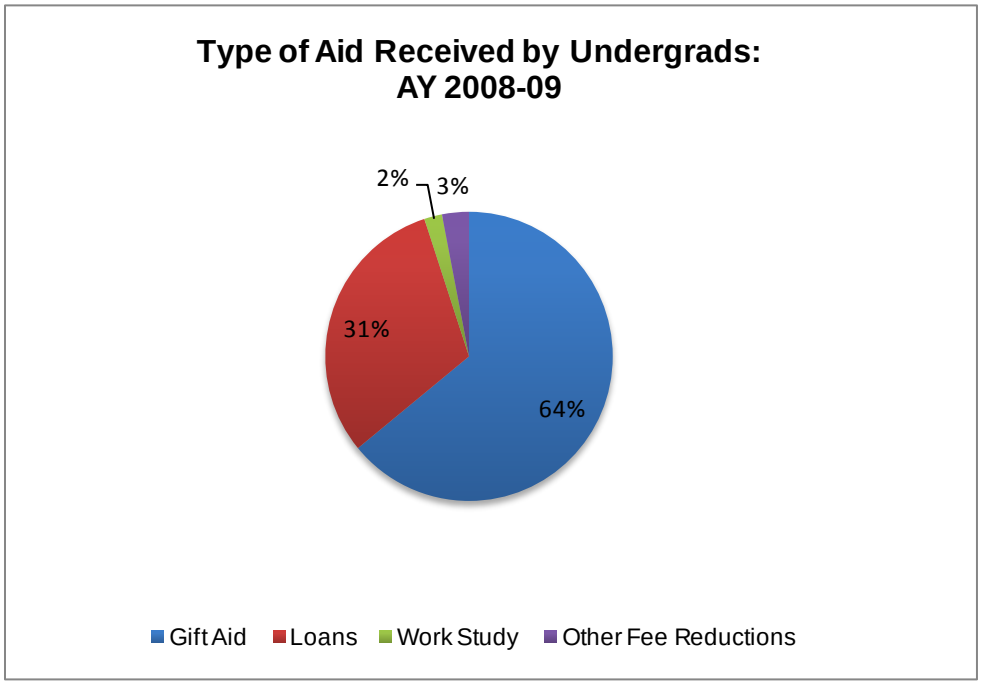
Junior level transfers from California community colleges come with 60 semester units of college credit and at least a 2.4 GPA, as well as all other course transfer and grade requirements. The average prior-college GPA for the 145 new transfer students in Fall 2009 was 3.02. Three of the Fall 2009 transfers received the distinguished Regents Scholarships. Most transfers (90%) came from California Community Colleges (CCCs) and, like the new freshmen, many were first-generation college students (56%), low-income (56%) and, for about 10% of them, English was not their first language.

Transfer Student Characteristics	
	Fall 2009
Total	145
Average Prior College GPA	3.02
% First-Generation College[1]	55.9%
% First Language Non-English	9.7%
% Low Income (Pell Grant Recipient)	55.9%
% Female	42.8%
% Ethnicity	
African-American	7.6%
Asian-American	23.4%
Hispanic	29.0%
Native American	0.7%
White	33.1%
International	0.7%
Unknown	5.5%
% California Residents	99.3%
% Live in Campus Housing	24.1%
% From California Community Colleges	90.3%
[1]Neither parent graduated from a 4-year college.	

On average, about 83% of the upper-division CCC transfers were retained after one year; almost 45% graduated within two years and 67% within four years. UC Merced transfer-student support services include the Transfer Student Association, the Student Transfer Outreach Mentor Program (STOMP), the Student Ambassador Program, and a transfer student wiki where information is shared about student life and the transfer student experience at Merced and other campuses.

Undergraduate Affordability

The goal of UC Merced's financial aid program is to remove financial barriers and help ensure that every eligible student has the opportunity to pursue his/her educational objectives. In Fall 2008, 63% of Merced full-time undergraduates received need-based scholarship or grant aid, averaging $11,431. Of the financial aid dollars dispersed to undergraduates in 2008-09, 64% were gift aid (grants and scholarships), 31% were loans, 2% work study, and 3% other fee reductions/waivers.



Undergraduate Student Profile

UC Merced draws undergraduate students from across California: 32% from the San Joaquin Valley, 29% from the San Francisco Bay Area, 28% from Southern California, 10% from other places. The undergraduate student body is very diverse, with no ethnic majority: 32.9% Asian, 32.2% Hispanic, 21.9% White, 7.2% African-American, 5.8% Other (including 0.7% Native American, 1.1% International, and 4.0% Unknown). Counter to the trend at most other four-year colleges in California and in the nation, UC Merced has more male undergraduates (new and continuing) than female. Almost half of the undergraduate programs offered are STEM (Science, Technology, Engineering and Mathematics) programs representing 62% of the declared undergraduate majors. The top five most popular undergraduate majors in Fall 2009 were Biological Sciences, Psychology, Management, Mechanical Engineering, and Computer Science & Engineering.

Undergraduate Student Success

While UC Merced already has awarded 611 bachelor's degrees through Fall 2009, May 16, 2009 marked the four-year graduation milestone for UC Merced's pioneering class of first-time freshmen. First Lady Michelle Obama, among other dignitaries, participated in the graduation ceremony for the Class of 2009. Graduates from this first class are pursuing graduate or professional degrees at institutions such as UCSF School of Medicine, Claremont Graduate School, Harvard University Graduate School, Syracuse University School of Law, UC Davis School of Veterinary Medicine, and UCSF School of Dentistry. In a system-wide survey (UCUES) conducted in Spring 2008, 30% of UC Merced seniors indicated that they intended to pursue a doctoral degree after graduation. This was higher than any other UC campus. The system-wide average was 23%. In addition, 25% said they intend to pursue medical or other health professional degrees and 10% planned to get law degrees. Results from a survey of undergraduate alumni this past year revealed that 33% of respondents have enrolled in graduate degree programs; 13% at the doctoral level.

Undergraduate Student Profile	
	Fall 2009
Total	3,190
% First-Generation College[1]	52.4%
% First Language Non-English	15.9%
% Low Income (Pell Grant Recipient)	49.4%
% Female	46.7%
% Ethnicity	
African-American	7.2%
Asian-American	32.9%
Hispanic	32.2%
Native American	0.7%
White	21.9%
International	1.1%
Unknown	4.0%
% California Residents	98.5%
% San Joaquin Valley	32.0%
% Live in Campus Housing	37.2%
% Full-time	99.2%
[1]Neither parent graduated from a 4-year college.	

Undergraduate Student Experience

UC Merced participates in the UC Education Abroad Program (EAP), which gives undergraduates the opportunity to study in countries such as Israel, China, Spain, the United Kingdom, and more. Almost 50 students have studied abroad (for a semester or a summer) in the last four years. Besides these international opportunities, Merced undergraduates also have taken advantage of special domestic programs. The UCDC academic program gives students the opportunity to continue their studies at the UC Washington Center while interning in Washington D.C. Similarly, the UC Sacramento program includes rigorous coursework as well as intern and research experience in the State Capitol. Eleven Merced students have participated in these internship programs so far. With over 100 campus clubs and organizations, students find rewarding activities and opportunities for leadership experience as well as for expanding friendships. Merced seniors who responded to the UCUES survey in Spring 2008 were just as satisfied, or more so, with their campus as UC seniors system-wide. UC Merced seniors clearly had more direct interaction with faculty members than their counterparts at other UC campuses. They were more likely to have talked with an instructor outside of class about course material (85% vs. 63%) and to have worked with a faculty member on a campus activity other than coursework (49% vs. 29%). Merced seniors, compared to seniors system-wide, enrolled at much higher rates in at least one independent research course (62% vs. 49%), and were more likely to have assisted faculty with research or a creative activity (68% vs. 53%).

In Their Own Words

Undergraduate Student Experience: Seniors Spring 2008 UCUES[1]		
	UC Merced	UC System
Would choose to attend this institution again	86%	84%
Were satisfied with their overall academic experience	88%	85%
Were satisfied with the value of their education for the price they paid	75%	74%
Reported that their campus had a strong commitment to undegraduate education	87%	86%
Were satisfied with advising by faculty on academic matters	87%	81%
Talked with an instructor outside of class about course material	85%	63%
Worked with a faculty member on a campus activity other than coursework	49%	29%
Enrolled in at least one independent research course	62%	49%
Assisted faculty with research or a creative activity	68%	53%

[1]University of California Undergraduate Experience Survey

Responding to being asked how their experience at UC Merced prepared them for their future endeavors, seniors graduating in Spring 2009 reinforced the common themes related to working closely with faculty and being able to work on meaningful research projects as an undergraduate:[8]

- "I have had the opportunity to work on a few projects that would not have been possible at a larger university..... I don't think I would have had the opportunity to be writing a book during my undergraduate career anywhere else" (referring to "The Fairy Shrimp Chronicles").
- "I learned the value of hard work and being a leader," another senior said.
- Another expressed appreciation for "the importance of working within an interdisciplinary group, the value of efficient teamwork and the ability to develop my interest in biomedical research."
- "UC Merced allows its students more access to research positions and internships than its larger counterparts."
- Still another mentioned that he "helped found the local chapter of the National Society of Black Engineers..., participated in a rewarding service-learning program," ....and, "more importantly, I made connections here by doing research, mentoring lower classmen and learning from great teachers and advisors."

Graduate Student Profile

Graduate-level applications to UC Merced have increased almost five-fold, from 78 in Fall 2005 to 381 in Fall 2009. The median GRE score for enrolled graduate students is 1174. Over three-quarters (79%) of the graduate students are in STEM fields. Almost 87% are pursuing doctoral degrees. They represent diverse backgrounds with one-third coming from other countries. Like the undergraduates, there is no ethnic majority: 1.3% African-American, 8.5% Asian-American, 13.4% Hispanic, 33.5% White; 33.0% Internationals, and 10.2% Other/Unknown. From FY2005-06 through Fall 2009 the campus awarded 28 master's degrees and eight doctoral degrees.

Graduate Student Characteristics	
	Fall 2009
Total	224
Median GRE (Verbal & Quantitative)	1174
% Master's students	13.4%
% Doctoral Students	86.6%
% Female	37.1%
% Ethnicity	
African-American	1.3%
Asian-American	8.5%
Hispanic	13.4%
Native American	0.4%
White	33.5%
International	33.0%
Unknown	9.8%

[8] (http://commencement.ucmerced.edu/)

Faculty

Total full-time instructional faculty at UC Merced has tripled since the campus opened in Fall 2005. Part-time instructional faculty also increased, but at a slower rate than full-time faculty in recent years. 84% of the FT faculty (including lecturers) have PhDs or equivalent degrees. Females comprised 38% of the FT faculty in Fall 2009; minorities (African-American, Asian-American, Hispanic, and Native American) comprised 32%. For the size of its faculty, it is remarkable and impressive that already two PECASE awards were granted to UC Merced faculty. By comparison, in 2006, 11 were awarded to faculty in the entire UC system.

UC Merced Faculty and Instruction			
	Fall 2005	Fall 2007	Fall 2009
Total Full-Time Instructional Faculty	61	118	184
% Male	57%	66%	62%
% Female	43%	34%	38%
% Ethnicity			
African-American	0%	0%	1%
Asian-American	8%	11%	16%
Hispanic	13%	12%	13%
Native American	2%	2%	2%
White	70%	59%	61%
International	7%	14%	3%
Unknown	0%	3%	4%
Total Part-Time Instructional Faculty	4	30	33
% Male	100%	53%	36%
% Female	0%	47%	64%
% Ethnicity			
African-American	0%	0%	0%
Asian-American	25%	10%	15%
Hispanic	0%	10%	3%
Native American	0%	3%	0%
White	75%	73%	76%
International	0%	3%	0%
Unknown	0%	0%	6%
Student-Faculty Ratio[1]	12 to 1	14 to 1	16 to 1
[1]FTE students to FTE faculty, using the CDS definition (FT plus 1/3 PT)			
Note: Faculty includes ladder rank & lecturers			

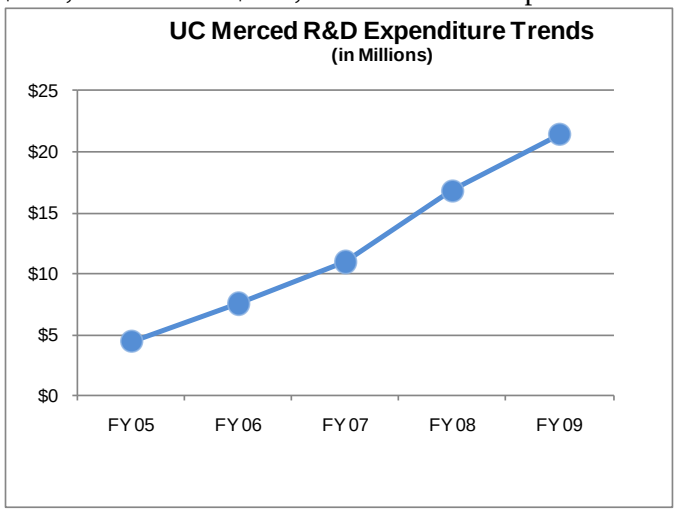
Research

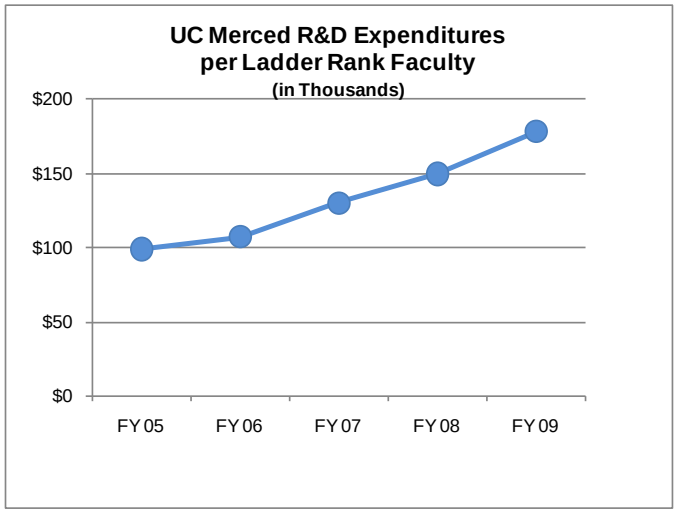
UC Merced's 184 full-time faculty members have a wide range of interdisciplinary research interests beginning with the campus' signature research centers:

- Sierra Nevada Research Institute,
- Merced Energy Research Institute,
- Health Sciences Research Institute.

Faculty expertise includes hydrology, solar power technologies, stem cell biology, infectious disease, biodiversity and global climate change, air and water quality, and population health. Partnerships with other UC campuses and with entities such as Lawrence Livermore National Laboratory, Sequoia & Kings Canyon National Parks and Yosemite National Park enhance education and research at UC Merced.

Total Research and Development (R&D) expenditures increased almost four-fold from fiscal year 2005 through 2009 (from $4.5 million to almost $21.5 million). R&D per ladder-rank faculty increased from almost $100,000 to over $178,500 in this short period of time.





Technology Transfer

In the few short years of UC Merced's existence, its faculty has invented more than 40 technologies in the fields of natural sciences, engineering and medicine.[9] Fifteen have been licensed, while the rest have patents pending. Examples include inventions such as: a component for topical solutions to potentially prevent the spread of HIV; an innovative process to facilitate the growth of stem cells that have the potential to cure neurological disorders; and a more cost-effective way to increase photovoltaic cell efficiencies in converting sunlight to electricity.

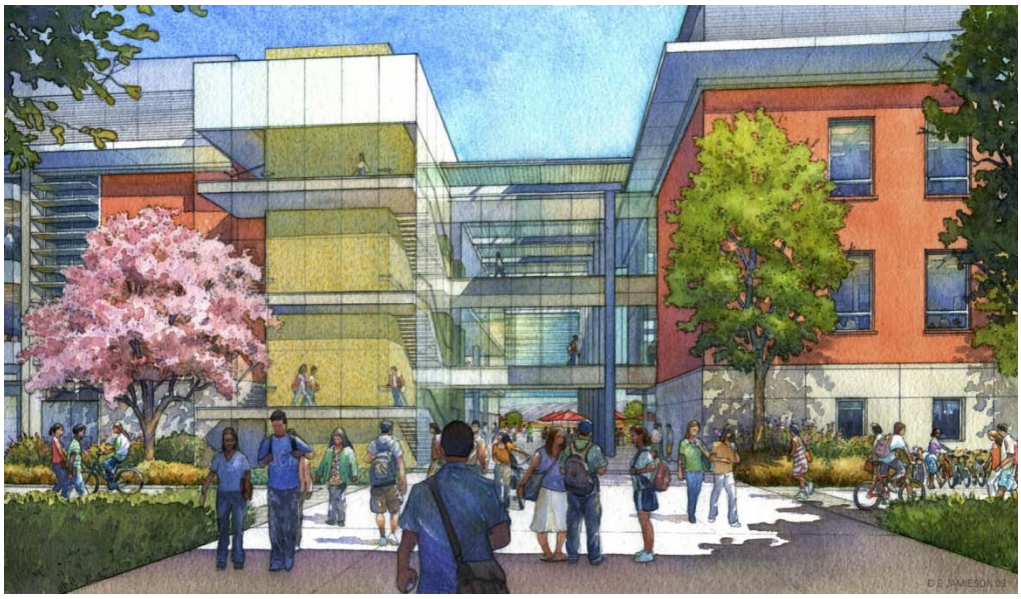
Resources and Philanthropy

Total expenditures for UC Merced in 2008-09 were over $100 million, 45% higher than the first year (2005-06) and 40% higher than in 2006-07. Over $27 million were spent in 2008-09 on instructional and academic support ($9,730 per FTE student), representing about 27% of the overall expenditures. Expenditures specifically devoted to Student Services represented 7.5% of the total. The increase in this area is almost 69% higher than FY 2005-06. Research expenditures for FY 2009-10 accounted for 12.6% of the total expenditures, compared to 10% for 2005-06.

UC Merced has 18 endowed chairs and professorships, 13 of which already are fully funded. At the close of fiscal year 2008-09, Merced's endowment was valued at over $19.2 million. More than 64% of the endowment is targeted to departmental support, about 23% to student support and instruction, and the remaining 13% to campus improvement and other purposes.

Vision for the Future

From the beginning, the UC Regents and campus founders envisioned UC Merced to be a campus that would blend world-class graduate and undergraduate education with basic and applied research, the process of discovery and an entrepreneurial spirit. Building on that concept, the first Strategic Academic Vision 2025 describes a campus that expands its interdisciplinary and multidisciplinary programs in natural sciences, engineering, social sciences, humanities, and arts with strong professional programs, and creatively interweaves teaching and research interests that will benefit students and make positive contributions to California and beyond.



[9] Inventions of the Research Enterprise, University of California, Merced, Office of Technology Transfer, 2009 Report.

Learning from the NSSE 2007

Audiences:

- Cabinet
- Deans/faculty/AVP Undergraduate Educ/CRTE
- Students (SGA reps; Stu Affairs Advisory Committee)?
- Student Affairs AVPs and Directors
- Advisors, tutors, mentors, counselors, TAs?

What is the intended value of NSSE?

- NSSE measures **good educational practices** that, validated by years of research, can be viewed as proxies for (indirect measures of) high-quality learning.
- Research has shown that students learn most when they find their academic work challenging, actively collaborate on learning activities, and interact with faculty members and diverse peers inside and outside the classroom. Working with others in solving problems or mastering difficult materials prepares students to deal with "the messy, unscripted problems they will encounter daily, during and after college" (NSSE brochure)
- What can the campus do to increase student engagement and success? We can make it possible for every student to **participate in high-impact activities**. These are activities that "essentially demand they interact with faculty and peers about substantive matters" (NSSE Executive Snapshot 2007). For first-year students, high-impact activities include first-year seminars, learning communities, and service learning. In later years of college, they would include research with faculty, study abroad, internships, and a culminating senior experience (such as capstone courses, senior project or thesis, or a comprehensive exam). NSSE allows us to compare our students' participation rates in these high-impact activities to other NSSE participating colleges, especially those with similar missions to ours (Carnegie Peers: research-extensive institutions).

Caveats regarding findings from UC Merced 2007 NSSE data

- Because of UC Merced's newness (the campus opened its doors to its first undergraduates in Fall 2005), the senior data for UC Merced is limited in terms of usefulness and reliability, especially when trying to compare to other institutions. In order to be seniors at UC Merced, these students would have had to transfer significant amounts of work from other colleges. Only 31 seniors responded to the survey. By contrast, 44% of the seniors at the Carnegie Peers had not attended any other post-secondary institutions before their senior year. Therefore, the remainder of these analyses is restricted to the responses of First-Year Students.
- UC Merced's First-Year respondents are substantially different from those of the Carnegie Peers in terms of gender, ethnicity, distribution of grades received during their first year, parents' educational level, and distribution of majors.

Compared to the Carnegie Peers, UC Merced had a higher ratio of males to females (52%/48% compared to 48%/52%), higher percentages of minorities (only 21% White compared to 69% on average at the Carnegie Peers), higher percentages of students who received grades of B or lower, higher percentages of first-generation college students, a much larger percentage of biological sciences majors. [NSSE 2007 Background Item Frequency Distributions, pgs. 33-35; weighted by gender, enrollment status, and institutional size.]

How do UC Merced first-year students compare on the high-impact activities?

High Impact Activity	UC Merced	Carnegie Peers
Participated in Service Learning as part of regular course (at least sometimes)	44%	33%
Participated in a practicum, field experience, co-op experience, or clinical assignments		
Done	9%	7%
Plan to do	66%	78%
Participated in a learning community or some other formal program where groups of students take two or more classes together		
Done	11%	20%
Plan to do	34%	19%
Worked on a research project with a faculty member outside of course or program requirements		
Done	9%	5%
Plan to do	48%	33%
Study Abroad		
Done	0%	2%
Plan to do	45%	47%
Culminating senior experience (capstone, senior project or thesis, comprehensive exam, etc.)		
Plan to do	51%	41%

Compared to other campuses with a similar research mission, UC Merced freshmen overall match or exceed their peers in their plans or actual experience in many of the high impact activities. Because this is their first year in college, not surprisingly, most of the freshmen (from Merced and the peer institutions) say they expect to participate in a practicum or work on a research project, study abroad, or culminating senior

experience, rather than they already have had these experiences. Merced freshmen, however, already participated in service learning and worked on research projects with faculty at higher rates than their Carnegie peers.

How do UC Merced first-year students compare on other student engagement measures?

Measure	UC Merced	Carnegie Peers
Worked for pay on campus (1 or more hours per week)	27%	19%
Worked for pay off campus (0 hours per week)	83%	74%
Participated in co-curricular activities/ organizations, campus publications, student government, fraternity or sorority, intercollegiate sports, etc.) (1 or more hours per week)	71%	68%
Prepared for class (studying, reading, writing, doing homework or lab work, analyzing data, rehearsing, & other academic activities)		
>10 hours/week	61%	62%
>20 hours/week	21%	21%

While similar proportions of UC Merced freshmen and their counterparts at other research campuses spent their time on academic activities (over 60% spent more than 10 hours per week and over 20% spent more than 20 hours per week), Merced freshmen were more likely to spend time working for pay either on or off campus. Perhaps most surprising, given the newness of UC Merced (only 2 years old at the time of the survey), the involvement of freshmen in co-curricular activities was high and similar to freshmen at the other research universities.

How well does the campus support the first-year students' educational experience?

Measure	UC Merced	Carnegie Peers
Spending significant amount of time studying & on academic work		
% Very Much	43%	33%
Providing support you need to help you succeed academically		
% Very Much	36%	27%
Encouraging contact among students from different economic, social, and racial or ethnic backgrounds		
% Very Much	30%	22%
Helping you cope with your nonacademic responsibilities (work, family, etc.)		
% Very Much	15%	7%
Providing the support you need to thrive socially		
% Very Much	18%	12%
Attending campus events and activities (special speakers, cultural performances, athletic events, etc.)		
% Very Much	32%	26%
Using computers in academic work		
% Very Much	57%	53%

Without exception, the UC Merced freshmen were much more likely than their counterparts to rate their campus' support of the educational experience. The highest areas for both groups were the use of computers in academic work and the amount of time studying. The lowest were the help provided with nonacademic responsibilities and the support for them to thrive socially, but still Merced freshmen were more likely than their peers to rate the campus highly in these areas.

A truer test of how well UC Merced students compare to other campuses in terms of academic and co-curricular engagement (and high impact activities) will be better revealed in Spring 2009 when the NSSE results will include Merced seniors from the very first freshman cohort.

UC Merced
Office of Institutional Planning & Analysis
August 2009

History and Organization of Office

The founding Director of the Office of Institutional Planning & Analysis (IPA) was hired in July 2005, shortly before the campus opened its doors to the pioneering class of 838 new freshmen and transfers. These undergraduates plus 24 new graduate students joined the 13 continuing graduate students who had come to UC Merced with their faculty mentors (the founding faculty) from other campuses. In the first year, two staff members were added to the office: a Manager of Research Information Systems and a Principal Research Analyst. In early 2007, one more Analyst was added to the team and, as of September 1, 2009, a full-time contractual Data Administrator was hired to help design and implement several data marts.

IPA reports to the Executive Vice Chancellor and Provost and works closely with other planning units (Capital and Budget), as well as with Information Technology (IT), the Center for Research on Teaching Excellence (CRTE), Academic Senate, Deans' Offices, Admissions, Registrar's Office, Financial Aid, Academic Personnel, the Graduate Studies Division, and many of the co-curricular units within Student Affairs.

IPA Mission

UC Merced IPA provides ongoing support for campus planning and decision-making to help advance the educational mission and effectiveness of the institution.
Office functions include:

- Supporting campus strategic planning and facilitating decision-making in areas of enrollment management, resource allocation, campus performance/benchmarking and the setting of campus goals and objectives.
- Serving as the primary source for official campus statistics.
- Integrating campus and external data sources.
- Developing and maintaining reporting systems and processes to ensure data integrity, accuracy, and consistency, as well as appropriate and ethical use of campus data.
- Complying with Federal, State, Regional Accreditation (WASC) and UC System reporting requirements.
- Playing a leadership role in institutional assessment efforts.
- Enhancing institutional effectiveness by making information and analyses widely available to the campus community.
- Coordinating internal and external surveys of UC Merced students, alumni, faculty and staff.

Data Infrastructure

The IPA Director and IT Manager of the Student Information Systems (SIS) worked together to develop a SIS census snapshot process and successfully deployed the process in time for the first census (September 26, 2005). Over the first three and a half years, IPA expanded the data snapshots to include end-of-term student data and developed November

and May personnel snapshots. An IPA data warehouse was designed, implemented, and populated with data from these snapshots. The warehouse (DW1) is updated every census and end of term (with student data) and every November and May (with personnel data). DW1 serves as the basis for all of IPA's official reporting. It also serves as a foundation for the campus-wide data warehouse (DW), championed by the Provost and being planned and developed by IPA and IT, in partnership. The DW Team includes IPA staff as well as three IT staff (only one of whom is dedicated full-time to the project). In February 2008, after a thorough RFP process, with input from constituents across campus, the hardware and business intelligence software were purchased, officially launching the DW initiative.

IPA launched its web site in Summer 2007. The web site grows almost daily as new data tables are added. The site is home to official student and faculty/staff data, as well as the UC Merced Profile (aka College Portrait), Accountability Profile, and the beginnings of a survey analysis section. In 2008, over 1,200 unique visitors accessed the site (total of 2,711 visits from 31 countries/territories), averaging about 5 minutes each. Peak usage occurred in February and September (probably corresponding to enrollment updates). In the first eight months of 2009, there were over 1,300 unique visitors (total of almost 2,700 visits from 30 countries/territories).

Survey Infrastructure

In order to support a growing program of campus surveys, as well as ad hoc surveys conducted by individual units, IPA purchased an enterprise license of SNAP, which allows IPA to design and deliver online surveys and to assist other units in the design and delivery of their surveys. The centralization of survey software also helps in the coordination of campus surveys, reducing the chances of over-surveying some populations. To reinforce the infrastructure, the Provost charged IPA with the task of establishing a campus-wide Survey Coordinating Committee (SCC). Since its first meeting in Fall 2008, this committee has been developing guidelines for surveying UC Merced constituents. A website is being created to help campus survey researchers through the process, including information about IRB protocols, how to get approval to obtain contact information or other demographic data, schedule for potentially competing surveys, tips for getting better response rates and creating better questions, etc. In addition to IPA's work on the SCC, IPA helped spearhead an effort to better manage student, alumni, and parent contact information that resides in various data systems across campus. IPA currently is facilitating the process of rewriting UC Merced's electronic communications policy to reduce "spam" and ensure better communication with (and data collection from) these important constituents.

Survey Research Program

During these first few years, IPA also started a survey research program (in some cases in partnership with other units on campus). The New Undergraduate Student Survey was launched in Fall 2005 and has continued each fall since then. In conjunction with the VC Student Affairs, IPA managed the campus' participation in NSSE (the National Survey of Student Engagement) in Spring 2006. The second NSSE survey was administered in Spring 2007. NSSE was administered again this spring (2009) beginning an alternate year cycle. In the "off years," UC Merced will participate in UCUES (the University of California Undergraduate Experience Survey), which is managed jointly by the UC Office of the President (UCOP) and the Center for

Studies in Higher Education at UC Berkeley. UC Merced participated in UCUES in Spring 2006 and 2008. The next administration will be in 2010.

In August 2008, just prior to the beginning of the semester, UC Merced participated for the first time in the BCSSE (Beginning College Survey of Student Engagement), a companion to the NSSE. The BCSSE results will be linked to the Spring 2009 NSSE results, linking pre-college attitudes and expectations to actual college experiences after one semester. Other surveys also have emerged in a short time: Graduate Student Survey, Alumni Survey, and Graduating Senior Survey.

