PROC UPDATE:

DEVELOPMENT OF THE WSCUC INTERIM REPORT

Interim Report Subcommittee

January 21, 2020

I.   **Interim Report Overview and Background**

In its letter reaffirming UC Merced's institutional accreditation for a period of 10 years, the WSCUC Commission asked UC Merced to submit on November 1, 2021 an Interim Report addressing the following:

    i.   A self-reflective review of the outcomes of the 2020 Project
    ii. A description of the mechanisms established for undergraduate students to access appropriate tutoring services
    iii. A copy of the next strategic plan for UC Merced
    iv. An update on the results of the fiscal conversations between UC Merced and the UC Office of the President, including any successor MOUs, with an eye to how these affect the growth plans and fiscal sustainability of the campus

In May 2019, PROC charged the Interim Report Subcommittee[1] with facilitating preparation for and preparation of the interim report. As a subcommittee of PROC, the subcommittee would report to PROC on its progress and seek PROC's feedback on its work.

In fall 2019, the subcommittee began meeting. The group's primary objective was to draft, for PROC's review, a proposal for developing the interim report. The proposal would be guided by the timeline for developing the interim report approved by PROC in spring 2019.

Due Date	Action
November 1, 2021	Report submitted
September and October 2021	Draft report reviewed for submission
Summer 2021	Report drafted and finalized
Spring 2021	All institutional activities needed to support the report completed.

Toward this end, the subcommittee met three times over the course of fall 2019. At these meetings, the subcommittee

- Reviewed the report's purpose and review process, requirements and format (appended), and an example report

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[1] Membership: Interim Vice Provost and Dean for Undergraduate Education; Vice Provost and Dean for Graduate Education; Vice Chancellor for Physical Operations, Planning and Development, and Chief Operating Officer; Interim Director, OPRAAS; Accreditation Liaison Officer

- Developed a strategy for developing the interim report, most importantly for addressing the four campus-specific topics/issues identified by the WSCUC Commission (outlined above)

Per the appended document the Interim Report consists of the following:

a. A statement of report preparation
b. A brief description of institutional context
c. Responses to the four issues identified by the Commission (items i-iv above)
d. A description of other changes and issues facing the institution
e. Concluding statement

Per the timeline outlined above, the Interim Report Subcommittee plans to draft responses to these five components during the summer of 2021.

Section II of this document provides the subcommittee's proposal for addressing the core of component of the interim report - item c. *Responses to the issues identified by the Commission.* Specifically, for each of the four issues, section II provides:

- A bulleted list summarizing what each response is proposed to address; this summary appears under the heading "The up-to-five page essay provides:"[2]
- Supporting evidence to be provided/developed
- A timeline for ensuring the requisite materials are available to support drafting in summer 2021
- Individual lead for the work to be accomplished

Issue i. *A self-reflective review of the outcomes of the 2020 project* includes an additional section titled "proposed approach to development".

We note that in addition to the specifics provided in section II below, per WSCUC, the response to each issue should address the following, as relevant. For ease of evaluation, these generic expectations are not addressed in Section II below.

> *Provide a full description of each issue, the actions taken by the institution that address this issue, and an analysis of the effectiveness of these actions to date. Have the actions taken been successful in resolving the problem? What is the evidence supporting progress? What further problems or issues remain? How will these concerns be addressed, by whom, and under what timetable? How will the institution know when the issue has been fully addressed? Please include a timeline that outlines planned additional steps with milestones and expected outcomes.*

II.   **Proposed Plan for Section C of the Interim Report**

A. **Issue 1: *A self-reflective review of the outcomes of the 2020 Project***

   The up-to-5-page essay provides:

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[2] WSCUC limits responses for each individual issue/concern to 5 pages.

- The process by which the self-reflective review was developed.
- The major conclusions of the self-reflective review (the full review will be attached as evidence)
- How these conclusions have been shared with the campus to inform future planning
- How we are using the information
- Any data we are continuing to collect

Evidence:

- The full self-reflective review of the outcomes for the 2020 project
- The overarching 2020 "post-mortem" of which the self-reflection is a subset
- 2020 project goals/objectives outlined in public documents including the 2020 website

Proposed approach to development:

- In spring 2020, a small workgroup[3] consisting of individuals involved in 2020 planning and execution will identify the information/data/evidence needed to answer a set of questions[4] grounded in the project goals/objectives outlined in public documents. This group will be working on the larger 2020 "post mortem" of which this will be a component.
- This group will clarify:
  - Who will use and how best use the self-study (Executive Director Saunders plans to use it to inform the 2030 planning process)
  - What kind of document to produce in light of the audience(s)
  - Timeline for production
  - Process for communicating and mobilizing the document with relevant campus stakeholders

Timeline:

- Reflection document will be drafted by end of spring 2021 at the latest. The specific timeline for getting there is to be determined by the work group.

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[3] Maggie Saunders, Andy Boyd, Fran Telechea, and Laura Martin with others as needed

[4] E.g. 1) How closely do the 2020 outcomes match actual needs at 2020 (i.e. current state planning; what are our gaps)? How do we know? What have we learned? a. To the extent that the program did meet the needs projected at the start of the project (and that the campus could afford), both critical existing needs and space needed to accommodate increased access[4], what can we attribute that too? What have we learned? b. To the extent the program did not meet our needs, what can we attribute that to? What have we learned? For both a and b, this includes: For academic space, the right types and distribution of research space, instructional space and academic office space. (Based on description of program online.[4]) For student life space, see https://merced2020.ucmerced.edu/studentlife. c. To what extent has the space allocation process fostered environment for collaborative and interdisciplinary research as evinced by that faculty, staff and students from UC Merced's three schools will be physically co-located, intermixing disciplines within the same type of facility.[4] 2. To what extent does the 2020 project expand access? For whom and to what? For how long into the future? 3. To what extent did/does the project "support a rapidly growing region?"

Item Lead: Andy Boyd

B. **Issue 2:** *A description of the mechanisms established for undergraduate students to access appropriate tutoring services*

The up to 5-page essay provides:

- A listing of the current academic student support services, their locations, and their missions
- A description of student access challenges due to previous and future location changes (Project 2020 completion dependent).
- A description of the proposed student academic support services working group charge, including goals (strengthen, sustain, expand), communication plan, and intended outcomes
- The processes and timelines by which academic affairs and student affairs will collectively execute the communications plan.
- Plans for determining efficacy; how will we know if students' accessibility needs are being met?

Evidence:
- List of current academic support services
- Composition of working group, charge to working group, goals of working group, working group minutes.
- Websites where communication plan documents and information will be posted
- Other relevant evidence of planning activities
- Assessment plan or strategy, as available.

Timeline for development:
- Student academic support services working group will begin their work in spring 2020. Progress will be tracked.
- Working group will deliver their final recommendations and conclude their work to coincide with Project 2020 placement of relevant student academic support services locales. We anticipate these decisions will conclude during the Fall 2020 semester.
- Communication plan to students will begin during the Fall 2020 semester with an extensive push in Spring 2021.

Item Lead: James Zimmerman.

C. **Issue 3:** *A copy of the next strategic plan for UC Merced*

The up to 5-page essay provides:

- The process by which the strategic plan was developed, starting with Academic Planning activities undertaken in AY 2017-18 and 2018-19
- A description of the strategic plan's connections to the larger integrative planning and budget development context
- The processes and timelines by which the campus will execute the plan, including assessing, evaluating and communicating progress and course correcting as needed.

Evidence:
- Campus strategic plan including
  - 5 -year rolling academic plans
  - Administrative divisional strategic plans
  - LRPD
- Websites where documents and information are posted
- Other relevant evidence of planning activities

Timeline for development:
- Strategic plan will be completed by the end of spring 2021. Progress will be tracked.
- Essay will be drafted in late spring/summer 2021

Item Lead: Laura Martin with Kurt Schnier

D. **Issue 4:** ***An update on the results of the fiscal conversations between UC Merced and the UC Office of the President, including any successor MOUs, with an eye to how these affect the growth plans and fiscal sustainability of the campus***

The up to 5-page essay outlines:
- The relevant history of MOU
- A description of the new MOU; what it accomplishes and an analysis of how it affects growth plans and the campus's fiscal sustainability.
- Any next steps/plans as relevant.

Evidence:
- The MOU
- Any associated documents, as relevant

Timeline for development:
- A successor MOU or MOU extension will be in place at the time our current MOU expires this summer. At that juncture, the subcommittee will have the information to plan any additional steps and plan for drafting in summer 2021.

Item Lead: Laura Martin with Kurt Schnier and the Vice Chancellor for Finance and Administration

III.   **Updating PROC**

The Interim Report Subcommittee plans to meet at least once a semester (more frequently as needed). At these meetings, item leads will update the subcommittee on progress with their issues. The subcommittee's first meeting is scheduled for March 16, 2020.

Unless PROC prefers otherwise, the subcommittee will provide PROC with a progress report per the schedule below. Should any issues requiring PROC's input arise between reports, the subcommittee will bring them to PROC.

2019-2020 AY
- Conclusion of spring semester

2020-2021 AY
- Start of fall semester
- Conclusion of fall
- Mid-semester update – as approach material delivery date to support report drafting in summer
- Conclusion of spring semester - just prior to report drafting to take place over the summer; PROC receiving a draft for review at the start of fall 2021

Appendix – Interim Report Template

WSCUC Interim Report

INSTRUCTIONS
Interim Reports are limited in scope, not comprehensive evaluations of the institution. The report informs the Interim Report Committee about the progress made by the institution in addressing issues identified by the Commission.

The Interim Report consists of two sections:
- Interim Report Form and Appendices
- Additional Required Data (as specified on the Additional Required Data form)

Please respond completely to each question on the following pages and do not delete the questions. Appendices and Additional Required Data will be uploaded as separate attachments.

WSCUC is no longer using Live Text for receiving Interim Reports. Institutions will use a free Box.com account to upload the report. Instructions for creating the Box.com account and uploading the report will be provided by email.

REPORT GUIDELINES AND WORD LIMITS
Because the number of issues reported on varies among institutions (the average is four to six issues), the length of a report will vary. However, a typical interim report ranges from 20 to 60 pages, not including appendices. Narrative essays responding to each issue should be no more than five pages each. **The total number of pages of appendices supporting the report should be no more than 200 pages** unless agreed upon in advance with the institution's staff liaison. Be sure that all attachments follow a consistent naming convention and are referenced the same way at appropriate places within the narrative. Please name them so that it is clear what they are and what section they refer to, with cross referencing in the narrative. For example, "Attachment 2-1: Mission Statement", would be used for Criterion 2. Attachments are preferred as PDFs.

Institutions that provide excessive information in their report will be asked to resubmit. Your may wish to consult with your staff liaison as you prepare your report.

Some tips for providing evidence to support your findings:

- Put yourself in the place of a reviewer: what is the story that you need to tell? What evidence supports your story? What is extraneous and can be left out?

- Provide a representative sample of evidence on an issue, rather than ALL of the evidence.

- Consider including an executive summary or the most relevant points of supporting evidence, rather than the entire document.

- If you are referring to a specific page or set of pages in a document, include only those pages, not the entire document.

- If you are providing an excerpt of a document, include the title of the document, and a table of contents and/or a brief narrative to put the excerpt in context.

- If you provide a hyperlink to a web page, make sure the link takes the viewer directly to the relevant information on the page. Do not make your reviewer search for it.

REVIEW PROCESS

A panel of the WSCUC Interim Report Committee (IRC) will review the report, typically within 90 days of receipt. Representatives of your institution will be invited to participate in the conference call review to respond to questions from the panel. Your WSCUC staff liaison will contact you after the call with the outcome of the review, which will also be documented in a formal action letter.

OUTCOMES OF THE REVIEW

After the review, the panel will take one of the following actions.

- **Receive the Interim Report** with recommendations and commendations—No follow up required.

- **Defer action** pending receipt of follow-up information—The panel has identified limited information that may be submitted in a short period of time, such as audited financial statements or the outcome of an upcoming meeting of the board. The panel may authorize the WSCUC staff liaison to review these materials without the full panel being brought together again, depending on the nature of the supplemental information.

- **Request an additional Interim Report**—Issues reported on were not adequately resolved or need continued monitoring.

- **Request a Progress Report**—A progress report is less formal than an Interim Report and is reviewed only by the WSCUC staff liaison. A progress report may be requested when institutional follow-up on one or two relatively minor areas is desired.

- **Receive the Interim Report with a recommendation that the Commission sends a site visit evaluation team**—Serious, ongoing issues involving potential non-compliance with WSCUC's Standards and Criteria for Review may require follow-up in the form of a Special Visit. Note that the IRC panel makes a recommendation for a visit, and the Executive Committee of the Commission or the full Commission decides on whether or not to require the visit.

Interim Report Form

Please respond to each question. Do not delete the questions. Insert additional pages as needed.

Name of Institution:

Person Submitting the Report:

Report Submission Date:

Statement on Report Preparation

Briefly describe in narrative form the process of report preparation, providing the names and titles of those involved. Because of the focused nature of an Interim Report, the widespread and comprehensive involvement of all institutional constituencies is not normally required. Faculty, administrative staff, and others should be involved as appropriate to the topics being addressed in the preparation of the report. Campus constituencies, such as faculty leadership and, where appropriate, the governing board, should review the report before it is submitted to WSCUC, and such reviews should be indicated in this statement.

List of Topics Addressed in this Report

Please list the topics identified in the action letter(s) and that are addressed in this report.

Institutional Context

Very briefly describe the institution's background; mission; history, including the founding date and year first accredited; geographic locations; and other pertinent information so that the Interim Report Committee panel has the context to understand the issues discussed in the report.

Response to Issues Identified by the Commission

This main section of the report should address the issues identified by the Commission in its action letter(s) as topics for the Interim Report. Each topic identified in the Commission's action letter should be addressed. The team report (on which the action letter is based) may provide additional context and background for the institution's understanding of issues.

Provide a full description of each issue, the actions taken by the institution that address this issue, and an analysis of the effectiveness of these actions to date. Have the actions taken been successful in resolving the problem? What is the evidence supporting progress? What further problems or issues remain? How will these concerns be addressed, by whom, and under what timetable? How will the institution know when the issue has been fully addressed? Please include a timeline that outlines planned additional steps with milestones and expected outcomes. Responses should be no longer than five pages per issue

Identification of Other Changes and Issues Currently Facing the Institution

Instructions: This brief section should identify any other significant changes that have occurred or issues that have arisen at the institution (e.g., changes in key personnel, addition of major new programs, modifications in the governance structure, unanticipated challenges, or significant financial results) that are not otherwise described in the preceding section. This information will help the Interim Report Committee panel gain a clearer sense of the current status of the institution and understand the context in which the actions of the institution discussed in the previous section have taken place.

Concluding Statement

Instructions: Reflect on how the institutional responses to the issues raised by the Commission have had an impact upon the institution, including future steps to be taken.

2020 Project Reflections & Lessons Learned

Executive Summary

To meet acute existing space needs and to accommodate growth to 10,000 students, UC Merced, with the support of the University of California Office of the President and the Regents of the UC, conceptualized in 2012 and completed in fall 2020 the 2020 Project, a $1.3 billion capital expansion that added 13 buildings and a million gross square feet to the campus. The project was developed as public-private partnership (P3) in which the private developer partners, Plenary Properties Merced, took responsibility for designing, building, financing, operating, and maintaining the facilities.

In spring 2021, this reflection and lessons learned document was developed with the goal of informing future capital projects of this kind. Integrating the observations and reflections of key project stakeholders[1], the document analyzes the process by which the project was developed, implemented, and completed and identifies attributes essential to the project's success together with recommendations and considerations for future capital projects.

In sum, the analysis concludes that the project has been a resounding success as measured against the objectives established at the project's inception. Key outcomes include on time delivery, first and lifecycle cost certainty, a fixed program, and LEED platinum certification for all buildings. The project was also completed on budget, without litigation, and with fewer than 150 change orders, a very modest number for a project of this size and scope.

While the full document offers numerous insights and suggestions to benefit future projects, key takeaways include

- When adopting a non-traditional approach to capital development, well-planned stakeholder change management and on-going stakeholder engagement strategies are critical to success.
- The campus has gained a great deal of knowledge regarding the experience and expertise necessary to define and deliver such a project; this could reduce significantly the planning timeframe for future projects.
- Money and time could be saved and stakeholder good will enhanced by adopting strategies, suggested herein, that lead to better collaboration between university stakeholders and the design team and alignment between the project scope/program requirements and the budget available to support the project.
- The project's clear governance structure and associated procedures were critical to the success of this fast-paced P3 project enabling informed and timely decisions about proposed changes in full knowledge of the associated impacts to budget.
- A shared commitment to success was facilitated among all project stakeholders by having external consultants and members of the Project Delivery Team living and working in Merced alongside UC Merced staff.
- Research laboratories will always require some customization and future projects must be designed and delivered to incorporate this process.

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[1] For the list of contributors, see Acknowledgement at the conclusion of the document.

- A smooth the transition from delivery to operations would be enabled by including an Owner's Contract Manager for the operations and management period early in the design build phase.

In conclusion, when coupled with the recommendations identified in this report, the 2020 Project offers a robust framework for future capital projects of this kind.

Introduction

In 2012, UC Merced invited an advisory services panel from the Urban Land Institute (ULI) to help identify the most cost-effective and programmatically efficient means to respond to UC Merced's growing and urgent space needs. One of ULI's recommendations was to "Test decisions, delivery mechanisms, and relationships throughout the process. Use the process as a way for the university to learn which strategies fit best and work for each product type and programmatic need. Change if needed on the next project." The goal of these reflections is to help UC Merced to understand the parts of the 2020 Project that were most successful and those where improvements might be made on the next project.

Background

Merced 2020 was conceptualized in 2012, officially broke ground in Fall 2016 and was completed in Fall 2020. Immediately after UC Merced's founding in the early 2000s, with the construction of roughly a million square feet of laboratory, classroom, and housing facilities, the nation was plunged into a deep recession. The economic impact on California's state budget, which historically provided the core of funding for University of California campuses, was devastating; funding to the University in general, but capital spending especially, was slashed. Growth of UC Merced's physical plant, which already was over capacity with roughly 5,000 students — a number too small to ensure a self-sustaining financial future for the campus—was stalled even as the UC system itself was facing new pressures to expand enrollment.

With the arrival of Dorothy Leland as UC Merced's third chancellor, the ULI was commissioned to study and determine Merced's growth options. It was clear that the typical growth trajectory of UC campuses — constructing one building at a time — would not achieve either the campus' or the system's enrollment objectives in a timely manner. The capacity to serve more students without additional residence halls and student support space was severely limited. In some fields of study, decisions about new faculty hires were being made based on the type of space available rather than on the academic and research needs of the campus. The realities of expansion on a greenfield site also meant that the physical expansion of the campus had to include more than buildings. It also encompassed costly expansions of utilities and roadways. Additionally, Leland wanted to avoid the pitfalls of other UC campuses, which with maturity were facing crushing deferred maintenance budget demands.

After considerable study and consideration, it was determined that the most prudent road forward was to deploy a public-private partnership, in which private developer partners would take responsibility for designing, building, financing, operating, and maintaining (DBFOM) the facilities. This development model, which combined a familiar design-build contract structure with a long-term preventative maintenance and capital renewal program, ultimately was deemed most suitable for achieving Merced's objectives to expand facilities in a four-year time-period sufficient to accommodate 10,000 students. The adoption of this solution reflected several critical advantages over other approaches: a speedy time to delivery, the transfer of significant risk to the development partner, the avoidance of interface risk

created by multiple entities engaged in construction projects at the same time, and the predictability of life-cycle costs over a 30-plus year period.

Preparation of the analysis of project delivery methods, financial structures, project costs, budget, design strategies, and project schedule commenced in 2012 including campus focus groups with students, faculty, and staff. In fall 2014, a Request for Qualifications (RFQ) was released to prequalify potential development teams. Six teams responded and three development/design teams were prequalified. UC Merced's campus expansion included two broad categories: space to address critical existing needs and space to accommodate growth to 10,000 students. Encompassing classroom space, research labs, and student life, developing the preliminary space program was a time intensive process that required fundamental reconsideration of typical capital development processes and a rigorous quantification of lifecycle costs. In spring of 2015, campus staff worked with students, faculty, and staff to develop the initial space program and incorporate higher education space configuration best practices, such as the creation of mixed-use facilities including residence halls, classrooms, and student activity space.   In winter 2015, a Request for Proposal (RFP) was issued to the pre-qualified teams. In spring 2016, the proposal by Plenary Properties Merced was accepted followed by a high-stakes Best and Final Offer (BAFO) value engineering process and UC Board of Regents approval of the proposal in summer 2016. On October 14, 2016, there was a formal Project 2020 Groundbreaking ceremony, and the project delivery process was launched. The 2020 Project was delivered in three phases in Summer of 2018, 2019, and 2020. In the end, the $1.3 billion project to create a million new gross square feet for the campus was delivered on time, on budget, and without litigation.

The Merced 2020 Project Objectives were delineated during the development process and were the principles under which it was delivered.

1. Adopt an **aggressive construction schedule** that results in substantial completion by 2020 of new academic space for teaching and research, as well as space for housing, dining, student life, athletics, campus operations, and the associated infrastructure necessary to accommodate increased access to the University,
2. Provide **mixed-use facilities** that allow for interdisciplinary scholarly activities and result in an unique, dynamic, and inspiring environment for students, faculty, and staff,
3. Create built-in **flexibility** and adaptability to accommodate future needs,
4. Implement a project plan that **expands capacity** appropriately across all building and facility categories necessary for enrollment growth,
5. Create a **cost-effective** development that takes advantage of existing investments in campus infrastructure and provides the best overall value for the lifecycle of the facilities,
6. Support UC Merced's **sustainability** goals,
7. Incorporate private-sector **innovation** and expertise in design, construction, and management,
8. **Shift certain risks** related to design, construction, operations, and maintenance, and
9. Facilitate greater capacity to **focus on the University of California's core mission** of teaching, research, and public service.