IPA also has supported a number of faculty short-surveys at the request of the Academic Senate and individual academic programs. These surveys have proved to be good ways to solicit input from faculty regarding important campus or program issues, such as the strategic academic plan, furlough options, and program assessment structures.

Planning

UC Merced now has four years of history to inform enrollment and budget planning. Although each of the first four years has unique features, there clearly are some trends that help the campus predict near-term and learn from its short history. Our undergraduate students, for instance, come from all corners of California -- over a third from the Central Valley, almost a third each from the San Francisco Bay Area and Southern California. Applications have increased; melt rates (percentage of students who submitted statements of intent to register (SIRs) but did not enroll) have remained fairly steady (about 20%). IPA has incorporated relevant parameters into a long-range enrollment projection model (LREP). This model helps us monitor trends in the applicant pools, admit rates and yields, retention and graduation rates, residency status, and degree/class levels. It also helps us to plan for housing, the state-supported capital program, as well as inform our budget and faculty/staff hiring strategy. IPA, the Budget Office, and Capital Planning Office meet at least monthly to coordinate efforts and determine data needs to support our planning models and inform decision-making. The LREP along with other analyses conducted by IPA also support the Schools' strategic plans and CAPRA's (the Academic Senate's Council on Academic Planning and Resource Allocation) efforts to evaluate resource allocations. These analyses include faculty workload and classroom/lab utilization and projections.

Research and Assessment

One of IPA's most important roles is to respond to institutional questions (perform data analyses to answer questions) and provide leadership in ***institutional assessment*** as well as support for ***program review***/assessment and course assessment. IPA analysts and CRTE staff members are paired with each FAO (faculty accreditation organizers) to help them in their program assessment plans. IPA analysts also support the directors of ***co-curricular*** programs in their assessment plans.

Examples of IPA institutional analyses include various surveys that probe the reasons why prospective students choose UC Merced or decide to go elsewhere, students' satisfaction with aspects of the campus when they enroll, the extent of student engagement in various areas of campus life, plans students have after degree-completion, and where non-returning students transfer to and why they leave. We also use the National Student Clearinghouse (NSC)

to find out what happens to students when they leave UC Merced. IPA supports Admissions and Financial Aid by helping to analyze data that inform recruitment and financial aid strategies. We participated in the College Board Validity Study to obtain preliminary information to identify "at risk" students. A broader study is in development.

As part of IPA's role in tracking retention and graduation rates (disaggregated in many ways, including gender, ethnicity, first-generation college status, income status determined by Pell grant receipt, major program, various preparation indicators), we also have begun to assess (or help to assess) the impact of programs targeting retention: Summer Bridge, freshman seminars, first-year course (USTU 010), learning communities, Success Workshops, peer mentoring. These assessment efforts will expand and be refined as we stabilize the methodologies and data gathering techniques. Where possible, we compare student characteristics and success to other UC campuses and national data. We also have looked at courses that students are most likely to repeat (sometimes more than once) to try to understand the reasons and shed light on possible changes that might be made to reduce the course-repeat behaviors. These data will be shared soon with the Undergraduate Council and campus advisors. At the request of the Undergraduate Council, IPA had also conducted two studies: 1) the comparison of the success rates of students admitted by exception (A by E) to regularly admitted students and 2) the comparison of course grades of transfer students to those of native UC Merced students taking the same courses.

IPA will play an important role on the newly-formed ***University Assessment Council***, conducting studies of educational effectiveness and supporting campus-wide assessment. Some important strides already have been made. IPA worked with the Career Center and Alumni Affairs to develop surveys that give us feedback about post-graduation plans for graduating seniors as well as actual outcomes experienced by alumni (employment, graduate education, etc.). As more classes graduate, the alumni survey plan will expand to cover outcomes after 1,2,5, and more years after graduation. We also will try to obtain data on GRE, MCAT, and other relevant test scores to compare UC Merced graduates to others nationwide. One of IPA's roles will be to ensure the consistency and quality of assessments so that efforts can be rolled up coherently to the institutional level.

As the campus further develops its strategic plan, IPA will help track important ***benchmarking data*** that will monitor our progress toward our goals and objectives. Data gathered in the UC Accountability reporting efforts led to preliminary comparisons with other UC campuses [CFR 4.5 Exhibit 487] as well as other "young" research universities [CFR 4.5 Exhibit 488]. IPA, the Chancellor's Cabinet, and the Academic Senate will be instrumental in the process of reviewing and determining comparison groups for various purposes. Particularly because we are a new campus, benchmark data are necessary to monitor our progress toward reaching critical milestones, such as the Carnegie Commission classification that matches our mission.

Customers and Communication Methods

IPA's customers represent a very broad constituency, including the general public, other State agencies and institutions of higher education, federal agencies and grant-funding units, faculty (especially those looking for data for grant proposals), campus administrators, campus committees (Academic Senate, Staff Assembly, Student Government, etc.), students, parents

and prospective students, reporters, State legislators and other officials. A communications strategy still is being developed. In addition to IPA's website and participation in various committees (EVC Coordinating Committee, Planning Group meetings, direct support of FAOs and Student Affairs directors, regular presentations to UGC and CAPRA), we plan to try other strategies. Working through the new University Assessment Council, we will regularize campus communications regarding various assessment efforts and their results. For IPA, this may take the form of research "briefs" posted on our website. Routine reporting to support campus constituents will be incorporated in the Data Warehousing initiative via an enterprise license for "consumer-level" reports.

IPA Staff

Director	**Nancy L. Ochsner** • 28 years in institutional research, including 4 years at UC Merced • ABD, Policy Sciences (Evaluation track), UMBC (1995) • MA, Education (Statistics & Evaluation track), UC Riverside (1975) • BA, Psychology, DePauw University (1972)
Principal Analyst	**Michael Roona** • 5 years in institutional research, including 2 years at UC Merced • 16 years social science research experience • Secretary, California Association of Institutional Research (CAIR); 2009-10 • MA, American Politics, Syracuse University (1995) • MS, Policy Analysis, San Jose State University (1992) • BA, Mathematics, San Jose State University (1989)
Principal Analyst	**Gary Lowe** • 6 years in institutional research, including 2.5 years at UC Merced • EdD Candidate, Educational Leadership, CSU Fresno • MBA, CSU Stanislaus (2004) • BA, Sociology/Economics, CSU Stanislaus (1990)
Systems Manager/Programmer IV	**Chris Speckens** • 4 years institutional research at UC Merced • 13 years IT experience, including 4 years at UC Merced

- MBA, CSU Stanislaus (1998)
- BS, Business Administration (Computer Information Systems and Management concentrations), CSU Stanislaus (1996)

Data Administrator/Programmer IV **Christi Bengard**

- 8 years in institutional research/planning & budget at UCSC/UCD
- 25 years IT experience
- MS, Management Information Systems, San Francisco University (2002)
- BA, Psychology, UC Davis (1973)

UC Merced
Key Performance Indicators

Topic	Indicator	Source	Use/Purpose	Priority Ranking		
				High	Medium	Low
Access/Affordability	Tuition/fees					
Access/Affordability	Tuition/fees as % of Total Cost of Education					
Access/Affordability	Average indebtedness at graduation					
Access/Affordability	% Undergrads receiving need-based aid					
Civic Engagement of Students	Peace Corps participation		Washington Monthly			
Civic Engagement of Students	ROTC participation		Washington Monthly			
Civic Engagement of Students	% federal work study funds spent on community service		Washington Monthly			
Doctorate Granting	# Doctoral degrees awarded per year	IPEDS Completions	AAU Membership			
Doctorate Granting	# Doctoral degrees awarded per year	IPEDS Completions	Carnegie Classification: at least 20 awarded to be classified as doctorate-granting			
Doctorate Granting	# Doctoral degrees awarded per year	IPEDS Completions	The Center (Top American Research Universities)			
Enrollment Profile	% FTE graduate/professional (High undergrad= 10-24% grad) [FTE=FT+1/3PT]	IPEDS	Carnegie Classification: measure of student population's "center of gravity," educ mission, inst'l climate & culture			
Faculty Achievements	Memberships in National Academies		AAU Membership			
Faculty Achievements	NRC faculty quality ratings		AAU Membership			
Faculty Achievements	Faculty arts & humanities awards, fellowships, & memberships		AAU Membership			
Faculty Achievements	Citations	U.S. University Science Indicators citations database	AAU Membership			
Faculty Achievements	Distinguished Honors & Awards		The Center (Top American Research Universities)			
Faculty Achievements	Memberships in National Academies		The Center (Top American Research Universities)			
Faculty Achievements	Distinguished Honors & Awards		Washington Monthly			
Faculty Achievements	Memberships in National Academies		Washington Monthly			
Faculty Diversity	% URM; % Female by Discipline Area					
Faculty Productivity	New invention disclosures, patents issued, licenses & options executed	AUTM				
Faculty Productivity	Instructional workload (courses/SCHs taught per faculty by level)					
Faculty Productivity	Publications (books, articles, creative works, etc.) per faculty					

UC Merced

Key Performance Indicators

Topic	Indicator	Source	Use/Purpose	Priority Ranking		
Funding Strategies	Value of endowment assets	IPEDS	The Center (Top American Research Universities)			
Funding Strategies	Alumni giving rates	VSE Survey	The Center (Top American Research Universities)			
Funding Strategies	Alumni giving rates	VSE Survey	US News			
Funding Strategies	Instructional Expenditures per FTE Student		WASC			
Funding Strategies	Ratio of Operations & Maintenance Expenditures to Educational & General Expenditures		WASC			
Funding Strategies	Distribution of funding by source: State, Federal, Private, Tuition/fees,					
Funding Strategies	State Appropriationgs per FTE Student					
Funding Strategies	Alignment of spending with campus priorities					
Graduate Instructional Program	# doctoral programs wherein degrees were awarded (Humanities, Social Sciences, STEM)	IPEDS Completions	Carnegie Classification: determines focus of grad/prof'l programs			
Graduate Instructional Program	Awarded degrees in Med, Dent, &/or Vet	IPEDS Completions	Carnegie Classification: determines focus of grad/prof'l programs			
Graduate Instructional Program	Offer prof'l educ (bus, educ, law, pub policy, soc work)	IPEDS Completions	Carnegie Classification: determines focus of grad/prof'l programs			
Graduate Instructional Program	Dominant doctoral fields: Hum/Soc Sci, STEM, Prof'l	IPEDS Completions	Carnegie Classification: determines focus of grad/prof'l programs			
Human Resources	Turnover rates (faculty; staff)					
Human Resources	Projected retirements/replacements					
Human Resources	Ratios of non-instructional staff (& staff dollars) to instructional staff (& staff dollars)					
Research Activity	R&D Expenditures	NSF Survey of Research & Development Expenditures at Universities & Colleges	AAU Membership			
Research Activity	S&E Research Staff	NSF Survey of Graduate Students & Postdocs in S&E	AAU Membership			
Research Activity	Doctorates awarded in Humanities, Social Sciences, STEM, Other	IPEDS Completions	AAU Membership			
Research Activity	R&D Expenditures	NSF Survey of Research & Development Expenditures at Universities & Colleges	Carnegie Classification: to determine research category (VH, H, or RU)			
Research Activity	R&D Exp per FT Faculty		Carnegie Classification: to determine research category (VH, H, or RU)			
Research Activity	R&D Exp in S&E	NSF Survey of Research & Development Expenditures at Universities & Colleges	Carnegie Classification: to determine research category (VH, H, or RU)			
Research Activity	R&D Exp in S&E per FT Faculty		Carnegie Classification: to determine research category (VH, H, or RU)			
Research Activity	S&E Research Staff	NSF Survey of Graduate Students & Postdocs in S&E	Carnegie Classification: to determine research category (VH, H, or RU)			
Research Activity	Doctorates awarded in Humanities, Social Sciences, STEM, Other	IPEDS Completions	Carnegie Classification: to determine research category (VH, H, or RU)			
Research Activity	FT faculty in research, instruction, or combination of res, instr, & public service	IPEDS EAP	Carnegie Classification: used to calculate research activity per capita			
Research Activity	R&D Expenditures	NSF Survey of Research & Development Expenditures at Universities & Colleges	The Center (Top American Research Universities)			
Research Activity	S&E Research Staff	NSF Survey of Graduate Students & Postdocs in S&E	The Center (Top American Research Universities)			
Research Activity	Total & per capita grant & contracts awards ($s & #)					

UC Merced
Key Performance Indicators

Topic	Indicator	Source	Use/Purpose	Priority Ranking		
Size & Setting	% FT degree-seeking undergrads		Carnegie Classification			
Size & Setting	% FT degree-seeking undergrads living in resident		Carnegie Classification			
Size & Setting	Fall FTE enrollment		Carnegie Classification			
Size & Setting	% Classes w/ fewer than 20 students/ % w/ more than		US News			
Size & Setting	Student/faculty ratio					
Space Utilization	Classroom/labs % utilization					
Student Engagement	% undergrads participating in faculty research					
Student Engagement	% participating in EAP					
Student Outcomes	Satisfaction w/ advising	UCUES/NSSE				
Student Outcomes	Satisfaction w/ overall educational experience	UCUES/NSSE				
Student Outcomes	Likelihood of attending UC Merced, if making the decision now	UCUES/NSSE				
Student Population Served	% Undergrad underrepresented minorities (URM)		UCOP Accountability			
Student Population Served	% Domestic non-resident students		UCOP Accountability			
Student Population Served	% International students		UCOP Accountability			
Student Population Served	% Undergrads awarded Pell Grants		UCOP Accountability			
Student Population Served	% Undergrads first-generation college		UCOP Accountability			
Student Success	Freshman graduation rates (4 & 6 year)		UCOP Accountability			
Student Success	Time to degree					
Student Success	Alumni pursuing graduate education					
Student Success	Alumni employed FT					
Student Success	Average starting salaries of alumni					
Sustainability Efforts	LEED awards					
Undergraduate Instructional Program	% bachelor's degrees in Arts&Sci vs. Prof'l	IPEDS Completions	Carnegie Classification: to determine balanced vs. higher levels of Prof'l &/or Grad			
Undergraduate Instructional Program	% of undergrad majors wherein grad degrees also awarded	IPEDS Completions	Carnegie Classification: to determine balanced vs. higher levels of Prof'l &/or Grad			
Undergraduate Profile	% FT (High FT=80%+)		Carnegie Classification			
Undergraduate Profile	Freshman achievement (more selective test scores+ top 1/5th of bacc inst)		Carnegie Classification			
Undergraduate Profile	Transfers as % of entering undergrads (High transf=20%+)		Carnegie Classification			
Undergraduate Profile	Freshman SAT scores (range 25-75%tile); average or median	The College Board	The Center (Top American Research Universities)			
Undergraduate Profile	Freshman SAT scores (range 25-75%tile); average or median		UCOP Accountability			
Undergraduate Profile	Freshman HS GPAs (average)		UCOP Accountability			
Undergraduate Profile	% Freshmen meeting writing requirement		UCOP Accountability			
Undergraduate Profile	Freshman retention rates		UCOP Accountability			
Undergraduate Profile	Freshman admit rates (admit/applicants); selectivity		UCOP Accountability			
Undergraduate Profile	Freshman yield rates (enrolled/admitted)		UCOP Accountability			
Undergraduate Profile	Undergrad ethnic, gender, geographic diversity					

UC Merced
Key Performance Indicators

Topic	Indicator	Source	Use/Purpose	Priority Ranking		
Additional Indicators						
WASC Accreditation Decision	Accredited		AAU Membership			
WASC Accreditation Decision	Accredited		Carnegie Classification			
WASC Accreditation Decision	Accredited		Council of Graduate Schools			
Graduate Programs/Degrees	# Graduate degrees awarded		Council of Graduate Schools (at least 30 master's degrees or 10 doctoral degrees in at least 3 distinct & separate fields or disciplines within 3-yr period immediately before date of application)			

IT Response on Assessment Practices

1) a. Have you identified, or are you in the process of identifying, performance goals and related objectives for the unit (as opposed to goals for individual administrators or staff members)? If so, please provide them.

   IT employs a formal planning methodology which implements ongoing, routine establishment, prioritization, and tracking of goals both on a strategic and tactical level within the framework of a explicitly articulated vision, mission statement, and set of strategic principles in alignment with campus priorities.

   b. How are they made available and to whom?

   The strategic planning framework is documented at it.ucmerced.edu/about/strategicplanning.cfm (ITA1-5). Ongoing goal planning and management is primarily supported by 4 spreadsheets, 3 of which are managed by assigned groups that meet regularly; the 4th is managed by the CIO. These cover key projects, major user issues, IT risks, and a quarterly major operational task schedule in support of executing the projects, resolving issues, and mitigating the risks. These spreadsheets are maintained in project sites within the campus Collaboration and Learning Environment (CROPS) and are accessible to the appropriate IT staff. They are also made available on both a routine and ad hoc basis to groups such as the Administrative IT Council (AITC), the IT Advisory Committee (ITAC), at IT Town Hall meetings, etc. Samples are attached as (ITA6-9).

   c. How do they align with the unit's mission?

   The purpose of our planning and management methodology is to ensure that alignment is obtained.

   d. How do they align the University's mission and goals?

   There is no formal articulation of the University's goals that is directly applicable to the IT department. The IT mission and vision statements do align with University goals at a high level, and for the purposes of focus and prioritization, the CIO has articulated a set of priorities that has been reviewed by the Executive Vice Chancellor and Provost and others:

   1. Support student enrollment and retention.
   2. Support the accreditation process.
   3. Support the research enterprise.

   e. Do they reflect the standards of a professional association? If so, please briefly describe.

   There are many good practices that are promoted by Educause, but no actual standards. Other campuses have at times shown interest in learning about our methodology.

2) a. Does your unit review its performance in relation to its objectives? If so, please describe how this is done, including

i. The process by which objectives are selected for review.

The aforementioned spreadsheets document the items that are tracked on a regular basis by the assigned groups that have ownership.

ii. The source(s) and types of data

Updates are provided at the review meetings.

iii. The timeline

The project list is reviewed on a weekly basis by the IT Strategic Planning Group (ITSG: CIO and direct reports); the task list is reviewed on a weekly basis by the IT Leads group (managers and lead technical staff from Operations, Student Information and Business Intelligence Systems, the Enterprise Web Application group, and the CIO); the user issues list is reviewed on a tri-weekly basis by the IT User Services group (ITUS: Help Desk Manager, Desktop Support Services Manager, Operations Manager, ID Office Manager, Instructional and Student Services Manager, and the CIO); the risks list is updated on an ad hoc basis by the CIO.

iv. How the results are used to inform practices

The ITUS group has a goal of continual reevaluation of processes and communications in order to improve responsiveness and effectiveness for users. It will implement changes that can be simply executed by the group members, and will generate projects and tasks that enter into the formal project and task management process as needed. Those projects and tasks are cross-referenced back so as to link the overall objectives to the specific work items.

The IT Leads group realigns schedules as new priorities emerge, emergencies intervene, technical obstacles appear, etc., and sometimes redistributes responsibilities, and makes changes to practices in communication, how problems and low level tasks are managed and tracked, etc., to improve effectiveness, meet goals, improve monitoring, etc.

The ITSG aligns project priorities with campus goals and available resources. When projects are not advancing as planned, the ITSG evaluates the cause and implements appropriate actions.

v. To whom the results are disseminated

Routinely, important information about key projects (initiation, delays, completion) is reported by the CIO to the Executive Vice Chancellor and Provost. Information on current projects, tasks, etc., is provided to advisory committees, at Town Hall Meetings, etc., as described above. A detailed annual report of IT accomplishments, including metrics in some key areas is published on the IT web site (/it.ucmerced.edu/about/reports); the latest is attached as a sample (ITA10). Key capacity metrics are developed and

presented annually to the Chancellor's Cabinet and submitted in support of the budget process (ITA11).

b. If your unit has a plan for assessing its performance, please provide it.

We have no formal, ongoing plan due to resource constraints. However, in fiscal year 07-08 we underwent an extensive process of interviewing as many campus constituents who would speak with us as part of a major initiative (IT2.0) to identify IT issues, and used that assessment (ITA11) to identify needs, problems, etc., to launch some initiatives to resolve specific issues, and to instantiate ongoing processes to obtain assess IT performance from a campus perspective. The instantiation of the formal user issues list and the ITUS group arose from that, and allows us to incorporate information from the Help Desk as well as issues that the various managers bring to the table. We also use IT Town Hall Meetings, sometimes in conjunction with snap polls, to solicit assessment (ITA12). There are also a number of constituent groups (SIS users, portal users, etc.) who provide feedback and guidance in addition to the formal advisory groups.

We have incorporated self-assessment into our processes (as described above) and into the ethos of the IT organization. The first section of our annual reports documents accomplishments directly inspired by user feedback. Our monthly managers and technical leads meeting (ITTPG) has evolved to focus on the IT2.0 "spirit"; i.e., how to continually improve processes and services in response to user needs (as well as internal efficiencies).

3) If your unit has engaged in assessment to improve performance, please provide one or more examples of this work, *including a description of any changes made to the practices of the unit in response to the results*. These examples are particularly important as they demonstrate that we practice "evidence-based improvement", which is a fundamental expectation of WASC.

ITA10, ITA11, and ITA12 document a number of changes in practice that were made in response to findings. Another change that was the latest in a series of changes made in order to ensure efficient dispatching of our desktop support technicians and to reduce the number of late responses to work orders as well as some work orders "falling through the cracks" was to, rather than have the Help Desk and/or trouble ticket system arbitrarily place orders in different technicians work queues, and leave the entire process of the ticket to the assigned technician, the deployment of the DSS "Q" methodology. Now, a single queue is used to house the work orders, and technicians pull work orders off the queue based on priority, their physical location, and/or any special knowledge or skills required. A single technician is assigned on a rotating basis to manage the queue, ensure that all tickets are being handled, and communicate with the clients. That technician will also handle work orders that can be handled remotely (via PC Anywhere kinds of software) or on the workbench. This change was presented at an IT Town Hall meeting (ITA13).

4) If your unit has not yet developed goals and objectives what is the timeline for completing this work and initiating assessment?

   N/a.

5) If your unit has goals and objectives but does not regularly assess its performance, what is the timeline for beginning this work?

   N/a.

Strategic Planning Process

Mission- The UC Merced IT Department mission statement.

Vision and Strategic Principles - IT's Vision, strategic principles, and process to engage campus

Initiatives - Broad strategic drivers

Projects - Current projects the IT organization is working on.

IT Strategic Framework presentation [ppt]

Feedback - Please give us feedback on our strategic planning process.

Contact us - How to contact the UC Merced Information Technology Department.

IT Site Links

About IT - Mission statement & strategies

IT Jobs - Find IT jobs at UC Merced

Policies - Service policies & legal notice

Updates - Periodic info on service updates

Information Technology Strategic Planning Framework

Goals

- Provide a cohesive blueprint for the IT organization
- Document strategies and priorities in a readily assimilable manner, enabling dialogue with and requirements gathering from stakeholders
- Ensure alignment of IT plan with overall University strategy and needs

Framework

The IT Strategic Planning framework spans and integrates four conceptual levels of strategic planning. It is designed for continuous revision so that it can incorporate short-term as well as long-term planning in a rolling manner. Responsibility is assigned to individuals within the IT organization to reach out to the appropriate campus stakeholders and constituencies on an ongoing basis and to propose projects that will advance our overarching campus goals.

Planning elements

- Vision - capsule description of defining characteristics of over-arching objectives
- Strategic principles - high-level guidance for pursuing the vision
- Initiatives - unifying points of focus for identifying needs and proposing actions related to key goals
- Projects - well-defined actions that achieve specific goals. Projects are grouped under the initiatives whose more general goals they further.

Navigation

The menus on the left may be used to navigate through the vision, strategic principles, initiatives, and projects. Elements are interlinked, so that the associations between specific strategies and initiatives and/or projects, or between initiatives and projects and/or strategic principles may be explored. A slide presentation, as originally presented to the UC Merced Deans & Directors, is also available.

Looking for help?

We offer a number of tutorials and FAQs available in the Guides & FAQs (/support/guides/) section.

If you have any questions, problems, or comments, please contact the IT Help Desk (/support/service_centers/helpdesk/) via email at helpdesk@ucmerced.edu (mailto:helpdesk@ucmerced.edu) , via phone at 209.228.HELP (4357), or visit them in the Classroom and Office Building room 132A.

About IT

Mission Statement - The UC Merced IT Department mission statement.

Vision and Strategic Planning - IT's Strategic Planning Framework and Process

Organizational chart - Organizational chart depicting the makeup of the UC Merced IT Department.

Summary of Accomplishments - Reports on IT's completed and planned deliverables

Office of the CIO - A biography, news, and contact information regarding Richard Kogut, CIO of UC Merced.

Governance & Advisory Groups - Description of Governance within IT and the three advisory groups which prove distinct perspectives on campus needs and priorities.

Contact us - How to contact the UC Merced Information Technology Department.

IT Site Links

About IT - Mission statement & strategies

IT Jobs - Find IT jobs at UC Merced

About the UC Merced Information Technology Department

Information Technology Mission

Provide information technology infrastructure and services to the entire University, including:

- Network services (email, calendar, directory, file storage, web/portal, document management, etc.)
- Basic infrastructure (network, wireless, telephony, desktop support)
- Classroom and instructional support (classroom technology, computer labs, software licensing, course management system, etc.)
- Research support (Internet 2, high-speed networking, collaboration in special purpose computing needs, etc.)
- Student support (residential network, student IT Help Desk, computer acquisition and usage guidelines, etc.)
- Telecommunications provisioning (Internet, voice, cable TV, video conferencing, remote sites, etc.)
- Enterprise applications (student information, financial, human resources, etc.)

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Strategic Planning Process

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Vision and Strategic Principles - IT's Vision, strategic principles, and process to engage campus

Initiatives - Broad strategic drivers

Projects - Current projects the IT organization is working on.

IT Strategic Framework presentation [ppt]

Feedback - Please give us feedback on our strategic planning process.

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Information Technology Strategic Planning

IT Vision Statement

With the aim of supporting all members of the University of California, Merced community in their efforts to realize their maximum potentials, employ the best of current and evolving technologies and practices to provide access to information and services informed by the perspective of each individual user.

Strategic Principles

- User-Oriented perspective (strategicprinciple.cfm?stratid=1)
- Ubiquitous access (strategicprinciple.cfm?stratid=2)
- Best Practices (strategicprinciple.cfm?stratid=3)
- Higher Education community participation (strategicprinciple.cfm?stratid=4)
- On-campus partnerships (strategicprinciple.cfm?stratid=5)

Engaging our campus community

We want your feedback on our Strategic Planning Framework (/docs/about/WorkingITStrategy.ppt) and on how we can best serve you. We welcome an opportunity to:

- Present to your department or unit
- Receive feedback on our approach -- rkogut@ucmerced.edu (mailto:rkogut@ucmerced.edu)

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Strategic Planning Process

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IT Strategic Framework presentation [ppt]

Feedback - Please give us feedback on our strategic planning process.

Contact us - How to contact the UC Merced Information Technology Department.

Information Technology Strategic Planning

Initiatives

Initiatives are unifying points of focus for identifying needs and proposing action. Initiatives have advocates, who are responsible for coordinating an initiative. Initiatives also have projects.

- Identity Management & Provisioning (initiativedetail.cfm?initid=1)
- Network Infrastructure and Security (initiativedetail.cfm?initid=24)
- Advanced Communications (initiativedetail.cfm?initid=28)
- IT Practices (initiativedetail.cfm?initid=29)
- Production Environment Maintenance & Remediation (initiativedetail.cfm?initid=30)
- Collaboration and Learning Environment (CLE) (initiativedetail.cfm?initid=31)
- Instructional Environment (initiativedetail.cfm?initid=32)
- User Empowerment (initiativedetail.cfm?initid=33)
- User Services (initiativedetail.cfm?initid=34)
- Web/Portal (initiativedetail.cfm?initid=35)
- Research Computing (initiativedetail.cfm?initid=36)
- Administrative Applications (initiativedetail.cfm?initid=37)

Projects

Current projects (projects.cfm)

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IT Vision/Strategy Framework

UC Merced Information Technology Department
October 31, 2006

IT Planning Goals

- Provide cohesive blueprint for IT organization
- Document strategies and priorities in a readily assimilable manner, enabling dialogue with and requirements gathering from stakeholders
- Ensure alignment of IT plan with overall University strategy and needs

Planning Model

- ActivePlan
  - ⇨Spans from vision to project portfolio management
  - ⇨Integrates short- and long-term planning
  - ⇨Designed for continuous revision
  - ⇨Assigns ongoing responsibility for planning around key goals

Planning Model Elements

- Vision – capsule description of defining characteristics of over-arching objectives
- Strategic principles – high-level guidance for pursuing the vision
- Initiatives – unifying points of focus for identifying needs and proposing actions related to key goals
- Projects – well-defined actions that achieve goals

IT Vision

With the aim of supporting all members of the University of California, Merced community in their efforts to realize their maximum potentials, employ the best of current and evolving technologies and practices to provide access to information and services informed by the perspective of each individual user.

Strategic Principles (1)

- User-oriented perspective – emphasize the user experience in the design of services, including single sign-on, consistent interfaces, self-service, role-based navigation, and allow choice among desktop platform alternatives. Deploy support services based on user needs rather than on IT organizational convenience.
- Ubiquitous access – provide secure access to all applications and data from residence/office, campus, and wide-area locations, supporting the evolving panoply of mobile computing, telecommunications, and personal assistant devices.

Strategic Principles (2)

- Best practices – implement technologies and services proven by our peers to be effective, open, and scalable.
- Higher Education community participation – commit resources towards open-source and multi-campus initiatives; prefer solutions emanating from these.
- On-campus partnerships – provide leadership and flexible collaborative support for campus applications to create an integrated and technologically appropriate environment.

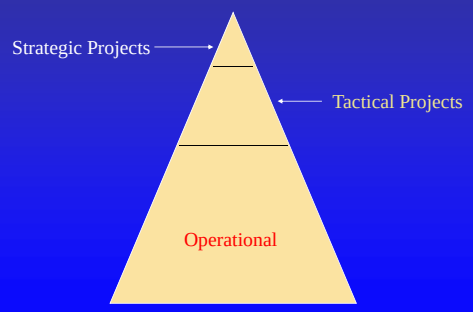
Project Definitions

- Formal definition of scope and relationship to strategic principles and initiatives
- Identifies costs, risks, time lines, project team, etc.
- Input to formal approval process

Initiative Definitions

- Formal definition of scope and relationship to vision and strategic principles
- Documents 4 sets of projects:
  - ⇨Proposed
  - ⇨Active
  - ⇨Rejected
  - ⇨Completed

IT Resource Allocation



Current Initiatives

- Identity management & provisioning
- Portal / Web
- User Services
- User Empowerment
- Collaboration and Learning Environment
- Instructional environment
- Research computing
- Administrative applications
- Network infrastructure & security
- Unified communications
- Production environment maintenance & remediation
- IT practices, efficiency & effectiveness

Active & Planned Projects (sampler)

- Web/portal content management
- Software acquisition (portal)
- Cell phone ordering (portal)
- Single sign-on (student appls)
- Web-based storage access
- Improved directory/search & MSO tools
- UCTrust/UC Anywhere (portal)
- Mac address registration
- Laptop data encryption
- SIS Operational Data Store
- Webmail upgrades
- Sakai new release
- Video capture/streaming
- Digital signage next steps

Identity Management & Provisioning

- Federated ID management (UCTrust)
- ID claiming enhancements
- Group and role management

Portal / Web

- SSO expansion
- Inclusion of PTR in portal / SSO
- IT channel / presence plan
- Starbak interface & integration
- Portal upgrade to current version
- SIS portal channels

User Services

- Encrypted PC storage
- Webmail enhancements
- Web file access (remote)
- Digital signage management

User Empowerment

- Software channel (portal)
- Cell phone channel (portal)
- Directory 2.0
- Touch-screens in classrooms
- PC ordering channel (portal)
- IT Knowledgebase

Collaboration & Learning Environment

- UCMCROPS version upgrade
- ePortfolio (OSPI)
- Other Sakai tools

Instructional Environment

- HITT implementation
- Campus card printing
- Complete classroom AV
- Drop-in computer lab & finalization of instructional labs
- Video/audio capture & streaming

Research Computing

- HPR connection (CENIC)

Administrative Applications

- SIS Operational Data Store
- PAWS AA/EOP

Network Infrastructure & Security

- MAC address registration
- Bandwidth limiting/shaping
- Network host integrity
- 802.1 wired authentication

Unified Communications

- Asterisk pilot

Production Environment

- Production documentation remediation
- Application security audit
- Network/Application monitoring
- Windows server 2000 upgrades
- Capacity management

IT Practices

- Planning & project management framework
- Track-IT 7.0 upgrade
- Recharge centers creation
- Centralized source code
- Staff back-ups/cross-training strategy

IT Strategic Projects

Item ID	Updated	Project Description	Initiative	Start	Target	P	Status	ADV	PM	Comments/Issues
P4	1/20/2010	Kuali Rice	Administrative Applications		2/2010	H	W/D	FG	FG	Platform for COEUS, other Kuali and UCM appls. Rice 1.1 up, but waiting for for KC 2 to verify actual functionality with applicationn & ODS.
P5	2/10/2010	Kuali COEUS Initial Launch	Research		5/31	H	W	FG	FG	KC 1.1.1 up in development environment with ODS/IDM data loaded. When KC 2.0 available, will continue with extended configuration & faculty testing.
P7	1/14/2010	Banner 8	Administrative Applications		7/4/2010	H	A/D	MA		Support on Banner 7 drops 10/2009. Project on schedule.
P9	1/20/2010	COEUS Phase II	Research		9/2010	H	D	FG	FG	Production launch.
P10	2/2/2009	New Cell/Telephone Billing & Manageme	User Empowerment		2010	H	A/D	JH	JH	Cell phone app in production; AT&T still needs to fix bugs re landline billing, but we will release with partial functionality.
P11	11/5/2009	Digital Measures	Administrative Applications		Fall 09	H	W/D	FG		Hosted faculty activity system; now have high-level reqts involving 3 IT groups. Webdav not working; permissions to be given to Faust's group
P42	3/4/2010	Email Security & Re-Architecture	Network Infrastructure & Security		Dec 2009	H	A	RK	RK	Implement Tumbleweed & new security functionality; white-listing; route incoming email directly to Tumbleweed. Progress continuing, and several major milestones achieved; last major task is use of Tumbleweed outbound.
P13	2/10/2010	Active Directory expansion	User Services	12/2008		M	A	RK	NH	Project team confirmed; kick off in February.
P14	8/11/2009	Data Warehouse Phase I	Administrative Applications	5/09	5/10	M	A/D	RK	JS	IPA Enrollment & Applicant cube is first DW deliverable.
P16	9/4/2008	Storage Strategy	Administrative Applications			M	W	JH	JH	Allocation of current storage and tiered expansion plan; on hold due to prioritization; installed storage may be used to meet interim client needs
P19	2/10/2010	Emergency contact Phase II	ID Management & Provisioning		1/2010	L	A/D	FG	FG	Problems with manual loads resolved, and successful testing of WARN ensued. Real time feed pending.
P20	3/4/2010	New IT web site	User Empowerment		Feb 2010	L	A/D	FG	FG	All content under new CMS; focusing on cleaning up and resolving issues with new structure and content.
P21	9/4/2008	Campus CMS Phase III	Portal/Web			L	A	FG	FG	Support higher loads and redundancy
P41	12/14/2009	Colocation Pilot	IT Practices			H	A	RK	CV	Install one rack of servers as SDSC per ITLC initiative
P39	12/18/2009	Server/Application Inventory	IT Practices					JH		Absorbed into Server Consolidation project
P40	12/18/2009	Server Consolidation	IT Practices			H	A	RK	JH	Inventory current systems; establish consolidation strategy, including virtualization
P36	12/14/2009	TrackIT 9 Upgrade	IT Practices		Spring Break	M	A	TVZ	JB	Current TrackIT is unsupported; potentially major impact with new version.
P53	2/10/2010	New Wireless Platform	Network Infrastructure & Security		July 2010	H	A/D	RK	RK/DL	Select new vendor via RFP; install new management platform, etc., order & install wireless equipment for Housing 3.
P25	9/2/2009	Grad student web site	User Services		Dec 2009	M	W/D	FG	FG	Strongly requested by grad students; we are going to pull this into campus CMS
P31	8/26/2009	Symantec replacement	User Services		8/2010	L	W	JM	JM	Symantec came back with good student pricing. Project for faculty/staff deferred.
P43	4/28/2010	fsaAtlas Phase II	Administrative Applications		July 2010	H	A/D	MA		eScholar (record mgmt system) & possibly more
P47	2/10/2010	Private Cloud Technology	Administrative Applications IT Practices				W	RK/JH	FG	Evaluate technology for PaaC and demonstrate with a pilot. Eucalyptus and VMWARE analyzed -- need to evaluate next steps.
P23	9/4/2008	Track-IT End-user Metrics & Reporting	IT Practices			U	D	CV	BB	Chris to work with Bobby to develop specific proposal
P24	4/2/2009	Eliminate VPN for file access	User Services			U	D	NSPT	NSPT	Would simplify access and reduce load on VPN and need for licenses.
P26	4/9/2009	NetLogin Solution	Network Infrastructure & Security			U	D	NSPT	NSPT	Can be defined by NSPT now that network rearchitecture completed; Identity Engines product line taken over by Nortel.
P27	1/14/2010	Network Instrusion Detection	Network Infrastructure & Security			U	D	NSPT	NSPT	Sentriant + Snort; needs to be re-evaluated by NSPT; identified as future action in audit report.
P28	9/4/2008	Classroom Podcast capture	Portal/Web/Instructional Environment			U	D	TVZ	EG/FG	First-cut definition in place; capture audio & put on web
P30	1/29/2009	Replace standalone webmail	User Services			U	D	FG		Upgrade to Roundcube
P33	4/22/2009	Banner Faculty & Advisor Self Service Phase II (BLINK)	Administrative Applications			H	W/D	MA		Phase II is Faculty functionality. Target date tbd.
P35	6/25/2009	Admissions Application Review Online (AARO)	Administrative Applications			U	W/D	MA		Admissions initiative to deploy UC Davis XML data analysis application. IT tasks in support of this project may become high priority, but the number and types of tasks taken on will be limited, given the Budget Committee's decision not to fund the programmer requested to support this project.
P37	1/20/2010	LDAP tune-up and clean-up	IT Practices			U	D	JH	SS	Retire old LDAP server; identify and perform actions needed to improve performance and availability.
P38	1/20/2010	Multi-Application Production DB Server	IT Practices			U	D	JH	SS	Create Oracle production DB server for "smaller" applications; absorb appls using Tralala
P44	11/12/2009	HEOA conformance	User Services		July 2010	H	D			Mostly creating a web site and formalizing existing policies; need to work with Student Affairs for that and to inaugurate annual education (not just at Freshman orientation).
P48	1/14/2010	applyUC V1	Administrative Applications	Mar-10	July 2010	H	D	MA		applyUC replacesPathways and AUW/IP (UC admissions applications)
P49	1/14/2010	applyUC V2	Administrative Applications		July 2011	H	D	MA		UCAP file and Pathways XML replaced by applyUC extracts
P50	2/10/2010	fsaAtlas Phase III	Administrative Applications			U	D	MA		Expand visa management beyond students to faculty and staff
P51	2/10/2010	NAIL	Network Infrastructure & Security		Summer 2010?	L	W	RK		Create network address database from various switch logs, etc., to expedite identification of compromised machines & DMCA violations
P52	2/10/2010	Database Environment Consolidation	IT Practices			U	W	RK	FG/MA	Rearchitect production, development, and test DB environments to improve security, availability, and flexibility. Complementary to, or maybe part of Server Consolidation.

Status: A=Active, W=Waiting on event, D=Definition required

Printed on 10/27/2010

Priority: H=High, M=Medium, L=Low, U=Undefined

IT Scheduled Tasks -- Fall 2009

Item ID	Type	Task Description	For	Needs	Hard Date	Was Due	Revised	Disposition	Group	Person	Status	Description
T18	I	Upgrade DNS servers	R4		3	August	2/11/2010	Committed	ITOC	SVS/SLS	2/11/10 -- servers built, problems with zone definitions	Eliminate vulnerability and fix bugs
T23	I	Convert Drupal01 and 02 to Solaris x86	R6, U16	T21	4		**2/2/2010**	Committed	ITOC	ET	2/18 -- initial attempt had failed; patched version worked; a week or so more for final clean-up?	Trusted vendor-supported environment
T24	I	Add NFS storage to Drupal01 and Drupal02		T23	4	2/26/2010		Committed	ITOC	ET	2/18 -- a week or so more?	Needed for expansion of the campus CMS
T31	I	Wireless controller authentication / RADIUS upgrade	R2		1	**8/15/2009**	5/5/2010	Committed	ITOC	SLS/SVS	2/25 -- requesting CISO help to configure their RADIUS product	Wireless controllers won't support our LDAP configuration; evaluating several supportable RADIUS solutions
T32	I	PAWS disk space expansion						Committed	ITOC	SVS	10/29 -- OS level will not support HBA; NFS on local disk is plan	PAWS will run out of disk space sometime in the Fall
T7	U	Admissions XML DB set-up	P35		tbd	tbd		Removed	ITOC	SVS	2/28 -- absorbed into applyUC	Create production DB environment behind firewall
T37	U	Replace ALC server				tbd		Completed	ITOC	NH	11/19 - Facilities has hardware quote -- waiting for funding?	Currently running on borrowed server (needed capacity)
T38	I	Campus load balancer	R6	T22		tbd			ITOC/EWA			For portal, CROPS, CMS, IDM…
T40	U	Redundant QDB proxy server	P14			March?		Committed	ITOC	NH	2/11/10 -- Fernando needs info from Nick	Second server already purchased by IPA as part of initial plan
T41	I	Syslog server upgrade				tbd			ITOC			Will use DB to allow searching
T42	I	Nagios upgrade				2/28/2010	5/31/2010	Committed	ITOC/EWA	BG/ET	2/25/10 - ready to be handed over from EWA to Ops for script migration; both operational. May use Enrique to migrate rules.	Move to new version and retrofit scripts
T43	U/I	Upgrade fsaAtlas test env. to prod level	P12					Completed	ITOC			Current level + HTTPS
T44	U/I	fsaAtlas enviroment for 7.5	P43?			Spring			ITOC			
T45	I	DBA work for ODS 8	P6			**January**		Completed	ITOC			

Hard Date and date emphasis indicate the importance of hitting dates because of limited windows. Items with the hardest dates must take priority when conflicts occur:

1	**Bold underscored: Date is critical and must be met.**
2	**Bold: Meeting date is very important, but a small amount of slippage can be negotiated.**
3	Underscored: Date is important, but less critical than the others.
4	Tasks need to be performed, but completion dates are more discretionary.

Type: I=internal, U=user For=Pre-req for task, project, or user issue (Tnn, Pnn, Unn) Needs=Required predecessor Printed on 10/27/2010

IT Operational Risks

Item ID	Short Description	Related Items	Risk	Impact	Work	Cost	Status	Description / Mitigation
R1	Email server failure		L	H	M	L	Not scheduled	Secondary server available for automatic failover but needs both software and memory upgraded to be configured as such. Additional memory was installed on primary server to reduce probablity of outages (7/18/2009).
R2	RADIUS server failure	T31	L	H	M	L	Scheduled for Aug. 2009	Failure would prevent users from logging on to wireless. Two in-house servers need to be updated for Vista support, and the wireless controller needs to be set up to know about the additional servers. Issues with RADIUS prevented moving forward; attempt to authenticate via LDAP failed due to Cisco restrictions; now evaluating new RADIUS platform (2/10/2010).
R3	SMTP blacklisted	U15, T17, P42	H	M	M	L	Active project	SPAM emanating from SMTP due to hacked systems and/or credential theft cause ISPs to blacklist our site. First cut at using Sentriant successful (8/13). Project P42 created for implementation of Tumbleweed and other security measures. Tumbleweed already processing incoming email effectively; outgoing email and whitelisting remain.
R4	DNS server security patches	T18	L	H	L	0	Scheduled for Sept. 2009	Ongoing delays due totechnical problems & priorities. Two new servers built; pretty close to going live (2/10/2010).
R6	Failure or inability to handle load for CROPS, portal, CMS, IDM	T22, T23, T26	M	H	M	L	Scheduled Q3	Load balancing will provide needed performance and provide resiliency across server failures. Bugs in software stack on new servers have caused delays.
R10	Potential failure of aging servers	P40	H	H	H	H	Project active	Requires funding and strategy for server consolidation
R10	Telecom Building inadequacies	P40, P41	H	H	H	H	Projects active	Funding identified in Site & Infrastructure 4/5 to improve cooling & power, but evaluating alternatives that might be implemented quicker and more economically. Server consolidation & potential use of SDSC can mitigate capacity constraints.
R7	LDAP performance	T28	H	M	M	L	Memory upgrade completed	LDAP having trouble keeping up with requests. Memory upgrade & indexing likely required.
R9	Critical service failure due to storage full	T34	H	M	L	0	Completed 6/19/09	Need to install/configure storage that was acquired for this purpose.
R5	Edge switch failure	P34	H	H	L	H	Completed 8/15/09	New switches installed; rearchitecture supports dynamic rerouting, HPR network, and much more.
R8	CENIC fiber cut	R5, P34	L	H	M	M	Completed 8/15/09	New edge switch configuration now allows dynamic route switching should fiber be cut where redundant path exists (west of Bellevue/G). Full redundancy is only achieveable by extending diverse path from campus to Yosemite/Lake intersection.

Type: I=internal, U=user For=Pre-req for task, project, or user issue (Tnn, Pnn, Unn)Needs=Required predecessor Printed on 10/27/2010

ID	Prio	Complaint/Problem	Comments	Impact	Discovered	Lead	Work order #	Updated
U1	H	Wireless connection sessions interrupted for SSID: UCMerced & Guest	Various updates have been applied. We are looking at specific locations now, including changing mounting in Sierra Terraces. RFP and other tools being investigated.		9/4/2008	ITOC-TBD		11/19/2009
U3	L	MAC Leopard OS compatibility issues with Onstor	It has been discovered that this issue is a result of an Apple OS defect (6095809). Apple Care Tech Support Case #: 334222. Status: Fixed in Snow leopard; Apple says that Onstor has a fix in field test for Leopard. Nick asked to follow up with Onstor.		9/4/2008	DSS-Vangyi/ITOC-Hansard		10/15/2009
U5	H	Documentation Review Process (Internal/UCM User Community)	An internal/external process issue. Testing and/or working on documentation as it relates IT subgroup is to be reviewed by the Manager/Supervisor for that group. (e.g. WEB, SIS, ITOC, ITHD, DSS, etc). When new docs are created and posted to the IT website we should be emailing the IT@ucmcrops email list. Todd & Jose will look into a Jira document tracking and management system		9/4/2008	Varies by group		9/18/2008
U12	U	Software packaging for downloads	Phase II - revision and update. Drupal content management system in progress and required, before additional work to the IT Acquisition Channel. First meeting held (1/27) to discuss moving forward with support from Web Services. **STATUS**: Delayed. Edwards was provided with an online "skeleton" framework to address this. Will revitalize when new web site launched (10/30).		9/4/2008	DSS-Edwards		10/15/2009
U15	H	Compromised accounts spawn SPAM and result in UC Merced email being black-listed.	Sentriant rule in place; Tumbleweed upgraded and being tested for outgoing email. Whitelisting also to be done. Emal security project will complete actions.		2/26/2009	ITOC - Kogut		11/19/2009
U17	U	Some messages with attachments being blackholed without notification	NSPT had created a matrix of who to notify for which situations, needs to be compared to configuration recommended by and set up by Tumbleweed expert. Partially addressed; email security project will ensure compliance with NSPT recommendations.			ITOC-Kogut		11/19/2009
U18	M	AYSO in the Portal not working with IE	Using IE the AYSO channel brings up form to set your campus location ; setting UC Merced doesn't work. No problem with recent releases of Firefox, Safari, and Chrome. No easy fix; will look at in next round of projects.			EWA-Faust		10/15/2009
U19	U	Template information for landline phone requests	Users don't know what information to provide up front when requesting phone lines. New phone management application will resolve this and is almost ready to launch.			ITOC-Janet		10/15/2009
U20	U	Problem installing printer drivers from ucm1200-ps003 for 64bit Windows 7 systems	new Xerox 64 bit drivers cannot be served by 32 bit printer server. Will be upgraded as part of server consolidation project.					11/19/2009
Prio(rity): H=High, M=Medium, L=Low, U=Undefined								

ID	Priority	Complaint/Problem	Comments	Impact	Discovered	Lead	Work order #	Updated	Status	Resolution
	H	Missing email attachments (Outlook Users)	Outlook users reported issues when receiving email with attacements, attachments were not found. The connector (v10.1.3.10) resolves all new cases, not previous cases.		9/4/2008	DSS-Houser		10/23/2008	**completed**	Resolved in October 2008. Various units were tested in-house by DSS to confirm the new Oracle Outlook Connector 10.x.x.10 resolved the issue. Also, Oracle readme.txt file for the connector stated that the problem exhibited was corrected.
	H	People do not know how to connect to printers on \\ucm1200-ps003	The "How to" is now available for both PC Windows and MAC users and can be found on the IT website by clicking on Printing to Public Access and Departmental Printers, via the Support link. Direct URL: http://it.ucmerced.edu/printing/		9/4/2008	DSS-Moore		10/23/2008	**completed**	Resolved in October 2008. Documentation spawned from DSS to address this user request. It.ucmerced.edu/support.
	H	MAC users are unable to connect to printers on \\ucm1200-ps003 that contain a space in shared resource	Updates to the OS (Tiger & Leopard) have resolved this issue. The "How to" can be found on the IT website by clicking on Printing to Public Access and Departmental Printers, via the Support link. Direct URL: http://it.ucmerced.edu/printing/		9/4/2008	DSS-Vangyi/ ITOC-Hansard		10/23/2008	**completed**	Resolved in October 2008. Apple recommended updates to the OS corrected the spacing issue. This was tested successfully on various Apple units, experiencing the issue.
	H	MAC users are unable to connect to printers on \\ucm1200-ps003 that contain a symbol in password	Success in printing to the print server with the following symbols: **#$%&()_-@** This is no longer an issue attributed to the MAC OS Updates.		9/18/2008	DSS-Vangyi/ ITOC-Hansard		10/23/2008	**completed**	Resolved in October 2008. Syntax solution provided to us by Apple (%20). This was also added to the scripted created by John Watson, which has been corrected with the update.
	H	Outlook 2007/Windows Live Mail/ Outlook Express SMTP Auth Issues	MS tech called Houser 12/12/08 and said the fix will either come in an MS Update or a KB. If it's a KB they will call me and let me know which KB it is. There is no ETA for the fix. The case is being closed per the MS tech. MS has not called us back.		6/18/2008	DSS-Houser	41583	1/28/2009	**completed**	Microsoft has closed the case that UCM opened to deal with the complaint/issue. Microsoft has verified the issue and was able to duplicate the problem UCM was experiencing. However, there was no current patch to resolve the issue and stated that a fix would be pushed through MS Tuesday's, should a resolution be found.
	H	Missing and/or garbled email attachments (Webmail)	Troubleshooting required to determine why attachments are garbled from the server side, ITOC.		9/4/2008	ITOC-Stan		1/28/2009	**completed**	Issue believed to be closed due to the new Oracle Outlook Connector 10.x.x.10 resolving this issue for a few of the users who were experiencing this behavior. Stan has been working with Tumbleweed support to ensure that the attachments are not be stripped, as this too was a contributing factor to the issue.
	H	Wireless connection session drops for SSID: UCMGuest	Max count of total connected users is reached, meaning other connections made fail. Wireless AP reboots are occurring, during the weekends.		9/4/2008	ITOC-TBD		1/28/2009	**completed**	Per ITOC-Dean, updated the WCS software to the newest version, which then allowed ITOC to update the WLAN controllers to the newest version. Basically software updates to both WCS management software and the actual WLAN controllers.
	M	Technician updates are not sufficient	People are complaining that technicians are not contacting them soon enough. They are also complaining that there are not enough status updates in Track-It. They are going to the web to look for updates and are finding none		12/8/2008	TBD		1/28/2009	**completed**	Per **DSS,** staff meeting was held 1/20/2009 and this complaint was described to the team. All agreed that they would spend the time it took to update the work orders assigned to them (desc., detail resolutions, etc).

	M	Basebuilds do not have everything in them	Users have complained that when they receive their computer, they have tons of updates to run. Sometimes drivers aren't installed, such as the finger print scanner.		12/8/2008	TBD		1/28/2009	**completed**	Per **DSS,** staff meeting was held 1/20/2009 and this complaint was described to the team. Gabe Houser, as lead tech, is working on pulling together the Imaging process. It was also confirmed that device drivers are included before every deploy (imaged or client requested).
	M	Printer Support	We do not have a clear picture of who supports printing in different issues: i.e., networked printer, campus networked printer, private printer, etc.		12/8/2008	TBD		1/28/2009	**completed**	Per **DSS,** staff meeting was held 1/20/2009 and this complaint was described to the team. This was addressed by assembling a group to discuss print support & the "Star Model" support was implemented. See attachments.
	L	Optical drive is not working with iTunes installed	Apple iTunes 8.0 (or later) appears to have fixed the issue. Further testing may be required to verify this.		9/4/2008	DSS-Cude		12/8/2008	**completed**	During the ITUS Meeting on 12/8/08, Rich requested that this issue be closed on the account he is the only one that has complained of the issue.
U9	M	Spam/Deleted mail not being removed after 14 days	Part of Email 2.0 that wasn't working.		9/4/2008	ITOC-Stan		2/25/2009	**completed**	Stan was able to change configuration settings after testing them on the test email server.
U7	M	Drafts disappearing in webmail after being saved	Fix is available and tested. Server to be upgraded 2/28.		9/4/2008	ITOC-Stavitsky		3/3/2009	**completed**	Fixed by upgrade.
U11	U	SLA on what is and is not IT supported	Unclear as to what IT officially supports. For example, Unix, MAC, iPhones, etc. Rich has written 1st draft of desktop support web documentation & matrix. Will complete with ITUS; will bounce off of ITAC for future direction.		9/4/2008	Kogut, R		1/28/2009	**completed**	Published on web; to be discussed by ITAC for future direction.
U2	H	Protecting UCM wireless users from rogue access points	Possibly a cause to wireless connection session interrupts.		9/4/2008	ITOC-TBD		4/24/2009	**deleted**	Absorbed into U1.
U8	L	Unable to update details for re-occurring appointments, Corporate Time Calendar	Webcalendar - Without the installation of Outlook on the computer, the issues still occurs. Desktop Clients (all versions) - The native client of the Oracle Coporate Time App exhibits this behavior as well. Outlook w/Oracle Connector (v.10.1.3.10) - same issue. Resolution will come from an upgrade to the Calendar Server. **Server upgrade postponed following a string of hardware and finally a certificate problem(s). See T9/U13.**		9/4/2008	DSS-Cude & ITOC		7/1/2009	**completed**	
U10	U	64 Bit VPN client for Vista users	New Cisco VPN box installed with 50 SSL licenses ordered. **STATUS**: Documentation now online (it.ucmerced.edu/support). UCM Library is now pointing their VPN online docs to IT per Donald Barclay. **Completed.**		9/4/2008	DSS-Magana		7/1/2009		

U16	U	Windows IE8 causing problems	Especially with http and https mixed on same page as in portal. Microsoft has released some compatibility upgrades, but we may have to change portal. 7/21/09 -- Enabling Display Mixed Content security option resolves this particular problem; need to follow up on any others. ***Complete***		5/15/2009	Faust		7/21/2009		
U13	U	Upgrade the Calendar	People are complaining that the calendar isn't good enough. Calendar server to be updated in May. After that, will request input on outstanding issues. **Server upgrade postponed; see T9/U13. Server upgrade completed on 8/6/2009. Now need to ask for outstanding issues**		12/8/2008	ITOC-Twiss		8/6/2009		
U6	H	Unable to stay connected to Networked Printers (UCMPrint & UCM1200-PS003)	**ISSUE**: Both students and staff are having issues where they connect to a printer on UCMPrint or UCM1200-PS003 and are disconnected after restarting their computer. **TEMP**: They have to reconnect everytime they want to print after their computer has restarted. There have been serveral instances of these with both Windows Vista and XP. **STATUS**: (Houser) Appears to be affecting XP - Home users, because it is not a networking OS. Followed-up with 11 WO's listed and Houser learned that they are no longer experiencing any issues. Most folks who were listed were trying to connect to printers on UCMGLOBAL. IT Help Desk and DSS continue to monitor this, before moving to *completed*		Two weeks after start of school	DSS-Houser	44892, 44854, 44512, 44419, 43516, 44748, 43907, 43802, 45137, 44892, 45247	7/1/2009		
U4	H	Cell Phone Billing	Virtually all MSOs have access to Premier Site. Automated billing application rand in production with July bill.	Medium	9/4/2008	ITOC-Hines		9/24/2009		
U14	U	Technician updates are not sufficient	People are complaining that technicians are not contacting them soon enough. They are also complaining that there are not enough status updates in Track-It. They are going to the web to look for updates and are finding none. Per **DSS**, this has been addressed and found under **Completed.**		12/8/2008	ITOC, IDM, ITHD, DSS		7/1/2009		

University of California, Merced
Information Technology
Annual Report on Service Delivery
(FY 2008-2009)

- **IT 2.0 (focus on continuing improvements to service, communications, and governance)**
  - Inaugurated IT Administrative Council (AITC)
  - Inaugurated IT Advisory Committee (ITAC)
  - Internal governance and process improvement
    - IT User Services improvement team
      - CIO and managers of Desktop Support, Help Desk, Operations, and ID Management Office
      - Meets bi-weekly
      - Identifies, prioritizes, escalates, and tracks resolution of broad-based user issues
      - Identifies process improvements for handling requests, communications, etc.
    - IT Leads team
      - Managers and technical leads from Student Information and Business Intelligence team, Enterprise and Web Applications team, and IT Operations Center, and CIO
      - Meets weekly or bi-weekly depending on planning cycle
      - Coordinates issues, scheduling, and schedule adjustments of major interdependent tasks based on quarterly plans
      - Ensures that, as unexpected delays, outages, requests, etc., appear, that all groups work remains aligned with the campus priorities, but without losing track of other tasks
    - Expanded project management methodology (including the creation of the groups noted above) to take into account major user issues/complaints, risks, and task scheduling to better align IT activities with campus priorities
  - New services & support requested by end-users
    - New webmail client in portal
    - Calendar upgraded and direct access supported from popular mobile devices
    - All technicians trained on Macintosh support
    - 64-bit Vista VPN support
  - New services requested by MSO's
    - AT&T Premier Site made available for viewing cell phone bills and managing plans
    - New application for managing telephone accounts beta tested by 12+ MSO's
  - Help Desk & problem resolution
    - New trouble ticket review process ("30/15/30") inaugurated to promote daily review and communication by desktop technicians with requestors
    - "Star" support model introduced to keep single point of responsibility for work orders requiring staff from multiple groups to fulfill
    - "Remote Control" tool usage expanded to allow more timely resolution of problems by avoiding the need to be physically on-site in many cases
    - Routinization of proactive visits of desktop technicians in a rotating basis around campus (IT Sweeps)
    - Upgraded Portal Work Order Web (ITWOW) channel to allow technicians to update high-level status
  - Documentation