In the sections that follow, a summary and analysis of the critical core activities and components of the 2020 Project, and associated suggestions for future projects of this type, are provided.

Project Definition

Defining the project itself was an amazingly complex process, involving sophisticated financial modelling, negotiations with labor unions, governmental entities, and a myriad of other external and internal constituencies. It was in the project definition process that UC Merced plowed the newest ground and that lends itself to the most areas for improvement. One of the most difficult, and important, parts of the project's early phase was to create an RFP that would appropriately shift risk from the campus to the developer. This risk transfer feature required a mindset that deviated substantially from familiar processes of creating construction programs and specifications at the UC. Accordingly, there was initial and significant opposition from some members of the campus architectural and physical planning team, and their counterparts in the office of the president who were familiar with, and experienced in, the traditional capital project delivery approaches. Eventually, through an understanding of the benefits of Public Private Partnership delivery, most people came on board and made meaningful contributions to the RFP technical specifications.

Among the most critical early, then ongoing, elements was stakeholder engagement. As the 2020 Project represented very different delivery and governance approaches for a UC capital project, it was critical to thoroughly brief all stakeholders – from faculty and staff to the Office of the President and the Board of Regents. A purposeful effort to educate the Regents and keep them informed as the project was developed was also critical to getting and keeping them aligned with the campus goals. This engagement also formed the basis for development of the ultimate space program that was incorporated into the Project Agreement.

Another critical step was the crafting of the technical and other project requirements that would be incorporated into the Project Agreement. The firms of JLL and AECOM were brought in to develop the RFP and technical requirements as this expertise did not exist in-house. The technical requirements included commercial and risk-allocation provisions that reflected everything from allocation of financing responsibilities, construction specifications, penalties for late delivery or poor performance, maintenance and renewal requirements, and governmental and regulatory approval requirements. This was a high-stakes effort, allowing for little margin for error as what was specified at the outset would be that which was delivered at the end of the project. It was essential that roles were clearly identified and filled with specific and critical expertise. Success required a thoughtful and broadly inclusive stakeholder engagement and change management strategy – from those charged with execution (for example, physical planning teams) to those charged with leadership and fiduciary responsibility (the Regents). Were UC Merced to repeat the 2020 Project approach in the future, the campus would be aware of the expertise and experience required to define and deliver the project from the outset and could probably reduce the planning timeframe significantly.

The Project Development Process

Once the teams were qualified, the technical requirements defined, and the RFP crafted, procurement could proceed. Unfortunately, the maximum availability payment (affordability or upset limit) included in the RFP documents was not realistic relative to the overall scope of the project. This resulted in one of the shortlisted teams withdrawing from the RFP process and the remaining two teams submitting proposals that materially exceeded the Upset Limit. While this was ultimately resolved through the collaborative BAFO process, it caused a misalignment of expectations between the bidding teams and the

University and Board of Regents. To ensure a better alignment between scope/program requirements and affordability in future projects, Plenary Partners recommends "a more collaborative approach between the University and the development team from the outset in building market tested cost estimates on an open book basis."

There was an industry review process to share technical information and performance requirements with the three teams that submitted proposals (Sept 2015) to inform the finalization of their proposals.   In November 2015, the technical terms were shared with the teams and the performance requirements were married with the technical terms. The stakeholders (including faculty and staff) were permitted to listen during the industry-review process; they were not, however, allowed to participate to prevent the program from continuing to evolve. No members of the Project selection committee or the scoring committees participated in these meetings. These meetings were also largely led by the University's external legal counsel to ensure compliance with the RFP documents. The level of feedback given by, and interaction with, the University was extremely limited, which meant that the developer teams bidding on the project were forced to make critical master planning and design decisions in a relative vacuum.

While two complete teams submitted final proposals, the University moved to a Best and Final Offer (BAFO) phase with the only team that remained within the financial affordability tolerances of the budget, Plenary Properties Merced. With the Plenary Properties team, UC Merced engaged in a BAFO phase which included developing a strategy for removing $236MM worth of scope (comprised of program reduction from 918,900 ASF to 789,892 ASF, altered performance specifications, and contract adjustments) in a value engineering exercise to bring the project within the tolerances of the UC's budget. In general, program elements were the last items cut and a concerted effort was made to maintain the performance requirements and quality on all items that were buried in the walls, ground or concrete while anything above ground that was accessible by maintenance crews, the team agreed to let the design builder carry the risk and make the product decisions.   In addition to the collaboration that took place in relation to the design solutions, the parties also collaborated on the commercial terms (including the conversion of milestone and final acceptance payments to progress payments and the removal of LEED liquidated damages for example) to achieve better value for money for the University from a risk allocation perspective. The collaborative BAFO process resulted in significant cost savings and enabled the Project to be delivered within the revised affordability limit ($1.3 billion) approved by the Regents.

The BAFO phase was an incredibly important and necessary exercise to bring the project within budget and allow the project to proceed. However, the reductions did remove significant aspects of scope from the project (e.g. - the aquatic center and the police building) as well as reductions in quality in certain areas (i.e. - removal of the ceilings in the residence halls). These reductions also removed certain programmatic areas (e.g. - the chemical waste storage facilities) that were necessary for remaining programmatic areas to function.   There were missed opportunities to incorporate the University's feedback into early master planning and conceptual design development. The question is not whether the approach taken, or reductions made, were appropriate but if this requirement to reduce scope and achieve budget could have been avoided. In retrospect, it seems possible that detailed capital, facilities management, and lifecycle cost planning at each stage of the development of the project could have established a more informed position on likely bid costs and possibly could have eliminated the need for a BAFO phase. The contract could also have separately required bidders to price certain elements of aspirational scope that the University would have been willing to forgo should the budget be breached. Through the completion of these two steps much of the value management is performed as

part of the bidding process and the most appropriate credit for each reduction can be sought ahead of time. Robust cost planning and an upfront understanding of areas that the University would be willing to forgo is critical prior to receiving the bids. For future projects, UC Merced may want to establish a process that allows for greater collaboration with, and interaction between, the University and the architect/contractor/developer team.

The multi-year preparation process with other design firms and consultants followed by a design competition was an expensive investment that could have instead been invested in additional capital projects at the University. Design competitions, and particularly the one employed in the 2020 Project, by nature do not allow for much input from the University stakeholders particularly where there is not an opportunity for that involvement and influence in subsequent phases of the project as in the 2020 Project. UC Merced stakeholders and members of the design team felt as if the inability to collaborate throughout the project was a major missed opportunity to "get the design right." There are alternative approaches including a Progressive Design Build approach where the team is selected on qualifications, price factors, and a series of workshops to see how the team collaborates with each other and the client. These steps provide the client with a sense of the design build team's work processes, ability to listen, solve problems, and innovate. Progressive Design Build projects also do not include a design competition and there is limited upfront specification of design requirements or basis of design. As such, the client starts right away with the team that will design the project, maximizing client input into the design and making sure the important goals and qualities of the project carry right through to the end. Progressive Design Build can shorten the time to completion, be less expensive, and require a smaller time investment by key University staff while giving the client more control over the design and end-product.   Progressive Design Build, however, does require significant client discipline and program certainty in terms of spaces and intent from the onset.

The Project ($1.3 billion) used a combination of funding sources including UC funds and funds provided by the developer. This approach to using a variety of funding sources took advantage of the University's low cost of capital while also achieving the University's desired transfer of risk to the private sector with the developer and its lenders having "skin in the game" through the investment of at-risk private capital. As Plenary Properties pointed out, this formula achieved both a cost-effective cost of capital and risk transfer to the private sector. They would recommend a similar use of private capital (potentially in combination with UC funding) for future projects where UC Merced might be looking to incorporate long-term and holistic planning through the DBFOM model.

Additionally, the University agreed to an early works arrangement with the developer under which the University funded $35 million of "early works" which allowed the developer to start preliminary design and early construction work prior to the execution of the Project Agreement and financial close. These works included completing the master planning documents, producing the design for the first delivery facilities, schematic design for the second delivery facilities, mobilizing construction trailers and equipment, early advancement of grading and earthwork, and installing temporary utilities. Without this agreement, it is unlikely that the project could have achieved completion of the First Delivery Facilities by 2018 (22 months after breaking ground) especially due to the adverse weather experienced during the initial months of the project.

Project Team Structure and Governance

Getting the right people "on board" was perhaps the most critical early phase challenge that UC Merced faced. The Urban Land Institute recommended hiring a senior level manager with real estate experience as well as hiring external experts to assist in key project development areas and to provide the legal expertise needed to guide the University through the complexities of the deal structure that was pursued. Internally, key areas were aligned to better focus on project needs, and retirements and vacancies were taken advantage of to make critical hires, including a chief financial officer with expertise in public sector infrastructure finance, and a vice president for administration with the experience in complex governmental and union negotiations that the project would entail. UC Merced leadership also focused from the beginning on cultivating relations in the Office of the President and on the Board of Regents that would be critical to the project's success. The chancellor made the decision to invite the UC system's senior vice president for finance and facilities into the project as an equal, as a go/no go, decision-making partner. Over time, it proved extremely valuable to have an influential leader within the office of the president with deep knowledge of, and a firm commitment to, the project.

On August 10, 2016, a 2020 Project Governance Board structure was established to take responsibility for the achievement of the group of projects known collectively as the 2020 Project. By bringing together UC Merced leaders and management, the Project Governance Board was established to be advisory to the Chancellor and provide a stabilizing influence over organizational concepts and direction, such that the projects would be delivered in an efficient and prudent manner. Members of the Project Governance Board ensured business objectives were adequately addressed, and strategic expectations achieved, while assisting the University in the effective discharge of its governance and oversight responsibilities relating to the delivery of the 2020 Project.

Often, in a shared governance structure like that at UC Merced, decision making can be slow and convoluted, which has the potential to impact a fast-paced P3 project. However, the establishment of the Governance Board with clear decision-making responsibilities, allowed for time sensitive decisions to be expeditiously voted upon and finalized. Having the Chancellor responsible for the final decisions also helped ensure that only decisions with the best interests of the University and project were made. Often, projects suffer delays due to changes in the design and construction. However, the clear governance structure and associated procedures allowed the University to make informed decisions, often ahead of time, about proposed changes in full knowledge of the associated impact to budgets. The 2020 Project was not delayed in achieving Substantial Completion by any of the Change Order work which is exemplary for a project of this complexity, pace, and scale. In the end, the governance process very much shaped the final product as key decisions relating to design, cost, and quality were dissected and considered with informed decisions made in a timely manner.

The Project Delivery Team, a group of over sixty individuals representing a wide range of disciplines and areas of expertise, supported the project's delivery in light of the 2020 Project Agreement, a several hundred-page document outlining performance definitions for a every major building system, and detailed definitions for over 200 different space elements (see Appended organization chart). Of this team, a set of legal experts, a design review team of architects and engineers, and construction, cost, and project managers, external to UC Merced, provided critical support to the Project Governance Board. Due to the extended delivery time for the three phases of the project, these external members embedded themselves within the University setting, living in Merced and working alongside the University team of technical experts, construction, and stakeholder managers. The efficiency of the overall Project Delivery Team was critical to the maintenance of the budget and schedule and ensuring that the hundreds of

design and construction drawing submittals achieved the performance and functional design goals outlined in the project agreement.

A dedicated Project Management Consultant team, especially one with P3 delivery experience, living in Merced and living the project on a day-to- day basis also contributed considerably to the success. Often, projects involve consultants flying in and out on a weekly basis leading to limited relationship building with the wider team as well as a lack of ownership for the community that the project is serving. The University's decision to have a consultant team (WT Partnership, Inter-west, Crawford, and Woods Bagot) living in Merced and working with the client created a shared commitment for project success. Consistency in project personnel over the duration of the Project was helpful and having someone specific to go to for design, construction, stakeholders, Chief Building Official (CBO), biological monitoring, etc. and dedicated check-ins at every level, was key in keeping all levels informed of project progress and potential issues. Thirteen facilities were designed in tandem with multiple overlapping design reviews and not one package was reviewed late by the University. This was a tremendous effort by the delivery team, faculty, and staff and could only have been successfully accomplished with the process and procedures put in place by the Project Delivery Team and Project Governance Board.

Retrospectively project participants relay that the delivery of the 2020 Project exemplified the behaviors necessary to achieve a relationship of trust between the Owner, Advisors, Developer, and General Contractor.   There was a brief period at the beginning of project delivery when senior leaders did not feel that trust and made a concerted effort to re-set relationships, processes, and expectations.   Most project participants felt as if this was a turning point in the success of the project.   While more of an approach than a process, partnership and collaboration were by far the most important elements of the team relationship. There was a shared desire from the top (Chancellor level) to make the 2020 Project a success. A great example of this was when Chancellor Leland and her team met with the Developer's team in person in December 2017 to resolve the delays caused by the excessive number of rain days earlier that year. Rather than being confrontational and defensive, the parties showed great partnership in resolving all outstanding relief claims with the turnover of three buildings in first delivery. While many decisions made could be criticized, for the most part all parties collaborated to make decisions in incredibly time-constrained situations for the good of the project to ensure that the schedule could be maintained.

Design and Stakeholder Interactions

The University appointed a dedicated stakeholder manager who was responsible for understanding the stakeholders needs and how they translated into the evolving design of the facilities. This was a challenging process considering the feedback necessary from multiple stakeholders in 13 facilities and many iterations of design.   Organization of an efficient stakeholder process made it possible for the developer team to focus on delivering the buildings without getting distracted by lengthy stakeholder discussions and negotiations, thus keeping the project on schedule and budget. The process of shoulder-to-shoulder design review sessions supported the successful balance among stakeholder needs, opinions, and desires, what was possible under the terms of the contract, and the available budget. The university's stakeholder manager understood the need to balance faculty and staff requests with the budget, schedule, and quality of the facilities. The approach to stakeholder management ultimately shaped the design and programmatic outcomes of each facility. While the faculty felt they had not been brought into the process sufficiently early, there also was not much actual room for comment during the design process given the terms of the contract.   This set up ongoing tension among faculty and staff

stakeholders and the project team requiring repeated clarification about the difference between a traditional design bid build project and the P3 approach and associated terms of the Project Agreement. This tension might have been relieved if the stakeholders had felt more engaged in the development of the project, for example, such as in the Progressive Design Build approach described above, and if there had been a more consistent effort to educate and re-educate the community about the characteristics of the UC MercedP3 project.

There was also significant misalignment in stakeholder expectations about their ability to modify the conceptual designs after the contractor's bids were accepted and the construction costs confirmed. A process that allowed for development of the design to a project budget - before the general contractor committed to a firm construction cost - might have allowed for more creative design development during the early design phases. When a contractor provides firm pricing based on conceptual designs, it is difficult to explore other options as part of schematic design and design development. Additionally, at one point the UC Merced team advocated that a "tenant improvement allowance" (TI allowance) be included in the contract. The fear, however, was that it would be too difficult to manage such an allowance contractually, so it was not included. Yet, in the end a significant portion of the owner's contingency allowance was used as a "TI allowance" for the research laboratory buildings, a gentle reminder that generic labs are not realistic - some level customization is necessary.

Due to the complexity and legal nature of the project agreement, issues that arose during the execution of the project naturally became legal discussions at times making situations more adversarial than they ideally would have been. For example, there was no ability to modify the concepts once the contractor submitted their bid which was difficult for faculty to understand as they were used to negotiating the program and the architecture through the design of a capital project. Similarly, although layering the Operations and Maintenance component into the project solved a major long-term institutional problem, it also added a significant level of management complexity and is somewhat misaligned with the manner that research space operations and maintenance is normally funded.

The technical specifications were often challenged by the need to balance the appropriate detail to ensure the Owners needs were defined, without being so prescriptive as to stifle private sector (architectural and engineering) innovation. In the instance of UC Merced, the Technical Requirements spanned many programmatic areas and resulted in the construction of a wide array of types of facilities. Some Technical Requirements were honed and defined while some left considerable ambiguity and the variance often resulted in differing opinions as to what was additional to the requirements (i.e.- an additive change) versus what should be considered design development (i.e. included within the developer's price). Given that the technical requirements ultimately defined the final product, there would be value in conducting a separate lessons-learned exercise focused on just their delineation and definition. Also, it is important to note that, despite the valiant effort made to define every space element in the project agreement, the project team added 200 space types before the project was completed to account for the nuances among space types and the rigidity of the project agreement.

Outcomes and Space Allocation

In Fall of 2017 the Office of Space Planning collaborated with the Provost's Office to begin a set of discussions with faculty around the allocation of the new 2020 Project research space. This process started with a faculty retreat and culminated in the production of a comprehensive space allocation plan

for the UC Merced campus, including both new and existing space.   While a significant accomplishment, this plan was finalized late in the construction schedule for the research buildings, and the walls in the two large wet lab buildings were closed by the time final space assignments were completed. The result was that significant effort and contingency dollars had to be expended to retrofit wet labs to accommodate specific scientific research. A key lesson learned is that there is no such thing as a generic lab despite the frameworks that exist for accommodating this lofty goal. And, while it is possible to create some level of flexibility in wet lab design and construction, some level of customization will nearly always be required.   Had we had some knowledge during the definition of the Technical Requirements about the scientific areas that would be supported in the research buildings, both time and dollars could have been saved. The core and shell of the building could have been designed with flexibility to handle a specific range of sciences and the TI (Interiors) of each lab designed once the users were identified. Additionally, we learned that the standard 30-year operations and maintenance contract that works for most University buildings may not in the end serve the best interests of the institution for research buildings. Mature institutions pay for operations and maintenance of research buildings through indirect costs which are generally not allocated in 35-year increments but on a cost per square foot basis.   While this will not be immediately relevant for UC Merced, as the institution's research programs mature, it is likely that a formula will be developed to crosswalk operations and maintenance expenses in the research buildings with indirect cost funding from research grants.

In terms of outcomes, while the campus and project participants are proud of the facilities delivered through the Project by the team, there are one or two decisions that in retrospect UC Merced might have made differently. For example, while the architects created colloquy spaces for faculty collaboration precisely as defined by the Technical Requirements, without doors they have become overrun by undergraduates seeking a quiet space to study for a few minutes. Similarly, while the distributed student union as a concept made sense to the previous generation of students, current students are frustrated and confused by the concept and long for a true student union.   From a more technical standpoint, there were situations where the Technical Requirements asked for furnishings that could not possibly fit into the minimum square feet required for a space in the Technical Requirements, and the restrooms, while meeting the minimum fixture requirements, were located almost a football field away from some of the building occupants. Finally, had we predicted a pandemic, the design team likely would not have selected "gang" bathroom facilities in the housing buildings as they do not support the current public health guidelines well.

UC Merced was additionally under a tremendous time crunch to build the new facilities. Had there not been a pandemic, we fully expected to already be at 10,000 students and 350 ladder-rank faculty.   Given the tight schedule, certain facilities were needed before others – e.g. a larger dining facility early in the project – causing the new dining facility to be master planned immediately adjacent to the existing facility as it was on the edge of campus and first to be completed.   The urgent need to complete facilities also resulted in some expensive construction decisions. For instance, at one point, there were three tower cranes on site concurrently. If the schedule could have been relaxed by even a year, the money saved in construction could have been re-directed to program enhancements or design choices. The urgent deadlines also resulted in insufficient review of programmatic elements and refinement of technical specifications. Most of the oversights or mistakes were easily cured through the design and change order process, but a few were unnecessarily costly and some time consuming and disruptive on the back end of the process. In general, a less urgent timeline might have allowed for a more robust campus consultation process, a more efficient masterplan, and a less costly construction process.

Delivery and Activation

In addition to new buildings, the project included the maintenance of major building systems over the 30+ years of the contract. Shortly after the delivery of phase one, an event in a new residence hall revealed that the campus needed to clarify with the project's development partner the roles and lines of communication between campus personnel and project personnel with respect to maintenance of the facilities. This was insufficiently articulated in the project contract. Further, the project team learned that adding a layer of operations and maintenance organization to an existing campus is a complicated endeavor, the planning for which would ideally be started as early in the project as possible. Toward this end, it would have been helpful if the Owner's Contract Manager for the operations and maintenance period had been identified early in the design build phase, i.e. a UCM employee with strong contract management skills who understood UC Merced's organization and operating structure. Without that person in place there was a certain pressure, risk, and uncertainty created around the transition to the operations phase.
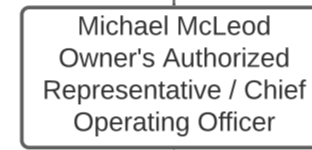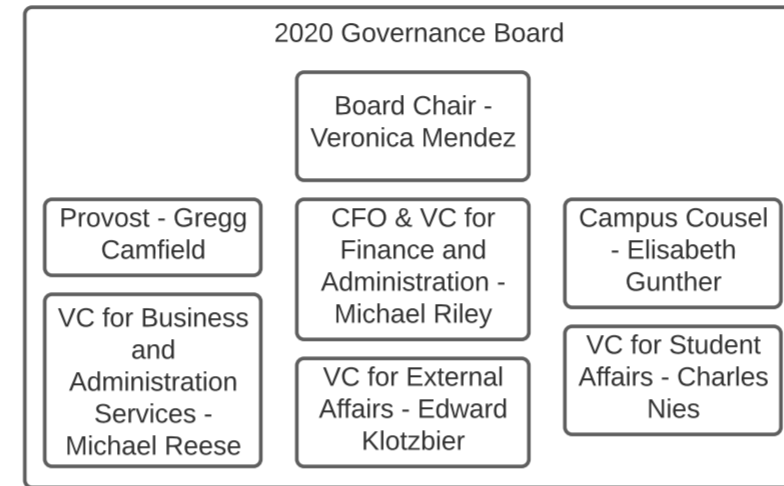
Conclusion

UC Merced and partners collectively built thirteen buildings, and completed numerous landscaping, infrastructure, and athletic field projects on time, on budget, with fewer than 150 change orders and no litigation. Hence, even though there are aspects of the project that UC Merced might choose to do differently in the future, the 2020 Project was a monumental success without which the campus may not have been able to stay in operation. From the owner's perspective the structure of the 2020 Project achieved the key objectives of schedule, first and lifecycle cost certainty, a fixed program, and LEED platinum certification. The 2020 Project objectives were resoundingly met. One of the best ways for the University to further benefit from the 2020 Project is to undertake any future major capital improvements projects within a refined version of the 2020 Project framework to further maximize operational efficiencies, minimize transaction and future project costs, accelerate delivery of future projects, and ensure consistency in, and improve performance of, facilities across the campus. In other words, everything being equal, we recommend not starting over, but building on the successes of the 2020 Project framework and integrating the small improvements delineated throughout this report.