        - Significant expansion of web documentation for mobile devices, personal computer back-up, Vista, etc.
        - Documentation expanded on what is supported (and not) by IT
        - IT Services Menu (leaflets & printable from IT web site) created for new and existing users
    - Communications
        - Semi-annual IT Town Hall Meetings inaugurated (10/14/08 and 2/25/09)
        - IT system & network status posted on IT web site
- **Plan and Bring Up Campus Site and Buildings**
    - Brought online:
        - Early Childhood Education Center
        - LSSF
        - Mariposa Hall
        - Physical Planning Trailer (Pump House)
        - AT&T Cellular Tower Site (S&E2)
    - Designed/Planned/Brought Online:
        - Promenade Suite M
        - Mondo Ground Floor
        - Coimbra Research Station
        - ProWest Contractor Trailer (SSM)
        - ProWest Contractor Trailer (Housing 3)
        - Commencement (Bowl Amphitheatre) Data Infrastructure
        - "Beginnings" Sculpture Data Infrastructure
        - AV Installation S&E Conference Room 200
        - AV Installation Visitor's Center
    - Designed/Planned:
        - Housing 3
    - Preliminary Design:
        - Science & Engineering 2
        - Castle upgrades
        - Site & Infrastructure 4/5 (Telecom facility improvements)
        - Site & Infrastructure 6/7 (campus expansion)
        - Health Sciences Research Lab (NIH funded)
        - Wawona Research Station Research Lab (Grant Proposal)
        - CIRF Stem Cell Facility (S&E1)
        - ATM Facility (COB)
    - Continuing Design:
        - SSMA
- **Build IT Infrastructure & Core Services**
    - Network and network services
        - Added CalREN High Performance Research (HPR) connectivity to other UC and research sites and networks
        - Upgraded edge switches and re-architected core network to provide greater path redundancy and resiliency in the face of equipment failure or fiber cuts
    - Email
        - Replaced portal webmail client by Roundcube
    - Calendar
        - Upgraded to current level, resolving numerous bugs, and supporting access from popular mobile devices
    - Directory
        - Added reverse telephone look-up and extended wildcarding to web search
        - Added ability to copy search results to PDF file
        - Optimized view for SmartPhone/PDA users
        - New ability to send information to mobile device as a text message
    - Access & Identity Management

        - Improved ID Claim process for new users
        - Added ability for users to reset passwords when forgotten
        - UC Trust/Shibboleth (Federated Authentication using UCMNetID)
            - Met assertion standards and enabled UC Trust for UC Merced population, including:
                - At Your Service Online (AYSO)
                - Learning Management System (Sum Total)
                - UC Ready
                - UCLA PCard
                - WebAssign
        - Single Sign-On (SSO)
            - Developed CASShib, allowing the extension of SSO to applications that support Shibboleth without modification
            - Released CASShib to entire JA-SIG community
            - Enhanced Single Sign On (CAS)
                - Upgraded to version 3.3.x
                - Added attribute release to specific applications
                - Created support for customizing themes per application, enabling BFS to extend SSO to their applications
    - Security
        - Enhanced security policy and procedures for compromised machines
        - Reviewed and improved system-recovery methods for malware infections
        - Improved procedures for containing and handling SPAM-serving machines
    - Server deployments:
        - 4 new Windows server; retired or repurposed 9 others (for both IT & other departments; 82 total)
        - 6 new UNIX servers (97 total)
        - 2 new appliances (10 total)
    - Storage
        - Deployed 22 TB AMS500 storage array
        - Doubled storage area network fabric (SAN) to accommodate increasing demand
        - Expanded near-line disk capacity and added higher capacity tape library to handle increasing backup load
        - Moved towards backing up directly to offsite location (Castle)
    - Telecommunications
        - Permanent AT&T cell tower deployed
        - AT&T Premier Site deployed, allowing MSOs to manage wireless accounts
    - Digital signage
        - Additional locations:
            - COB 2nd floor lobby for CRTE
        - Provided training and documentation to Linda Hart-Brown
        - Setup a display for the presentation of the Emergency Notification System per the request of Campus Police Department (CA Room)
        - Consulting on adding 4 display engines in Dining (in-progress)
- **General User Support**
    - Completed 10788 work orders (9932 in FY07-08, 8.6% increase)
    - 30.35% of issues resolved immediately when first reported to Help Desk or Desktop Technicians
    - 64.7% of all issues resolved within 3 days (excluding weekends, and including requests that included orders, etc., that would normally take more than 3 days)
    - Groups handling work orders by percentage:
        - 41% Help Desk
        - 28% Desktop Support Service
        - 19% IT Operations Center
        - 3% Identify Management Office

        - 4% Classroom and Media Support
        - 2% Instructional Computer Lab Support
        - 2% Web & Portal Applications
        - 1% Other
    - Work orders completed by category:
        - 6320 Computing Software
        - 1347 Telecommunications Hardware
        - 869 Computing Hardware
        - 692 Network Infrastructure
        - 644 Instructional Technology
        - 551 Identity Management
        - 190 Telecommunications Software
        - 159 Other
        - 10 Room reservation
    - 3046 work orders handled by Desktop Support Services:
        - 1710 Software
        - 615 Mobile Device Hardware
        - 462 Hardware
        - 204 Network Infrastructure (including port activation)
        - 46 Mobile Device Software
        - 9 Other
    - Performed 419 telephone moves, adds, and changes
    - Processed 535 mobile device orders
    - Software Licensing
        - Handled 1088 Help Desk tickets (1832 in FY07-08, 40% decrease believed due to improved self-service and Help Desk empowerment)
        - Responded to 2019 emails related to software information, procurement and licensing (1628 in FY07-08, 24% increase)
        - Managed licensing for 218 software titles (213 in FY07-08, 24% increase)
        - Of these, 9 required price negotiation (no UC or standard academic discount available)
        - Managed site/volume/academic purchase agreements with 57 software providers (no change from prior year)
        - Handled $108K of software licensing, leveraging UCOP agreements, volume purchase levels, site licensing, etc., for an effective average discount of 38%
        - Converted 1 software title to site-licensing, resulting in an additional estimated cost savings of $6K
    - DMCA (copyright violation handling)
        - Researched 102 cease and desist notices of which 49 were traceable
- **Web/Portal**
    - **Portal**
        - New layout, look, and feel developed with the Portal Advisory Group
        - Added new channels:
            - Student and Applicant Checklist
            - AYSO
            - LMS
            - Roundcube (replacement for prior webmail client)
        - General
            - Upgraded to uPortal 3.0
            - Added load balanced for increased availability
            - Increasing use: averaging 5,276 users per day
    - **Web Application Development**
            - Applicant and Student Checklist – gives students up-to-date requirement information.
            - Graduate Student Application Review system

            - Allows for application to research and fellowships
            - Allows for review of applicants and scoring
        - Update to Orientation Registration
            - Additional admin functionality
            - Waivers
        - Phone Management
        - Cell Phone Management
- **Web Content Management**
    - 50 sites created in or migrated to the new Campus CMS beyond the 3 pilot sites
    - Features added to Campus CMS
        - Web forms
        - Single sign-on support (CAS)
    - Training
        - 5 Campus CMS training sessions
        - 100+ staff trained
    - Major New Sites
        - Commencement
        - ASUCM
        - Admissions
    - New and Migrated Sites
        - accreditation
        - administration
        - admissions
        - admissionsblogs
        - alumni
        - anth
        - ar
        - asucm
        - athletics
        - careerservices
        - chancellorsassociates
        - commencement
        - crha
        - crte
        - custodialservices
        - dining
        - eap
        - ehs
        - family
        - financialaid
        - fraternity
        - gradlife
        - gradstudies
        - grounds
        - international
        - iss
        - larc
        - learning
        - lockaccess
        - mailservices
        - naturalsciences
        - ott
        - peermentoring

            - receiving
            - recycle
            - registrar
            - researchdev
            - sfac
            - sociology
            - spo
            - ssha-advising
            - staffassembly
            - studentaffairs
            - summerbridge
            - surveys
            - sustainability
            - taps
            - urjournal
            - writingproject
    - **Faculty Web Content Management System**
        - Automated site creation so that all faculty now have sites
        - Developed new design with easier interface

- **Academic/Instructional and Related IT Support**
    - **Collaboration and Learning Environment (UCMCROPS)**
        - Faculty Log support added to allow faculty to monitor student usage
        - Upgraded to Sakai 2.6
            - Added Messages tool
            - Added Site Statistics tool
        - Deployed ePortfolio facility; 9 sites in production
        - Course sites increased to 1899 (1451 in FY07-08, 30.9% increase)
        - Project sites increased to 314 (206 in FY07-08, 52.4% increase)
    - **Computer labs**
        - Facilities added:
            - Open Access lab and Self-Production Multi-Media facility in SE100 & SE100A
            - Study Room computers (4) in Sierra Terraces
        - Facilities refreshed:
            - Fresno Center computer lab (1/2)
            - Software base (all labs):
                - Microsoft Office 2007
                - ARCGIS
                - Pro-E
                - Matlab
                - SPSS
                - STATA
                - EcoBeaker
                - GMS
        - Facilities taken offline:
            - SE100 & SE100A
        - Managed 8 labs at 3 locations:
            - 2520 class hours (2864 in FY07-08, 12% decrease)
            - 54 courses (49 in FY07-08, 10% increase)
            - 51 software packages (47 in FY07-08, 8.5% increase)
        - Worked with ASUCM to fund extended Open Access Lab hours in 2009-2010
        - Worked with the School of Natural Sciences to establish a process to assist them with computer imaging and management for their laptops deployed for instruction in wet & dry labs for Biology

        - Worked with Instructional Space Planning committee to best utilize all campus computer classrooms (Windows & Linux) to maximize the amount of open access hours available for student use
- **Classrooms**
    - Renovated: COB262, COB274
    - Brought back online: COB262, COB274, KL209, KL217
    - New/Upgraded facilities
        - Piloted a new "clicker" Audience Response System for use in classrooms with two faculty and 150 students
    - Supported 39 classrooms with classroom technology (33 in FY07-08, 18% increase)
    - Provided technology support to1097 class sections held in those classrooms (874 in FY07-08, 25.5% increase)
    - User Documentation and Training
        - Provided personal instructional technology orientation for every instructor during first week of each semester
        - Presented classroom technology overview at SSHA's new instructor orientation
        - Created documentation for operation of AV systems in reassigned classrooms COB262, COB274, KL209, KL217, and conference room KL232
        - Offered personalized one-on-one training to regular users of the KL232 videoconference room
    - Maintenance
        - Created documentation documenting the proper connections in the COB102 floorbox for technicians reference
        - Continued a nightly classroom technology maintenance schedule which included weekly specialized AV testing to ensure proper equipment functionality
    - Supported numerous special instructional events (review sessions, CORE class events, rehearsals, Service Learning presentations…)
- **Printing**
    - Added color printers to UCMPrint (CatCard-enabled printing)
    - 287,064 sheets printed through IT managed printers
    - Continued partnership with ASUCM to provide a $1.75 credit for printing/copying per student per semester. ($5042.84 used in FY08-09)
- **Videoconferencing (hours reported exclude planning and set-up time)**
    - Facilities refreshed: Sequoia Room
    - Supported 10 videoconference rooms at 5 locations and an additional 2 mobile videoconference systems on campus
    - Academic (Undergrad, Grad, Research, Thesis) – 212 hours (160 in FY07-08, 32.5% increase)
        - Psychology 238 (UCSD)
        - ME 142 – Mechatronics (UCB)
        - Stem Cell Journal Club (UCD)
        - Nai Wei Kuo and Andy LiWang collaborative meeting (Texas A&M)
        - QSB 291
        - CHEM 291
        - CLH 220 (UCD)
        - BIS 10 with Maria Pallavacini (UCD)
        - Thesis Defense for Harshani Peiris
        - PSY 206 (UCLA)
        - Physics 232A (UCB)
        - QSB 294
        - QSB 291

        - CHEM 291
    - Administrative – 96 hours (70+ in FY07-08, 37% increase)
        - UCM and UCOP Sustainability Meeting
        - EAOP with UCOP
        - Telemedicine PR with Maria Pallavacini
        - Council of Vice Chancellor Meeting (COVCA)
        - IT Leadership Council meeting (ITLC)
        - UC Media Directors Mtg.
        - EAOP AB540 with UCOP
        - EAOP Training with UCOP
        - NPS Gov (Denver)
        - Off-site staff interviews
    - Capture and Streaming – 28 hours (112 in FY07-08, 75% decrease due to hardware failure)
        - Instruction
            - NSED 23
            - NSED 63
            - Writing 116
            - Service Learning Presentations
        - Special Events
            - Spendlove Prize Lecture Series
- **Non-Instructional events supported (AV)**
    - 100 total events (73 in FY07-08, 37% increase)
    - Student events listed under Student Support
    - Campus Conferences & Events
        - 2008 UC Counselor Conference
        - Politicas and the mind: George Lakoff
        - 2008 Preview Day/Family Weekend
        - 4-H
        - UCM Athletics Logo Unveiling
        - Invisible Children – Movie Night
        - International Education Week
        - Merced Symphony Fall
        - String Ensemble Concert
        - An Evening of Music with Lorraine Walsh
        - Jazz Performance
        - Transfer Conference
        - Merced Symphony Spring
        - Opera in the Schools x 5
        - Regional Leadership Development
        - Dinner with a Scientist
        - "Debut" Student Art/Performance
        - Bobcat Day
        - East Reads West
        - ABC Conference x 3
        - QSB Films with Michael Dawson
        - Chicano Latino Graduation
        - Commencement with Michelle Obama
        - Heritage and Home Film Series
        - UC Sponsored Conference
        - Natural Sciences – Telehealth
        - Admissions Presentations with the Chancellor
        - Orientation – Parent/Student Presentation

            - Convocation
        - University Relations & Community Events
            - Board of Trustees Meeting
            - Scholarship Social with University Relations
            - Pellisier Speaker Series
            - Delta Gamma & Kappa Kappa Gamma

- **Student recruitment, orientation, and support**
    - **Orientation (10 undergraduate sessions, 1 graduate session)**
        - Updated documents on What Computer to Buy/Bring & Student Computing Resources.
        - Gave presentations to undergraduate students and Q&A for parents
        - Staffed an information table to answer student and parent questions
        - Updated presentation for Parents
        - Updated presentation for Students to accommodate new format
        - Updated the translated presentation for the Spanish-speaking parent presentation event
        - Gave new presentation for Spanish speaking parents
        - Gave presentations for Graduate students
        - Provided IT/AV and Computer Lab support for orientation events in more than seven different campus locations
    - **New Student Orientation Registration System**
        - Added support for waiving fees
        - Added ability for office to manage configuration and site content
        - Spring 2009 – 1 session/40 students
        - Summer 2009 – 9 sessions/1291 students
    - **Fall Preview Day**
        - Created and staffed IT booth
        - Created new "Think about I.T. - Questions to Ask Prospective Colleges" handouts in order to educate prospective students on campus technology and to consider how it might impact them in their academic career.
        - Provided IT/AV support for presentation events
    - **Bobcat Day**
        - Created and staffed IT booth
        - Provided IT/AV support for presentation events
    - **Move-in Day / Weekend**
        - IT booth for laptop wireless configuration & other residence networking issues
        - Coordination with AT&T for student phones
        - Provided a mobile computer lab (laptops) to support Financial Aid
    - **ASUCM Student Elections**
        - CROPS adopted by Student Affairs for multiple elections
    - **ASUCM Website**
        - Partnered with ASUCM to fund the development of an improved ASUCM website
        - Attended committee meetings to provide details about what could be possible as it related to each subgroup, and gathered information about their specific needs
        - Worked with ASUCM Communications Director to gather information on existing process workflows and input on how things could be improved
        - Attended Senate meetings to answer questions and provide detailed proposal of a first phase redesign of their site.
        - Initiated work on the redesign of the ASUCM website
    - **Student Events**
        - Worked with ASUCM to partially finance IT student staffing for Student Event support for 2009-2010
        - Student Life & Student Club Events supported (primarily AV)
            - PCN

- Poetry Jam
- Vagina Monologues x 3
- Shakespeare Performance
- Oratorical Contest
- Magnum Opus Performance
- Dance off
- Meet the Candidates
- Chinese Student Association Performance
- Martial Arts Club Performance
- HHM Performance
- Color Bonita
- Drag Show
- Korean Culture Night
- VSA Talent Show
- INTRO Performance
- Kababayan Experience
- Bario Fiesta
- Dance Coalition

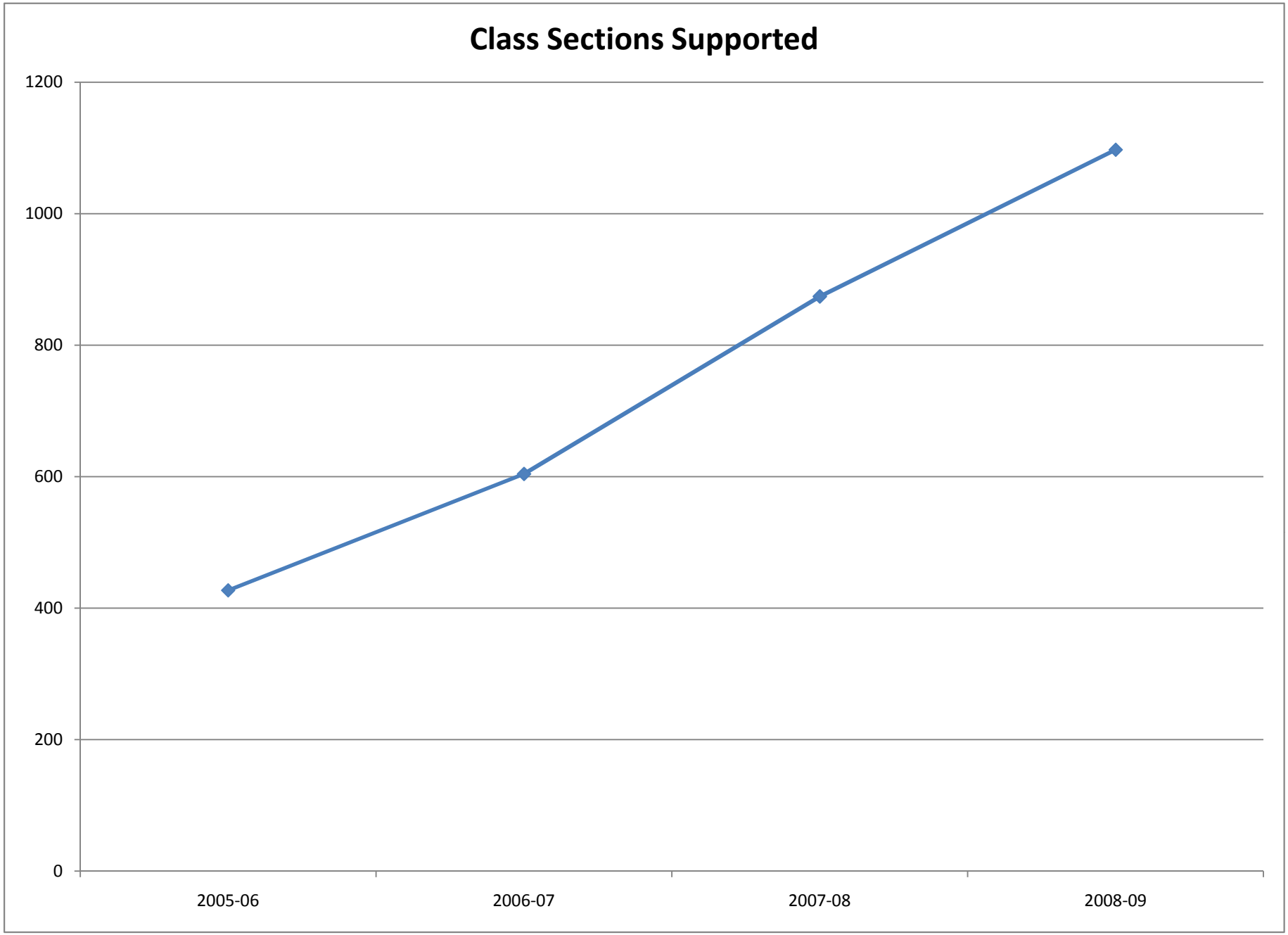
- **Schools, Research, and Centers**
  - **Engineering**
    - Provided license management via license server for ARcGIS, Matlab, Ansys, Pro-E, ENVI
    - Assisted in implementation of additional LDAP authentication
    - Created and began implementing plan to integrate 30 TB of storage into central storage facility
  - **Natural Sciences**
    - Added UCMCROPS support for WebAssign, allowing Chemistry courses to offer question banks to students
    - Worked with the School of Natural Sciences Biology Lab Coodinator to establish a process to assist them with computer imaging and management for their laptops deployed for instruction in wet & dry labs
    - Provided license management via license server for Matlab & Mathematica
    - Provided temporary AV solution for SE153 Anatomy Lab
    - Provided consultation in implementation of email service
    - Assisted in implementation of additional LDAP authentication
  - **Social Sciences, Humanities, and the Arts**
    - Provided license management via license server for Matlab, STATA & SAS
    - Provided temporary AV solution for COB114 Arts room
  - **Sponsored Project Office**
    - Installed Kuali COEUS 1.0
    - Installed Kuali Rice 1.0 (platform used by KL COEUS)
  - **Writing Project**
    - Moved ePortfolio pilot (OSP) into production
- **Administrative/Departmental IT**
  - **Information Architecture**
    - "Grassroots" committees became active with IT participation and facilitation:
      - Data Standards Committee
        - developed draft standards for data element specifications in campus systems
        - documented stewardship among units and systems
      - Data Hygiene Software Committee
        - researched and selected a product for validating address and contact information in vendor systems and web applications
      - Constituent Update Group

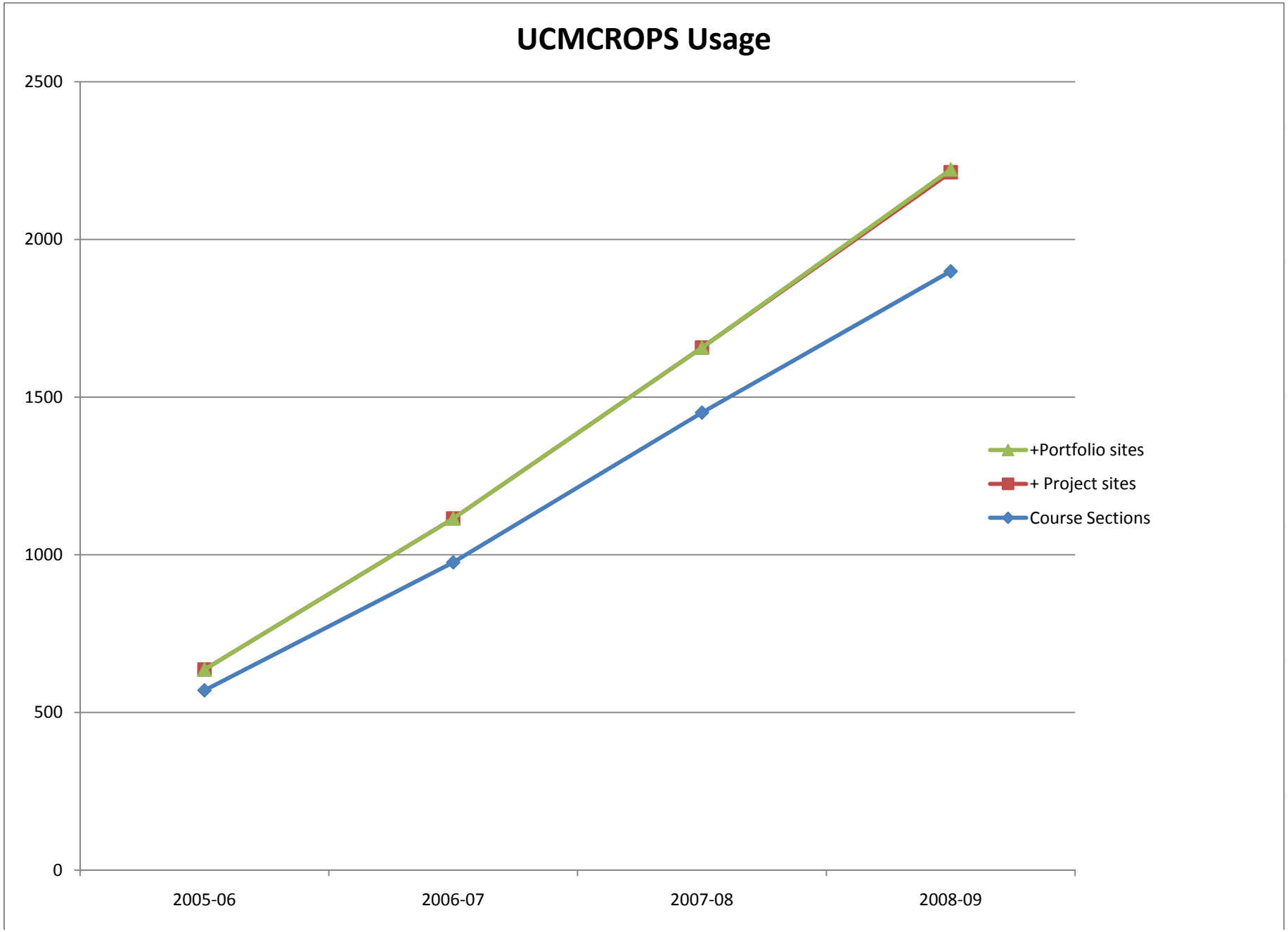
        - developed plan for synchronizing personal and emergency contact information across systems
        - developed strategy for ensuring user updates of information
- **Student Information System and related applications for departments**
    - ***General SIS work:***
        - Fulfilled approximately 680 user service requests (581 in FY07-08, 17% increase)
        - Performed Banner INB and Self-Service upgrades 7.3, 7.4, and 7.5
        - Developed project plan for Banner 8 upgrade and installed Banner 8.0 Seed environment
    - ***Undergraduate Admissions***
        - Implemented Fall 2008 and Spring 2009 Admissions cycle UCOP changes to CPLOAD
        - Implemented Student Multiple Ethnicity reporting to meet Federal requirements
        - Enhanced SIR process to provide flexibility in managing deadlines
        - Created Applicant Checklist in portal
        - Configured new server for several applications including Admission Application Review Online
    - ***Financial Aid***
        - Completed standard annual Financial Aid regulatory upgrades
        - Completed Federal Work Study earnings interface between Financial Aid and PPS for Student-Employees
        - Enhanced Parent Plus Loan EFT refund interface
        - Integrated Financial Aid items into Applicant Checklist
    - ***Registrar***
        - Implemented Degree Audit Reporting System (DARS -- myAudit) Phase I (in partnership)
        - Implemented Banner Advisor Self Service Phase I (in partnership)
        - Enhanced 3rd week Census and End of Term enrollment UCOP report
        - Improved security by adding server side authentication for clearing house
        - Enhanced Banner custom views for UCMCROPS interface
        - Enhanced BANNER Student orientation interface
        - Enhanced UCOP Registrants file process to be more efficient
        - Enhanced Statement of Legal Residence website
        - Enhanced Official transcript for under graduates
        - Developed customized Online Course Schedule on Banner Self-Service
        - Recovery and restoration of Astra scheduler following corruption
    - ***Student Accounting & Billing***
        - Enhanced Account receivable reconciliation report
        - Enhanced EPAY - BANNER real time post of payments interface
        - Implemented changes to health insurance waivers to allow for not yet registered graduate students
    - ***Graduate Studies***
        - Implemented enhancements to the application and letter generation process
        - Implemented the first phase of the SIR process
        - Configured GRE score load process in preparation for testing self-reported vs. official scores
        - Enhanced the official transcripts
        - Developed “working transcript” for advisors and faculty
        - Developed application allowing students to apply for research scholarships and fellowships