UNIVERSITY OF CALIFORNIA
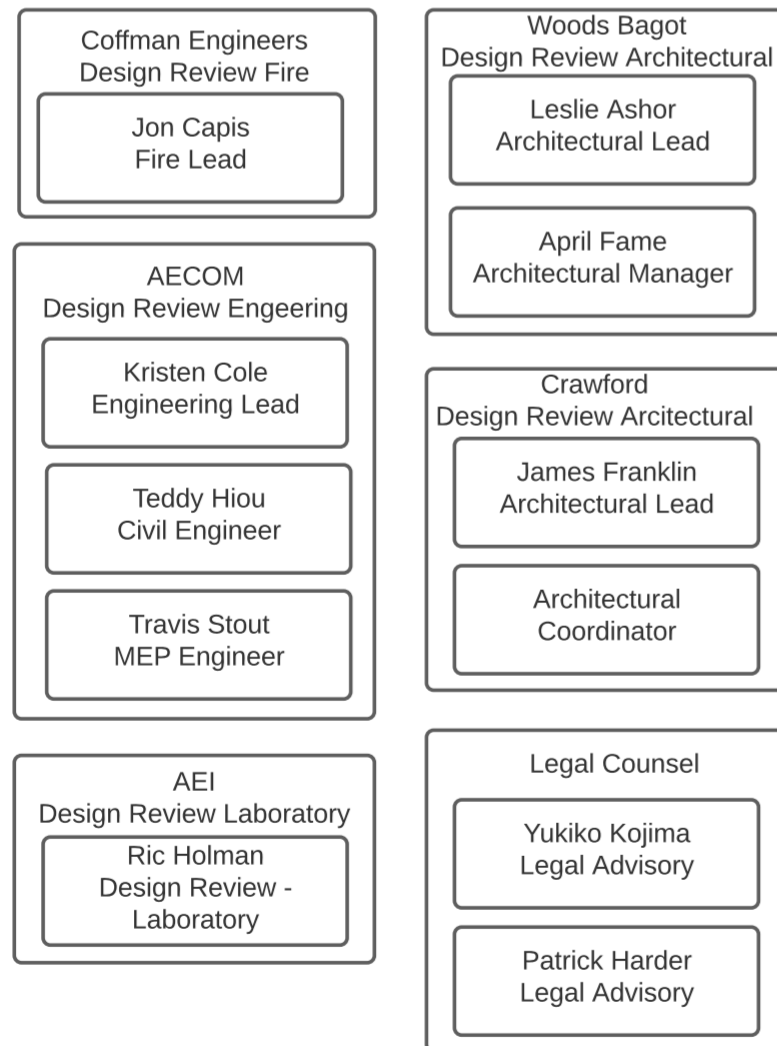# MERCED

Dorothy Leland
Former Chancellor

Juan Sanchez Munoz
Chancellor

Nathan Brostrom
Interim Chancellor

2020 Governance Board

- Board Chair - Veronica Mendez
- Provost - Gregg Camfield
- CFO & VC for Finance and Administration - Michael Riley
- Campus Cousel - Elisabeth Gunther
- VC for Business and Administration Services - Michael Reese
- VC for External Affairs - Edward Klotzbier
- VC for Student Affairs - Charles Nies

Michael McLeod
Owner's Authorized Representative / Chief Operating Officer

Design Review - Subject Matter Experts

Coffman Engineers Design Review Fire
- Jon Capis — Fire Lead

AECOM Design Review Engeering
- Kristen Cole — Engineering Lead
- Teddy Hiou — Civil Engineer
- Travis Stout — MEP Engineer

AEI Design Review Laboratory
- Ric Holman — Design Review - Laboratory

Woods Bagot Design Review Architectural
- Leslie Ashor — Architectural Lead
- April Fame — Architectural Manager

Crawford Design Review Arcitectural
- James Franklin — Architectural Lead
- Architectural Coordinator

Legal Counsel
- Yukiko Kojima — Legal Advisory
- Patrick Harder — Legal Advisory

Core Delivery Team

- Paul Mackintosh — Project Lead
- Adam Shaw — Project Executive
- Stephen Hadanich — Contract Manager
- Rebecca Williamson — Project Manager
- Tim Burrows — Energy Project Management
- Kenji Isreals — Assistant Project Manager
- Bennett Talsky — Construction Manager
- Bernhard Funke — Schedule Review
- Steve Kelly — Senior Cost Manager
- Alan Duncan — Senior Cost Manager
- Shannon Percy — Lab Moves Cost Manager
- Jaskaran Hanspal — Cost Manager
- Chris Reinert — MEP Cost Manager
- Kathryn Lopez — Transition Manager

Core Univerisity Team

- Fran Telechea — Director of Construction
- Margaret Saunders — Stakeholder Manager
- Robin Walker — Construction Manager
- Jodon Bellofatto — IT/AV Manager
- Allison Costa — FFE Manager
- Brandi Alves — Executive Assistant
- Esther Wilson — Accounting
- Mark Maxwell — Sustainability
- Mark Meredith — Legal Counsel
- Tibor Toth — Facilities Management
- Zuhair Mased — Energy Management
- Yasmeen Jewel — Contracts
- Sara Anastos — Project Coordinator
- Francesca Cannizzo — Biologist
- Phillip Woods — Director of Planning and Environment
- James Leonard — Communications
- Kelli Maxey — Finance
- Andrew Boyd — Strategic Initiatives
- Jessica Duffy — Business Architect

Univerisity Subject Matter Experts

Campus Fire Marshalls
- Gini Krippner — Fire Marshall
- Eric Ruse — Assistant Fire Marshall

Savings by Design
- Min Jiang — Project Director - Facilities

Interwest
- Jeff Janes — Building Official
- Mark Myers — Building Official
- Stacey Barker — Building Official

EH&S
- Mal Donohue — EHS Director

Key Stakeholders
- Chou Her — Chief of Police
- David Dunham — Athletic Director
- Ann Kovalchick — Office of IT

From: Maggie Saunders
Sent: Tuesday, December 15, 2020 3:32 PM
To: Mike McLeod <mmcleod@ucmerced.edu>; Tom Peterson <twpeterson@ucmerced.edu>; Gregg Camfield <gcamfield@ucmerced.edu>; Charles Nies <cnies@ucmerced.edu>; Andrew Boyd <aboyd2@ucmerced.edu>; Marjorie Zatz <mzatz@ucmerced.edu>; Elizabeth Whitt <ewhitt@ucmerced.edu>; Elisabeth Gunther <egunther@ucmerced.edu>; Mark Matsumoto <mmatsumoto@ucmerced.edu>; mreese2@ucmerced.edu; daniel.feitelberg@gmail.com; dfeitelberg@KPMG.com; arider@uri.edu; veros.mendez@gmail.com; veronica.mendez@utsa.edu; E. Edward Klotzbier <eklotzbier@ucmerced.edu>; D JL
Subject: 2020 Project Reflections

Dear Colleagues –

In response to a request from WASC, UC Merced is drafting a reflection document on the 2020 Project – the processes that we used, the outcomes that we achieved and the lessons that we have learned. Our goal is to gather input from key project stakeholders, analyze and synthesize them in a way that is useful to the campus as we approach future planning challenges.

While I was involved in the 2020 Project in multiple roles over four years, I was not a part of its creation and development, a leader responsible for critical tough decisions during its implementation or a wide variety of other roles and perspectives that I cannot adequately represent. Hence, I am writing to you today as both leaders and creators of the 2020 Project process to ask for your response to a few questions. Your response may be as long as you feel compelled to write and I encourage you to add additional reflections as you feel inclined. This is one of several approaches that will be using to gather reflections from individuals involved in the 2020 Project.

1.   What do you recollect as the key reason for the selection of the 2020 Project process?

2.   In your estimation, what particular two or three elements of the planning and/or project delivery process worked well in the 2020 Project? Did those elements materially impact the final product of the 2020 project?

3.   Alternatively, what particular two or three elements of the planning and/or project delivery process did not work well? Did those elements affect the final product? and how might we modify them in a future project?

4.   Would our advice to ourselves be to formulate and execute another project utilizing the same process again? Or were the conditions so unique to the time and unlikely to reoccur that we are unlikely to invoke again a 2020 Project-like process?

5.   Please feel free to generally reflect on your experience with the 2020 Project.

I would appreciate it if you could consider this request over the holidays and provide your response by the end of the year. Additionally, if you think of others to whom I should outreach please let me know!

Thank you, happy holidays and stay safe!

Maggie

MARGARET B. SAUNDERS
SHE/HER/HERS

EXECUTIVE DIRECTOR
SPACE AND CAPITAL STRATEGIES AND REAL ESTATE

UNIVERSITY OF CALIFORNIA
MERCED

Laura Martin

Dear colleagues,

We are pleased to announce the rebranding and expansion of the "STEM Resource Center" (SRC) into the new "STEM Center". The expansion of the SRC is designed to support goals of the SNS and campus strategic plans to provide students with easier access to resources and to strengthen academic support through integration of existing programs. The STEM Center will continue to offer all the excellent services that our faculty and students have come to expect and will continue to be coordinated by Petia Gueorguieva. There are no changes to the School of Natural Sciences EXCEL! Program, but it will co-located with the STEM Center so that all STEM resources are easy to find. STEM Center tutoring is located on the 3rd floor of SSB and offices are on the 2nd floor.

Here are some of the key expansions within the new STEM Center:

- The new "STEM Tutoring Hub" within the STEM Center will provide tutoring for lower division courses across a range of STEM disciplines, including math, biology, chemistry, and CSE (with additional subjects to be added soon). The STEM Tutoring Hub is a merger of STEM tutoring provided by the SRC, the Math Center, the Chemistry Center, and PALS. The STEM Tutoring Hub will give students a single umbrella under which they can find STEM learning support. It will also give us the opportunity to better engage faculty with academic support services to assure we are recruiting the best tutors, training them impeccably and aligning our support with instructor needs. This unit within the STEM Center will be co-supported by the Division of Undergraduate Education and the School of Natural Sciences.
- The STEM Center is expanding support available to faculty for developing education-related and multidisciplinary grant proposals and creating undergraduate research opportunities. The STEM Center will work collaboratively with faculty to initiate education programs partnerships, connect faculty with institutional evaluation services, and strategically review educational components of their grant proposals.
- The STEM Center will help catalog SNS engaged outreach projects, provide information on available outreach opportunities and connect faculty with community stakeholders.
- Finally, the STEM Center will help support project initiation and implementation as requested for new STEM education initiatives. They will provide project management support to faculty and staff working on elements of the school strategic plan related to undergraduate education.

The STEM Resource Center was established in 2013 as a dedicated support service for student learning and academic success. The STEM Center is a collaborative effort intended to continue that legacy and enhance services by bringing together STEM tutoring from across the campus and expanding support for educational grants and programming.

Sincerely,

Betsy Dumont   Sarah Frey
Dean, School of Natural Sciences   Vice Provost and Dean of Undergraduate Education

ELIZABETH DUMONT

DEAN, SCHOOL OF NATURAL SCIENCES
PROFESSOR, LIFE AND ENVIRONMENTAL
SCIENCES

5200 Lake Road | Merced, California 95343
naturalsciences.ucmerced.edu/ | 209.228.2969

BUILDING THE FUTURE IN THE HEART OF CALIFORNIA

Laura Martin

Re: Tutoring and Learning Support Services
To: All Students
September 3, 2021

UC Merced tutoring and learning support services are now available. These services are provided free of charge for UCM students!

For more information about tutoring and learning support offerings, please visit our website.

Note: Writing, Math and Chemistry Center hours are all available now. Biology and Computer Science Engineering hours will be starting in 2 weeks.

TUTORING AND LEARNING SUPPORT

Division of Undergraduate Education

Tutoring Principles

Professionalism

- Demonstrate integrity, honesty and respect

- Emphasize a customer service approach

- Focus on students first

- Practice punctuality

Tutors as Leaders

- Demonstrate a positive attitude (yes, and)

- Focus on "asset" language rather than "deficit" language

- Embrace the role of Guide/Mentor

- Demonstrate a diverse cultural mindset

- Practice patience

- Demonstrate emotional intelligence & acknowledge students' well-being

Student-Centered Learning

- Honor student agency

- Engage in the Socratic method

- Foster self-efficacy

- Encourage a growth mindset & build on students' existing abilities

- Enable independence in learning

Holistic Approach

- Engage in learning activities using evidence-based approaches

- Anticipate student needs

- Enhance academic knowledge & help develop problem solving skills

- Provide study tips & learning strategies

- Emphasize knowledge transfer

- Encourage acknowledgement of personal responsibility for own learning

AGENDA

- 3:00   Introduction & Activity
- 3:20   Socratic Method and How to Learn
- 3:40   Break
- 3:50   Role Playing Activity
- 4:30   Values and Philosophy

PROFESSIONALISM

- Demonstrate:
  - Integrity
  - Honesty
  - Respect
- Emphasize a customer service approach
- Focus on students first
- Practice punctuality

TUTORS AS LEADERS

- Demonstrate a positive attitude (yes, and)
- Focus on "asset" language rather than "deficit" language
- Embrace the role of Guide/Mentor
- Demonstrate a diverse cultural mindset
- Practice patience
- Demonstrate emotional intelligence & acknowledge students' well-being

STUDENT-CENTERED LEARNING

- Honor student agency
- Engage in the Socratic method
- Foster self-efficacy
- Encourage a growth mindset & build on students' existing abilities
- Enable independence in learning

HOLISTIC APPROACH

- Engage in learning activities using evidence-based approaches
- Anticipate student needs
- Enhance academic knowledge & help develop problem solving skills
- Provide study tips & learning strategies
- Emphasize knowledge transfer
- Encourage acknowledgement of personal responsibility for own learning

UC MERCED
STRATEGIC PLAN
2021-2031

UNIVERSITY OF CALIFORNIA
MERCED

TABLE OF CONTENTS

We are thrilled to share the inaugural long-range comprehensive strategic plan of the University of California, Merced. The plan culminates a year of thoughtful engagement and refinement by faculty, staff, students and external partners while preserving many of the insights and contributions of past planning efforts.

This is a plan of immense ambition: a blueprint that will drive our success and momentum into the future as we build on this campus' first 15-plus years of achievement. We share with you here not only a vision of our future but also the codification and mechanisms by which we intend to fulfill that vision — namely, the measures by which we, and the world, will judge our progress toward R1, and beyond.

Moreover, the plan announces with clarity and conviction what UC Merced values as a community and an institution: engaging our world through discovery and the advancement of knowledge; developing future scholars and leaders; and cultivating a culture of dignity and respect for all.

UC Merced has been on a remarkable trajectory since our founding faculty and staff arrived in the Central Valley to establish the youngest campus in the University of California system. In a short time, we have become a top-100 institution and an R2 research enterprise; we have doubled the size of our physical campus with the nation's largest higher education public-private partnership; substantially increased research grants awards; we have enrolled successive record first-year classes, including a record number of graduate students; and we have achieved record philanthropic support including the university's largest single gift. Our faculty are brilliant researchers and empowering educators, inventors, National Academy members and presidential nominees. Our alumni launch spacecraft, treat heart disease, start leading-edge businesses, and battle poverty and injustice.

We have any number of reasons to be immensely proud of where we are today and how far we have come since our early days. But we should not rest on those laurels, nor will we. UC Merced has limitless potential yet to be realized, new heights to ascend, and generations of students whose minds we will help to shape and expand. UC Merced is uniquely poised to impact a rapidly changing world, and together we will. I am excited to join this bold new adventure with you.

Our 2021 Strategic Plan is a roadmap to an exciting future — but the journey is up to each of us and all of us. Together, we are one.

Fiat Lux,
Chancellor Juan Sánchez Muñoz

I. INTRODUCTION & OVERVIEW

INTRODUCTION TO THE PLAN

The University of California, Merced is grounded purposefully in the San Joaquin Valley and bounded only by the energy and resolve of its students, faculty, staff, and community.

The campus is situated in Merced to uplift, in the way that only a research university can, educational, health, societal, environmental, and economic outcomes, and to build civic capacity in this region, as well as in the state of California and beyond. In the process, UC Merced will shift the way higher education is conceived, seeing its most powerful role as convening coalitions of students, staff, faculty, and community to ensure that the issues they collectively investigate and the new knowledge they create are truly appropriate to and derived from the values of all constituents.

Drawing from the community and cultural wealth of its diverse, predominantly first-generation students, the University seeks to build on the strengths of higher education while profoundly changing its practices to promote excellence through equity and justice. In doing so, UC Merced honors the broad representation of backgrounds on the campus. In its attempts to transform higher education, the University acknowledges the historic indigenous people of the region, including native groups like the Yokuts and Miwuk, and shares their understanding that the earth is a shared legacy and responsibility. Enacting this understanding must be essential to the University's work.

The value of a research university derives from its ability to promote unbounded inquiry, enabling those who work and study here to ask and pursue answers to questions great and small. The University disciplines such inquiry to deepen society's understanding, thereby satisfying a fundamental human instinct – to comprehend the world around and within us – while generating knowledge essential to addressing challenges big and small. It is through this comprehension that UC Merced is enabled better to serve both current needs and desires and those of succeeding generations. Keeping in mind this responsibility to the future, the University seeks a just, equitable, and sustainable world.

This strategic plan is shaped as much by the University's need to expand and sustain a community of inquiry as it is by the outcomes the work will achieve. As such, this plan focuses on the fundamental conditions of energetic and effective inquiry: that all see themselves as lifelong students and teachers, that all develop and follow best practices for disciplining these inquiries so that they can be shared and used ethically, and that all recognize that inquiry requires divergent perspectives and understanding. Inquiry drives change and is therefore to some degree disruptive; the University must therefore celebrate difference and creative tension if it is to transform human understanding and behavior.

While the conditions of inquiry are completely interdependent, the University separates them into *three broad goals* in order to measure progress. Those three interlocking goals are to:

- *Push the bounds of knowledge and wisdom through disciplined and well-supported creative inquiry of the highest order;*

- *Build, offer, and share diverse and meaningful educational opportunities with all. This education will cultivate in our students' curiosity, sound judgment, perspective-taking, aesthetic sensibilities, self-reflection, wellness, innovation, and a strong moral compass. UC Merced will provide intellectual leadership and support for students as they develop into impactful future scholars and civic leaders;*

- *Manifest inclusive excellence and advance justice by bringing into the University's inquiry the broadest possible range of experiences and ideas through cultivation of a culture of dignity and respect for all.*

In their intersections, our goals reflect what does and will continue to make UC Merced exceptional among universities. Moreover, its ever-deepening commitment to continuous and iterative transformation toward a socially just, equitable, and sustainable campus and society will expand and enrich the nature of our educational offerings and our research portfolio. UC Merced will create new and different opportunities for transformative, empowering experiences for its students, who will in turn deepen and diversify national leadership across all fields.

UC Merced is on an exceptional trajectory of growth and development, and its goals reflect its intention to continue to expand the reach of our mission by focusing institutional energies on its core. This includes the ambition of being the youngest university ever to achieve a very high research (R1) designation in the Carnegie Classification of Institutions of Higher Education, building aggressively on its achievement of being the youngest ever to reach the high research university (R2) classification. This approach will not only acknowledge the University's increasing research prowess and the scale of its impact, but also provide access to greater resources to accelerate and sustain its rise.

None of this happens without a robust institutional structure and inclusive workforce. Staff, like faculty and students, engage in creative inquiry to build flexible support structures that evolve with the research and learning enterprise. UC Merced must, too, develop the physical infrastructure it needs, while being ever cognizant that what it builds must also be sustainable.

UC Merced's history as the tenth campus of the University of California demonstrates the creativity, nimbleness, and determination of its founding San Joaquin Valley communities that advocated for and continue to support a campus in Merced, and its colleagues in inquiry everywhere — past and present — upon whose shoulders UC Merced stands. The plan that follows embodies this founding spirit, functioning as an implementation framework — awake to opportunity, responsive to its communities, adaptive to circumstance, and eager to rise ever higher.

Drawing on the collective wisdom of faculty, staff, students, and supporters and grounded in its abiding principles, the strategic plan affirms and expands upon the unique evocation of the University of California's core mission and UC Merced's fierce commitment to region, people, sustainability, justice, and planet that mark it as exceptional among universities.

HOW THE PLAN WILL BE USED: OVERVIEW OF THE PLAN'S COMPONENTS

With this campus-wide strategic plan, UC Merced moves into the next phase of the development of its institutional planning processes. Over this next decade, and particularly the first several years of the plan's implementation, UC Merced will iteratively strengthen its capacity for campus-level planning and resource allocation in order to grow and mature campus operations sustainably into those of a very high research activity (R1), student-engaged and community-responsive university distinctive in its emphasis on serving an historically underserved student body and geographic region. The next several paragraphs describe how this unique institutional ethos and context is reflected in the components of this strategic plan, specifically Sections II, III, and IV.

In Section II, the University outlines the desired ends of its collective efforts, defining campus-level *goals* and associated *objectives* and, for each objective, *measures* that will allow it to track progress. As possible at this juncture, for each measure, success is defined in the form of four-, seven-, and ten-year *targets* taking the campus to 2030-31. Recognizing that UC Merced initiates this plan in uncertain financial times, establishing targets as its measures of success allows for the possibility that the timeline for achievement may change while its ambitions remain steadfast. In some cases, the University has yet to develop targets and, in other cases, it has committed to measures it must develop the ability to assess routinely. This is because UC Merced seeks to measure what it cares about not just what it can. In particular, its efforts to *Cultivate a Culture of Dignity and Respect for All* reflect this need to build capacity. In the same spirit, the University also notes that the suite of measures established below will evolve with the campus's capacity and maturity and must do so sustainably to ensure equal or greater opportunity for current and future generations. Toward these ends, a key part of its planning will be developing data sophistication, quantitative and qualitative, to support implementation of this ambitious plan.

Consistent with the theme of ongoing growth and development, the plan, and associated planning processes, must also account for the initiatives necessary to directly move a measure and the larger institutional-level infrastructure that indirectly supports these outcomes. Correspondingly, in Section II, for each objective, broad categories of strategic initiatives are listed. Drawn from academic plans prepared by the schools, library, and divisions of undergraduate and graduate education, and stakeholder input gathered through the strategic planning stakeholder engagement process, these initiatives illustrate the kinds of efforts anticipated to support a given objective. As such, they are labeled examples. Ultimately, stakeholders will determine what is implemented through an ongoing planning and budgeting process to be undertaken by divisions and the campus over the coming decade. In Section III, nine vital, campus-level, strategic initiatives focused on administrative needs that cross-cut the campus are outlined. Also developed from the broad input of campus stakeholders, the details of these initiatives will be elaborated through ongoing planning.

Finally, Section IV of the plan outlines the framework for an annual planning and resource allocation process that, through an ongoing prioritization process led by the Chancellor, and assisted by the Executive Vice Chancellor and Provost and the Vice Chancellor for the Division of Finance and Administration, will help the campus sequence strategic financial investment in support of its goals over the next ten years.

II. GOALS, OBJECTIVES, MEASURES, TARGETS AND INITIATIVES

ENGAGE OUR WORLD AND REGION THROUGH DISCOVERY AND THE ADVANCEMENT OF KNOWLEDGE [1]

We are a young campus already recognized for the unparalleled trajectory and quality of our research. As we move toward joining the select number of campuses at the very high research classification (R1), we will continue to establish ourselves as a national hub for interdisciplinary and transformational research that supports equity and prosperity globally and locally, with particular sensitivity for the San Joaquin Valley. Research experiences, a hallmark of our educational programs, will provide fertile ground for our undergraduate and graduate students to develop the 21st century skills and knowledge essential to creating and leading positive change at global, national, and local levels.

1.1 Expand the public and scholarly influence of the campus's research at regional, national, and international levels.

Measure 1.1.1
Advancement rates for tenure and promotion, disaggregated to track parity.[2]

Targets
Maintain or increase the percentage of faculty promoted at barrier promotions; develop capacity to regularly disaggregate and report data.

Measure 1.1.2
Number of impactful publications, relevant to disciplinary norms.

Targets
Increase department-specific numbers; metrics will be developed.

Measure 1.1.3
Participation in public and professional service activities related to areas of expertise.

Targets
Increase the number of awards, consultancies, advisory board memberships, Op-eds, public scholarship, media citations, etc. that reflect contributions to public and professional service; metrics will be developed.

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[1] For Goals 1 and 2 an asterisk (*) next to a measure indicates the measure was adopted from **academic planning**, specifically the measures established by the Academic Planning Work Group. [2] For this and other measures specifying disaggregation, data will be disaggregated per the footnote associated with Measure 3.1.1.

Example Strategic Initiatives:

- Grow industry, agency, and community relationships to support and collaborate on research and educational programs
- Continue to invest in areas of faculty research expertise through academic planning
- Continue to improve and expand mentoring and workshops to support faculty tenure, promotion, and advancement
- Develop a formal structure to prepare faculty nominations for national awards and recognitions, i.e. National Academies of Sciences
- Adopt technologies and staff support that increase the external profile of the campus' scholarly and creative activities
- Cultivate a staff culture of thought-leadership in functional roles, including specific contributions to the research enterprise
- Nominate staff for national professional development programs and opportunities
- Increase the utilization of open-access scholarship to promote research dissemination
- Build institutional capacity to enable faculty and staff to host conferences at regional, national, and international levels in areas identified as strategically important.

1.2 Grow UC-quality research and creative activities by strengthening the infrastructure for, and levels of, extramural funding.

Measure 1.2.1
Total research and development expenditures*

Current Value	$45 M
AY 2024-25	$70 M
AY 2027-28	$85 M
AY 2030-31	$100 M

Measure 1.2.2
Percentage of doctoral students supported by Graduate Student Research (GSR) appointments and external fellowships,[3] disaggregated*

Current Value	23%
AY 2024-25	27%
AY 2027-28	30%
AY 2030-31	33%

Measure 1.2.3
Expenditures on Research Experiences for Undergraduates (REUs) and training grants (i.e. NRT)*

Targets
Increase expenditures; develop capacity to measure.

[3] E.g. NSF Graduate Research Fellowship Program

Example Strategic Initiatives:

- Expand programs (e.g. mentoring, workshops, and pre-submission review) and pre-award services (e.g. grant writing, editing, institutional data gathering, graphics assistance, etc.) to support success in extramural funding, including for fellowships and REU and training grants
- Develop administrative capacity to support large-scale grants
- Streamline grants and contracts workflow to industry standards and prioritize the integration of technologies to ensure post-award financial management, including up-to-date expenditure accounting and timely, correct invoicing
- Expand the number and use of research centers and organized research units (ORUs) to support interdisciplinary scholarship and creative activity
- Develop donor base in support of research priorities identified through academic planning
- Establish budget mechanisms that increase revenue streams to departments in support of research and graduate programs
- Strengthen school-based administrative support for the teaching, research, and service mission

1.3 Increase the contributions of students and staff to research and creative activities.

1.3.1
Ratio of research/technical support staff with a doctorate to faculty member[4]*

Current Value	0.17
AY 2024-25	0.19
AY 2027-28	0.27
AY 2030-31	0.36

Measure 1.3.2
Doctoral degrees conferred, disaggregated to track parity*

Current Value	63
AY 2024-25	80
AY 2027-28	80
AY 2030-31	150

Measure 1.3.3
The percentage of graduating seniors who report conducting research with a faculty member as an undergraduate at UC Merced, disaggregated to track parity (Graduating Senior Survey)*

Current Value	33%
AY 2024-25	36%
AY 2027-28	38%
AY 2030-31	40%

Example Strategic Initiatives:

- Increase the number of grants that fund research/technical staff with doctorates
- Expand undergraduate research opportunities, including donor support for increased student participation and data infrastructure to track post-baccalaureate outcomes
- Expand non-traditional, research-related opportunities for undergraduate and graduate students (e.g. applied research, support for CORE facilities)
- Increase the number of doctoral students advised per faculty member, while decreasing time to degree
- Simplify the processes by which research staff, graduate student researchers, and teaching assistants are appointed

[4]Includes post-docs and non-faculty research staff with a Ph.D.

DEVELOP FUTURE SCHOLARS AND LEADERS

As our campus continues to grow, we will provide our students with the personal and academic support to succeed through world-class educational experiences delivered by outstanding educators and researchers. Honoring our students' experiences as strengths upon which to build, our offerings will develop lifelong learners empowered by the habits of mind and tools of a researcher and address whole-student development, lead to career readiness, and encourage and enable civic engagement. Through a supportive community and educational experiences that are inclusive, high-impact, experiential, and research-based, we will foster the intellectual and personal development of diverse scholars and leaders. Our students will leave our campus recognizing the importance of global and local community and having contributed to the San Joaquin Valley. They will be prepared to be the next generation of diverse scholars, leaders, and agents of change.

2.1 Grow and diversify UC-quality educational opportunities for undergraduate and graduate students and the public.

2.1.1
Total campus enrollment (undergraduate and graduate)[5]

Current Value	9,018
AY 2024-25	11,800
AY 2027-28	14,000
AY 2030-31	15,000

Measure 2.1.2
Undergraduate student-to-Senate faculty ratios*

Current Value	26.7:1[6]
AY 2024-25	27.7:1
AY 2027-28	27.7:1
AY 2030-31	27.7:1

[5] Aligned to MOU with UCOP
[6] The current (Fiscal Year, FY 2020/21) undergraduate student to faculty ratio is lower than the FY 30/31 goal as a result of two factors. First, the campus hired a large number of new faculty, including an atypical number of spousal hires, in fall 2020 which resulted in a net increase of 36 Senate faculty. Second, the campus missed its Fall 2020 student enrollment targets, in part due to the COVID pandemic. The combination caused the ratio to fall sharply. For comparison, the FY 2019 ratio was 29.7 (8151/274). The 2030 target brings the ratio back to the average of our UC peers (27.7).

Measure 2.1.3

Undergraduate student access to courses measured as the percentage of courses with an active waiting list broken down by required and elective courses*

Targets

To be determined; wait-list function in development

Measure 2.1.4

Graduate student access to courses measured as the percentage of respondents rating the "availability of courses to complete your graduate program" as "excellent" or "good" (as opposed to "fair" or "poor") to question 6 on the existing Graduate Student Survey*

Current Value	63%
AY 2024-25	70%
AY 2027-28	75%
AY 2030-31	80%

Example Strategic Initiatives:

- Develop new schools, majors, tracks, minors, masters, and/or combined bachelors/masters programs in high demand areas and signature undergraduate experiences that will attract new students, including domestic non-resident students
- Grow transfer student enrollment by continuing to develop relationships and pathways externally and internally to UC Merced
- Develop analytic capacity, including market analytics, to identify new degrees, certificates, and skill sets that are in demand now and predicted to be so in the future
- Implement a wait-list function for courses
- Increase the number of summer session offerings and align offerings with programmatic needs
- Sustain and improve affordability, access, and debt reduction efforts
- Develop high quality, targeted, online course offerings, including certificates
- Expand Extension offerings for the public and working professionals
- Integrate the General Education program into the campus's educational culture
- Expand donor support for historically underrepresented students (e.g. scholarships and fellowships)
- Build the campus's capacity to market and conduct outreach for our educational programs, including with a focus on continuing to attract historically underrepresented students
- Ensure that faculty hiring aligns with student expectations and disciplinary norms

2.2 Broaden and deepen students' academic, personal, and career-related experience and preparation.

Measure 2.2.1
Percentage of seniors reporting participation in two or more high impact practices (HIP[7]). (**NSSE**)

Current Value	**55%**
AY 2024-25	**59%**
AY 2027-28	**62%**
AY 2030-31	**65%**

Measure 2.2.2
Percentage of seniors reporting involvement with student organizations (**UCUES**)

Targets
Maintain or increase current value of 73% (which exceeds UC value of 64%)

Measure 2.2.3
Percentage of seniors reporting participation in community service, internal and external to the campus. (**UCUES**)

Targets
Maintain or increase current value of 56% percent of respondents reporting off-campus community service (which exceeds UC value of 47%)

Targets
Maintain or increase current value of 42% percent of respondents reporting on-campus community service (which exceeds UC value of 32%)

Measure 2.2.4
Percentage of graduate student respondents indicating satisfaction with "graduate program mentorship and advising" on the UC Graduate Student Experience Survey

Targets
To be determined; following first administration of the survey in spring 2021

Measure 2.2.5
Percentage of graduate student respondents indicating satisfaction with "the career support I receive in my program" on the UC Graduate Student Experience Survey.

Targets
To be determined; following first administration of the survey in spring 2021

Measure 2.2.6
Percentage of undergraduates employed in fields related to their degrees, with well-paying salaries, one year after graduation.

Targets
To be determined; develop the capacity to measure

Measure 2.2.7
Percentage of graduate students employed one year after graduation*

Targets
To be determined; develop capacity to measure

Measures to be developed:
- Student belonging
- Student **well-being**

[7]The National Survey of Student Experience (NSSE) gathers data on student participation in the following HIPS: service learning, learning community, research with faculty, internship/field experience, study abroad, culminating senior experience.
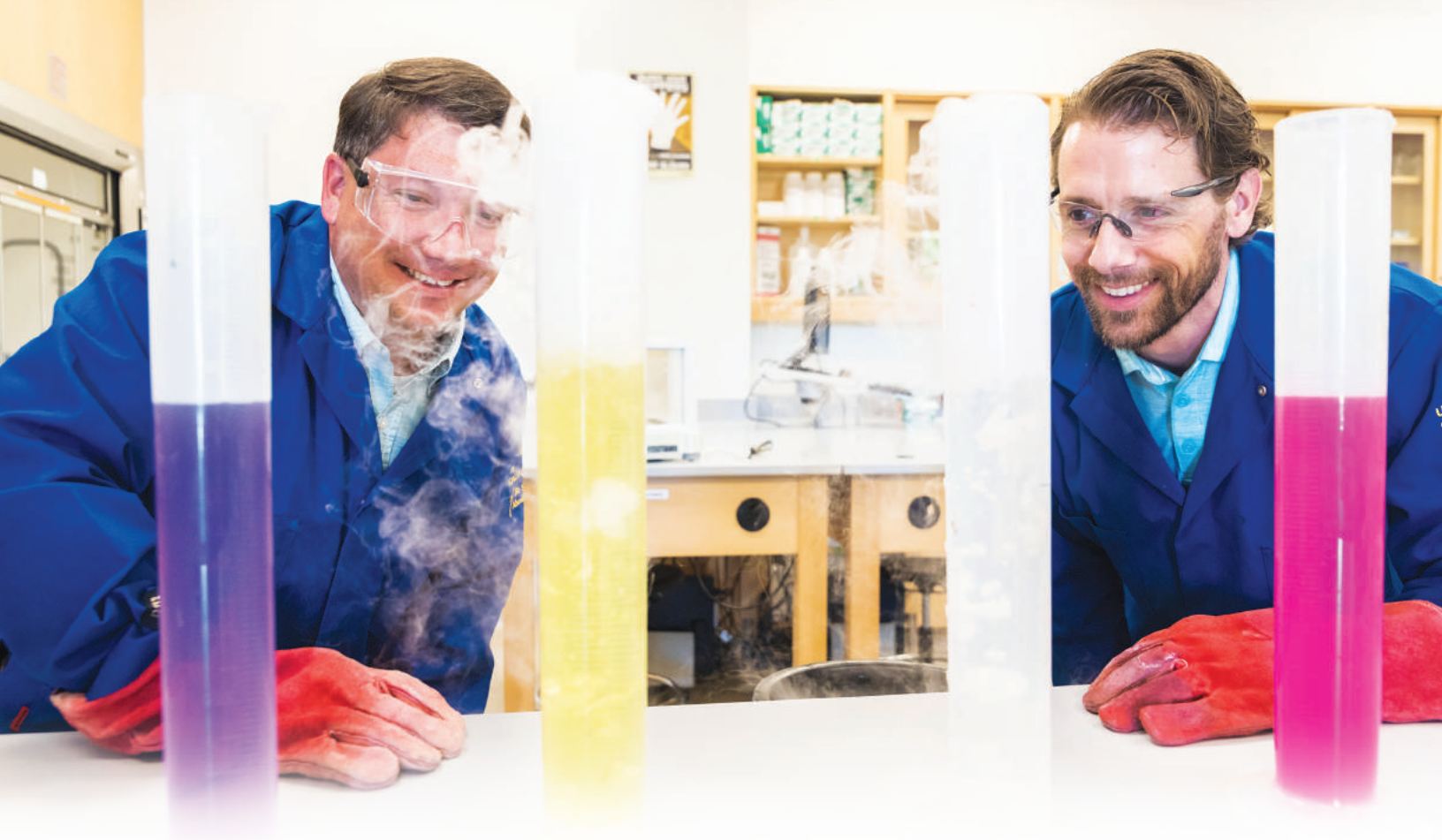
Example Strategic Initiatives:

- Establish a strategic, holistic development and grant-getting plan for funding undergraduate experiential learning and student success initiatives
- Enhance and expand graduate student preparation and pipelines for academic and non-academic careers
- Foster a student-first focus across campus
- Increase internships through partnerships with industry, agencies, the community, and alumni
- Develop a campus-wide Customer Management System (CMS) to build an integrated student journey from prospect to graduation; use the CMS to enable on-demand and personalized academic advising, mentoring, and other support services for all students
- Develop a plan for progressive student employment experiences that grow student skills and abilities over time in support of career preparation and to meet campus work needs
- Engage alumni in student success, e.g. mentoring, networking, internships, and provide data to school leadership to facilitate alumni involvement
- Expand the athletics facilities and programs to transition from NAIA to Division III, or beyond
- Expand and enhance leadership and community service opportunities
- Continue to develop and expand undergraduate and graduate student wellness support services, including for basic needs
- Continue to develop and expand student constituency/identity programming and associated spaces

2.3 Increase degree completion rates, while maintaining equity in achievement.

Measure 2.3.1
First-time, full-time, first-year student four-year and six-year graduation rates, disaggregated to track parity*

	4-Year	6-Year
Current Value	43%	69%
AY 2024-25	50%	73%
AY 2027-28	55%	77%
AY 2030-31	60%	80%

Measure 2.3.2
Full-time, transfer student two-year and four-year graduation rates, disaggregated to track parity*

	2-Year	4-Year
Current Value	40%	88%
AY 2024-25	55%	88%
AY 2027-28	60%	89%
AY 2030-31	70%	90%

Measure 2.3.3
PhD completion rate over a 7-year time interval[8], disaggregated to track parity*

Current Value	57%
AY 2024-25	59%
AY 2027-28	61%
AY 2030-31	65%

Measure 2.3.4
First-time, full-time first-year student retention rates, disaggregated to track parity*

Current Value	86%
AY 2024-25	86%
AY 2027-28	89%
AY 2030-31	90%

Example Strategic Initiatives:

- Engage in, and expand support for, pedagogical and curriculum redesign
- Expand support for graduate students, including those who are first generation and historically underrepresented
- Develop an asset-based student success plan, that engages all administrative units, and identifies culturally responsive ways to assess student success
- Assess existing student support activities, eliminate redundancies, and invest in and scale practices that have measurable impact
- Expand and automate capacity to identify and analyze underlying systemic influences on undergraduate retention and timely completion that are specific to the UC Merced campus, communicate findings to faculty, staff, and administrators, prepare advisors to use and response to data analytics, and develop and prioritize strategies to address these causes
- Further develop an early alert system to enable timely interventions that connect students with the resources they require to support academic and personal success
- Build out 'recovery pathways' for students who veer off track

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[8]The percentage of students starting a PhD that complete them within seven years; calculated using projected growth in the number of graduate students advised per a faculty member.

GOAL 3

CULTIVATE A CULTURE OF DIGNITY AND RESPECT FOR ALL [9]

Bold scholarship requires us to dismantle long-standing exclusionary practices in higher education. We aim to adopt research-grounded practices that drive our campus toward inclusive excellence. To do so, we will invest in the resources, and cultivate the skills, knowledge, and comprehensively inclusive and anti-racist attitudes necessary to ensure that each unit, department, division, and stakeholder clearly demonstrates their contribution to our Principles of Community.

3.1 Grow our academic and administrative staff demographic composition to be more representative of the state, as research shows that students succeed when they can see themselves in the institution.

Measure 3.1.1
Campus enrollment (undergraduate, graduate, and transfer students) disaggregated by different lived experiences and social identities[10]

Targets
Maintain undergraduate, graduate, and transfer student diversity as we grow to 15,000 students

Measure 3.1.2
Number of academic and administrative staff by school and major disaggregated by different lived experiences and social identities

Targets
The composition of academic and administrative staff reflects that of the state of California

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[9]For all Goal 3 objectives, Appendix II provides a set of supplemental measures that are essential to understanding progress on these primary measures and which the campus must develop the capacity to measure.