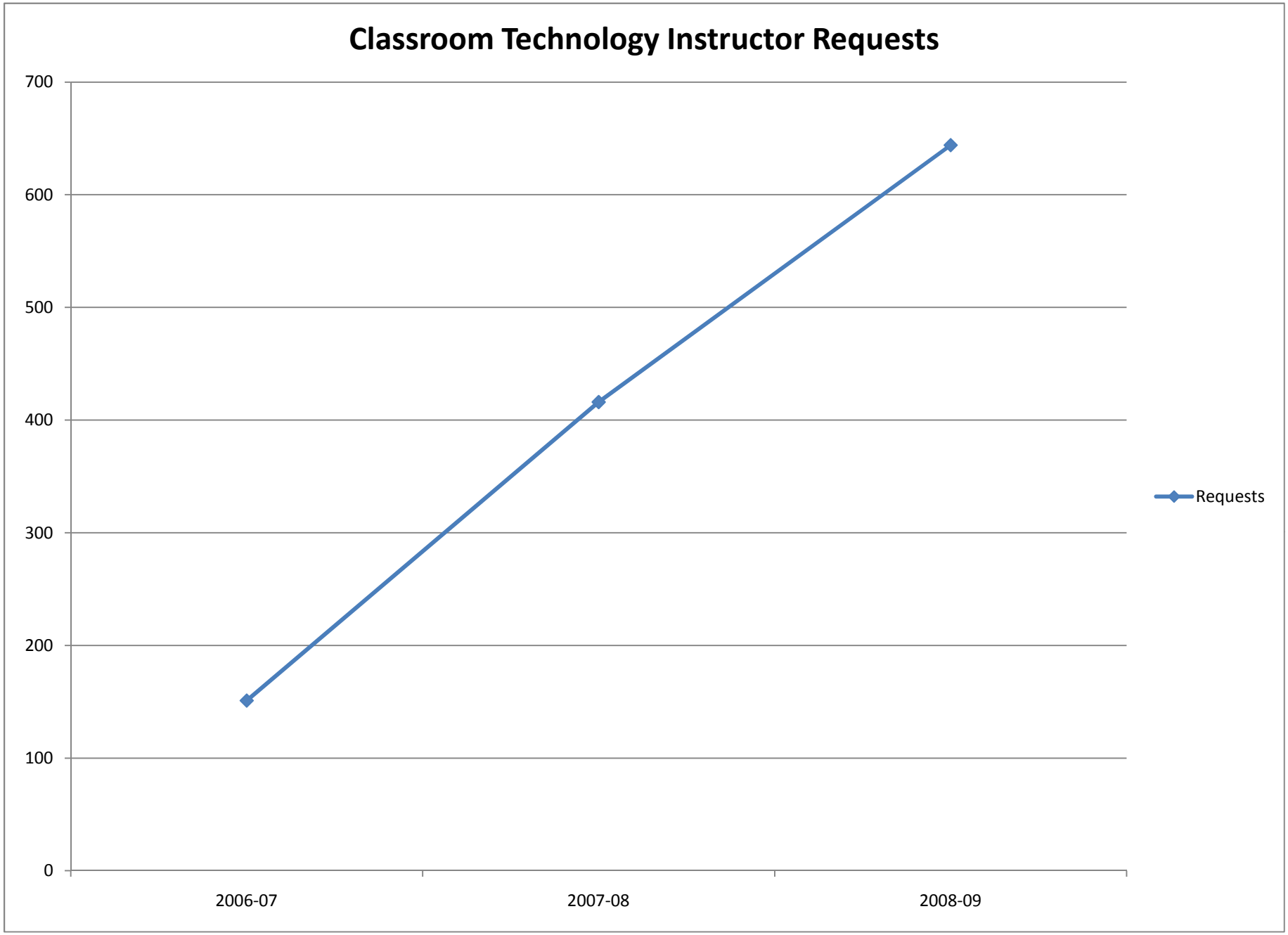
        - 16 LEADS applications
        - 14 AGAP applications
    - ***Office of International Affairs***
        - Began implementing fsaATLAS (in partnership)
- **Business Intelligence**
    - ***Operational Data Store (ODS)***
        - Improved and enhanced custom data interfaces for the School of Engineering's Graduate Admissions application review system
        - Implemented custom data interface for the School of Engineering's lab roster.
        - Implemented 10 new Undergraduate Admissions data feeds from Banner to ODS
        - Implemented 22 new business logic data feeds from Banner to ODS
        - Implemented 2 new IPA data feeds from Banner to ODS in preparation for the first Data Mart
        - Began implementation of a new feed from UCLA's QDB system in to the ODS
        - Began upgrade to ODS Version 8 by upgrading from Version 3 in test environment
    - ***Data Warehouse***
        - Installed and deployed production Cognos environment.
        - Initiated implementation of the first Data Mart, which will contain census-based admissions and enrollment data.
        - Implemented first phase of Undergraduate Admissions Business Intelligence Framework (Cognos).
        - Analysis has begun for SunGard ODS Business Intelligence Framework for various functional academic areas.
    - ***Tools***
        - Completed initial training on Cognos Reports Studio for pilot group of key report developers
- **Other Departments & Applications**
    - ***BFS***
        - Enhanced Single Sign-On (CAS) to allow customization by application
        - Formal test of disaster recovery plan
        - Reconfigured several servers
    - ***Bookstore***
        - Extended POS network for Commencement
    - ***CatCard***
        - Upgraded CSGold to version 5.0.23
        - Integrated LSSF and ECEC
        - Installed 2 photo acquisition stations for Orientation
    - ***Career Services***
        - Updated their user listing on CatLink with current students
    - ***Communications***
        - Installed new version of Digital Asset Management System (Canto 7)
        - Configured web traffic tracking for www.ucmerced.edu and other key sites using Lyris Clicktracks
        - Enhanced Happenings to allow better targeting of announcements
        - Launched Commencement.ucmerced.edu
        - Launched Emergency.ucmerced.edu
        - Worked with several UC campuses to adapt/develop a campus events calendar (deployment planned for Fall 2009)
    - ***Dining***
        - Installed TimePro application on production server

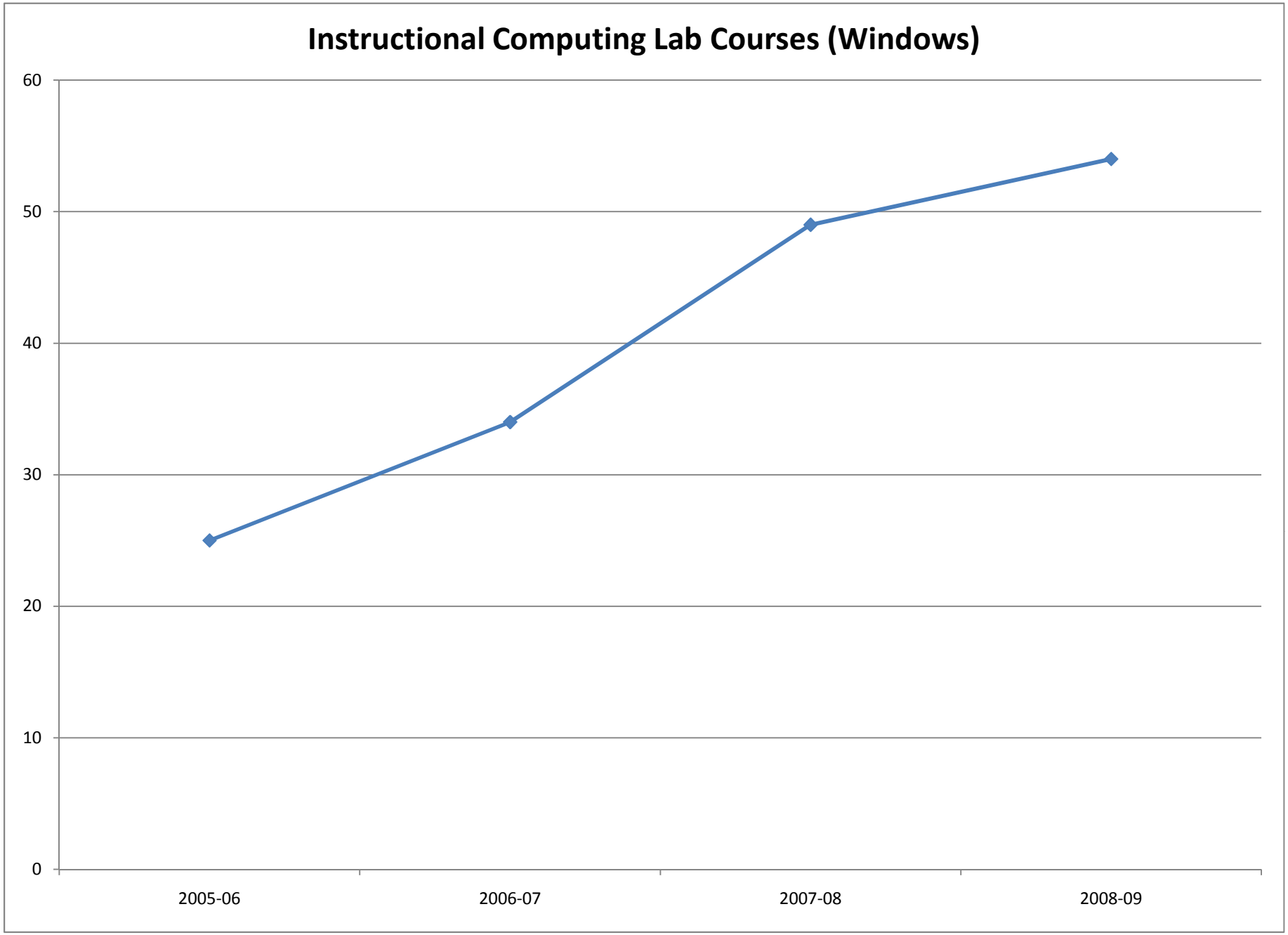
- Redesigned timeclock network to support multiple locations
- Upgraded Micros POS server to allow for database growth

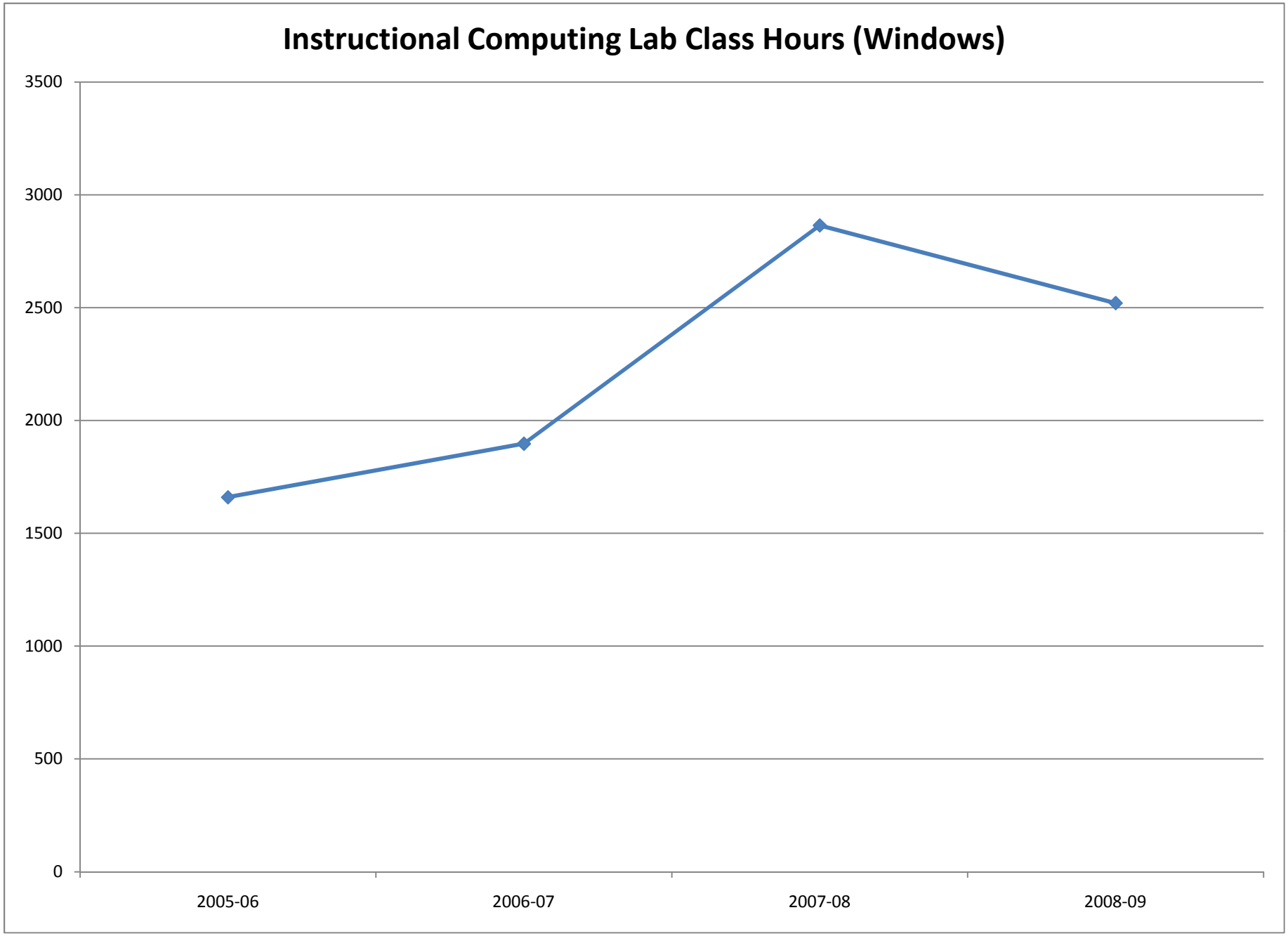
- ***Facilities***
  - Upgraded TMA system (server, workstations, handhelds)
- ***Health Services***
  - Enabled electronic prescription submission to pharmacies
  - Set up server for Health Services web portal
- ***Human Resources***
  - Three new releases of PAWS deployed, adding
    - Ability to email all candidates in a pool
    - Ability to send email based on disposition
  - 551 positions were created, and 15856 applications processed
- ***Institutional Planning and Analysis***
  - Developed plan and deployed storage for census snapshots
  - Began deployment of additional storage for general use
- ***Physical Planning***
  - Installed server and Citrix to host Prolog
- ***Police/Dispatch***
  - Installed Live Scan fingerprinting system
  - Installed WARN wide-area announcement panel in Dispatch
  - Assisted with Department of Justice audit
  - Assisted with camera selection/placement for the COB ATM project
  - Assisted with technical documentation for the WARN sole-source justification
  - Installed Stancil 911 Playback Station in PDTrailer

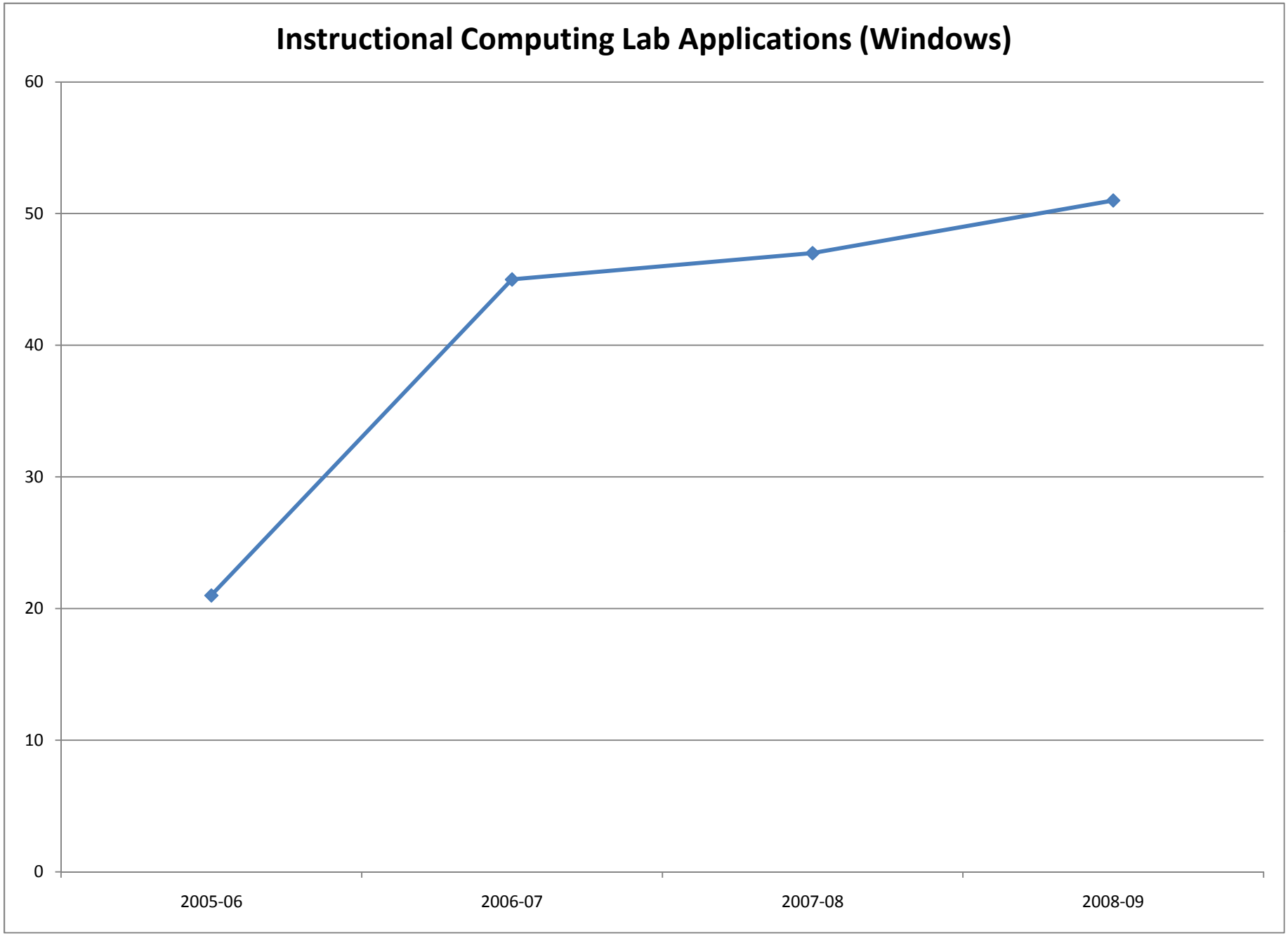

Class Sections Supported
1200
1000
800
600
400
200
0
2005-06
2006-07
2007-08
2008-09

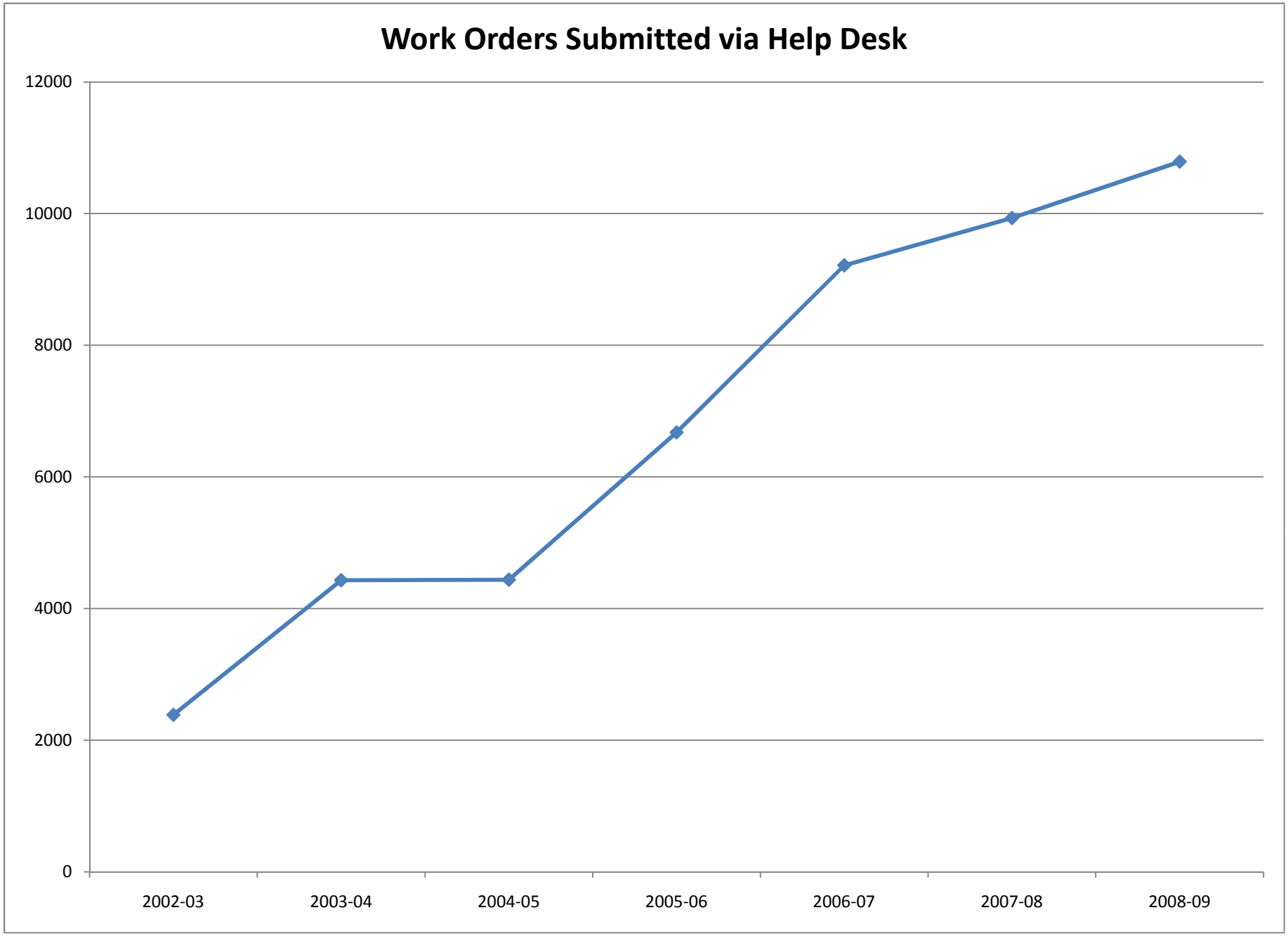

UCMCROPS Usage
2500
2000
1500
1000
500
0
2005-06
2006-07
2007-08
2008-09
+Portfolio sites
+ Project sites
Course Sections

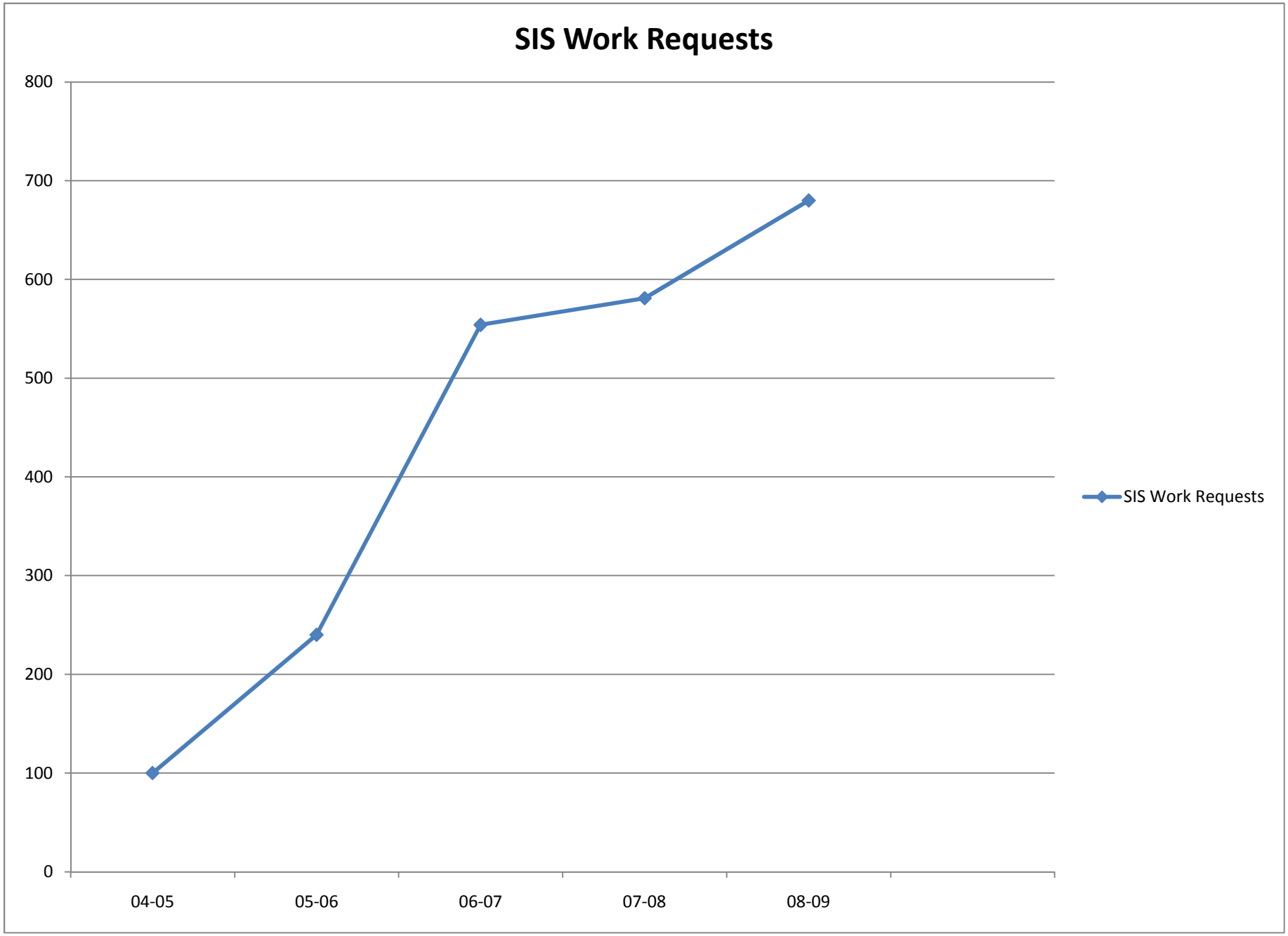

Classroom Technology Instructor Requests
700
600
500
400
300
200
100
0
2006-07
2007-08
2008-09
Requests

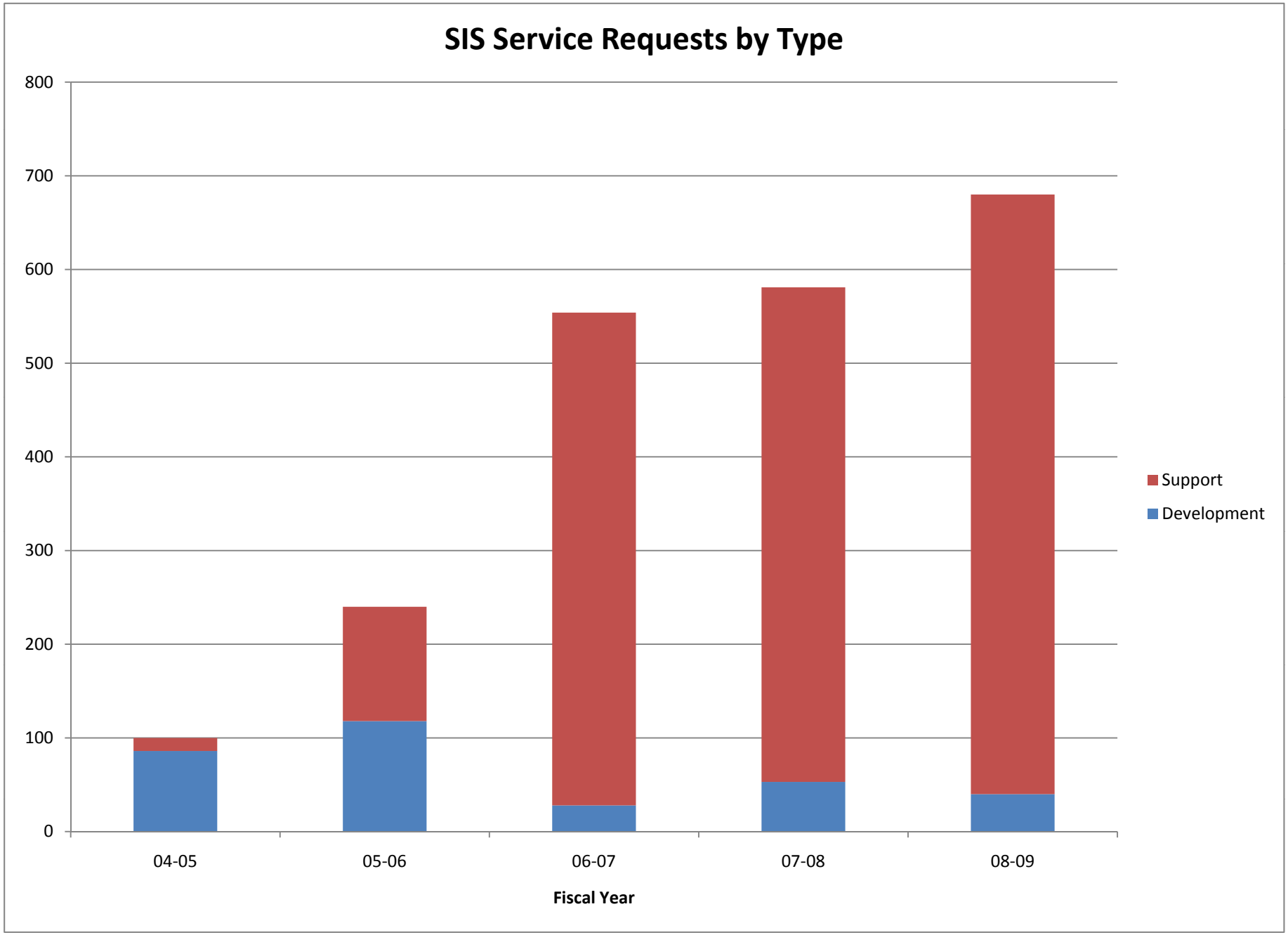

Instructional Computing Lab Courses (Windows)
60
50
40
30
20
10
0
2005-06
2006-07
2007-08
2008-09


Instructional Computing Lab Class Hours (Windows)
3500
3000
2500
2000
1500
1000
500
0
2005-06
2006-07
2007-08
2008-09


Instructional Computing Lab Applications (Windows)
60
50
40
30
20
10
0
2005-06
2006-07
2007-08
2008-09


Work Orders Submitted via Help Desk
12000
10000
8000
6000
4000
2000
0
2002-03
2003-04
2004-05
2005-06
2006-07
2007-08
2008-09


SIS Work Requests
800
700
600
500
400
300
200
100
0
04-05
05-06
06-07
07-08
08-09
SIS Work Requests


SIS Service Requests by Type
800
700
600
500
400
300
200
100
0
04-05
05-06
06-07
07-08
08-09
Fiscal Year
Support
Development