[10]The University of California Board of Regents Policy 4400: Policy on University of California Diversity Statement states: "Diversity – a defining feature of California's past, present, and future – refers to the variety of personal experiences, values, and worldviews that arise from differences of culture and circumstance. Such differences include race, ethnicity, gender, age, religion, language, abilities/disabilities, sexual orientation, gender identity, socioeconomic status, and geographic region, and more." As UC Merced's data capacity grows, we anticipate data disaggregation by these lived experiences and social identities to assess our progress with integrity. See the full statement here: https://regents.universityofcalifornia.edu/governance/policies/4400.html

Example Strategic Initiatives:

- Establish and implement a university-wide equity and justice strategic plan that engages all campus constituencies, internal and external, in developing collective practices and policies in support of the campus strategic plan[11]
- Recruit faculty, including from diverse backgrounds, who are passionate about inclusion, and who genuinely value diversity in their teaching, research, and service
- Create a sustainable and innovative fundraising approach for diversity work by seeking and expanding individual donors, philanthropic partners, and grant opportunities
- Continue to develop and implement creative strategies and secure resources for the recruitment and retention of faculty and academic and administrative staff of color (e.g. cluster hires, cohorts, mentoring programs)
- Provide targeted and equitable professional development for academic and administrative staff within each unit to support recruitment, retention, and leadership cultivation
- Enhance campus onboarding efforts for academic and administrative staff and ensure succession planning efforts within and across divisions are equitable
- Build intentional relationships with other post-secondary institutions and community-based organizations to recruit and support faculty and administrative staff of color
- Integrate nontraditional and creative measures of success to review and evaluate academic and administrative staff (e.g. mentoring)
- Develop institutional infrastructure and practice to assess and improve the successful inclusion and development of faculty and staff of different lived experiences and social identities

[11]Will support Goal 3 objectives 3.1 through 3.3.

3.2 Transform campus culture by ensuring that all members of the community thrive as their authentic selves through equitable and inclusive structures, policies, and practices.

Measure 3.2.1
Campus climate data by campus stakeholder type disaggregated by different lived experiences and social identities.

Targets
Improve measures of campus climate and ensure parity among stakeholder groups.

Measure 3.2.2
Undergraduate and graduate student retention rates disaggregated by different lived experiences and social identities.

Targets
Improve undergraduate and graduate student retention rates and ensure parity among groups.

Measure 3.2.3
All faculty and staff retention rates disaggregated by different lived experiences and social identities.

Targets
Improve or maintain faculty and staff retention rates and ensure parity among groups.

Example Strategic Initiatives:

- Develop inclusive curricula, programming, and services across the student experience
- Provide inclusive excellence programming to all students, starting with orientation and matriculation
- Increase opportunities that showcase and celebrate academic and administrative staff efforts that embody the values of diversity, equity, and inclusion (e.g. traditions, awards, celebrations)
- Evaluate campus communication strategies for inclusivity (e.g. alternatives to text-based communication, print/digital information in multiple languages)
- Review campus climate and engagement indicators connected to academic and administrative staff sense of belonging and value – and effectively respond to negative and undesired trends
- Invest in diversity and critical dialogue trainings, curriculum, and professional development within each campus office to drive inclusive culture change
- Ensure all personnel and campus units, departments, and divisions demonstrate their commitment to diversity, equity, and inclusion via statements, goals, values, commitments, syllabi, data visualizations of efforts, and core practices

3.3 **Build our collective capacity to remove structural barriers negatively impacting success through equity-informed administrative and educational decision-making.**

Measure 3.3.1
Amount of budget and other resources available for diversity and equity-related efforts

Targets
Budget sufficient to support comprehensive programming and services that improve academic and student success measures of equity over time

Example Strategic Initiatives:

- Advance teaching and scholarship about power, privilege, and justice in contemporary and historical contexts so that the injustices of the past do not continue to shape our lives
- Improve services and foster relationships that support the success and thriving of all students, faculty, and staff, on and off campus, including engaging our city, county, and region
- Increase data literacy among all campus personnel with an emphasis on disaggregating, triangulating, and responsibly using data derived from mixed-method approaches
- Develop meaningful opportunities to engage alumni and community-based organizations to advance our institutional mission
- Integrate a focus on equity and justice into all aspects of the campus's talent management activities

3.4 Deepen our collective appreciation for diversity by developing a more robust international perspective.

Measure 3.4.1
Percentage of seniors who have studied abroad

Current Value	5.2%
AY 2024-25	7.0%
AY 2027-28	8.4%
AY 2030-31	9.8%

Measure 3.4.2
Percentage of international students on campus, undergraduate and graduate.

	Undergraduate	Graduate
Current Value	0.2%	36%
AY 2024-25	2.5%	36%
AY 2027-28	4.3%	36%
AY 2030-31	6.0%	36%

Measure to be developed:
- Cultural enrichment

Example Strategic Initiatives:

- Facilitate international research, educational, and cultural partnerships
- Increase undergraduate participation in international experiences.
- Increase the profile of study abroad at UC Merced
- Improve curricular integration of courses taken abroad to increase the number that fulfill degree requirements
- Implement mechanisms to increase affordability of education abroad (e.g. scholarships, financial aid packaging, new program models)
- Develop an international student recruitment plan involving key campus stakeholders (e.g. Admissions, International Affairs)
- Develop mechanisms to address the material, academic, and socio-cultural needs of international students and better facilitate their inclusion into the campus community

III. CROSS-CUTTING, CAMPUS-LEVEL, STRATEGIC ADMINISTRATIVE INITIATIVES

Achieving the campus' strategic goals will require investment in the set of cross-cutting campus-level initiatives outlined below. Collectively, these initiatives speak to core aspects of UC Merced's capacity and capability to move toward R1 and to sustainably deliver its mission. They are:

1. **Operational Capacity**: Increase UC Merced's organizational capacity by aligning the campus workforce to meet current and planned operational priorities.

2. **Physical Capacity**: Develop an ongoing process to recommend, assess, and implement capital projects necessary for the enrollment growth and research objectives of the university as determined by the strategic plan.

3. **Operational Capability**: Develop and implement a multi-year Talent Management Plan that positions UC Merced to be competitive in the recruitment of a skilled workforce and to remain competitive by supporting ongoing professional development opportunities and by ensuring succession planning.

4. **Digital Capability**: Adopt a multi-year, strategic, technology plan and campus model that informs the resource allocation, procurement, implementation, integration, and support of campus-wide technical solutions to meet academic and administrative needs.

5. **Campus Operational Workflow**: Redesign end-to-end campus business process improvement and streamlining as a prerequisite for achieving efficiencies, service excellence, and technology integration.

6. **Data Analytics and Reporting**: Build a data-informed culture in which all campus constituents have access to analytics services, tools, and staff expertise for decision-making and continuous improvement.

7. **Budget Planning and Allocation**: Design a transparent budget model to support campus priorities, enable future forecasting at the unit level, and support lifecycle planning for campus assets to ensure sustainability of the campus physical infrastructure, space, and equipment.

8. **Equity, Diversity and Inclusion Commitment**: Incorporate the **BobCAT IDEAs Strategic Framework** into operational, budget, and planning discussions by documenting and demonstrating how EDI outcomes support the strategic plan.

9. **Sustainability Commitment**: Advance and implement an integrated campus sustainability strategic plan that showcases by 2030 how knowledge is generated and applied to effect institutional and societal change toward a just and sustainable environment and society for all communities present and future.

Steps for implementing these strategies will be developed as part of the campus's ongoing planning process outlined in Section IV.

IV. IMPLEMENTATION

Having defined the campus's goals for the next decade and identified sets of initiatives to support the achievement of these goals, the campus must also develop a clear understanding of how the plan will be implemented to ensure its priorities inform our resource allocation decisions.

A necessary step in this process will be the *alignment of each division's strategic plan with the campus' strategic plan*. Starting in 2021 each division[12] will be asked to revisit (or develop) its long-term plan[13], developing a multi-year document that outlines the initiatives the unit plans to undertake to advance the campus's goals as outlined in the strategic plan. Depending upon the division, these initiatives may address the infrastructure that underpins the campus's goals, or they may directly contribute to advancing a specific goal, objective, and measure. As emphasized throughout this strategic plan, both types of initiatives are important as the campus must continue to develop the operational capacity to support the core of its mission. It is also important *to note that initiatives might not require any new resources. Rather, they could simply represent a framing or reframing of existing efforts to make more explicit, for all stakeholders, how the work contributes to the advancement of the campus's goals*.

Division plans will form the basis for resource requests made during future campus budget call processes. As part of this exercise, annually divisions will be invited to revisit and extend their plans.[14] It is anticipated that, on a rolling basis, the first two years of initiatives outlined in the plan will represent a prioritization/sequencing of the unit's work based on the priorities identified by Chancellor and advised by the EVC/Provost as part of the annual budget call. In this way, the plans will be living documents, revisited and extended annually to be responsive to near-term campus priorities and needs while providing a longer-term vision of the work the division plans to undertake in support of the campus's goals.

The budget call process must also be sufficiently forward thinking to enable proactive divisional planning in support of our strategic plan while also conservative in its projections to ensure that the campus is fiscally responsible.

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[12]Academic Affairs, the Chancellor's organization, External Relations, Finance and Administration, Office of Research and Economic Development, Physical Operations, Planning and Development and Student Affairs.

[13]With the exception of the divisions within Academic Affairs engaged in academic planning. The plans for these units are already aligned with the campus-level plan.

[14]For Academic Affairs, plans will be updated as part of the academic planning process, and a single budget request submitted for the division.

APPENDIX: GOAL 3 SUPPLEMENTAL MEASURES

For each objective for Goal 3, the supplemental measures provided below will help the campus better understand progress on the primary measures in the plan and/or areas that require attention in order to advance the primary measure. Supplemental measures will be developed for Goals 1 and 2.

1. **Grow our academic and administrative staff demographic composition to be more representative of our state, as research shows that students succeed when they can see themselves in the institution.**

   - Academic and administrative staff promotion rates disaggregated by different lived experiences and social identities

   - Academic and administrative staff retention rates disaggregated by different lived experiences and social identities

   - Percentage of graduate students supported by GSRs and external fellowships disaggregated by different lived experiences and social identities

   - Timely degree completion, undergraduate and graduate, disaggregated by different lived experiences and social identities

   - Student feedback on quality of educational experience disaggregated by different lived experiences and social identities

   - Percentage of institutional budget allocated for academic and student success services with an equity and justice focus

2. Transform campus culture by ensuring that all members of the community thrive as their authentic selves through equitable and inclusive structures, policies, and practices.

- Undergraduate and graduate student retention rates disaggregated by different lived experiences and social identities

- Number of professional development opportunities by campus constituency type

- Number of equity and justice awards and recognitions by campus constituency type

- Percentage of institutional budget allocated for academic and student success services with an explicit equity and justice intent

- Number of equity-focused policies changes or additions by department/unit/office/division

3. Build our collective capacity to remove structural barriers negatively impacting success through equity-informed administrative and educational decision-making

- Ratio of personnel to students disaggregated following ethical data management protocols applied to all the data we legally collect

- Percentage of institutional budget allocated for academic and student success services with an equity and justice focus

- Fiscal and other resources available for equity-related efforts per academic year

- Number of grants received to advance DEI efforts by campus department/office/unit

- Number of unique equity and justice initiatives by unit/department launched and/or sustained per academic year

- Percentage of university offices/units demonstrating commitment to advance diversity work through a diversity statement

- Percentage of institutional budget allocated for academic and student success services with an equity and justice focus

- Percentage of student debt disaggregated by different lived experiences and social identities

SCHOOL OF ENGINEERING

ACADEMIC PLAN
Sequenced Strategies
May 2021

UNIVERSITY OF CALIFORNIA, MERCED

5200 N. Lake Road

Merced, CA 93543

SCHOOL OF
ENGINEERING

INTRODUCTION

The School of Engineering (SoE) is the one of the youngest engineering schools in the nation and the youngest in the University of California system. In the fourteen years since the first freshmen arrived on campus, the School has been expanding over time, developing its sense of identity and building the foundations for excellent academic programs.

During the past four years, from Fall 2015 to Fall 2020, the School experienced significant growth in undergraduate and graduate enrollments, faculty size, and extramural contract and grant activity. Comparative numbers are shown below in Table 1.

Table 1. School of Engineering Growth, Fall 2015 to Fall 2020

	Fall 2015	Fall 2020*
Faculty	44	59
Undergraduate students	1,454	2,298
Graduate students	143	226
Research awards, $	$14.9 million (FY 2016)**	$17.6 million (FY 2019)

*Excludes MCS, which is to become part of the Gallo School of Management
** FY 2015 data not available for SoE

In addition to enrollment and faculty growth, the School officially established five departments (six with MCS), received CCGA approval for four graduate programs (six with MCS programs), and recently approved one new undergraduate program, Civil Engineering (CIE).

Over the next five years, the School hoped to continue with rapid growth, particularly with the completion of Project 2020 construction project. The strategic plan for the SoE outlined in this document were based on input and goals developed before the COVID-19 outbreak. However, they now represent more of a longer-term strategy that will need to be stretched out longer than originally envisioned. The recent COVID-19 pandemic has resulted in a significant shifting of planned resources, both current and future, to address immediate campus COVID-19 operational needs.

While the School remains optimistic in its goals and aspirations, there is underlying angst that the needs and workloads associated with continuing growth are overwhelming given the recent budget realities. Already, there is a strong sense among the faculty and staff that there are insufficient resources (both human, cyber, and monetary) to meet the current needs associated with the research, teaching, and service mission of the SoE. Among certain faculty and staff members there exists a perception that the SoE is asked to grow and thrive with little in the way of campus support for the administrative resources needed. Thus, faculty and staff members are discouraged and tired.

As a campus and school that has considered itself to be a "startup", there was a strong tendency to focus on new directions and programs, to expand outwards. Over the first 15 years, the School has developed emerging areas of strength, which the School hopes to enhance during the coming years with less emphasis on expanding broadly in the scope of research endeavors . In other words, we seek to build bench strength and critical mass needed for excellence in teaching and research in existing areas with focused growth in areas where there is capacity and opportunity to generate new revenues for the School and campus.

During the Fall 2019 semester each department was directed to consider a review and planning exercise in advance of a school-wide retreat held on January 24-26, 2020 at an off-site location. The preparation directions for the departments is included as Attachment A.

Following this planning exercise, each department chair reported on their assessment and proposed goals of their respective departments to all faculty members and senior staff members at the retreat. Thereafter, faculty members and key staff members were assigned to a breakout session for either research, graduate education, undergraduate education, public service, or diversity. Faculty members for each breakout group were pre-selected to ensure a mix of faculty rank, department, ethnicity, and gender.

During these breakout sessions, each group was charged with addressing and then summarizing key priorities, issues, actions, and challenges for their respective assigned areas. Facilitation questions for the breakout groups are included in Appendix B. Each breakout group gave a summary presentation to all faculty participants for feedback that was later incorporated into a final summary for each breakout topic.

This overall strategic plan document reflects the input and guidance developed from the departmental plans and the outcomes from the School-wide retreat breakout sessions. The individual department plans as presented at the retreat are found in Appendix C through Appendix G. Summaries from each of the cross-departmental breakout groups for diversity, research, public service, graduate education, and undergraduate education are found in Appendixes H through L, respectively.

A major goal for the campus academic planning process is to establish resource priorities for the schools. Each school will determine how those resources will be allocated to the departments. The individual department goals and plans will provide important information in helping the School leadership decide the timing and allocation of the resources assigned to the SoE.

While the Department of Management of Complex Systems (MCS) is currently administered under the School of Engineering currently, MCS along with two other different departments from the School of Social Sciences, Humanities, and Arts (SSHA) has proposed to establish a new school, the Gallo School of Management. The Gallo School proposal is undergoing review at the campus level currently. MCS plans were not considered with the other SoE departments. However, any plans established by the MCS department could be readily added to the overall SoE strategic plan.

FOUNDATIONS FOR THE SCHOOL OF ENGINEERING

Mission

The mission of the School of Engineering at the University of California, Merced is to:

- Transform students into tomorrow's leaders,
- Create a continuously improving environment in which outstanding faculty, students, and staff thrive in research, education and service, and
- Make local and global impact by creating solutions and developing technologies that address society's challenges.

Vision

Our vision is to become a recognized world leader in engineering innovation and education.

Values

The School of Engineering values collaboration, creativity, integrity, strong work ethic, life-long learning, and responsibility for improving our world sustainably.

Aims

- Our school aims for excellence through educating future leaders in engineering who understand the context in which they live and work, and who are comfortable with managing and driving change. We will focus on developing innovative education that provides deep engineering competence, promotes high ethical standards, and delivers solutions to our challenges in an economically, environmentally, and socially responsible manner.
- We seek to be internationally recognized for our cutting-edge, interdisciplinary research by focusing on select, high profile areas, and attracting the best faculty and graduate students to build our signature areas of distinction. We will strive to be on par with our sister UC campuses in the quality and impact of our research.
- As a diverse school and campus, we seek to leverage our diversity to be innovative and distinct and apply our knowledge to solving important problems related to our human and natural environments. We will achieve this by attracting a dynamic faculty, and grafting sustainability into our culture, education, and research.
- We strive to engage our communities, and to promote a value exchange between our students, our faculty, and our communities. By using the local region as our lab, we aim to solve global problems by finding sustainable solutions to the local challenges, incubate the creation of new enterprises and good jobs, and facilitate prosperity of the San Joaquin Valley.

Guiding Principles

The guiding principles that hold true for all our strategic plans.

- We must emphasize excellence in the research, education, and service that we deliver.
- We must create an environment that attracts outstanding faculty and staff.
- We must create an environment that attracts outstanding students, both at the undergraduate and graduate levels.
- We must develop an entrepreneurial mindset that promotes innovation in research, education, and service, while being cost effective in its operations.
- We will foster ethical leadership among a diverse community within our faculty, staff, and students.
- We must strive to gain recognition for our positive contributions in research, education, and research.

FIVE-YEAR ASPIRATIONAL GOALS

The progress and success of the strategic vision and plan will be assessed by marking progress towards, and meeting the aspirations described below.

- Rank within the top 100 graduate engineering schools by the U.S. News & World Report.
- Have one or more SoE faculty member elected to the National Academy of Engineering (NAE).
- Be a partner in at least one NSF Engineering Research Center (ERC), NSF Science and Technology Center (STC), or NSF Materials Research Science and Engineering Center (MRSEC).
- Surpass $25 million in annual research expenditures and awards.
- Each SoE-associated research center will have at least one Professional Researcher faculty member that generates her/his salary from extramural funding
- Increase undergraduate enrollment to 3,200 with a student-to-faculty ratio of less than 35:1, preferably closer to the UC average of 25:1
- Achieve an average of one Ph.D. awarded per faculty member every other year or better.
- Achieve an average of one M.S. awarded per faculty member every year or better.
- Increase four-year and six-year graduation rates by an average of 10 percent each.
- Exceed 80 percent job placement of graduates within one year of graduation.
- Increase the diversity of students in SoE graduate programs by increasing the number and percentage of 1) women, 2) domestic students (vs. international students), and 3) underrepresented minorities.

STRATEGIES FOR ACHIEVING GOALS

The strategies for achieving the School of Engineering five=year goals are outlined below. They are updated based on campus guidelines set forth in a 14 December 2020 memo from the Executive Vice Chancellor and Provost (EVCP) and a 8 January 2021 memo from Laura Martin. In these communications, strategies are prioritized/sequenced loosely based on expected resource limitations for at least the next two fiscal years. During this timeframe we are to prioritize strategies that a) contribute to growth in undergraduate enrollment, b) increase grant funding, and c) support diversity objectives.

This revision also addresses suggestions from the Senate Committee on Academic Planning and Resource Allocation (CAPRA) provided in a 25 November 2020 memo. The principal suggestions from CAPRA are relation to identifying more action-oriented strategies to meet School goals.

Strategies for the Next Two Years

Strategies for the next two year forwarded by the School apply to more than one of the three priority areas recommended by the EVCP and CAPRA. Most of these activities are already in process as they were outcomes from the January 2020 School of Engineering Planning Retreat. These will be ongoing activities with no specific projected milestone date.

Contribute to Growth in Undergraduate Enrollment

Recruitment Efforts

- Develop and implement a communications plan that publicizes the quality of our programs and their benefits to others.

- Gain recognition for our positive contributions in research, education, and service.

- Engage in outreach activities with high schools, community colleges, other 4-yr institutions, HSIs, and HBCUs.

- Create an environment that attracts outstanding faculty, staff, and students.

- Have all engineering undergraduate degree programs accredited by ABET.

- Revise/add new undergraduate degree programs

    o Civil Engineering has already been approved and opening Fall 2021

    o Bioengineering has submitted a revised B.S. curriculum and will seek ABET accreditation when the first graduate completes the revised degree program.

    o Exploration new Chemical Engineering and Electrical Engineering programs are underway.

- Establish professional M.S. degree programs and 4/1 B.S./M.S. programs.

Student Success/Retention

- Incorporate professional development into the curriculum and work with Career Services to improve internship opportunities for undergraduate students at companies.

- Transform Engineering Service Learning into a freshman design experience.
- Promote student success actively through enhanced extramural support from both government and industry sources.
- Foster ethical leadership among a diverse community within our faculty, staff, and students.

Increase Grant Funding

As of Fall 2020 (discounting incoming new faculty), the percentage of SoE faculty members who received an extramural grant award as the lead-PI within the past three years is 71%. These percentages vary by department, from a low of 22% in the Department of Management of Complex Systems (MCS) to 92% in the Department of Mechanical Engineering (ME). Therefore, most of the effort for increasing grant funding needs to be towards increasing per faculty extramural grant awards and/or the size of the grant awards.