	2002-03	2003-04	2004-05	2005-06	2006-07	2007-08
Work Orders	2385	4429	4437	6675	9213	9932
Telphone Moves, Add, & Changes		374		612	653	594
Software Licensing Requests					1093	1832

Instructional Labs (Windows)	2005-06	2006-07	2007-08	2008-09
Instructional Computing Lab Courses	25	34	49	54
Instructional Computing Lab Applications	21	45	47	51
Instructional Computing Lab Class Hours	1660	1897	2864	2520

Note: class hours dropped in FY09 due to transfer of CSE20/21 into Linux labs

Classrooms	2005-06	2006-07	2007-08	2008-09
Class Sections Supported	427	604	874	1097

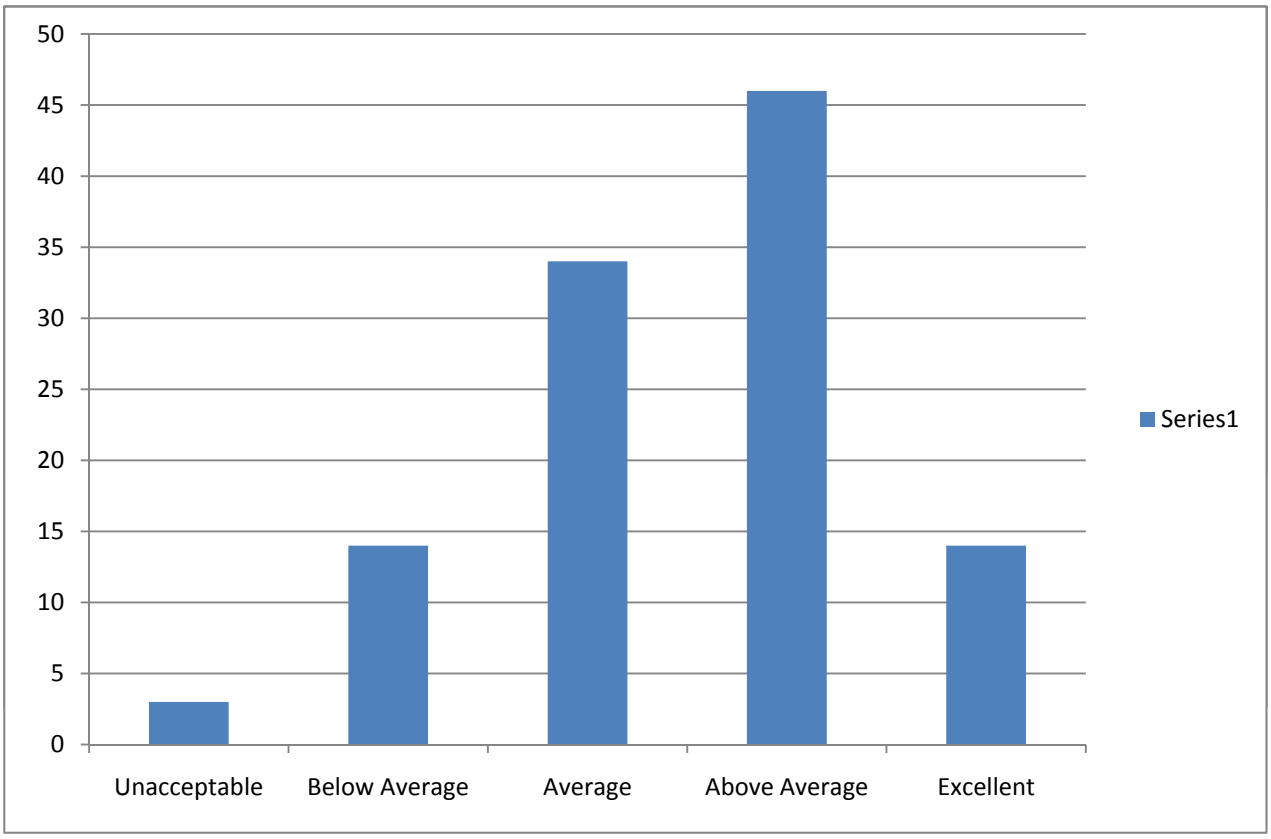
	2006-07	2007-08	2008-09
Instructional Technology Work Orders	151	416	644

CROPS	2005-06	2006-07	2007-08	2008-09	2009-10
Course Sections	570	976	1451	1899	873
+ Project sites	66	139	206	314	
+Portfolio sites				9	

	04-05	05-06	06-07	07-08	08-09
SIS Work Requests	100	240	554	581	680
Development	86	118	28	53	40
Maintenance	14	122	526	528	640

Question 1: Please rate I.T.'s customer service overall?

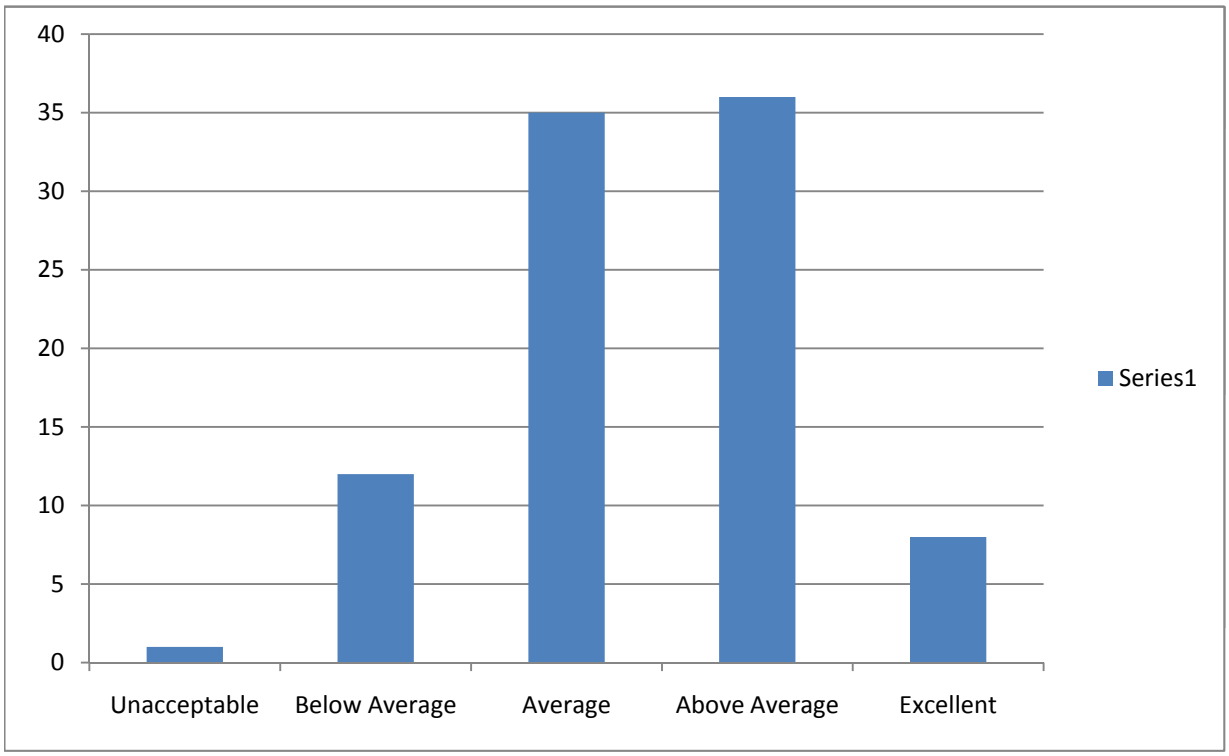
Unacceptable	**3**
Below Average	14
Average	34
Above Average	46
Excellent	14
Total	111



Question 2

Please rate I.T. overall in providing services (Banner, Email, Portal, CROPS, Network)?

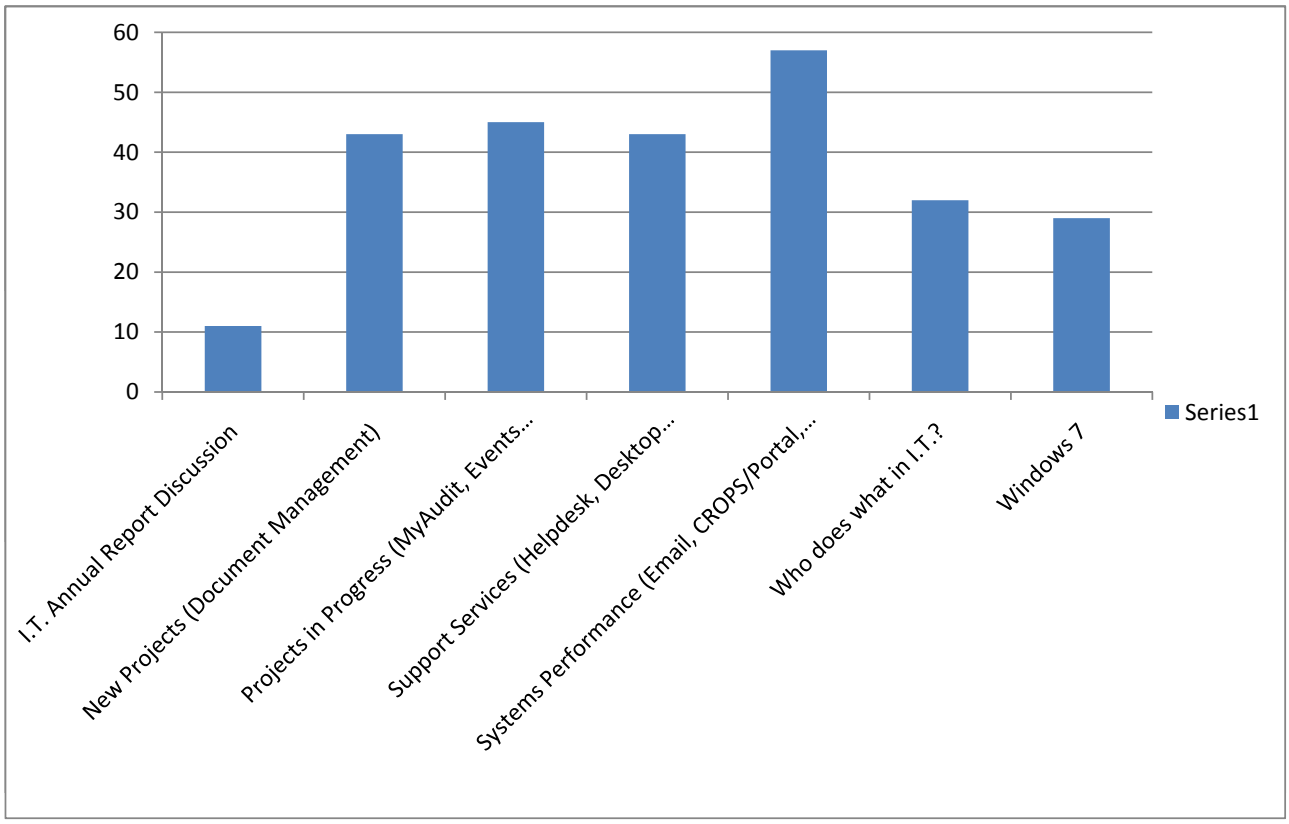
Unacceptable	1
Below Average	12
Average	35
Above Average	36
Excellent	8
Total	92



Questions 3:

What topics would you like us to cover in depth at the next town hall session scheduled for Nov. 17th, 2009?

I.T. Annual Report Discussion	11
New Projects (Document Management)	43
Projects in Progress (MyAudit, Events Calendar)	45
Support Services (Helpdesk, Desktop Support, Operations Center)	43
Systems Performance (Email, CROPS/Portal, Cell Phones)	57
Who does what in I.T.?	32
Windows 7	29



Question 4

Are there any additional topics you would like us to discuss at the next town hall?

If possible, I would love an update on the status of projects in the web editing area. From talking with Adam and Faust, it sounds like a lot is in the works. An update on those timelines would be appreciated.
Status of the Beta Test for Land Line Management Application.
The failure of IT to maintain a stable e-mail environment and the lack of wider user input in the selection development projects.
The future vision of Central IT and new services it may undertake.
I hear people complaining about the amount of time it takes IT to respond to a helpdesk request. I wonder if the following Q& A might help: (and maybe you already have them on your website - no time to read your website!)

Who sets project priorities for IT-Executive Stakeholders?
What are the IT Project priorities from highest to lowest based on the executive direction of the campus?
How will you accomplish/compete the top three?
Possibility of introductory/orientation sessions on what IT offersPossiblity of classes on Outlook and OracleMore technicians with expertise on Macs
ucmcrops management stuff. This has probably been covered a billion times, but I can't really figure out how to manage scores on crops (I don't know how to format the excel file to do what I want...)
Based on my regular use no, but I want to thank you for the great customer service you have provided any time a need your assistance, especially the Helpdesk crew.thank you all.
Nope. Mainly just how customer service may be provided in the future for other computer related repairs besides software problems. I would just like to know if hardware issues could possibly ever addressed by IT.
Printing kind of sucks. It seems to be impossible to print 2-sided docs from a Mac, and only certain printers can do two-sided work, and it's not listed anywhere I could find where they are. There should really be a discount for two-sided printing as well. Also the staplers are always running away from the labs in KL.
The fact that CROPS is down all the time!
Back-up copies for landlines and cell phones.
I would like to hear about progress on existing projects and review the timelines for each.
Signing out of Portal takes too many steps. I liked the one click sign out. Having to click twice does not improve security.
Possibilities of upgrading the campus wireless network to handle the number of students today an for future years. (frequent disconnects from the wireless network is unacceptable)
CROPS has too many ongoing problems. In particular, using the ePortfolio system has been an exercise in frustration. Why are we using a system that does not seem to meet the University's needs?
I would like to know more about the current developments that are taking place
- amount of time it takes to get work orders addressed.- lack of cell phone and land line support- responsiveness from IT
reliability of Wifi is important. My cell phone works through the WiFi network, so when there is bad wifi or none at all, I cannot communicate with my friends or family.

Campus CMS
Land Line Management
Email Performance
Vision of IT
New Services
Work order resolution and time, tagging important workorders x2
Project priority setting
Ranking projects based on priorities
Classes
IT Orientation sessions
Can IT address hardware issues?
Printing solutions
CROPS Performance
Project progress x2
Single sign out
ePortfolios within CROPS
IT responsiveness
Cell phone and land line support
Cell phone connectivity

Question 5

What is I.T. doing well?

Helpdesk friendly	
Computer labs staff helpful	2
SIS/Banner support	4
Timely assistance	2
Good service	3
Good staff	2
CROPS	2
Good helpdesk	13
Webmail	
Helpdesk responsive	2
webteam responsive	3
Communication to campus	
Todd	2
Desktop computers	
OPS good customer service	
Classroom support	
	35

mostly everything
They are very easy to communicate and good listeners
The techs in the computer labs are generally pretty helpful, and the helpdesk folks are attentive and friendly, if not always capable.
Timely assistance is appreciated.
Service with a smile
Hiring experienced and talented individuals in information technology
Seem to be keeping the campus running well...you have helped out some of my friends when their laptops stopped working so that is good too.
They are doing a good job on customer service and helping customers correct any problems they have
When I go to IT to ask for help with something, they are very helpful!
quick responses to problems
Personally, I think IT is doing a great job with limited resources and responding to user needs as much as possible.
I would like to thank Adam Moore for his help with our web development.
Todd, Chris and Edson definitely deserve praise for all the work they do helping out clubs with events, troubleshooting, etc.
The staff is friendly and customer minded. Additionally the manager and staff that service my department are responsive.
Communicating with customers.Great customer service.I understand the network issues are most of the times out of your hands and you guys do your best to correct them ASAP.
providing basic services to the university community
Trying to accommodate customers with limited personnel and resources (just like other departments on campus).
great customer service.equipment gets returned in a timely manner (like laptops).problems in lecture halls get resolved immediately.
Quick IT helpdesk turn-around
Appreciate the help desk personnel
The help desk personnel do a pretty good job.
The HELP desk. Rosemary, Martin and others are Great!!
When we can reach Martin, Rosemary or other professional IT staff at the helpdesk they are really helpful.

I ALWAYS find IT to be responsive and helpful - and I have pretty high expectations. Anyone i call will help me get quick results - whether helping me themselves or referring to another. I use the helpdesk often - Rosemary is AWESOME and Martin is improving...I really appreciate this service, especially for the simple things.

You can usually always reach a live person at the helpdesk during business hours. Often when you take a device in, Rosemary or Martin will attempt to help you right then if they can. The technicians respond much faster than in other organizations I've worked at. Bottom line, your customer service is good and your staff seem to enjoy their jobs.
Very friendly/helpful help desk staff members (i.e. Rosemary)Responsive Web team (Faust's group)

The IT helpdesk service is staffed by a terrific groups of staff and students. My in-person help desk experiences are uniformly good.

The UCM IT service is doing a good job overall. The workforce is dedicated, typically customer service-oriented, and the campus IT functionality meets most of my needs.

Helpdesk responses are timely. Seeking input on how things can be improved.
Good response time for helpExcellent help desk team of experts
The helpdesk process is working well.
Fast phone pick up on IT Helpdesk phone.24 hour response when onsite help is needed
Helpdesk is usually very responsive and professional. They are doing a great job.
I.T. is doing extremely well with customer service and relations. Whenever I have needed to go to I.T. with a problem they have had incredibly friendly service and have had all the answers I needed.
IT has been very helpful whenever I have to call or need assistance with computer issues. I know two people in my department that have had serious computer issues and someone from IT was her helping them for a good part of the day and they were always so knowledgeable and patient.
Responds very quickly to requests for help and support

Responding in a timely manner to help requests, providing answers/solutions to the lion's share of questions/problems.
great customer service.equipment gets returned in a timely manner (like laptops).problems in lecture halls get resolved immediately.
There service with classrooms.
For how massive a project crops is, it runs fairly well.
They do a good job of keeping the CROPS and webmail client glitch free.
Keeping its campus customers informed.
Some of the staff are extremely responsive whereas others seem not to care. It's like communicating into the black hole. It is these individuals who give your department a BAD name and reputation.

Pretty good in desktop computer issues.
SIS team is awesome and responds quickly to urgent needs. If you weren't doing a lot of your work well, we would be hurting even more than we are!Town hall meetings are great. More people should attend!
SIS/Banner support.
The portal and BANNER operations. IT is typically responsive to my requests. The only problems I have ever run into have been with some of the student staff, which is understandable.
... and support dor SIS
Janet Hines and her group provide a great example of customer service that the rest of IT should follow.
Network
Responsive Web team (Faust's group)
I would like to thank Adam Moore for his help with our web development.
Todd, Chris and Edson definitely deserve praise for all the work they do helping out clubs with events, troubleshooting, etc.

Rosemary
Martin
Adam
Todd
Chris
Edson
Janet & group
Faust's group

Question 6

What can I.T. improve on?

Knowledge of helpdesk	
Issue with FM Help website	
Responsiveness to workorders	2
Delay in getting a tech	
Phone bills	3
Network	
CROPS	5
Email	3
Desktop support friendlyness	
Desktop support	4
Telecommunications	
Consistency of customer service	
Windows support	
Losing workorders	
Educating on services	
Campus Calendar	
Meet deadlines	
Consult not dictate	
Prioritization	
Follow through	
Better strategic planning	
Communications	
Portal	
Providing backups	
Better wireless	
Better classroom support	
Janet response to workorders	

Pretty much everything
Consistent quality customer service.
Meeting deadlines, consulting rather than telling the customer what they need, better communication overall.

Prioritization and follow-through. Additionally, I.T. will serve the campus best if the staff was enhanced to include forward thinking, planning individuals. After only 5 years our systems are over burdened, out of date and unreliable. This I consider a reflection of lack of strategic planning for long and short term needs.
Respond to inquiries. 38 days to get a staff person access to our share drive is really unacceptable.

Phone Bills - now that we can access our own cell phone bills, land line billing has gotten lost. If it really is in the hands of the MSO then maybe a Happenings email to say, phones bills have been distributed
Sometimes the entry level people who respond to helpdesk requests are not terribly knowledgable.
Consistency from the helpdesk. Otherwise i am happy with the list of things that IT is already working on improving.
speed of response to work order requests and e-mail queries
Having a better trained helpdeskWorking better with other IT people

Follow up on requests for assistance. I don't have frequent requests for assistance but there have been a few that I have submitted, gotten an IT work order e-mail confirmation back, but then they fell into a black hole with no response. Unfortunately, I did not file the e-mail for easy retrieval.

So .... perhaps some internal report that IT runs that would flag work orders/requests that are getting old, e.g., beyond 60 days for example.

Time to get a tech out on location to help.

Some desktop support staff not friendly/helpful, slow in completing work orders, won't come to your computer to help you, will only remote user in
Would like more assistance/training with web design (probably more so communications though)
Would like information readily accessible on what computers to order
Communication and getting back to the users regarding the issues they open.

Service response times are too long and it often takes 2 or 3 people to fix the issue. We very often find that the first person comes out and reports to have fixed the problem. Unfortunately, the problem persists. The next person comes out and complains that the first person didn't do things correctly and so changes things. The issues persists and a third person comes out and complains that the first two technicians should have done things differently. This has happened several times.
If we could get hardware/software installed within a couple of days (instead of a week) it would be GREAT.
again because the issue is not completely resolved.

Desktop support for the campus users.

I haven't had any major issues that haven't already been pointed out (level of training/support for Mac platforms).
I would greatly appreciate if IT could work with facilities to develop a work order request that didn't require internet explorer (since it requires Mac users to either have bootcamp or track down a PC).

1. Reduce the use of proprietary technologies in favor of open standards (open-source and well-established technologies) to increase transparency, security, and resource availability.
2. Realize that the campus store and the preferences of most college students are focusing more and more on Apple products. All support staff and materials should be equally effective on Mac and Windows platforms.
Listen to your customers...Encourage user to be self-sufficient, empower them make explore new technologies beyond Microsoft products and not discourage use of open source.I
Phone bills
The telephone billing process.
Getting Janet to respond to work orders.Having a better trained helpdeskWorking better with other IT people

Respond to inquiries. 38 days to get a staff person access to our share drive is really unacceptable.

Phone Bills - now that we can access our own cell phone bills, land line billing has gotten lost. If it really is in the hands of the MSO then maybe a Happenings email to say, phones bills have been distributed to your MSO. Go bug them.
The network connection.
Better wireless coverage throughout the campus maybe?
Telecommunications
Seems like CROPS and the email system have a lot of hiccups, or times when they aren't working, so I would like to see reliability improved.
ucm crops and my.ucmerced.edu goes down too often :(

Well there seems to be a major downfall when it comes to CROPS. I probably have a problem with CROPS almost every week. Problems like the home page not even being able to load, downloading resources (it hardly ever works), or just incredibly slow processing.
some things, mostly crops
Fixing CROPS!
emails, crops, portal connection
Increase email reliability. Ease network expansion and use. Improve support for non-standard environments.
Windows support, email
Would like more assistance/training with web design (probably more so communications though)Would like information readily accessible on what computers to order
turnaround time for new equipment; communication with departments
Communicating more regularly about what is new, and what services/options are available. I think more people could be made aware of your offerings.
Educating usersInfo on what services are offered
Teaching staff to relay information to non-technical persons in laments-terms.
I'm just gonna c/p my earlier response:

Printing kind of sucks. It seems to be impossible to print 2-sided docs from a Mac, and only certain printers can do two-sided work, and it's not listed anywhere I could find where they are. There should really be a discount for two-sided printing as well. Also the staplers are always running away from the labs in KL.

Is there any chance of speeding up the lab computers by not loading so much software? I know that there's not money to replace them all the time, but every bootup is slooooooow because you have to wait for irrelevant stuff to load.

Would really like a more sane UCM-Guest wifi network. The login page is supposedly HTTPS, but the certificate is invalid - it's not secure at all, in fact! And there's no reason to ask for email addresses every time, especially when you can just type in garbage or leave that blank and it's accepted. (But DON'T start requiring that I enter a real email - have you ever tried to do that on an iPod Touch?) Plus why do I
One click log out of myportal.

better classroom support, have had instances of projectors not working for the first quarter of a classroom and IT not renewing a software license before the expiration date. Both of those interrupted the class schedule and should be of the utmost importaince.

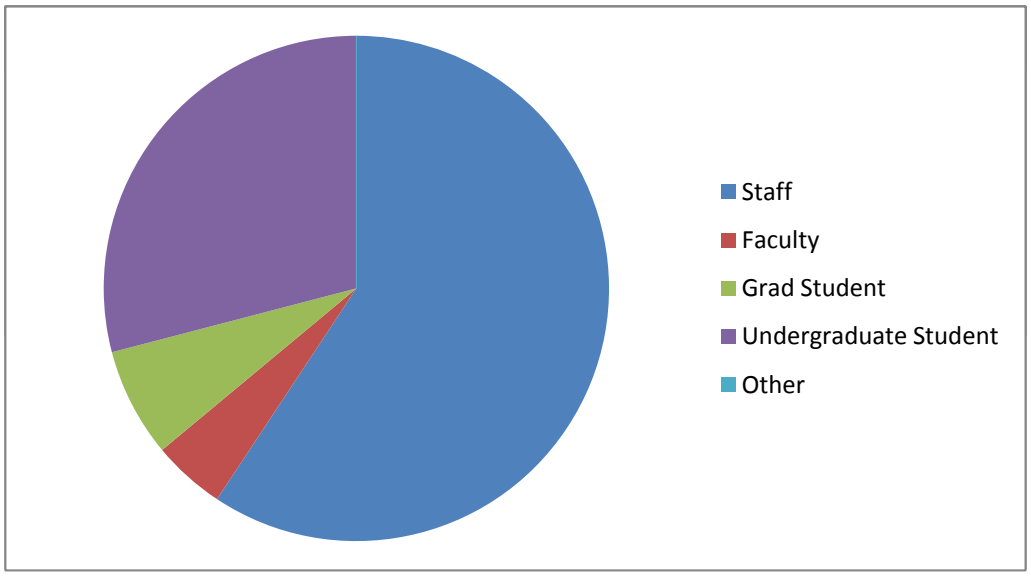
Question 7

What do you need from I.T.?
Faster CROPS
Faster wifi
More printers
longer lab hours
Communications
Keep services running
CROPS
Porta
Email
More storage
nothing at the moment :)
any computer issues and qestions
Better print drivers, faster CROPS and Wi-Fi, more printers, longer lab operating hours
To start with, better communication
for them to sit in my office ;-)
for them to be able to keep the portal and crops running on a regular basis
not much.
Continuing the same good attitude and willing to work with us! I greatly appreciate the great rapport we've developed between our offices.
Short term, I think it's fine tuning the offerings you have in place.
Long term, I think it's hard to plan too definitively, since so much is still "to be determined."
More help and less "here's the link so you can do it yourself".
Support.
Nothing I don't already I have.
Better reliability on the wireless connection
A place to store old computers that are still functioning. We have computers that are past their prime but still functioning that would be great to lend out to other departments that don't have the funds to get a new computer.
E-mail that does not get screwed up on a regular basis and suffcient storage capacity so that I can quit carrying around thumb drives of e-mail.
Share if there are any plans and possible timeline for the Kuali project.
Responses.
Knowledgeable service technicians who are customer service oriented. Support and guidance for hardware and software.
Because I don't work on campus, it would be helpful for IT to let me know when they are heading out to fulfill a work order. Even a phone call to let me know they're on the way would be more helpful than technicians showing up completely unannounced.
Nothing at this time
Focus on priorities set by executive stakeholders
What I need, I ask for and it's provided.
If all works very well, then day-to-day, week-to-week, there is nothing additional.
Regular computer maintenance and check ups for updates, clean ups, etc.
An honest assessment of why there are so many sub units and what can be done to consolidate IT function and cut costs.ITEngineeringB&FSLibraryHow many do we need?
Responsiveness and solutions.
The telephone bills to be charged timely (within 1-2 months of receipt) and for the backup for the specific charges to be forwarded to the departments for reconciliation of their accounts.
Maybe more information about the software we use and where we can get online support that is efficient. how to identify valid Windows updates to prevent viruses from attacking our computers. Many times we get messages saying "You need to update your computer" or virus protective software updates but we do not know if the updates are real of just a virus.
I need good customer service. Most of the time I need help on figuring out how some software or another went wrong and how to fix it.
Great tech support and help desk. FAST response time. For the most part, response times are acceptable, and I find the staff very helpful!
* most importantly back-up for billings due to the number of federal, state and local grants we have in our department that we pay the invoices from.
I need IT's assistance in completing the implementation stage of Kuali Coeus .
Not much, my bf is a computer geek and fixes all my problems :D
$
I would like to see more education for professors on how to use the technology available to them.
help downlaoding the virus protection softwere
A solid internet connection campus-wide, expecially in the network-crowded library. Faster speeds through wireless-N would be a nice feature.
Personal support on how to use the cool features IT has made available to us. (ie. CROPS)
I do not need any thing but help with a problem that I am having with my computer when it occurs

Question 8:

Please let us know your affiliation.

Staff	51
Faculty	4
Grad Student	6
Undergraduate Student	25
Other	0
	86



Question 9

What unit or department are you affiliated with?

SSHA	10
NS	8
OSL	1
Administration	4
Campus Police	2
Writing Program	1
Career Services	3
SBS	1
Houseing and Residence Life	1
Engineering	5
Student Affairs	1
BFS	3
Admissions - Undergraduate	1
Interlibrary	1
EVC Provost	1
Financial Aid	2
EH&S	1
Human Resources	2
M500	1
Facilities	2
Taps/Facilities	1
FM	2
Academic Affairs	1
Library	1
UR	2
Students First Center	1
Communications	1
IPA	1
IT	1
CEP	1
Research, SPO	1
Best	1
	65

Schools		
	SSHA	10
	NS	8
	ENG	5
	WP	1
Student Affairs		10
Administration		18
UR		3
EVC&P		6
CEP		1
Research		1
Other		2
		65

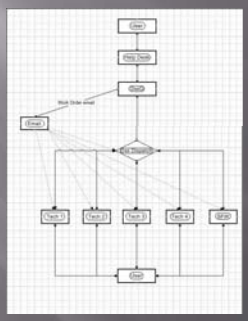
DESKTOP SUPPORT SERVICES

-Jose Magana
Manager, User Services
Desktop Support Services

CURRENT ISSUES WITH DESKTOP SUPPORT SERVICES

- Internal Process Errors
  - Work Order lack of ownership
    - Tickets were passed onto various technicians with no follow-up
    - Tickets were lost at times
    - Tickets were closed without resolution
  - Goal for resolution delay
    - Tickets were routed incorrectly at times
    - Tickets with multiple requests were shuffled
    - Tickets change hands throughout the day
    - Old tickets were reopened for different issues instead of generating a new one

DSS "Q" Process Flow Chart



DSS "Q" planned for early December 2009

USER
HELP DESK
DSSQ

- Users submit their requests directly to the Help Desk.
- Help Desk receives the inquiry and generates a work order, assigning it to DSS "Q".
- An email is then automatically sent by Its ticketing system to the Desktop Support Team. Every Support Technician will see the new work order arrive into the DSS "Q".

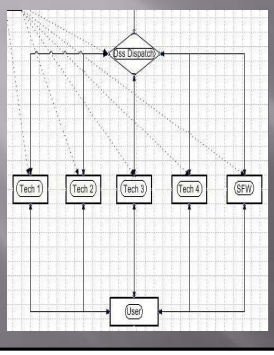
DSS "Q" Work Order Assignment

DSSQ
DESKTOP SUPPORT TECHNICIAN

1) The Support Technicians are responsible for taking Work Orders from the new DSS "Q" system. If a Work Order is marked as Urgent or Emergency, these will be addressed first
2) The Support Technicians are to "actively" work on a minimum of *2-5 work orders per day, changing the status of the work order to **Active!**
3) An "On-Call" Support Technician manages the new DSS "Q" by ensuring priority tickets are addressed and gathers additional information for the Support Technician to expedite service to the End User.
4) Star Model support is enabled. *See Star Model Support.*
5) Immediate service support becomes available

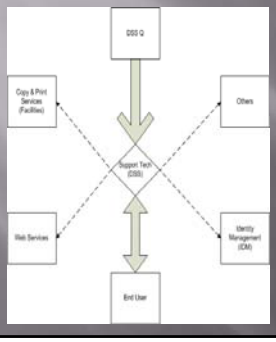
** Not limited to.*

Follow Up



1) An "On-Call" Support Technician manages the new DSS "Q" by ensuring priority tickets are addressed and gathers additional information for the Support Technician to expedite service to the End User.
2) The "On-Call" Support Technician contacts the End User for additional information needed to help expedite their request.
3) The "On-Call" Support Technician routes priority tickets directly to an available Support Technician; often times the closes Support Technician.
4) The "On-Call" Support Technician may assign Work Orders to self
5) Follow Up is made directly by the assigned Support Technician and the End User and/or other interested parties.

Star Model Support

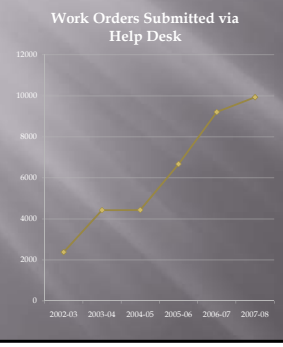


- "Star" support model introduced to keep single point of responsibility for Work Orders, requiring staff from multiple groups to fulfill.

INTERNAL PROCESS CHANGES PLANNED FOR DSS

- Internal Process Change
  - DSS "Q" planned for early December 2009
    - Tickets will not pass onto various technicians with no follow-up
    - Tickets will not be lost
    - Tickets will not be closed with End User acknowledgement and resolution
    - Tickets will be routed appropriately
  - Star Model implemented early August 2009
    - Tickets with multiple requests do not shuffle
    - Tickets do not change hands throughout the day
    - Old tickets are not reopened for different issues, but rather new tickets are generated

IT Trend



- FY 2001-2002
  - Support Techs 3
- FY 2003-2004
  - Support Techs 3
- FY 2004-2005
  - Support Techs 3
- FY 2005-2006
  - Support Techs 4
- FY 2006-2007
  - Support Techs 4
- FY 2007-2008
  - Support Techs 4
- FY 2008-2009
  - Support Techs 3
  - (1 vacant)

OS Platform Support

- Windows 7 Pro
  - New computers should be purchased with **Windows 7 Pro**
  - XP users should remain on XP, until they are ready to purchase new system
  - Vista users can remain on Vista, however, they may wish to upgrade to **Windows 7 Pro**
- Mac "Snow Leopard"
  - New Mac's should be purchased with **Snow Leopard**
  - Mac OS X Leopard users should upgrade to **Snow Leopard**, if their system hardware meets the OS requirements
- All Support Technicians have been Mac OS X trained!

END

Additional resources:

- http://it.ucmerced.edu/support
- http://it.ucmerced.edu/support/service_centers/helpdesk/DesktopSupportMatrix.pdf
- http://it.ucmerced.edu/services

-Don't forget to pick up your IT Service Menu Brochure!

UC MERCED LIBRARY
University of California, Merced Library • 5200 North Lake Road • Merced, CA 95343

15 June 2010

TO: WASC Steering Committee
FROM: R Bruce Miller, University Librarian
RE: WASC Educational Effectiveness Review—Evidence-based improvement in support of UC Merced educational missions

Library response to Questions:

1)

a. *Have you identified, or are you in the process of identifying, performance goals and related objectives for the unit (as opposed to goals for individual administrators or staff members)? If so, please provide them.*
b. *How are they made available and to whom?*
c. *How do they align with the unit's mission?*
d. *How do they align the University's mission[1] and goals?*
e. *Do they reflect the standards of a professional association? If so, please briefly describe.*

The Library has begun an organizational assessment and development process that will culminate in 2011 with performance goals and a process for programmatic review. Currently, the Library operates under a "Long Range Plan" that was last revised in 2007. (Appendix 1: Long Range Plan)

a. The 2007 plan does not incorporate true performance goals and objectives.
b. The 2007 Plan was developed by and is available to all Library staff.
c. The 2007 Plan incorporates the mission of the Library.
d. The 2007 Plan is based upon the stated mission of the University of California.
e. The Library uses the various standards developed by the Association of College and Research Libraries as a reference resource.

2)

a. *Does your unit review its performance in relation to its objectives? If so, please describe how this is done, including*
    1. *The process by which objectives are selected for review[2].*
    2. *The source(s) and types of data*
    3. *The timeline*
    4. *How the results are used to inform practices*

---

[1] **UC Merced's Mission Statement:** "The University of California, Merced's mission is embodied in its proud claim of being the first American research university of the twenty-first century. As the tenth campus of the University of California, UC Merced will achieve excellence in carrying out the University's mission of teaching, research and service, benefiting society through discovering and transmitting new knowledge and functioning as an active repository of organized knowledge. As a key tenet in carrying out this mission, UC Merced promotes and celebrates the diversity of all members of its community."

[2] For example, are objectives identified annually, but without explicit consideration of future assessment work, or has the unit established a plan describing what objectives will be examined in what years?

5. *To whom the results are disseminated*

b. *If your unit has a plan for assessing its performance, please provide it.*

The Library does not currently review performance in relation to comprehensive objectives. Individual projects and unit operations are assessed as needed to ensure programmatic responsiveness and fiduciary responsibility.

3) If your unit has engaged in assessment to improve performance[1], please provide one or more examples of this work, including a description of any changes made to the practices of the unit in response to the results. These examples are particularly important as they demonstrate that we practice "evidence-based improvement", which is a fundamental expectation of WASC.

The Library has conducted formal user surveys and is empirically assessing instructional effectiveness. Data gathering is ongoing. Conclusions and actions to date are detailed in the attached "Appendix 2: Assessment" (copied from "UC Merced Library Response to WASC CPR Report").

4) If your unit has not yet developed goals and objectives what is the timeline for completing this work and initiating assessment?

The Library has begun an organizational assessment and development process that will culminate in 2011 with performance goals and a process for programmatic review.

5) If your unit has goals and objectives but does not regularly assess its performance, what is the timeline for beginning this work?

NA

[1] For example, user satisfaction surveys or metrics that describe unit productivity relative to goals.

APPENDIX 1: LONG RANGE PLAN

UC Merced Library
Long Range Plan
06 January 2007

University of California

The University's fundamental missions are teaching, research and public service.

Library, University of California, Merced

Mission

In concert with the UC mission:

- Support academic success
- Efficient and effective discovery and delivery of information
- Information: get it here

Vision

In concert with the UC Merced Library mission, to be the best academic library

Values

- "One University, one library"
- Responsive, innovative, agile, engaged
- Can do
- Collaborative
- Communication
- Sensitivity to individual differences
- Recognize and develop individual strengths
- Responsible risk taking, rapid prototyping
- Fully support training and development

Goals

1. We aspire to excellence in communicating with UC Merced students and faculty.
2. In concert with the UC and UC Merced mission, we will provide students and faculty the information they need, when they need it, and where they need it.
3. We will leverage technology in support of communication with students and faculty and provision of information resources.
4. We will develop a professional business operation.

APPENDIX 2: ASSESSMENT

UC Merced Library
3. User Surveys & Assessment Data

The WASC CPR report recommended that the UC Merced Library conduct user surveys to determine how students perceive the quality of the services and library resources. UC Merced Librarians have been collecting such data since before the compiling of the WASC Capacity & Preparatory Report in November 2008, but that data had not been analyzed in time to go into the report. The data collected thus far includes:

- Spring 2009 Graduating Students Survey. N=60.
- Spring 2009 Focus Groups. Four focus groups N=28.
- Spring 2010 Focus groups. Two focus groups. N=16.
- Fall 2009 iPod Touch data gathering on student preferences in using libraries. N=**320**
- Fall 2009 Writing 1 course evaluation included seven questions on the UC Merced Library iPod Touch tour and their use of the UC Merced Library and its resources.
- Fall 2009 and Spring 2010 Writing 10 course evaluations included two questions regarding information literacy and library use.
- Spring 2009, Fall 2009, and Spring 2010. Information literacy assessment of Writing 10 students. Pre-test and post-test with analysis by UCSB Social Science Survey Center. The post-test includes survey question regarding student satisfaction with UC Merced Library resources and services.

Not all of the data collected has yet been analyzed, but the UC Merced Library has already begun to respond to what we have learned about how our students use their library and its information resources. The following findings and responses to those findings are listed in order from most to least important as indicated by student responses acquired via surveys and during focus-group sessions:

1. The UC Merced Library is providing a quality collection that students are using for their academic work. Students favorably referred to the availability and usefulness of the databases, journals, and articles.
Action:
- The library will continue to participate in CDL consortial licenses for electronic resources. The library will also continue to purchase print books through its approval plan and to respond to faculty requests for books, online journals, and DVDs. (Ongoing)

2. Though the library is providing an excellent collection, some students commented on the difficulty of finding information. This issue is not unique to UC Merced and is inherent in providing access to massive quantities of information.
Action:
- On the library web site, we have tagged recommended databases with a star icon in an effort to explicitly highlight some of the databases that may be of most interest to our library users and have included links to subsets of some databases. (Completed)
- In our database listing, we have included links to subsets of databases based on assignment requirements. These subset options limit a search to a specific number of resources within a

database and can direct students to a group of acceptable resources for a specific course or assignment. (Completed)

- The UC libraries, in collaboration with OCLC (the world's largest library cooperative), are developing an advanced system that provides an integrated interface to the UC Library Collection, greatly reducing barriers to finding information. That system—Next Generation Melvyl—is in pilot phase, but it has already become the primary mode for accessing information resources within all of the UC libraries. UC Merced librarians have been actively involved in leadership and technical aspects of that project and will continue that participation. (Ongoing)

3. We are providing a versatile and welcoming physical space that meets multiple needs. Students like the physical space and its ability to meet various needs.
Action:

- We will continue to provide a space that serves multiple purposes. We are aware that both study and social places are needed for students on campus. (In Progress)

4. Though there were many positive comments about the space and library atmosphere, students expressed that there was not enough available quiet study space.
Action:

- The library has designated the entire 4th floor for quiet study. This is regularly monitored by student assistants. Furniture has been ordered to provide a 10% increase in seating for the quiet study area. (In Progress)
- The library has designated a seminar room on the 4th floor as a space for silent study.
- Library staff have consulted with Student Affairs staff to more effectively manage tours of the library building to prevent noisy interruptions and to preserve the quiet study zone of the 4th floor. Implementation has been successful. (Ongoing)

5. Students noted that they liked the collaborative study rooms but that it was almost impossible to ever find one available.
Action:

- The library is collaborating with the campus Information Technology department to implement an online room-reservation system which will allow students to independently reserve a collaborative study room in advance. (Will be fully launched for Fall Semester 2010)

6. The UC Merced Library is providing valuable services. Students appreciate several services available in the library, particularly interlibrary loan and printing capability.
Action

- The library will continue to provide the ILL service and more staffing hours will be allotted to ILL starting in August 2009. (Ongoing & In Progress)
- Though many users noted that they used the ILL service heavily, others were unaware that they could request resources. As a result, library staff will continue to make users aware of this service through instruction opportunities, orientation presentations, and communication tools e.g. digital signage. (Ongoing & In Progress)

7. Students noted that they like the ability to print in the library but that the service is notoriously unreliable. In absolute terms, the amount of downtime is relatively small. However, when students plan on using the pubic printing service, any amount of downtime is a serious problem. Even though the printers are located in the library, the library is not the provider of the service. Nonetheless, the library has chosen to take the leadership role in improving this service.
Action:

- Library staff met with key players on campus to take steps to resolve printing unreliability. The two unreliable black and white printers have replaced with new machines. All printers (2 black & white and 1 color) have been be moved to a single location, room 369. Now, if one printer is malfunctioning, students can retrieve their print job from another printer in the same room rather than moving to another floor. (Completed Spring 2010)
- Student assistants have been provided with more explicit training in how to best respond to printing questions and how to perform basic troubleshooting. (Ongoing)

8. UC Merced Library is providing friendly, courteous assistance to our users though there is room to provide more knowledgeable assistance.
Action:

- Librarians revised portions of our student-library-assistant training during summer 2009 to improve our student- library assistants' knowledge and skills and enhance their ability to provide excellent customer service. (In Progress)
- Librarians will continue to be involved in summer orientations. This is an opportunity to introduce incoming students to library staff and services. (Ongoing)
- Librarians are making the process of transferring research related questions to librarians easier and more explicit for our student assistants through training and technology (e.g. walkie talkies). (Completed Spring 2010)
- In fall 2009 librarians began training selected student library assistants to offer roving reference assistance to library users in an effort to increase both the level and visibility of research help available to the library users. These student began providing this service at the start of Spring Semester 2010. (Ongoing)
- To raise awareness of the librarians and the services they offer, we began profiling our staff on the digital signage and on the website more prominently starting in Fall 09. (Ongoing)
-

9. Students expressed a desire for more print books in the collection.
Action:

- The library has done more to inform students of new titles that are available to the UC Merced community. Digital signage and static displays are two ways in which the library is promoting books that are new to the collection. (Ongoing)
- The UC Merced Library is committed to providing interlibrary loan services so that users can request and receive items that may not be available at UC Merced Library or not held in print when that is a user's preferred format. (Ongoing)

In conducting outcomes assessment, the UC Merced Library has learned much about how the process works, and does not work, on our campus. One of the barriers–necessary though it is–to gathering assessment data is the process of clearing assessment project through the campus Institutional Review Board (IRB) because of the use human-subjects aspect. Though librarians have learned much about how to work effectively with the IRB, the work of submitting and revising proposed assessment projects in order to receive IRB approval can be so onerous and time consuming that, in some cases, the librarians involved have chosen to forgo projects altogether or to gather data through non-IRB approved processes with the understanding that they will not be able to publish their findings. A major problem of collecting outcomes data from a relatively small student body is over surveying and the resultant survey fatigue among students. We have learned that to ensure student participation in our data-collection efforts, it is good practice to provide incentives, to incorporate survey instruments into course work, and to piggyback library surveys with those of other campus units.

In order to share what we have learned from, as well as how we have respond to, our outcomes-assessment efforts, the UC Merced Library has posted information about our assessment processes on our website at: http://ucmercedlibrary.info/library-assessment-information. The UC Merced Library has also shared information about our outcomes-assessment efforts at the monthly UC Merced Deans & Directors meeting,

through articles that have (or will soon) appear in national professional journals, and through presentations at national professional conferences.

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Mark Matsumoto
Interim Dean of Engineering

UNIVERSITY OF CALIFORNIA, MERCED
5200 Lake Road
MERCED, CALIFORNIA 95343
(209) 228-4021

To: Gregg Camfield, Chair
WASC Steering Committee

From: Mark Matsumoto, Interim Dean

Date: June 29, 2010

RE: School of Engineering (SoE) Administrative Assessment Practices

The School of Engineering Administrative Unit is currently in transition due to the resignation of Jeff Wright as Dean at the end of December. Two interim deans, Tom Harmon and myself, have been overseeing the School's administration until a new permanent dean is in place. (The new dean, Daniel Hirleman, should be in residence beginning October 1, 2010).

To date, the process of designing and planning the School of Engineering administrative assessment process has yet to be initiated. However, functional units within the School for which administrative assessment should be developed include:

- Student advising and support
- Instructional laboratory support
- Academic personnel
- Research administration/accounting
- Computational support
- Administrative core

These designations are, of course, subject to change depending on how the new dean may wish to organize the administrative structure of the School of Engineering.

Most likely, during the upcoming year, an evaluation and assessment of the School of Engineering administrative functions will be conducted by the new dean through self observation and discussion with faculty and staff. As such, it is advisable that the new dean be made aware of the need for a formal administrative assessment process.

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School of Natural Sciences
Office of the Dean

University of California, Merced
5200 North Lake Road
Merced, California 95343
(209) 228-4309 Fax: (209) 228-4060

June 9, 2010

TO: Gregg Camfield, Professor and Chair, WASC Steering Committee

FROM: Maria Pallavicini, Dean, School of Natural Sciences MP

SUBJECT: Administrative Assessment Practices

The School of Natural Sciences Administrative Units are currently in the process of designing and planning our administrative assessment process. A description of the planned steps follows.

1. June 1st, 2010 - The School of Natural Sciences held an Administrative staff retreat with the goal of organizing into distinct functional units and creating mission statements for each of the units.
    a. Charles Nies, Associate Vice Chancellor for Students Affairs, facilitated the retreat and led the staff through the process of aligning individual unit mission statements to those of the School and the campus.
    b. The functional administrative units for the School now include:
        - Administrative Core
        - Business Operations
        - Instructional Support
        - Student Support

    c. Completed missions statements from each unit are due on June 15, 2010

2. August, 2010 - A mini-retreat is being planned to finalize mission statements, created vision statements and unit initiatives.

3. September 30, 2010 - Unit goals, objectives and outcomes, developed by the administrative units, will be written and reviewed.

4. December 30, 2010 - Assessment plans will be developed.
    a. The plans will assess the initiatives, goals and objectives.
    b. Plans will include measures and tools of assessment, timelines for review and ways in which the results will inform and shape current practices.

5. June 1st, 2011 - The School will be ready to undertake an administrative self-study or review of the initiatives and assessments.

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UNIVERSITY OF CALIFORNIA, MERCED
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MERCED, CALIFORNIA 95344

School of Social Sciences, Humanities and Arts: Administrative Process Assessment

1) *a. Have you identified, or are you in the process of identifying, performance goals and related objectives for the unit (as opposed to goals for individual administrators or staff members)? If so, please provide them.*

SSHA has not set up unit performance goals. These will be developed within the next few months.

b. How are they made available and to whom?

The performance goals will be posted with the Strategic Plan so they are available to staff and faculty as well as University administration.

c. How do they align with the unit's mission?

The mission statement of the school will be reviewed and goals will be developed to s support the mission.

d. How do they align the University's mission[1] and goals?

The school's mission as outlined in the Strategic Plan supports the University's mission. The school has hired first class faculty who continue to do research and obtain grants to support their research. The faculty and staff reflect the diversity of the community, and the goal is to continue with that effort.

e. Do they reflect the standards of a professional association? If so, please briefly describe.

When the goals are developed, they will reflect the standards of a professional association.

[1] **UC Merced's Mission Statement:** "The University of California, Merced's mission is embodied in its proud claim of being the first American research university of the twenty-first century. As the tenth campus of the University of California, UC Merced will achieve excellence in carrying out the University's mission of teaching, research and service, benefiting society through discovering and transmitting new knowledge and functioning as an active repository of organized knowledge. As a key tenet in carrying out this mission, UC Merced promotes and celebrates the diversity of all members of its community."

2) *a. Does your unit review its performance in relation to its objectives? If so, please describe how this is done, including*

   As performance goals have not yet been developed for the school, there is no process for review of the objectives.

   i. *The process by which objectives are selected for review[1].*
   ii. *The source(s) and types of data*
   iii. *The timeline*
   iv. *How the results are used to inform practices*
   v. *To whom the results are disseminated*

   b. If your unit has a plan for assessing its performance, please provide it.

   The school does not have one at this time.

3) *If your unit has engaged in assessment to improve performance[2], please provide one or more examples of this work, including a description of any changes made to the practices of the unit in response to the results. These examples are particularly important as they demonstrate that we practice "evidence-based improvement", which is a fundamental expectation of WASC.*

   Until January of this year, the school has not had a permanent dean and performance goals and assessment of those goals has not been established.

4) *If your unit has not yet developed goals and objectives what is the timeline for completing this work and initiating assessment?*

   The school will begin to develop performance goals and objectives by the end of summer. Assessment of these objectives will begin at the end of the fall semester.

5) *If your unit has goals and objectives but does not regularly assess its performance, what is the timeline for beginning this work?*

   There currently are no goals or objectives.

[1] For example, are objectives identified annually, but without explicit consideration of future assessment work, or has the unit established a plan describing what objectives will be examined in what years?

[2] For example, user satisfaction surveys or metrics that describe unit productivity relative to goals.

School of Social Sciences, Humanities and Arts: Advising Unit

Question1: *a. Have you identified, or are you in the process of identifying, performance goals and related objectives for the unit (as opposed to goals for individual administrators or staff members)? If so, please provide them.*

b. How are they made available and to whom?
c. How do they align with the unit's mission?
d. How do they align the University's mission and goals?
e. Do they reflect the standards of a professional association? If so, please briefly describe.

SSHA Advising activities are based on standards established by the Council for the Advancement of Standards in Higher Education (CAS) and National Academic Advising Association (NACADA). These are reflected in both our mission statement and declaration of student and advisor responsibilities (see below**). These statements are available on the SSHA Advising website and in student handbooks, distributed to incoming students at New Student Orientation.

Advising's mission statement was designed to reflect the spirit of both the School's educational mission and the University's mission statement and values, with an emphasis on gaining knowledge of self and others as well as responsibility.

Questions 2/3: 2) a. Does your unit review its performance in relation to its objectives? If so, please describe how this is done, including

i. The process by which objectives are selected for review.
ii. The source(s) and types of data
iii. The timeline
iv. How the results are used to inform practices
v. To whom the results are disseminated

b. If your unit has a plan for assessing its performance, please provide it.

3) If your unit has engaged in assessment to improve performance, please provide one or more examples of this work, *including a description of any changes made to the practices of the unit in response to the results*. These examples are particularly important as they demonstrate that we practice "evidence-based improvement", which is a fundamental expectation of WASC.

SSHA advising has made two attempts at overall program assessment and maintains continual assessment on the Special Academic Probation program.

Spring 2006, Pilot program assessment. The pilot program assessment was done in Spring 2006, in an effort to evaluate efforts in the opening year and serve as a starting point for program development. This assessment incorporated two elements: a survey for SSHA faculty and administration that asked respondents to rate the importance of program objectives and a survey for SSHA students that asked students to identify the importance of survey items to themselves as a student and their experiences with situations described in each item. This information was disseminated to the dean.

Results from the faculty/administration survey indicated that participants feel the greatest need in the academic program is that "academic advisors should feel comfortable approaching faculty with student concerns regarding courses and major programming", with an importance score of 4.75. The two lowest ranking needs, each with an importance of 2.5, were "advising as an instrument for student learning" and "advising based on theories of human development and learning styles." These results demonstrated a lack of understanding within the faculty as to the role of the professional academic advisor (per CAS and NACADA standards). Since that time, SSHA Advising has worked to educate the faculty on our role within the institution and the School by involving them in outreach activities and student committees as well as seizing opportunities for one-on-one discussions.

Results from the student survey identified the greatest needs gaps as "providing accurate information about what I needed to graduate"; "advisor helping me find a solution rather than telling me what to do"; "concern about what's going on in my life, not just my courses" and "advisor refers me to other staff when necessary". To address concerns regarding accurate information, our office started to publish major and minor requirements in student handbooks and our website and implemented the "graduation plan", an optional meeting wherein students can sit down with an advisor to discuss their academic plan. This has proven to be extremely useful for both advisors and students in that we have been able to identify and resolve issues well before graduation. To interaction concerns, our advisors have attended professional conferences, hosted by NACADA and by the University of California, to receive additional interpersonal training. Advisor specialization by major has allowed for development of relationships between advisor and student as well as advisor and faculty.

This assessment is the best option for future program reviews. With appropriate levels of staffing and funding, SSHA advising will began additional assessment in Fall 2010 and will start planning to send advisors to conferences (a practice that has been frozen for the last 2 years).

Spring, Fall 2008. SSHA participated in an assessment of advising that was intended to be campus-wide, but failed to solicit significant student participation. This may be due to the lengthiness of the survey. As an insignificant amount of surveys were received, and due to staffing concerns, this data was ever analyzed.

On-Going. Special Academic Probation Program. SSHA students on academic probation are required to participate in a semester long program intended to make them aware of the skills and resources needed to become a successful student. An analysis of students participating in the Special Academic Probation Program (Fall 2006 to Spring 2010, n=181) has provided evidence of this intervention's positive effect on student success: 42.5% of students return to good standing in the semester of program participation, compared to 31.31% of special probation students campus-wide. To evaluate the effectiveness of the program in addressing this population's needs and identify possible

changes each participant is given an exit survey. This data is disseminated among the advising staff and to the deans as appropriate.

Table 1. A comparison of SSHA student academic standing after program participation with outcomes from all other special probation students across campus.

Standing in Next Term	Good Standing	Poor Standing	No Standing
SSHA Students (n=181)	42.5% (77)	50.8% (92)	6.6% (12)
All Other Students (n=577)	31.3% (181)	63.7% (368)	4.8% (28)

At the beginning of the Spring 2008 semester, an assessment of exit survey data showed that certain components of the program, primarily academic skills workshop requirements, were not relevant to students with advanced standing whose issues were beyond those of time management or test anxiety. Of the juniors and seniors who participated in the survey (n=8), three identified academic skills workshops as the least helpful component of the contract. With this realization, we have expanded this requirement to allow advanced students to complete workshops from counseling and career services that are more relevant to their needs and future success. The expansion of the possible workshops positively affected junior and senior level students in the following semesters: survey data gathered from students with advanced standing in Spring 2008 through Spring 2010, only one student (n=5) listed workshops as the least helpful component of the contract. This year, we have several students who are in the program for a second semester. Given that they have already successfully completed the program, we use the student's entrance and exit surveys to create a "2nd SP Contract" that specifically addresses each student's continuing needs. With appropriate staffing levels, assessment of the need for a 2nd SP Contract and the application of the program to students in their senior year, will being in Fall 2010.

Question 4: *If your unit has not yet developed goals and objectives what is the timeline for completing this work and initiating assessment?*

N/A

Question 5: *If your unit has goals and objectives but does not regularly assess its performance, what is the timeline for beginning this work?*

SSHA Advising will begin again assessing its program in Fall 2010 pending approval of appropriate staffing levels and funding to support the assessment and analysis of data.

Special Probation Interaction Plan

Week	Activity	Notes
Week 0	**Monday:** Contact students to set up appointments to sign Special Probation Contracts for Weeks 1 & 2.	Holds should be placed on students' records until they meet with an advisor to sign their contract. Students who do not meet with an advisor to sign their contract by the end of Week 2 are subject to dismissal from the university. When students respond to email with their availability, respond with a confirmed appointment time and ask them to complete the SP Entrance Survey and bring it to the meeting.
Week 1 & 2	**Monday - Friday:** Meet with students to sign Special Probation Contracts.	Remove student's hold once their SP Contract is signed. Be sure to give them a sample Study Plan, Special Probation Tips, and Contact Log sheets.
Week 3	**Friday:** Project Based Study Plans should be due at the end of this week.	Students who fail to submit their Study Plans – or who submit them incorrectly – should have holds placed on their records until a correct version is submitted.
Week 4	**Monday:** Send out Email Check #1, which will request students' availability for MINDSET meetings in Week 5.	Students who don't respond by the deadline should have a hold placed on their account until they respond to the email check.
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Week 8	**Monday:** Send out Email Check #2, which will request students' availability for midterm grade meetings in Week 9.	Students who don't respond by the deadline should have a hold placed on their account until they respond to the email check.
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Week 15	**Monday:** Send out Email Check #3, which will request students' availability for final Special Probation meetings in Week 16. (This email should also notify them of the final due date for Contact Logs and the SP Exit Survey.)	Students who don't respond by the deadline should have a hold placed on their account until they respond to the email check. When students respond to email with their availability, respond with a confirmed appointment time and ask them to complete the SP Exit Survey and bring it to the meeting. (This can also be submitted with their Contact Logs, which are due on the last day of the semester.)
Week 16	**Monday - Friday:** Meet with students to discuss anticipated final grades, and check their Contact Logs for completion.	Students who fail to attend their meeting or bring their Contact Logs to the meeting should have a hold placed on their record until they attend a rescheduled meeting and / or provide their advisor with their Contact Logs.
Last Day of the Semester	Deadline for students to submit their Contact Logs and SP Exit Survey.	