Increase Funding Opportunities

- Continue and expand our network of associations with industry locally in the San Joaquin Valley, the Bay Area, nationally, and internationally.
- Increase collaborations with other preeminent institutions around the world.
- Focused, but interrelated, areas (themes) for research synergy and growth as:
  - Sustainable Systems
  - Technologies for Biology and Human Health
  - Computer Systems, Data, and Analytics
- Develop an entrepreneurial mindset that promotes innovation in research (e.g., faculty startups)

Increase Number and Size of Grant Awards

- Focus areas (themes) for research synergy and growth as:
  - Sustainable Systems
  - Technologies for Biology and Human Health
  - Computer Systems, Data, and Analytics
- Expand research efforts focused on global challenges related to the environment, sustainability, and security.
- Seek to establish centers/institutes that focus research in the theme areas, increasing research capabilities (expertise, facilities, equipment).

A primary concern raised by SoE faculty towards increasing number of grant awards and research expenditures per faculty members is the research administrative support provided by the campus. Those concerns are not addressed in this document but are related to 1) reliable and timely post-award financial management, 2) administrative support for large multi-unit/institutional research proposals, 3) policy/legal support for industry collaborations, 4) workshops for junior faculty on how to submit

compelling proposals, 5) an established cost share policy, and 6) project management support for large research centers when the campus receives an award.

Support Diversity Objectives

The School developed a Diversity and Inclusion Plan in the 2018-19 academic year that was developed as part of its submission to the American Society of Engineering Education Diversity Recognition program. For engineering, diversity objectives are related to both gender and ethnic diversity. The diversity goals established at that time are summarized in the table below.

Tenured and Tenure-Track Faculty	Women: ≥25% URM: >20%
Other Faculty*	Women: ≥25% URM: >20%

Undergraduates	Enrollment:
	     Women: ≥20%
	     URM: ≥50%
	 Six-Year Graduation Rate:
	     Within Engineering: ≥40%
	     Within Campus: ≥75%
	 B.S. Degrees Awarded:
	     Women: ≥20%
	     URM: ≥50%

Master's Students (entering)	Enrollment:
	     Women: ≥25%
	     URM: ≥25% (excluding international students)
	 Graduation Rate: ≥75%
	 M.S. Degrees Awarded:
	     Women: ≥20%
	     URM: ≥25% (excluding international students)

Doctoral Students	Enrollment:
	     Women: ≥25%
	     URM: ≥25% (excluding international students)
	 Graduation Rate: ≥75%
	 M.S. Degrees Awarded:
	     Women: ≥20%
	     URM: ≥25% (excluding international students)

Postdoctoral Researchers*	Women: ≥25% URM: >20% (excluding international students)
Non-Teaching Academic Staff*	Women: ≥25% URM: >20% (excluding international students)
Administrators	Women: ≥25% URM: >20%
Advisory Board Members*	Women: ≥25% URM: >20%

No data available currently. Request being made to institutional research.

The Academic Planning strategies listed below align with the efforts laid out in that plan. However, it must be recognized that increasing the diversity of faculty and staff will requiring additions/replacements to faculty and staff. This need is at odds with the campus budget situation during this two-year period.

- Enhance recruitment efforts to increase the number of domestic graduate student applicants through organizations such as the National GEM Consortium.

- Establish MOUs with partner domestic schools for BS or MS transfer to SoE graduate programs with high URM enrollments.

- Establish a dedicated seminar series to bring in academic researchers with diversity backgrounds.

- Take advantage of the Presidential Post-Doctoral Fellowship Program (PPFP), Chancellor's Post-Doctoral Fellowship Program (CPFP), and Target of Opportunity hires to increase diversity of the faculty.

- Attend and recruit at professional society conferences that support those from diverse backgrounds such as the American Indian Science and Engineering Society (AISES), National Society of Black Engineers (NSBE) Society of Women Engineers (SWE), Society for the Advancement of Chicanos/Hispanics and Native American Scientists (SACNAS), Society of Hispanic Professional Engineers (SHPE).

Additional Strategies After the Next Two Years

In addition to continuing the strategies outlined above for the first two years, the strategies listed below will be added.

- Forward and seek nominations for our best faculty members into the national academies and designations as professional society fellows.

- Work with the Graduate Division and Career Services to provide professional development programs for graduate students.

- Decrease rate of enrollment growth in specific engineering majors with concomitant increase in enrollment in other and new engineering majors, and/or increase faculty size in programs with high student-to-faculty ratios.

- Improve internal communications, particularly between faculty and staff.

- Develop an entrepreneurial mindset that promotes innovation in education and operations in a cost-effective manner.
- Work with the campus and SoE IT to improve information system efficiencies and streamline processes.

- Provide staff with training opportunities that will assist them in their job responsibilities and prepare them for career advancement.

The strategy to focus on improving criteria metrics that are associated with the U.S. News and World Report graduate engineering school ranking methodology is an overarching strategy that is covered by many of the strategies previously noted. The factors and weightings used in the *graduate* engineering school rankings are

summarized below. Similarly, improving the metrics in these areas will be beneficial in helping the overall campus goal to research Carnegie R1 status in the shortest time possible.

- Quality assessment (40%)
    - Peer assessment (25%)
    - Recruiter assessment (15%)
- Graduate student selectivity (10%)
    - Mean GRE quantitative score (6.75%)
    - Acceptance rate (3.25%)
- Faculty resources (25%)
    - FT PhD/FT LRF (7.5%)
    - Ft MS/FT LRF (3.75%)
    - PhD degrees awarded (6.25%)
    - NAE members (7.5%)
- Research activity (25%)
    - Total research expenditures (15%)
    - Research expenditures per faculty (10%)

STRATEGIC PLAN SCHOOL OF ENGINEERING

5-YR ASPIRATIONAL GOALS

- Rank within the top 100 graduate engineering schools by the U.S. News & World Report
- Have one or more SoE faculty member elected to the National Academy of Engineering (NAE)
- Be a partner in at least one NSF Engineering Research Center (ERC), NSF Science and Technology Center (STC), or NSF Materials Research Science and Engineering Center (MRSEC)
- Surpass $25 million in annual research expenditures and awards
- Each SoE-associated research center will have at least one Professional Researcher faculty member that generates her/his salary from extramural funding
- Increase undergraduate enrollment to 3,200 with a student-to-faculty ratio of less than 40:1, preferably closer to the UC average of 25:1
- Achieve an average of one Ph.D. awarded per faculty member every other year or better
- Achieve an average of one M.S. awarded per faculty member every year or better
- Increase four-year and six-year graduation rates by an average of 10 percent each
- Exceed 80 percent job placement of graduates within one year of graduation
- Increase the diversity of students in SoE graduate programs by increasing the number and percentage of 1) women, 2) domestic students (vs. international students), and 3) underrepresented minorities

STRATEGIES

- Focus on improving criteria metrics that are associated with the U.S. News and World Report graduate engineering school ranking methodology
- Expand research efforts focused on global challenges related to the environment, sustainability, and security
- Focus areas (themes) for research synergy and growth
  - Sustainability and Human Health
  - Technologies for Agriculture, Energy, and Health
  - Systems, Data, and Analytics
- Increase collaborations with other preeminent institutions around the world
- Expand our network of associations with industry locally in the San Joaquin Valley, the Bay Area, nationally, and internationally
- Seek to establish centers/institutes that focus research in the theme areas, increasing research capabilities (expertise, facilities, equipment)
- Develop a communications plan that publicizes the quality of our programs and their benefits to others
- Seek nominations for our best faculty members into the national academies and designations as professional society fellows
- Establish professional M.S. degree programs
- Enhance recruitment efforts to increase the number of graduate student applicants
- Establish MOUs with partner schools for BS or MS transfer to SoE graduate programs with high URM enrollments
- Work with the Graduate Division and Career Services to provide professional development programs for graduate students
- Engage in outreach activities with high schools, community colleges, other 4-yr institutions, HSIs, and HBCUs
- Decrease rate of enrollment growth in engineering majors and/or increase faculty size in programs with high student-to-faculty ratios
- Seek to have all engineering majors accredited by ABET
- Promote student success actively through enhanced support
- Transform Engineering Service Learning into a freshman design experience
- Establish a dedicated seminar series to bring in academic researchers with diversity backgrounds
- Take advantage of the PPFP, CPFP, and Target of Opportunity hires to increase faculty diversity
- Work with the campus and SoE IT to improve information system efficiencies and streamline processes
- Provide staff with training opportunities that will assist them in their job responsibilities and prepare them for career advancement
- Seek to add staff to support key administrative functions
- Improve internal communications, particularly between faculty and staff
- Create an environment that attracts outstanding faculty, staff, and students
- Foster ethical leadership among a diverse community within our faculty, staff, and students
- Develop an entrepreneurial mindset that promotes innovation in research, education, and service, while being cost effective in its operations

MISSION

- Transform students into tomorrow's leaders
- Create a continuously improving environment in which outstanding faculty, staff, and students thrive in research, education, and service
- Make local and global impact by creating solutions and developing technologies that address society's challenges

VISION

Become a recognized world leader in engineering innovation and education

VALUES

Collaboration, creativity, integrity, strong work ethic, life-long learning, and responsibility for improving our world sustainably

AIMS

- Excellence through educating future leaders in engineering who understand the context in which they live and work, and who are comfortable with managing and driving change. We will focus on developing innovative education that provides deep engineering competence, promotes high ethical standards, and delivers solutions to our challenges in an economically, environmentally, and socially responsible manner
- Recognized for our cutting-edge, interdisciplinary research by focusing on select, high profile areas, and attracting the best faculty and graduate students to build our signature areas of distinction. We will strive to be on par with our sister UC campuses in the quality and impact of our research
- Leverage our diversity to be innovative and distinct and apply our knowledge to solving important problems related to our human and natural environments. We will achieve this by attracting a dynamic faculty, and grafting sustainability into our culture, education, and research
- Engage our communities and promote a value exchange between our students, our faculty, and our communities. By using the local region as our lab, we aim to solve global problems by finding sustainable solutions to the local challenges, incubate the creation of new enterprises and good jobs, and facilitate prosperity of the San Joaquin Vall

GUIDING PRINCIPLES

- Emphasize excellence in the research, education, and service that we deliver
- Create an environment that attracts outstanding faculty, staff, and students at both the undergraduate and graduate levels
- Develop an entrepreneurial mindset that promotes innovation in research, education, and service, while being cost effective in its operations
- Foster ethical leadership among a diverse community within our faculty, staff, and students
- Strive to gain recognition for our positive contributions in research, education, and research

VISUAL STRATEGIC PLAN FOR THE SCHOOL OF ENGINEERING

SCHOOL OF ENGINEERING RESEARCH FOCI AND RELATION TO CAMPUS RESEARCH CENTERS/INSTITUTES

MILESTONE TARGETS AND PROJECTIONS

A table of desirable milestone metrics is presented in the table below.

METRIC	CURRENT	5-YR TARGET
U.S. News & World Report graduate engineering school rank	129	99
SoE faculty in the National Academy of Engineering (NAE)	1	2
Partner in NSF ERC, STC, MRSEC	1	3
Annual research expenditures and awards	$12M	$25M
Professional researchers generating full salary from grants	0	3
B.S. degrees awards per year	296	450
Ph.D. degree awards per faculty per year	0.35	0.50
M.S. degree awards per faculty per year	0.64	1.00
Four-year graduation rates within a SoE major by 10%	20%	30%
Six-year graduation rates within a SoE major by 10%	45%	55%
Job placement of graduates within one year of graduation	??	80%
Percentage of URM domestic students in SoE graduate programs	32%	40%
Percentage of women in SoE graduate programs	33%	40%
Percentage of domestic students in SoE graduate programs	33%	50%
Percent of faculty with Fellow status in professional societies	??	50%
Number of freshman applications	5,280	8,000
Number of transfer applications	900	1,800
Number of graduate applications	400	800

Proposed growth projections for the School are summarized in the table below. These numbers are based on a overall campus enrollment of 12,000 in Fall 2025, of which 10,800 are undergraduates and 1,200 are graduate students.

GROUP	CURRENT	5-YR TARGET
Undergraduate Students	2,300	3,200
Graduate Students	244	450
Ladder-Rank Faculty	55	90
Teaching Faculty	5	10

School of Natural Sciences Phase III Strategic Plan
Completed AY 2020-2021

Historical Background

During its first eighteen years, the UC Merced School of Natural Sciences (SNS) has overcome many complex challenges and successfully built thriving research and educational programs spanning mathematics and the physical and natural sciences. Starting with a handful of founding faculty, many hired as new assistant professors, the school has grown to 100 ladder rank faculty plus numerous administrative, scientific, and instructional staff. SNS faculty have built strong research programs, published in top-tier journals, and built robust funding portfolios of individual and large center grants. The school's faculty have created innovative undergraduate majors and doctoral programs. Starting with just a few hundred students in SNS undergraduate majors in 2005, we have grown to over 2000 students in fall 2020, with SNS also teaching thousands of SOE and SSHA students in service classes every year. SNS undergraduate alumni have gone on to top graduate and professional schools, and many are having impacts in our community and nationwide as teachers, medical personnel, STEM professionals, and in other sectors. Similarly, from a small handful of graduate students in provisional "independent graduate programs", SNS's four CCGA-approved graduate groups now have more than 271 students (as of fall 2020, exclusive of students supervised by SNS faculty in non-SNS graduate groups). Our doctoral and post-doctoral alumni are in tenure-track faculty positions across the nation and STEM jobs at top companies including Google and IBM and national labs including Los Alamos and Lawrence Livermore. In addition to this dramatic growth, SNS has evolved from a single academic unit to "Bylaw 55" units responsible for academic personnel cases, and finally to full academic departments with broad responsibilities for administration, budget, and planning.

This history of success gives us confidence that we will achieve goals and milestones over the next decade that will take the SNS departments to full strength and be on par with many programs at top-tier universities. While there are significant challenges to be overcome, we can leverage new resources and opportunities, including expansive modern laboratories and computational spaces in the Project 2020 buildings, emerging "centers of excellence" in several research areas, and strong regional support for new programs in areas including medical training and STEM K-12 education.

2020-2021 Strategic Planning

Over the next decade, SNS aims to achieve visionary goals that have been established by both UC Merced's senior leadership as well as the SNS Dean together with the faculty and staff leadership. These goals cover all aspects of the School's success, including significant growth in our undergraduate majors, expanding the size and extramural funding base for our graduate programs, increasing equity and inclusion in our research and academic programs, raising national and international recognition of our faculty, increasing research funding, improving retention and post-graduate success of our undergraduate and graduate students, and building strong synergistic links to our community.

We aim to achieve these milestones during challenging times when the campus budgets will be

under pressure and there will be increased competition for students and faculty. Therefore, to reach these milestones in the face of challenges, we have organized our plan into nine visionary **strategic initiatives** that motivate the energies and creativity of our faculty and staff. During the past two months six task forces, as well as the school's senior leadership have identified a set of **action items** to begin progress in each of these strategic initiatives. The school's faculty and staff have put extensive effort into this process, and these action items have been reviewed in multiple venues by faculty, staff, graduate students, and postdocs. (See Appendix II for a list of these consultative events.) The Strategic Initiatives and the immediate-term action items are described in the next section and the complete Task Force Reports are provided in an Appendix. Additionally, the Phase 3 Planning Spreadsheet includes all the proposed goals and associated action items.

SNS Mission and Vision Statements

As part of the strategic planning process, SNS faculty and staff leadership have written mission and vision statements describing their near- and long-term aspirations for the School.

Mission: Through innovative, multidisciplinary approaches we advance the frontiers of science and educate the workforce of the future while embracing diversity, equity, inclusion, and justice.

Vision: Be a world-class research campus that provides exceptional and equitable STEM education and establishes the Central Valley as a hub for integrative, transformative, and translational research and sustainable development.

Strategic Initiatives (SI)

SI 1: Comprehensively interweave concepts and practices of diversity and justice into all academic and personnel functions.

Motivation for this Strategic Initiative:
The location of our campus, the time in which we live, and the generation of students we are educating have given UC Merced a special mission to embrace justice, equity, diversity, and inclusion into our research and academic programs as well as our day-to-day interactions. We embrace that mission because it is just and because there are many tangible near- and long-term benefits. Everyone is more productive and creative when working in a friendly and supportive environment. In addition, diverse teams that harness their multiple perspectives and experiences to solving problems can achieve more profound and impactful research outcomes. To fully achieve our vision of providing an exceptional and equitable STEM education and community, we must acknowledge, identify, and take action to eradicate bias and structural discrimination within the academy. In doing so, UC Merced can become an exemplar among much larger and longer-established research universities nationwide. Change at this scale is difficult because it is intrinsically linked to real disparities as well as presuppositions and expectations that can undermine commitment to success for students, faculty, and staff of all backgrounds. UC Merced faculty have made substantial progress in bringing inclusive excellence to the classroom through individual actions as well as funded collaborative projects, and efforts to increase the diversity of our faculty have yielded some positive results. Truly lasting change in these and other arenas in which discrimination is manifest is a challenging task that will require us to bring honest

introspection and intentionality to all our endeavors. For that reason, the keystone to all of our strategic initiatives is embedding the ideals and practice of justice, equity, diversity, and inclusion (JEDI) into every aspect of our school.

Summary of Task Force Report (see appendix for full report)

The key action item proposed by the JEDI task force is the immediate creation of a standing "JEDI Committee" to work with departments on diversity-related efforts across hiring, promotion, teaching, and mentoring within the school. As proposed, this committee will be led by a part-time Associate Dean and include representatives from each department. Proposed specific consultative duties of this committee include creating checklists of best practices and diversity-related materials for hiring processes, developing rubrics and sample material for diversity statements in tenure and promotion, reviewing policies and procedures of the graduate groups, evaluating differential service loads among different faculty groups, hosting an annual workshop for all faculty on JEDI-related topics, as well as workshops for individual departments as requested. Additionally, the JEDI Committee will act as the information channel between units and groups within SNS, as well as to the Academic Senate, the UCM Office of Equity, Diversity, and Inclusion, and campus senior management. Finally, this committee will work with faculty, staff, and students to implement the action items proposed for the other Strategic Initiatives to ensure they are consistent with JEDI principles.

Proposed Action Items (see Task Force Report for more details and metrics)

2021-2022

- Create an SNS Standing JEDI Committee to advise departments, graduate groups, administrative staff, as well as graduate and undergraduate students on JEDI-related issues.
- Appoint a part-time Associate Dean for JEDI.
- Work with department chairs and the Dean's office to negotiate credit and/or compensation for JEDI Committee members.
- Begin development of JEDI-related references, resources, andtoolkits for graduate programs, curriculum development, and academic personnel functions.
- Start coordination with UCM Office of EDI.

2022-2023

- Work with Departments to annually assess contributions to JEDI
- Find appropriate survey instruments to assess climate and attitudes experienced by students, faculty, and staff in SNS; organize the administration and analysis of these surveys.
- Make a model rubric as an example for departments to evaluate diversity statements for tenure and promotion.
- Work with Departments, Dean, and APO to develop recommended best practices for describing JEDI activities in self-statements, cases, and transmittal memos.
- Negotiate with Provost's Office and/or Vice Provost for Faculty on the possibility of half-step increases for larger loads of JEDI service.
- Improve interactions with staff and faculty to learn about each other (break down barriers, get to know others more personally) and find commonalities (community building).
- Raise awareness of power differential between faculty and staff and identify issues that have caused pain in the past.

- Work with Human Resources and relevant unions to compensate or credit staff for work on JEDI.
- Develop a website with resources on JEDI issues.
- Lower the barrier at the faculty and graduate student level to report or address JEDI issues, including smaller issues before they escalate into larger problems.

2023 and after
- Propose a system to more equitably evaluate service contributions for promotion and consider different mechanisms to think through service loads for individual faculty.
- Work with Dean and Chairs to advocate to the Provost for more FTEs for diversity hires.
- Work with Vice Provost for Faculty to determine how FEAs will work with or participate on the SNS JEDI committee.
- Work with Vice Provost for Faculty to refine FEA functions such that they do not cause significant delays in hiring processes.
- Make sure JEDI service is considered equivalent to other faculty service.
- Work with Graduate School to discuss roles for a new Graduate Student Committee Forum (at school or department level) for complaints and issues related to supervisors or mentors.
- Advocate to facilities and campus planning committees for more single-use/gender-neutral restrooms and lactation rooms.
- Advocate for expanding access to and retaining the quality of the ECEC.
- Assess the effectiveness of the JEDI committee in bringing best practices to the School.

SI 2. Establish Research Centers, Institutes, and ORUs in existing and emerging areas of strength.

Motivation for this Strategic Initiative:

Highly visible research *Centers*, *Institutes*, and *Organized Research Units (ORUs)* are a hallmark of R1 institutions and draw the attention of other universities, national laboratories, granting agencies, donors, and the general public. During our brief history, SNS faculty have had remarkable success in winning center grants in computational biology, nanomaterials, and biophysics. Additionally, SNS Faculty Leadership identified five broad areas of research in which we are reaching "critical mass": Computational & Data Science, Materials, Biomedical Sciences, Sustainability & Environment, and STEM Education. Centers, institutes, and ORUs will provide research opportunities and fellowships for graduate and undergraduate students, lead to publications in high-profile journals, generate more extramural funding, and focus attention on our outstanding faculty. They are critical to fulfilling our vision of being a world-class research campus that is a hub for integrative, transformative, and translational research and sustainable development.