Special Academic Probation

- Holds shall be placed on all students who appeal their dismissals successfully and are allowed to continue on Special Academic Probation. These holds will be removed when the student meets with their academic advisor to create and sign their Special Probation Contract.
- Students continuing on Special Academic Probation shall be required to complete a contract. In this contract, students shall be required to utilize campus resources in an effort to assist them in the improvement of their grades. Some requirements will vary based on the student, but standardized requirements will be as follows:
    - The student must earn a minimum GPA (to be determined by their academic advisor) to bring their cumulative GPA to a 2.00 or higher.
    - The student must complete all courses with a C- or higher.
    - The student must attend tutoring sessions at least once every two weeks for each course in which they are enrolled for which tutoring is offered.
    - The student must attend office hours for their TAs or professors at least four times per course throughout the course of the semester.
    - The student must attend two workshops throughout the course of the semester.
    - The student must make and attend an appointment with Counseling Services by the end of the fourth week of instruction.
    - The student must make and attend an appointment with a career counselor at the Career Services Center by the end of the eighth week of instruction.
    - The student must check their UC Merced email account daily, and respond within twenty-four hours to all emails sent by their academic advisor.
    - The student must respond to two email checks, to be performed by their academic advisor. In these checks, the students will receive an email instructing them to reply within twenty-four hours with their availability for an appointment with their advisor. Failure to respond to the email check and schedule and attend an appointment with their advisor by the deadlines provided will result in a hold being placed on their record.
    - The student must submit a project-based study plan via email to their academic advisor by the end of the second week of instruction.
    - The student will be required to meet with their advisor at their advisor's request. Failure to set up and attend meetings with an advisor by the deadlines provided will result in a hold placed on the student's record.

School of Social Sciences, Humanities and Arts
University of California, Merced

Academic Probation Enrollment Contract Meeting Worksheet

Date: _____ Academic Term: _____

Name: _____ ID #: _____

My greatest obstacle to overcome this semester was:

Section I: Contributing Factors and Behaviors

Please evaluate what factors or behaviors prevented you from performing to your full academic potential. For example: "My difficult work schedule prevented me from completing my readings and studying as much as I should".

1.

2.

Please list specific actions you will take to help resolve the above issues. For example: "I will decrease my work schedule from 30 to 15 hours per week and take out student loans to help cover my expenses".

1.

2.

Section II: Goals

Please list two (2) goals that will help you return to good academic standing. For example: "I will better manage my time".

1.

2.

Please list two (2) actions you will take to achieve the two (2) goals listed above. For example: "I will better manage my time by: a.) making a study schedule and b.) using a daily planner".

1.

a.

b.

2.

a.

b.

Spring 2008 Special Probation
End of Semester Survey

Name: _____ ID# _____

Fall 2007 GPA: _____ Projected Spring 2008 GPA: _____ Actual: _____

I understand that the information included in this survey will be kept completely confidential. Any data gathered will be used anonymously. I also understand that information gathered in this survey is for program improvement only and will not be utilized in my probation evaluations or hearings.

Student Signature: _____ Date: _____

Please answer the following questions as honestly as possible. The information you provide is very important and will be used to improve SSHA's academic probation program.

What part of your probation contract did you find most helpful as you worked to improve your academic standing? Why?

Which part of the contract did you find least helpful? Why?

What could we have done to help you become more successful as you worked to improve your academic standing?

Please provide any additional comments or suggestions that may help us improve academic probation processes for future students.

Where to Go From Here?:

A Pilot Needs Assessment of a First-Year Academic Advising Program

Alisha Kimble

California State University, Stanislaus

Introduction

Parsons and Kahn (2005) contend that engagement in needs assessment is crucial to program development and evaluation (p. 54). The authors recommend conducting such assessments for ongoing evaluation of program objectives and standards as well as during times of rapid change and dramatic shifts in population needs. The changes and shifts in the program assessed for this report, however, extend far beyond the typical adjustments and struggles.

In Fall 2005, the University of California, Merced opened its doors to 875 “pioneering” undergraduate students. University administrators had worked for nearly a decade in preparation for the opening of the first research institution in the 21st century. During the two years prior to opening, administrators intensified efforts to prepare for the first students: establishing innovative academic courses, majors and programs, constructing technologically advanced buildings, generating student support services, engaging world-class faculty and hiring motivated, energized staff. Among the last staff to be hired were academic or “student” advisors who would work directly with students, guiding them through the maze of dynamic university policy and procedure and ever-changing course offerings; all the while counseling them through the struggles faced by every new college student.

My position as Student Advisor for the School of Social Sciences, Humanities and Arts (SSHA) at UC Merced has offered me the rare opportunity to influence the course of an academic advising program. At the end of our

inaugural year, I was given the occasion to pilot a needs assessment to evaluate the effectiveness of my efforts as an advisor during our first year and serve as a starting point for future program development.

Method

The needs assessment described in this report incorporated two elements: a survey for SSHA faculty and administration that asked respondents to rate the importance of program objectives and a survey for SSHA students that asked students to identify the importance of survey items the themselves as a student and their experiences with situations described in each item (Appendix A).

The faculty/administration survey was administered via an internal, web-based platform that allowed respondents to remain anonymous. All SSHA faculty and administrators were contacted by an email and asked to complete the survey within a ten-day timeframe. The survey was designed to identify the “need importance” of advising services (Parsons and Kahn, 2005) and asked respondents to rate the importance of each service in an academic advising program on a scale of “very high” to “low”. Of the approximately twenty asked to participate, four (4) participants responded. Respondents to this survey were not asked to identify their gender.

The student survey was administered in March and April 2005, during Fall/Summer course advising. Students waiting for their advising appointment were asked to complete the survey and place in a sealed box, allowing their responses to remain anonymous. The student survey was designed to identify

the “need gaps” (Parsons and Kahn, 2005) in the advising program and consisted of two sections. Section I was designed to measure the “need importance” of respondents (Parsons and Kahn, 2005) and asked students to rate each statement from “very high” to “no” importance. Section II was designed to measure “need satisfaction” of the respondents (Parsons and Kahn, 2005) and asked students to consider their personal advising experience at UC Merced and rate their satisfaction with each statement from “very high” to “no”. The “need gap” was determined by adding the averages from Section I and Section II; a larger sum equates to a greater need. In addition to completing the survey, students were asked to indicate their class level (freshman/sophomore or junior/senior) and their gender (male/female). Of the thirty-one (31) respondents, fifteen (15) identified themselves as female freshman/sophomore (FFS), five (5) as male freshman/sophomore (MFS), ten (10) as female junior/senior(FJS) and one (1) as male junior/senior (MJS).

Data Analysis

Data for both surveys were analyzed with the need importance/need satisfaction scale in Parsons and Kahn (2005, p. 55). Qualitative ratings for the scales in both surveys were assigned quantitative measurements as follows:

Faculty/Administration Survey	Very High=5	High=4	Medium=3	Low=2	No=1
Student Survey, Section I: Need Importance	Very High=5	High=4	Medium=3	Low=2	No=1
Student Survey, Section II: Need Satisfaction	Very High=1	High=2	Medium=3	Low=4	No=5

For the faculty/administration survey, the importance of each item was established by averaging individual responses. For the student survey, the need gap for each item was identified by adding averages of sections I and II.

Results

Results from the faculty/administration survey (Table 1) indicates that participants feel the greatest need in the academic program is that “academic advisors should feel comfortable approaching faculty with student concerns regarding courses and major programming”, with an importance score of 4.75,. The two lowest ranking needs, each with an importance score of 2.5, were “advising as an instrument for student learning” and “advising based on theories of human development and learning styles.”

Table 1: Faculty/Administration Need Importance Scores

Question	1	2	3	4	5	6	7
Need Importance Score	2.5	4.0	4.75	3.0	2.5	4.0	4.5

Results from the student survey varied significantly when correlated with gender and class level.

Need Importance

Data from Section I of the student survey showed students in different grade levels varied in their perceived importance of the academic advising services listed (Table 2). The overall importance scores from participants

identified as freshman/sophomore was 3.955 (high importance), while the score from those identified as junior/senior was 3.72 (medium to high importance).

Table 2: Need Importance by Class Level and Gender

	FFS	MFS	FJS	MJS
Statement 1	4.05	4.6	3.28	4.0
Statement 2	4.05	4.2	4.0	3.0
Statement 3	4.67	4.0	4.28	4.0
Statement 4	2.94	2.2	3.42	3.0
Statement 5	4.56	4.2	4.14	5.0
Statement 6	3.38	4	3.14	3.0
Statement 7	3.33	4.4	3.33	3.0
Statement 8	4.33	5	4.71	5.0
Statement 9	4.16	4.8	3.86	4.0
Statement 10	4.38	3.6	3.85	4.0
Statement 11	4.56	3.6	3.57	3.0
Statement 12	3.53	2.4	2.71	4.0

Need Satisfaction

Data from Section II of the student survey also showed a significant distinction between class level, and additionally between genders in satisfaction with advising services. Male freshman/sophomores indicated an overall satisfaction score as 3.28 (medium satisfaction), while female freshman/sophomores indicated an overall satisfaction score of 2.4 (high satisfaction). Male junior/seniors indicated an overall satisfaction score of 1.83 (high to very high satisfaction), while female junior/seniors indicated an overall score of 2.56 (high satisfaction).

Table 3: Need Satisfaction by Class Level and Gender

	FFS	MFS	FJS	MJS
Statement 1	2.0	3.6	2.83	1.0
Statement 2	2.35	3.2	3.0	2.0
Statement 3	2.0	3.2	1.83	1.0
Statement 4	2.91	3.2	2.33	2.0
Statement 5	2.08	2.4	1.8	1.0

Statement 6	3.0	3.8	3.4	3.0
Statement 7	2.5	3.8	3.16	3.0
Statement 8	2.31	3.6	1.83	1.0
Statement 9	2.46	3.4	3.0	1.0
Statement 10	2.38	3.0	2.67	2.0
Statement 11	1.92	2.6	1.83	2.0
Statement 12	3.0	3.6	3.0	3.0

Need Gap

Like other data in this study, need gap measurements varied greatly between gender and class levels (Table 3). Data from participants identified as male freshman/sophomore indicated that the greatest need gap was “providing accurate information about what I needed to graduate”; while female freshman/sophomore indicated “advisor helping me find a solution rather than telling me what to do” as the greatest gap. Male junior/senior results identified the gap as “concern about what’s going on in my life, not just my courses”; while female junior/seniors identified “advisor refers me to other staff when necessary” as the greatest gap. The overall need gap scores varied only slightly (5.5 to 6.94).

Table 4: Need Gap Score by Class Level and Gender

	FFS	MFS	FJS	MJS	OVERALL SCORE
Statement 1	8.2	6.05	5	6.11	6.34
Statement 2	7.4	6.4	5	7	6.45
Statement 3	7.2	6.67	5	6.11	6.245
Statement 4	5.4	5.85	5	5.75	5.5
Statement 5	6.8	6.64	6	5.94	6.345
Statement 6	7.8	6.38	6	6.54	6.68
Statement 7	8.2	5.83	6	6.49	6.63
Statement 8	8.6	6.64	6	6.54	6.94
Statement 9	8.2	6.62	5	6.86	6.67
Statement 10	6.6	6.76	6	6.52	6.47
Statement 11	6.2	6.48	5	5.4	5.77
Statement 12	6	6.53	7	5.71	6.31

Implications

Although the surveys were exploratory, data drawn from them suggest several potential areas for program improvement for both advising staff as well as School faculty and administration.

First, advising staff should work toward development of new ways to increase faculty involvement in the advising program. This could include meeting with discipline representatives to discuss information for specific majors or the formation of an academic advising advisory committee consisting of administrators, faculty from various disciplines and students. Faculty involvement in the advising program also addresses several of the need gaps identified by students: dissemination of accurate information about what is needed to graduate, guidance on information regarding educational options such as study abroad and graduate school and information on extracurricular activities to enhance major coursework. Although academic advisors should be experts in the area of graduation requirements, faculty members with terminal degrees and years of experience in their field can be an invaluable source of information regarding education options and activities pertaining to academic majors. In addition to working with faculty members to build their own knowledge of these areas, advisors should work with faculty and administrators to create opportunities for exchange of this type of information between faculty and students.

Second, academic advisors should engage in continuous training in fundamental counseling techniques such as unconditional positive regard, active listening and empathy skills to address other need gaps identified in this survey. Advisors should actively seek out ways to build rapport with their students, seeking out ways to demonstrate their care and concern beyond the simple academics for which they are explicitly responsible. This can be accomplished in a variety of ways, including spending the first few minutes of an advising sessions in non-academic related conversation and following up on student concerns with a phone call or email. Advisors may also attend on-campus events to show support for their students' non-academic accomplishments. Administrators can encourage this by allowing devotion of a portion of advisors' working hours to such pursuits.

This study was designed as a pilot needs assessment for the academic advising program in the School of Social Sciences, Humanities and Arts at the University of California, Merced. Given the size and sampling of the pilot participants, the results cannot be deemed representative of the entire population served by the program. However, the information gathered can serve as a starting point for discussion among affected parties and future program development.

References

Parsons, R.D. and Kahn, W.J. (2005). *The school counselor as consultant: An integrated model for school-based consultation.* Belmont: Thomson Brooks/Cole.

Appendix A

SSHA Advising Assessment
Student Survey

Class Level: Freshman/Sophomore Junior/Senior
Gender: Male Female

Section I. Please indicate how important each of the following statements is to you as a student. (Very high=very important, No=not at all important)

My advisor is a good source of information including university deadlines and procedures	No	Low	Medium	High	Very High
If I'm having a problem, my advisor refers me to other staff when necessary	No	Low	Medium	High	Very High
When we talk about my courses, my advisor helps me pick courses that meet requirements but are also interesting.	No	Low	Medium	High	Very High
My advisor is seen at campus events outside of advising	No	Low	Medium	High	Very High
My advisor helps me when asked, but I know I am free to make my own decisions	No	Low	Medium	High	Very High
My advisor suggests outside activities that may help me in my major such as individuals to contact and internships.	No	Low	Medium	High	Very High
My advisor provides guidance on where to find information regarding my educational options (i.e. graduate school and study abroad)	No	Low	Medium	High	Very High
My advisor provides me with accurate information about what I need to graduate	No	Low	Medium	High	Very High
My advisor and I talk about the consequence of the courses I take and my grades on my graduation	No	Low	Medium	High	Very High
When I have a problem, my advisor helps me find a solution rather than telling me what to do	No	Low	Medium	High	Very High
I know I can trust my advisor to keep anything I say confidential	No	Low	Medium	High	Very High
My advisor seems concerned about what's going on in my life, not just my courses.	No	Low	Medium	High	Very High

Section II. Now consider your experience with advising at UC Merced. Please indicate how satisfied you are with each statement. (Very high=very satisfied, No=not at all satisfied)

My advisor is a good source of information including university deadlines and procedures	Very High	High	Medium	Low	No
If I'm having a problem, my advisor refers me to other staff when necessary	Very High	High	Medium	Low	No
When we talk about my courses, my advisor helps me pick courses that meet requirements but are also interesting.	Very High	High	Medium	Low	No
My advisor is seen at campus events outside of advising	Very High	High	Medium	Low	No
My advisor helps me when asked, but I know I am free to make my own decisions	Very High	High	Medium	Low	No
My advisor suggests outside activities that may help me in my major such as individuals to contact and internships.	Very High	High	Medium	Low	No
My advisor provides guidance on where to find information regarding my educational options (i.e. graduate school and study abroad)	Very High	High	Medium	Low	No
My advisor provides me with accurate information about what I need to graduate	Very High	High	Medium	Low	No
My advisor and I talk about the consequence of the courses I take and my grades on my graduation	Very High	High	Medium	Low	No
When I have a problem, my advisor helps me find a solution rather than telling me what to do	Very High	High	Medium	Low	No
I know I can trust my advisor to keep anything I say confidential	Very High	High	Medium	Low	No
My advisor seems concerned about what's going on in my life, not just my courses.	Very High	High	Medium	Low	No

Thank you for participating!!

SSHA Advising Assessment
Faculty/Administration Survey

Please evaluate the importance of the following as they apply to undergraduate academic advising within the School of Social Sciences, Humanities and Arts.

Academic advising within the School should be based on theories of human development and learning styles.	Very High	High	Medium	Low	No
Academic advisors should work closely with faculty to evaluate ways to encourage student learning.	Very High	High	Medium	Low	No
Academic advisors within the School should feel comfortable approaching faculty with student concerns regarding courses and major programming.	Very High	High	Medium	Low	No
Academic advisors should promote faculty members as the primary source of information regarding the goals and principles of the major.	Very High	High	Medium	Low	No
Academic advising within the School should serve as an instrument for student learning.	Very High	High	Medium	Low	No
Academic advisors should consider the student as a whole person, not just an individual taking courses.	Very High	High	Medium	Low	No
Academic advisors should establish and reevaluate processes and procedures to better serve student needs.	Very High	High	Medium	Low	No

Please include any additional comments:

Thank you for participating!

SSHA Academic Advising Assessment

Standard/Objective	Assessment Questions	Audience
Provide an intentional and coherent academic advising program based on theories and knowledge of teaching, learning and human development that is responsive to the needs of the student population, individuals and the community		Student
	1. Academic advising within the School should be based on theories of human development and learning styles.	Faculty/Administration
Identify relevant and desirable student learning and developmental outcomes and provide programs and services that encourage achievement of those outcomes		Student
	1. Academic advising within the School should serve as an instrument for student learning. 2. School academic advisors should work closely with faculty to evaluate ways to encourage student learning.	Faculty/Adminstration
Promote the establishment and implementation of policies and procedures that address the characteristics and needs of a diverse population		Student
	1.Academic advisors within the School should feel comfortable approaching faculty with student concerns regarding courses and major programming. 2. Academic advisors within the School should establish and reevaluate processes and procedures to better serve student needs.	Faculty/Administration

Assist students in the development of meaningful education plans based on assessments of their interests and abilities and educational goals		Student
	1. Academic advisors should consider the student as a whole person, not just an individual taking courses. 2. Academic advisors should promote faculty members as the primary source of information regarding the goals and principles of the major.	Faculty/Administration
Assist students in making the best academic decisions possible by encouraging identification and assessment of alternatives and consideration of possible consequences	1. Academic advisors should expect faculty members to advise students on the applicability of the major to "real life" and as an important part of one's educational career. 2. An academic advisor's job is to assist students in evaluation of their academic progress. 3. Academic advisors should suggest possible alternatives to students struggling in particular classes or majors.	Student
		Faculty/Administration
Provide accurate and timely information and interpret institutional, general education and major requirements.	1. My advisor is a good source of academic information including university deadlines and procedures. 2. My advisor provides me with accurate information regarding requirements for my major. 3. My advisor provides me with accurate information regarding my requirements for graduation.	Student
		Faculty & Administration

Make students aware of and refer to educational, institutional and community resources and services.	1. If I'm having a problem, my advisor refers me to other staff or offices when necessary. 2. My advisor provides guidance on where to seek information regarding my educational options (i.e. graduate school, study abroad).	Student
.	.	Faculty & Administration
Reinforce students' self-direction and self-sufficiency.	1. My advisor helps me when asked, but I know I am free to make my own decisions regarding registering for courses. 2. When I have a problem, my advisor helps me find a solution rather than telling me what to do.	Student
		Faculty & Administration
Advise on the selection of appropriate courses and other educational experiences to enhance student learning.	1. When we talk about my courses, my advisor helps me pick courses that meet requirements, but are also interesting to me. 2. My advisor has suggested outside activities that may help me in my major such as individuals to contact, internships and volunteer opportunities.	Student
		Faculty & Administration
Evaluate and monitor student progress and the impact on achievement of goals.	1. My advisor and I talk about the consequences of the courses I take and my grades on my graduation.	Student
		Faculty & Administration

Direct students with educational, career or personal concerns, to appropriate campus resources.	1. My advisor refers me to other places on campus that can help me deal with non-advising issues such as personal or career concerns.	Student
		Faculty & Administration
Establish, maintain and promote effective relations with relevant campus offices and external agencies.	1. I have seen my advisor at campus events outside of advising.	Student
		Faculty & Administration
Be knowledgeable and responsive to laws and regulations that relate to their responsibilities including those regarding privacy and confidentiality.	1. I know I can trust my advisor to keep anything I say confidential.	Student
		Faculty & Administration
Treat students as unique individuals with distinct situations and needs..	1. My advisor is willing to listen to my concerns and questions, whether they are academic or personal. 2. My advisor seems concerned about what's going on in my life, not just my courses. 3. My advisor seems interested in helping me succeed.	Student
		Faculty & Administration

Special Probation Interaction Plan

Week	Activity	Notes
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Week 16	**Monday - Friday:** Meet with students to discuss anticipated final grades, and check their Contact Logs for completion.	Students who fail to attend their meeting or bring their Contact Logs to the meeting should have a hold placed on their record until they attend a rescheduled meeting and / or provide their advisor with their Contact Logs.
Last Day of the Semester	Deadline for students to submit their Contact Logs and SP Exit Survey.	

Special Academic Probation

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    - The student must complete all courses with a C- or higher.
    - The student must attend tutoring sessions at least once every two weeks for each course in which they are enrolled for which tutoring is offered.
    - The student must attend office hours for their TAs or professors at least four times per course throughout the course of the semester.
    - The student must attend two workshops throughout the course of the semester.
    - The student must make and attend an appointment with Counseling Services by the end of the fourth week of instruction.
    - The student must make and attend an appointment with a career counselor at the Career Services Center by the end of the eighth week of instruction.
    - The student must check their UC Merced email account daily, and respond within twenty-four hours to all emails sent by their academic advisor.
    - The student must respond to two email checks, to be performed by their academic advisor. In these checks, the students will receive an email instructing them to reply within twenty-four hours with their availability for an appointment with their advisor. Failure to respond to the email check and schedule and attend an appointment with their advisor by the deadlines provided will result in a hold being placed on their record.
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School of Social Sciences, Humanities and Arts
University of California, Merced

Academic Probation Enrollment Contract Meeting Worksheet

Date: _____ Academic Term: _____

Name: _____ ID #: _____

My greatest obstacle to overcome this semester was:

Section I: Contributing Factors and Behaviors

Please evaluate what factors or behaviors prevented you from performing to your full academic potential. For example: "My difficult work schedule prevented me from completing my readings and studying as much as I should".

1.

2.

Please list specific actions you will take to help resolve the above issues. For example: "I will decrease my work schedule from 30 to 15 hours per week and take out student loans to help cover my expenses".

1.

2.

Section II: Goals

Please list two (2) goals that will help you return to good academic standing. For example: "I will better manage my time".

1.

2.

Please list two (2) actions you will take to achieve the two (2) goals listed above. For example: "I will better manage my time by: a.) making a study schedule and b.) using a daily planner".

1.

a.

b.

2.

a.

b.

Spring 2008 Special Probation
End of Semester Survey

Name: _____ ID# _____

Fall 2007 GPA: _____ Projected Spring 2008 GPA: _____ Actual: _____

I understand that the information included in this survey will be kept completely confidential. Any data gathered will be used anonymously. I also understand that information gathered in this survey is for program improvement only and will not be utilized in my probation evaluations or hearings.

Student Signature: _____ Date: _____

Please answer the following questions as honestly as possible. The information you provide is very important and will be used to improve SSHA's academic probation program.

What part of your probation contract did you find most helpful as you worked to improve your academic standing? Why?

Which part of the contract did you find least helpful? Why?

What could we have done to help you become more successful as you worked to improve your academic standing?

Please provide any additional comments or suggestions that may help us improve academic probation processes for future students.

Spring 2010 Special Probation
End of Semester Survey

Name: _____ ID# _____

Fall 2009 GPA: _____ Projected Spring 2010 GPA: _____ Actual: _____

I understand that the information included in this survey will be kept completely confidential. Any data gathered will be used anonymously. I also understand that information gathered in this survey is for program improvement only and will not be utilized in my probation evaluations or hearings.

Student Signature: _____ Date: _____

Please answer the following questions as honestly as possible. The information you provide is very important and will be used to improve SSHA's academic probation program.

What part of your probation contract did you find most helpful as you worked to improve your academic standing? Why?

Which part of the contract did you find least helpful? Why?

What could we have done to help you become more successful as you worked to improve your academic standing?

Please provide any additional comments or suggestions that may help us improve academic probation processes for future students.

WASC Accreditation – University Relations

University Relations is developing goals for FY2010-2011. These divisional goals will be driven down to individual staff goals for the same period. Please note that these are draft goals and the final version will be available by July, 2010.

1) Have you identified, or are you in the process of identifying, performance goals and related objectives for the unit (as opposed to goals for individual administrators or staff members)? If so, please provide them.
    a. GOALS
        i. To raise $4.3 million dollars during the 2010-2011 fiscal year, which will be tracked quarterly.
        ii. To increase media coverage of UC Merced in key markets (San Francisco, Los Angeles, Sacramento, Bay Area, Silicon Valley, Fresno and Merced), measured by number of stories successfully placed in each of the markets as a result of pitches the Office of Communications makes directly and exclusively to media outlets in each market. Another measurement of success will consist of maximizing the number of stories favorably influenced by the news team in the Office of Communications – i.e. minimized, stopped, expanded, clarified, redirected, etc.
        iii. To increase UCM's profile in five targeted regions (Silicon Valley, Fresno, Sacramento, Merced and Modesto) by attending 20 events for community and business leaders by 7/1/11.
        iv. To increase usage of UCM's web sites and social media channels as measured by unique web visitors and social media followers on a monthly basis.
        v. To ensure success of UC Merced's Special Campaign for Scholarships and Fellowships by telling UCM's story and highlighting students who have already received scholarships and fellowships, as measured by the number of donors who contribute as a result of reading and hearing compelling stories in collateral publications, e-mail marketing campaign and a micro-giving solution using mobile, web and email technologies developed by the Office of Communications.
        vi. To retain funding for Science and Engineering II Capital Project by 11/1/10 and ensure state supplemental funding in new governor's budget by 4/1/11.
        vii. To develop a comprehensive campus legislative education plan by 11/1/10.
        viii. To provide campus briefings and tours to nine new state and federal elected officials by 7/1/11 and to complete 24 district office visits to state legislators by 7/1/11.
        ix. To provide all staff with a professional development opportunity, with supervisor approval, in addition to the standard UC Merced training opportunities and other on campus skill building sessions as measured in FY11 personnel evaluations.
        x. To have a staff retention rate of more than 90%, as measured 7/1/11.
        xi. To establish a board of directors for the UCM Alumni Association by 4/1/11.
    b. How are they made available and to whom?
        i. They will be shared with the Chancellor's Cabinet, Deans and Directors, Faculty Senate leadership and the UC Merced Foundation Board of Trustees.
    c. How do they align with the unit's mission?
        i. Our unit's mission is to increase support for and enhance knowledge of the University of California, Merced through fundraising, government relations and public outreach. Our goals align with our mission because our goals for FY10-11, when accomplished, will enhance public and internal awareness and support of UC Merced.
    d. How do they align with the University's mission and goals?
        i. Our goals align with the University's mission and goals because our work connects the campus to the community by informing our constituents of the teaching, service and research being done on campus. Our constituents in return support the campus financially and on policy issues.

e. Do they reflect the standards of a professional association? If so, please briefly describe.
    i. Yes, the work of University Relations is done at a high level and according to best practices in fund raising, communications and education of local, state and federal representatives.

2) Does your unit review its performance in relation to its objectives? Yes.
    a. If so, please describe how this is done, including:
        i. The process by which objectives are selected for review: Areas for review need to be significant activities or new initiatives, measurable by a number and timeline for achievement.
        ii. The source(s) and types of data: We use Raisers Edge to produce fundraising data related to our development goals. We also use financial reports, contact reports, training attendance, web use and newspaper column/inches as other types of measures.
        iii. The timeline: Progress toward goals will be measured quarterly and shared internally. Results will be shared with stakeholders annually.
        iv. How the results are used to inform practices: We use these results in order to measure whether or not our practices are accomplishing our goals and if they are not, then we reevaluate both respectively.
        v. To whom the results are disseminated: The results are disseminated to the Chancellor's Cabinet, Deans and Directors, Faculty Senate leadership and the UC Merced Foundation Board of Trustees.
    b. If your unit has a plan for assessing its performance, please provide it.
        i. Our unit does annual personnel reviews every July/August. These are confidential and cannot be provided.
        ii. This is our initial effort at goal setting. We do not have a plan for how to do it. We followed the general approach of a university center.

3) If your unit has engaged in assessment to improve performance, please provide one of more examples of this work, including a description of any changes made to the practices of the unit in response to the results. These examples are particularly important as they demonstrate that we practice "evidence-based improvement", which is a fundamental expectation of WASC.
    - This last fiscal year, we realized that our unit was not doing the best that it could be in measuring performance and in outlining unit goals.
    - In response, we have put together unit goals (listed above) for the 2010-2011 fiscal year and are currently working on a 3 year plan in order to provide a vision and plan for University Relations in the years to come.

4) If your unit has not yet developed goals and objectives, what is the timeline for completing this work and initiating assessment?

5) If your unit has goals and objectives, but does not regularly assess its performance, what is the timeline for beginning this work?