Summary of Task Force Report (see appendix for full report)

The action items for this Strategic Initiative are organized to address three goals: 1) Organize long-range planning and sequencing for new centers, institutes, and ORUs; 2) Establish mechanisms to provide technical and administrative support for preparing center proposals; and 3) Develop strategies to support funded centers, institutes and ORUs. To address Goal 1; we will poll faculty and departments periodically to identify groups interested in developing center proposals and arrange for discussions amongst faculty as well as postdocs and graduate students to identify synergies and highlight independent efforts. The Dean's Office will also schedule

periodic workshops for faculty to discuss new center ideas and upcoming funding opportunities (eventually this will be assigned to an SNS Associate Dean for Research.) To address Goal 2, we will organize a meeting with current and prospective leads of centers to identify support needed to develop and submit large proposals and consider possible incentives to stimulate faculty interest in writing such proposals. Additionally, we will work with faculty and representatives from various administrative units to work out timelines for center grant planning. To address the third goal, SNS will consult with current and past UCM center directors to determine where they most need active administrative help from other campus units, including HR, facilities, events, and campus housing. This will be followed by meetings with leads of the campus units that centers need to work with to establish common grounds for optimal cooperation on center activities.

Proposed Action Items (see Task Force Report for more details and metrics)

2021-2022

- Organize a meeting of interested faculty to review and prioritize ideas for new center grants and forward recommendations to other faculty, the Dean, and, as necessary, the Vice Provost for Research or Provost.
- Schedule annual workshops for faculty to discuss new center ideas and upcoming funding opportunities.
- Arrange a meeting with or survey current and prospective leads of large center grants to identify support needed to develop and submit large grants, include ideas for direct or indirect incentives for faculty leading new proposals.
- Organize a meeting of current and past UCM center directors to discuss the administrative tasks where they most need active administrative help from other campus units, including HR, facilities, campus housing, etc.
- Meet with leads of the campus units that centers need to work with to establish common grounds for optimal cooperation on center activities.

2022-2023

- Set up a process for coordinating with campus units during the development of center grants to establish what help is available and what costs are involved.
- Arrange a meeting between current center PIs and representatives from SPO and possibly HSRI, SNRI, or other campus entities to draft a template timeline for center grant planning and make this available to interested faculty.

2023 and after

- Create a single informational website or CatCourse page that posts information about new center proposals being developed in SNS.

SI 3. Develop deliberate strategies to increase publications in high-profile journals, promote awards and prestige appointments for faculty, and foster success in extramural funding.

Motivation for this Strategic Initiative:
Becoming a successful researcher requires a host of learned skills that range from determining the optimal sequence of the right projects to crafting crisp, incisive manuscripts attractive to high-

profile journals and pitches that return ample extramural funding. Faculty in Natural Sciences have had success in these endeavors, but we believe that we can help faculty be even more successful by taking deliberate actions. For our faculty to achieve the level of success and recognition that is consistent with R1 status requires a focus on not simply mentoring junior faculty through tenure but all faculty throughout their careers. It requires attention to individual needs, help in planning for merit and promotion, and active development of strong professional networks that will lead to nominations for prestigious honors and awards. These activities will help us achieve our vision of being a world-class research campus with R1 status.

Summary of Task Force Report (see appendix for full report)

The task force identified four goals related to the strategic initiative for faculty success. These are: 1) Provide mentoring on research and teaching as well as mentorship training for new and continuing faculty; 2) Create a welcoming space for new and continuing faculty at UC Merced; 3) Create a support network for faculty grants and publications; and 4) Enhance the methods used for evaluating teaching. For each of these goals, the task force identified action items for the first and subsequent years. For the first goal of improving faculty mentoring, the first-year action items are to create a new formal faculty peer mentoring program in which the mentoring interactions and outcomes will be documented, and feedback given as needed to ensure effective faculty mentoring. The mentors will receive recognition for this service. For the second goal, the immediate-term action item is to revamp the school's onboarding process to include introductions for new faculty to ORD and SPO staff. Ideally, materials from this process will be made available as "refreshers" so other faculty can keep up with changing processes. A related action item is to encourage meetings between new faculty and their department chairs to discuss teaching assignments, possible service roles, and expectations for tenure. Another action item for this goal will be updating the SNS website to include shortcuts to the most common information needed by new faculty. For the third goal, our immediate action item is to reconnect faculty to staff through a series of in-person events as soon as is feasible. As part of this effort, we will identify missing essential support and infrastructural faculty needs so that addressing them can be a priority. Finally, SNS will begin discussions with the department chairs and CETL to explore different approaches to evaluating teaching beyond just student comments, such as peer observation, self-reflection and quantitative assessment, and student interviews.

Proposed Action Items (see Task Force Report for more details and metrics)

2021-2022

- Develop a community approach to mentoring faculty, creating a near-peer situation through a formal mentoring program.
- Create opportunities for faculty mentors to be recognized for their service, such as sponsored mentor/mentee lunches, nominations for the Faculty Senate mentorship award, or creating such an award within the School.
- Design a new onboarding process for new faculty, including introductions to faculty support staff, information on how to interact with ORD, SPO, and budget administration, as well as clear information about the merit and promotion process.
- Work with SNS staff to regularly update the SNS website so faculty can easily find who to contact for different support functions.
- Schedule events leading to re-establish more interactions between faculty and staff.

2022-2023
- Explore ways to provide funds to attend mentoring workshops (such as Center for Improvement of Mentored Experiences in Research (CIMER) or National Research Mentoring Network (NRNM) mentor training) for both junior and senior faculty as well as provide workshops in house to assist faculty in their mentoring efforts.
- Build a better communication link between new faculty and ORD services so faculty know who to contact and ORD staff are more aware of faculty who are seeking assistance with the grant process and their research fields.
- Encourage departments to examine acceleration criteria for advancement cases rather than relying on faculty to request acceleration for themselves.
- Work with departments to ensure new faculty meet with their chair to cover specific topics like departmental structure and roles including existing committeesand assignments, teaching obligations, expectations for tenure, and the importance of having a faculty mentor.

2023 and after
- Establish additional metrics to complement student evaluations for use in the advancement of faculty to provide constructive criticism and feedback from senior colleagues/mentors.

SI 4. Identify technical skill sets essential to success in STEM fields and incorporate them into our existing majors through cross-disciplinary courses.

Motivation for this Strategic Initiative:
The design of our SNS majors was guided by careful analysis of the knowledge and skills expected of college graduates in each field. We now plan to augment this discipline-based content with skill sets that are in high demand in STEM careers. Such "signature" skill sets will help distinguish our students, increase the value of our discipline-based majors to students in their careers, and highlight the depth of our collective technical skill base across all of our disciplines.

Summary of Task Force Report (see appendix for full report)
[Note that the action items for SI 4 and SI 5 were developed by a single task force and are described in a single report in the appendix but given separate narrative summaries and action item lists in this document.]

The task force identified three broad thematic groups of goals related to this Strategic Initiative with the following broad aims: 1) Assess job markets and improve career resources for SNS majors; 2) Improve or repackage existing programs to better match with job markets (see goals related to new programs in SI 5); and 3) Reorganize Program Learning Outcomes (PLOs) across SNS majors to highlight signature, career-oriented skill sets. The task force identified as a key challenge the general lack of knowledge amongst the faculty about opportunities and needed skills in non-academic careers. Therefore, the key near-term goals and action items are to gather job market data and prepare a report to discuss with department chairs and/or curriculum leads, and then work with Admissions to better promote the career opportunities afforded by our existing

majors. A related action item is to create a stronger link between the campus Center for Career and Professional Development and SNS.

For the second aim, the near-term goals and action items involve building better links to industry, both to get information about what skills employers are looking for, and to locate additional opportunities for internships and job fairs. Finally, the task force recommends that a working group develop sets of key skill sets both for individual majors as well as general skills for all SNS students (e.g. "critical thinking", "statistical comprehension", etc.) These lists will be the basis for subsequent actions to modify, where necessary, the PLOs. In addition to updating the PLOs to better align with career skills, the task force also recommended actions to focus on student learning throughout the curriculum, rather than just what is needed to pass individual courses.

Proposed Action Items (see Task Force Report for more details and metrics)

2021-2022

- Gather and analyze real-time job market data, potentially through an external vendor, and map back to current and potential future SNS majors.

- Prepare a report and present results in an SNS-wide town hall meeting with the opportunity for each department to meet with SNS leadership.

- Work with Admissions to prepare promotional/recruitment materials to reflect new and existing programs and job market focus, and possibly use career opportunities and recent alumni data to advertise careers and academic programs.

- Build a stronger bridge between the Center for Career and Professional Development and SNS.

- Compile lists of existing relationships between SNS departments and potential employers (e.g. the Advisory Board in the Physics Department), including "role model" alumni.
- Create a list of signature skillsets for SNS majors, including a description of what a successful demonstration of each skill set looks like.
- Work with the departments to identify gaps in curricula needed for high-demand careers.
- Hold an interdepartmental workshop focused on assessing the capacity of existing program learning outcomes to build skill sets and revising them as necessary.
- Regularly share retention rates by major to chairs of departments and majors
- Implement *"Mentoring Mondays"* as regular opportunities for informal mentorship by faculty. We note that this also helps to "personalize" faculty for students.
- Support faculty involving students in research, including use of Learning Labs for undergraduate projects, instructional funds for course-based research projects, and support for faculty to lead research training grants.

2022-2023

- Increase the flow of information from the Center for Career and Professional Development to advisors and faculty via annual to bi-annual training and workshops.
- Use information from the job market analysis to help each department work with the Center for Career and Professional Development and/or SNS career specialists to identify potential employers and propose a pathway for student interactions with employers.
- By major, propose changes in programs or addition of minors or emphasis tracks based on existing (or potentially new) courses and, where appropriate, highlight skill sets leading to career options. (See SI 5)
- Submit revised program learning outcomes to UGC.

- Organize regular workshops and panel discussions for students to hear from alumni and industry partners.
- Implement timely "Milestone Mentoring" events centered around specific student needs. An example would be an event in January focused on planning for summer jobs/internships.
- Create opportunities for faculty to learn how to effectively teach new skill sets.

2023 and after

- Incorporate career and professional training into courses that satisfy GE requirements and/or consider establishing a new course focused on career and professional development training.
- Help departments to develop and execute plans for providing student interactions with potential employers.
- Periodically evaluate signature skill sets relative to workforce needs.

SI 5. Develop new majors, tracks, minors, MS degrees, and/or combined BS/MS programs in high-demand areas.

Motivation for this Strategic Initiative:

To continue to provide relevant and in-demand STEM educational programs, we must be nimble in response to the shifting needs of the region, state, and nation. While some of our undergraduates anticipate continuing to graduate-level training in their discipline, others are aiming to enter careers either directly after graduation or after applied professional training in areas like teaching, allied health professions, or applied environmental science. Therefore, we will consider a range of new majors, minors, or degree tracks, as well as combined BS/MS programs that more directly feed into the careers many of our current and future students are looking for and are needed in our region.

Summary of Task Force Report (see appendix for full report)

[See note from SI 4 description above]

The task force organized their recommendations into two themes related to increasing student numbers in existing majors and creating new high-demand programs. These themes are 1) Increase the number of transfer and incoming students; and 2) Create new programs to better match with job markets. For the first theme the immediate action item is to identify barriers faced by potential transfer students, for example too onerous pre-transfer requirements or too lengthy a path to graduation after transferring. Subsequent action items will be to make changes to lower the barriers identified. For the second theme, the immediate action item is to add new career-oriented emphasis tracks to existing majors, beginning by creating a K-12 education track for every major. Additionally, based on previous planning discussions, the task force suggests prioritizing pre-health and data science as emphases likely to be popular and well-connected to career opportunities. These ideas will be tested using market analytics. Finally, the task force suggests exploring new cross-school majors in areas such as sustainable agriculture, public health, and environmental sustainability and justice. Other possible contributors to and beneficiaries of this effort will be graduate students and postdocs who sometimes have more current information about the job skills needed in high-demand areas. Moreover, some of the skill-training activities could be adapted for graduate students or postdocs.

Proposed Action Items (see Task Force Report for more details and metrics)

2021-2022

- Identify what barriers exist for transfer students to each major (e.g. required pre-requisites, number of incoming credits, time to graduation).
- Identify existing gaps for education credentials for each major.

- Fill existing gaps to achieving teaching credentials within each major and add an education emphasis track.
- Compile information from other campuses on the required skills, and experiences needed for a pre-health certificate, and identify any new courses that need to be developed for such a credential.
- Consult with the Office of Medical Education, HSRI, and UC Cooperative Extension for marketing and connections with health employers.
- Work with the departments to develop and submit a proposal for a pre-health certificate.
- Convene one or more working groups to discuss and assess opportunities for cross-school programs in areas including, but not limited to, sustainable agriculture, public health, environmental sustainability and justice, and data science.

2022-2023
- Consider and implement options to removing barriers for incoming transfer students
- Add education emphasis to each major.
- Encourage and support departments in developing new cross-campus programs.

2023 and after
- Launch new cross-campus programs.

SI-6. Systematically modernize our courses and pedagogical methods throughout our curricula.

Motivation for this Strategic Initiative:
New technologies and research are fostering interest in evidence-based pedagogical methods in the nation's top universities, and we should employ them here at UC Merced. Our students bring many strengths in the form of resilience, breadth of experience, and motivation to succeed in their studies. Emerging pedagogical techniques can harness those strengths to help students succeed. Several SNS faculty and instructors have adopted innovative teaching methods ranging from "flipped classrooms" to hybrid online/in-person teaching, and these efforts should be fostered and expanded. Additionally, the switch to remote learning in response to the Covid19 pandemic has made everyone familiar with tools for remote education, which may offer a unique opportunity to incorporate new technologies into post-Covid19 teaching.

Summary of Task Force Report (see appendix for full report)
The task force organized their recommendations into two sections focusing on faculty and students, respectively. The faculty section addresses pedagogical training for faculty and instructors, improved coordination of the courses and curricula among SNS majors, and steps towards creating a culture of teaching excellence. The second section focused separately on the three phases of our students' education: onboarding, first year, and finally second year to graduation. The task force proposed several near-term action items to promote pedagogical training, including organizing team-taught courses that pair faculty with differing levels of experience in innovative teaching, establishing an SNS/CETL "Pedagogical Fellows" program to help faculty learn teaching techniques, develop innovative course materials, and make use of "Graduate Student Teaching Fellows", advanced TAs who can take on additional teaching responsibilities and help with innovative teaching. A final related point is the need to incentivize faculty to modernize existing courses or introduce new courses on contemporary topics.

Another set of action items begins the process of developing a "multidimensional" approach to teaching evaluations that go beyond written student evaluations and could include peer evaluations, careful review of the teaching materials, conversations with the instructors about their teaching, and other assessment tools. The task force also recommends that the SNS Curriculum Committee be

immediately reconstituted and that all departments establish such committees. The role of the curriculum committees would be to ensure that courses and curricula are coordinated within and between majors and to serve as a liaison to other schools and CETL. Additionally, the task force proposed several other specific actions to improve teaching such as including Unit 18 lecturers and teaching staff in departmental meetings, designing teaching plans that help faculty and instructors improve teaching, modifying teaching credit to reflect actual effort (e.g. give additional credit for large enrollment or logistically complex classes), and hiring more teaching faculty with pedagogical training. Finally, there are several action items related to identifying elements of online teaching that should be preserved post-COVID19.

The task force developed a list of action items related to improving student success. For new students, they recommend working with other campus units to develop a summer bridge program that includes success workshops and to start outreach to the Merced City School District to help prepare students for admission to UC Merced as established by our Chancellor. For first-year students in the near term, the task force proposed evaluating the possibility of a pass/no-pass option in lower-division classes and increasing the academic focus of the Living-Learning Communities.

Proposed Action Items (see Task Force Report for more details and metrics)

2021-2022

- Work with departments to explore equitable team-teaching options that mix experienced and new instructors for large courses using innovative pedagogies.
- Explore instituting an SNS/CETL Pedagogical Fellow program and expanding the Graduate Student Teaching Fellows (GSTF) program for large-enrollment courses.
- Reconstitute the SNS curriculum committee.
- For departmental teaching plans, prioritize opportunities for faculty and instructors to teach the same class multiple times.
- Include instructors and instructional staff in department meetings related to teaching.
- Explore strategies for teaching credit to reflect actual effort in teaching specific courses.
- Institute policies for teaching relief for faculty or instructors reforming classes or curricula.
- Ensure that searches for Unit-18 Lecturers are advertised widely, include interviews that assess candidates' teaching, and are concluded well ahead of the term they are needed.
- Create SNS-level awards for teaching at the faculty, instructor, and graduate student level.
- Work with campus-wide units on SNS-specific components for Summer Bridge programs.
- Coordinate with campus resources to provide student success workshops during orientation.
- Explore the possibility of allowing pass/no pass grading options in lower-division courses.
- Consider eliminating the practice of dismissing students after only one semester for low GPA.
- Work with Student Services to better link SNS students to campus support services such as CAPS, food bank, etc.
- Work with the VPDUE to ensure an academic focus within the Living Learning Communities.

2022-2023

- Explore the use of multidimensional evaluation of teaching in SNS for merit and promotion.
- Pilot use of peer observation of teaching as a possible SNS requirement.
- Incentivize faculty to participate in professional development workshops on pedagogy.

- Create department-level curriculum committees.
- Explore outreach to regional high schools regarding UCM admission guarantees.
- Encourage faculty and instructors to provide early course feedback to help students decide whether they should continue in a class.
- Work with VPDUE on piloting "parachute classes" to allow student flexibility in dropping classes without falling below minimum unit requirements.

2023 and after
- Encourage departments to include planning for additional Teaching Faculty hires as part of their long-term planning.
- Evaluate the post-pandemic potential of online and hyflex classes.
- Feature tools to help students match with degree programs that are aligned with their career goals.
- Work with SNS Excel! Program, VPDUE, and Student Services to develop SNS-specific support for mid-semester DFW students.
- Work with VPDUE to explore adopting the UT Austin system for identifying at-risk students and enrolling them into a support program.
- Explore creating honors discussion/lab sections embedded within regular lecture courses to encourage top students to stay at UC Merced.
- Offer interdisciplinary, SNS-wide, courses that teach signature skills (e.g. data science).
- Develop materials to train faculty and TAs on how to incorporate academic supports into the instructional time.

SI 7. Improve our doctoral programs to achieve R1 size and research productivity.
Motivation for this Strategic Initiative:
Growth of our graduate programs, as well as increases in the fraction of our students with research funding, are a key prerequisite for UC Merced to achieve Carnegie R1 ("Very high research activity") status. This strategic initiative focuses on many of the elements required to build R1-quality graduate programs, ranging from effective student recruitment to timely graduation and placement into good jobs or post-doctoral positions. At present, there are challenges to success in building our graduate programs including the small size of our current graduate programs and research groups, the large fraction of junior faculty with less experience mentoring students, and the relative lack of GSR student funding, especially for students in their first year. Note that although the focus of the strategic initiative is on graduate students, several items including mentoring training for faculty are relevant to post-doctoral scholars.
Summary of Task Force Report (see appendix for full report)
The task force organized its proposed action items around four stages in graduate education: 1) recruitment, 2) onboarding into the program, 3) progress in their graduate studies, and 4) degree completion and transition to jobs or post-doctoral positions. For each stage, multiple goals and associated action items are proposed. For the recruitment stage, the task force's near-term goals/actions are to increase the size of the applicant pool by focusing on "near-peer" UCs and academically strong CSU campuses and to provide graduate group chairs with resources to offer financial incentives to the top applicants. For the second, "onboarding" stage, the task force's first-year action items include working with Graduate Division to expand the Summer Bridge program while reducing the amount of material introduced during GROW week. Another first-year action

item is to provide graduate students with additional mentors, beyond their research advisor or committee, and to pursue ways to provide non-TA first-year funding for graduate students.

To support the progress and success of students after their first year, the task force recommends creating an SNS Student Research Success Center that will coordinate with other campus centers to provide training for core research skills like writing, public speaking, and data analysis. This center will provide information on help in mentoring, career preparation, and problem or conflict resolution. The task force also prioritized creating a "Student Scholars" program within this center for students with strong research records to help staff the center and provide student mentoring. Finally, the task force identified several other high-priority action items including developing workshops and training materials to improve faculty/student mentoring, identifying "student ambassadors" to help students facing problems, and finally improving amenities for graduate students, ranging from support to start clubs to more equitable and affordable parking. For the final stage of degree completion and transition, the task force's highest priority is to improve on-time graduation rates through offering more dissertation fellowships.

Proposed Action Items (see Task Force Report for more details and metrics)
2021-2022
- Increase recruitment from near-peer UC's, CSU's as well as exploring targeted international recruiting.
- Outeach to LSAMP and SACNAS chapters with strong faculty representation at SACNAS.
- Provide grad chairs with the ability to offer financial incentives to students their faculty most want to recruit.
- Provide additional mentors for students beyond their research advisor or committee, especially in Year 1.
- Improve funding opportunities for first-year students so that fewer are supported as TAs.
- Establish an SNS Student Research Success Center, to eventually be staffed by "Student Scholars", funded by GSR/Fellowships.
- Organize fellowship planning and writing workshops within the SNS Research Success Center.
- Within the SNS Research Success Center, create a database of document and presentation templates, examples, and prompts so that students have a place to get such resources whenever they need it.
- Organize faculty-as-mentors/managers and students-as-mentees professional training workshops.
- Collect best mentoring practices so that both faculty and students have access to resources.
- Appoint and train two student ambassadors to mentor students if they feel stuck with their research or advisor.
- Encourage the founding of graduate student clubs for each grad group that have both social and development activities.
- Provide better TA training activities during GROW week, along with regular check-ins during the first semester of TAing.
- Work with Graduate Division to expand Summer Bridge and reduce the amount of information presented during GROW week.
- Provide additional final-semester dissertation fellowships.

2022-2023
- Find opportunities to talk about graduate research at UC Merced in upper-division courses taken by juniors and first-semester seniors.
- Implement first-year check-ins for all grad students.

- Encourage graduate groups to create more standardized coursework/curriculum in the first year.
- Award small fellowships to tangible research outputs, e.g., first-author publications, books, patents, computer codes, external grants, and external fellowships.
- Create common workspaces (within each building or in the SNS Student Research Success Center) and optimize student office space so that it is quiet enough to get writing and research done.
- Train students on appropriate facilities such as instrumentation or computation with staff support.
- Regularly offer science writing classes.
- Explore creating an SNS student writing time an accountability group, modeled after NFCDD (within SNS Research Success Center).
- Enable students to have a forum for voicing concerns to their committee independent from their advisor.
- Work with TAPS to discuss the importance of adding affordable parking options (e.g., cheaper parking after 3 pm).
- Supplement/expand on the Graduate Division Dissertation Bootcamp.
- Institutionalize workshops/panels/clubs for helping graduate students with post-doctoral/job applications and related skills.
- Promote student participation in summer internships at non-academic institutions.

2023 and after
- Consider ways to lower barriers to recruiting students, such as subsidizing moving costs for all graduate students, making on-campus housing available to graduate students, or providing more help in finding off-campus housing.
- Explore the feasibility of graduate groups sponsoring graduate student memberships in professional organizations and societies.

SI 8. Focus on staff training, development, and professional advancement in an atmosphere that fosters mutually respectful and productive working relationships among staff and faculty.

Motivation for this Strategic Initiative:
It is impossible to achieve our vision for the School without staff, and their success is as crucial as that of our faculty and students. The staff is the engine of the academic enterprise and, like an engine, requires careful attention and investment to ensure sustainable, peak performance. The task force for this initiative included front-line staff, managers, and faculty. Together they developed a list of action items for advancing each of these areas and developing measures of success that will include climate surveys and new evaluation tools as well as metrics.

Summary of Task Force Report (see appendix for full report)

The task force organized their recommendations into four focus areas. The first three are staff training, development, and professional advancement, and the fourth is staff-faculty collaboration. The task force then organized a multi-year plan for improvements to these focus areas including action items for each year. The first year's action items include the first step in a 3-year effort to address JEDI issues, as well as a management review initiative that will create a baseline for workload associated with current or proposed administrative processes. Additional first-year action items involve steps towards creating a culture of advocacy within the SNS staff and staff

leadership and forming a partnership with the school's faculty to develop ways to increase community and cooperation between faculty, staff, and students. In the second year, the action items include improving the SNS staff performance appraisal process, formalizing the onboarding process for new staff, and creating an SNS annual report. The third-year action items include expanding the scope of the SNS EXCEL! program to assist student services units and faculty, as well as increasing the presence of SNS staff on campus-wide committees and organizations. Another third-year action item is to foster a culture of professional development and community for SNS student staff, including more formal mentoring of student staff as well as opportunities to participate in training and instituting On-the-Spot awards and an appreciation event for student employees.

Proposed Action Items (see Task Force Report for more details and metrics)

2021-2022

- Begin the creation of an EDI Culture and develop SNS staff cultural competencies.
- Implement a Management Review Initiative.
- Encourage SNS supervisors and staff to nominate one another for awards within SNS and across campus.
- Create a Faculty and Staff Partnership Liaison.
- Create an SNS Faculty Resource Webpage.

2022-2023

- Continuation of and end-of-year review of Year 1 actions.
- Improve SNS staff performance appraisal process.
- Formalize Staff new hire procedures and onboarding
- Create SNS Annual Report.
- Expand the scope of the SNS Staff Council to include community service, faculty collaboration events, and more diverse offerings in the Professional Development Series.
- Hold SNS summer retreat for faculty and staff.
- Create SNS faculty support workshop series.
- Create a sense of SNS pride and culture through branding, marketing, and annual events hosted by SNS.

2023 and after

- Expand presence of External Relations, Alumni Relations, and Campus Events team in SNS initiatives and events.
- Expand Scope of the SNS EXCEL! Program to increase services in support of faculty and academic advising/student support units.
- Increase SNS Staff presence in inter-campus committees, organizations, student RCOs, and collaborations with other campus units in campus initiatives.
- Implement a Sustainability Initiative where all SNS Staff Unit offices are LEED Certified under the Green Office Program through the Office of Sustainability at UC Merced.
- Create a culture of professional advancement and community for SNS Student Staff through mentoring, regular check-ins, inclusion in more Staff events and recognition for their work.

SI 9. Develop our donor base to support faculty research programs, research infrastructure, student and post-doctoral fellowships, and relationships that build pipelines to employment and professional programs for alumni.

Motivation for this Strategic Initiative:

A strong portfolio of philanthropic investments raises the status of an institution and is a crucial source of funding, especially in the face of uncertain state and federal investment. Each of our strategic initiatives makes a compelling case that should interest philanthropists, foundations, and industries – our focus on equity and justice, research centers, faculty development, Endowed Chairs, "signature skillsets", curricular reform, enhancing graduate programs, and fostering a respectful and inclusive workplace. Our focus on "signature skillsets" will open the door to pipeline programs that move our students into satisfying careers that benefit their communities. In collaboration with department chairs and faculty, the Dean will further refine the School's priorities and work with Development to share our vision with alumni, individuals, and entities of means who share our values and can connect us to robust networks of like-minded people. A strong donor base is critical to our vision of being a world-class research campus that provides exceptional and equitable STEM education and establishes the Central Valley as a hub for integrative, transformative, and translational research and sustainable development.

The Dean's Office and SNS faculty will begin working on action items for more strategic school-level development plans at the beginning of the AY21-22 school year. Among them will be to establish an external advisory board in order to build our donor network, establish relationships that will benefit our faculty and students, and provide feedback on our signature skill sets.

Justice, Equity, Diversity and Inclusion Mission Statement
School of Natural Sciences, UC Merced

Introduction.

We are the School of Natural Sciences at the University of California, Merced. An important part of our mission is to train the next generation of scientifically and technologically literate students from diverse backgrounds that UC Merced was built to serve. We strive to create and maintain an inclusive environment for all, through our teaching, our research, and our mentoring. We welcome the lived experiences and identities of all members of the UC Merced community. We commit to the principles and concepts expressed by both the University of California and UC Merced, including the idea that "Diversity – a defining feature of California's past, present, and future – refers to the variety of personal experiences, values, and worldviews that arise from differences of culture and circumstance. Such differences include race, ethnicity, gender, age, religion, language, abilities/disabilities, sexual orientation, gender identity, socioeconomic status, and geographic region, and more." We believe that an intentional commitment to justice, equity, diversity, and inclusion enhances our mission as a scientific institution and provides access and opportunity to all.

Our motivation.

Historically, many individuals and groups have been unfairly blocked from participating in and contributing to the scientific enterprise; the legacy of this injustice can still be seen today. As part of a 21st century research university, the School of Natural Sciences commits to creating an inclusive, fair environment for all, one that enhances and supports diverse perspectives and lived experiences. Diversity broadens the reach and deepens the impact of all activities conducted by the School of Natural Sciences, including scientific inquiry, education, and engagement within the community that we serve.

Our vision.

The human race and the planet face imminent challenges. By creating an inclusive environment that enhances and supports diverse perspectives, we position ourselves to have a better chance to address large-scale, societal challenges. We seek an environment such that people from all backgrounds perceive that joining the School of Natural Sciences – as students, staff, or faculty – is possible. We envision that through pursuit of this goal, we will improve our ability to execute our mission, and ultimately to raise the level of human flourishing in our community and beyond.

Our commitment.

Within the School of Natural Sciences, we will increase, support, and celebrate our diversity with an equitable and inclusive work environment. We will do so by:

- Working against explicit and implicit discrimination and towards a respectful environment where all scholars, staff and students can thrive both professionally and personally.

- Instilling a sense of responsibility for each individual regarding their words and actions, especially while engaging with the School of Natural Sciences' community of scholars.

- Working with explicit intention to identify and overcome barriers to success and inclusion for minoritized groups.

- Actively engaging in training and reflection to ensure we invite and actively listen to those whose voices and perspectives have been unfairly disregarded.

- Encouraging civil discourse, recognizing that being able to disagree and have intellectual debates is part of the process of discovery.

We value all people and the positive contributions they make to the School of Natural Sciences. More than just seeking fairness and equal opportunity in the work that we do, we strive to recognize, acknowledge, and respect everyone's unique lived experience and perspective as we work collaboratively to advance the mission of the School of Natural Sciences.

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[1] In early 2018, Prof. Arnold Kim (in his role as Faculty Equity Advisor for SNS) and Prof. Dan Edwards conceived of the notion that SNS should have a statement of diversity, equity, and inclusion. They organized three externally facilitated discussions and used notes from those meetings to draft a statement in the spring of 2018. They then sought approval of this document through NSEC. Prof. Erik Menke (NSEC Chair in AY 2018-19) requested feedback from SNS faculty on October 16, 2018 and circulated the compiled results on December 10, 2018. Professors Edwards and Kim submitted a revised statement to the NSEC in November of 2019. The statement was discussed but inadvertently fell off NSEC's agenda in early 2020.

On January 27, 2021, Dean Dumont asked the NSEC to revisit and approve the statement. NSEC (chaired by Prof. Harish S. Bhat in AY 2020-21) produced a revision in mid-February that was presented at the Long-Range Planning meeting on February 18, 2021. Attendees offered further suggestions, including sending the statement to UC Merced's Office of Equity, Diversity and Inclusion (OEDI). In mid-March, the statement was revised again based on the Long-Range Planning group's comments and the OEDI. NSEC approved the revised statement, which was then sent to the broader SNS community for feedback along with the JEDI Task Force Report. Based on that feedback, final revisions were completed by the SNS JEDI task force and approved by Dean Dumont.

For a more complete explanation of the terms and principles covered here, please visit the UC Merced Office of Equity, Diversity and Inclusion.

Strategic Initiatives, Goals and Action Items
School of Natural Sciences
May 2021

SI 1: Comprehensively interweave concepts and practices of diversity and justice into all academic and personnel		
	Start dates	End dates
Goal: Adapt the culture of SNS to seamlessly incorporate JEDI into research, teaching, and service, and ensure JEDI representation to faculty, students, and staff	2021-22	N/A - ongoing
Create an SNS Standing JEDI Committee to advise departments, graduate groups, administrative staff, as well as graduate and undergraduate students on JEDI-related issues	2021-2022	2022-23
Appoint a part-time Associate Dean for JEDI	2021-2022	2022-23
Work with department chairs and Dean's office to negotiate credit and/or compensation for JEDI Committee members	2021-2022	N/A - ongoing
Begin development of JEDI-related references/toolkits for graduate programs, curriculum development, and academic personnel functions	2021-2022	2022-23
Start coordination with UCM EDI Office	2021-2022	2022-23
Work with Departments to annually assess contributions to JEDI	2022-23	N/A - ongoing
Find appropriate survey instruments to assess climate and attitudes experienced by students, faculty, and staff in SNS; organize the administration and analysis of these surveys.	2022-23	2023-24
Make a model rubric as an example for departments to evaluate diversity statements for tenure and promotion. process	2022-23	2022-23
Work with Departments, Dean, and APO to develop recommended best practices for describing EDI activities in self-statements, cases, and transmittal memos.	2022-23	2022-23
Negotiate with Provost's Office and/or Vice Provost for Faculty on the possibility of half-step increases for larger loads for of EDI service	2022-23	N/A - ongoing
Improve interactions with staff and faculty to learn about each other (break down barriers, get to know others more personally); find commonalities (community building)	2022-23	N/A - ongoing
Raise awareness of power differential between faculty and staff and identify issues that have caused pain in the past between faculty and staff	2022-23	N/A - ongoing
Work with Human Resources and relevant unions to compensate or credit staff for work on EDI	2022-23	2024-25
Develop a website with resources on EDI issues	2022-23	2023-24
Lower the barrier at the faculty or and graduate student level to report or address EDI issues, including smaller issues before they escalate into larger problems	2022-23	2023-24
Propose a system to more equitably evaluate service contributions for promotion – consider different mechanisms to think through service loads for individual faculty	2023-24 or later	N/A - ongoing
Work with Dean and Chairs to advocate to the Provost for more FTEs for diversity hires	2023-24 or later	N/A - ongoing
Work with Vice Provost for Faculty to determine how FEAs will work with or participate on the SNS JEDI committee	2023-24 or later	N/A - ongoing
Work with Vice Provost for Faculty to refine FEA functions such that they do not cause significant delays in hiring processes	2023-24 or later	N/A - ongoing
Make sure JEDI service is considered equivalent to other faculty service	2023-24 or later	N/A - ongoing
Work with Graduate School to discuss roles for a new Graduate Student Committee Forum for complaints and issues related to supervisors or mentors (at school or department level)	2023-24 or later	N/A - ongoing
Work with Graduate School to discuss roles for a new Graduate Student Committee Forum for complaints and issues related to supervisors or mentors (at school or department level)	2023-24 or later	N/A - ongoing
Advocate to facilities and campus planning committees for more single-use/gender-neutral restrooms and lactation rooms	2023-24 or later	N/A - ongoing
Advocate for expanding access to and retaining the quality of the ECEC	2023-24 or later	N/A - ongoing
Assess the effectiveness of the JEDI committee in bringing best practices to the School.	2023-24 or later	N/A - ongoing
SI 2. Establish Research Centers, Institutes, and ORUs in existing and emerging areas of strength.		
Goal: Organize long range planning and sequencing for new Centers and Institutes	2021-22	2023-24

Organize a meeting of interested faculty to review and prioritize ideas for new center grants and forward recommendations to other faculty, the Dean, and, as necessary, the Vice Provost for Research or Provost	2021-22	2022-23
Schedule annual workshops for faculty to discuss new center ideas and upcoming funding opportunities	2021-22	N/A - ongoing
Create a single informational website or CatCourse page that posts information about new center proposals being developed in SNS	2023-24 or later	2023-24
Goal: Establish mechanisms to provide technical and administrative support for preparing center proposals	2021-22	2023-24
Arrange a meeting with or survey current and prospective leads of large center grants to identify support needed to develop and submit large grants, include ideas for direct or indirect incentives for faculty leading new proposals.	2021-22	2022-23
Arrange a meeting between current center PIs and representatives from SPO and possibly HSRI, SNRI, or other campus entities to draft a template timeline for center grant planning and make this available to interested faculty.	2022-23	2023-24
Goal: Support for funded Centers, Institutes and ORUs	2021-22	2023-24
Organize a meeting of current and past UCM center directors to discuss the administrative tasks where they most need active administrative help from other campus units, including HR, facilities, campus housing, etc.	2021-22	2022-23
Meet with leads of the campus units that centers need to work with to establish common grounds for optimal cooperation on center activities	2021-22	2022-23
Set up a process for coordinating with campus units during the development of center grants to establish what help is available and what costs might be involved	2022-23	2023-24
SI 3. Develop deliberate strategies to increase publications in high-profile journals, promote awards and prestige		
Goal: Mentoring and mentorship training for new and continuing faculty	2021-22	2023-24
Develop a community or collectivist focused approach to mentoring, creating a near-peer situation through a formal mentoring program	2021-22	2022-23
Create opportunities for faculty mentors to be recognized for their service, such as sponsored mentor/mentee lunches, nominations for the Faculty Senate mentorship award, or creating such an award within the School.	2021-22	2022-23
Explore ways to provide funds to attend mentoring workshops (such as Center for Improvement of Mentored Experiences in Research (CIMER) or National Research Mentoring Network (NRNM) mentor training) for both junior and senior faculty as well as provide workshops in house to assist faculty in their mentoring efforts.	2022-23	2023-24
Encourage departments to examine acceleration criteria for advancement cases rather than relying on faculty to request acceleration for themselves.	2022-23	2023-24
Goal: Creating a welcoming space for new faculty at UC Merced	2021-22	2022-23
Design a new onboarding process for new faculty, including introductions to faculty support staff, information on how to interact with ORD, SPO, and budget administration, as well as clear information about the merit and promotion process.	2021-22	2022-23
Work with departments to ensure new faculty meet with their chair to cover specific topics like departmental structure and roles including existing committees and assignments, teaching obligations, expectations for tenure, and the importance of having a faculty mentor.	2022-23	2022-23
Work with SNS staff to regularly update the SNS website so faculty can easily find who to contact for different support functions.	2021-22	2022-23
Goal: Create a support infrastructure for faculty grants and publications	2021-22	N/A - ongoing
Schedule events leading to re-establish more interactions between faculty and staff.	2021-22	N/A - ongoing
Build a better communication link between new faculty and ORD services so faculty know who to contact and ORD staff are more aware of faculty who are seeking assistance with the grant process and their research fields.	2022-23	2023-24
Goal: Enhance methods for evaluating teaching	2023-24 or later	N/A - ongoing
Establish additional metrics to complement student evaluations for use in the advancement of faculty to provide constructive criticism and feedback from senior colleagues/mentors.	2023-24 or later	N/A - ongoing
SI 4. Identify technical skill sets essential to success in STEM fields and incorporate them into our existing majors		

Goal: Gain a better understanding of current and future job markets for SNS majors	2021-22	N/A - ongoing
Gather and analyze real-time job market data, potentially through an external vendor and map back to current and potentially future SNS majors.	2021-22	2024-25
Prepare a report and present results in a SNS-wide town hall meeting with opportunity for each department to meet with SNS leadership.	2021-22	2024-25
Work with Admissions to prepare promotional/recruitment materials to reflect new and existing programs and job market focus, and possibly use career opportunities and recent alumni data to advertise careers and academic programs.	2021-22	2024-25
Periodically evaluate signature skill sets relative to workforce needs	2023-24 or later	N/A - ongoing
Goal: Bolster career and professional development resources within SNS	2021-22	N/A - ongoing
Build a stronger bridge between the Center for Career and Professional Development and SNS.	2021-22	2023-24
Increase the flow of information from Center for Career and Professional Development to advisors and faculty via annual to bi-annual trainings and workshops.	2022-23	2022-23
Incorporate career and professional training into courses that satisfy GE requirements and/or consider establishing a new course focused on career and professional development training.	2023-24 or later	N/A - ongoing
Goal: Create opportunities for students to prepare for the job market by developing and enhancing relationship between SNS and potential employers	2021-22	N/A - ongoing
Compile list of existing relationships between SNS and/or departments and potential employers (e.g. Advisory Board in Physics Department), including "role model" alumni.	2021-22	2022-23
Use information from the job market analysis to help each department work with the Center for Career and Professional Development and/or SNS career specialists to identify potential employers and propose a pathway for student interactions with employers.	2022-23	2023-24
Help departments to develop and execute plans for providing student interactions with potential employers.	2023-24 or later	N/A - ongoing
Goal: Re-engineer existing programs to connect with jobs in high demand and work with Admissions to advertise this connection.	2021-22	2024-25
Work with the departments to identify gaps in curricula needed for high-demand careers.	2021-22	2022-23
By major, propose changes in programs or addition of minors or emphasis tracks based on existing (or potentially new) courses and, where appropriate, highlight skill sets leading to career options.	2022-23	2024-25
Goal: Organize program learning outcomes around signature skill sets	2021-22	2024-25
Create a list of signature skill sets for SNS majors, including a description of what a successful demonstration of each skill set looks like.	2021-22	2022-23
Hold an interdepartmental workshop focused on assessing the capacity of existing program learning outcomes to build skill sets and revising them as necessary.	2021-22	2023-24
Submit revised program learning outcomes to UGC	2022-23	2024-25
Goal: Increase the emphasis on the goal of student learning, not just passing/graduating students	2022-23	2023-24
Create opportunities for faculty to learn how to effectively teach new skill sets.	2022-23	2023-24
Goal: Use emphasis on career relevance of skills being taught to increase student interest and retention in lower division courses	2021-22	2023-24
Regularly share retention rates by major to chairs of departments and majors	2021-22	2022-23
Organize regular workshops and panel discussions for students to hear from alumni and industry partners.	2022-23	2023-24
Goal: Create opportunities for students to be mentored by faculty and see how skills learned in courses are applied	2021-22	N/A - ongoing
Implement "Mentoring Mondays" as regular opportunities for informal mentorship by faculty. We note that this also helps to "personalize" faculty for students.	2021-22	2022-23
example would be an event in January focused on planning for summer jobs/internships.	2022-23	2023-24

Support for faculty involving students in research, including use of Learning Labs for undergraduate projects, instructional funds for course-based research projects, support for faculty to lead research training grants.	2021-22	N/A - ongoing
SI 5. Develop new majors, tracks, minors, MS degrees, and/or combined BS/MS programs in high-demand areas.		
Goal: Remove barriers for transfer students	2021-22	2023-24
Identify what barriers exist for transfer students to each major (e.g. required pre-reqs, number of incoming credits, time to graduation).	2021-22	2022-23
Consider and implement options to removing barriers for incoming transfer students.	2022-23	2023-24
Goal: Add an education emphasis track for each major	2021-22	2023-24
Identify existing gaps for education credentials for each major	2021-22	2022-23
Fill existing gaps to achieving teaching credentials within each major and add education emphasis track	2021-22	2022-23
Add education emphasis track to each major	2022-23	2023-24
Goal: Create a pre-med/pre-health certificate	2021-22	2023-24
Compile information from other campuses on the required skills, and experiences needed for a pre-health certificate, and identify any new courses that need to be developed for such a credential	2021-22	2022-23
Consult with HSRI and UC Cooperative Extension for marketing and connections with health employers.	2021-22	2022-23
Work with the departments to develop and submit a proposal for a pre-health certificate	2021-22	2023-24
Goal: Create programs that cross all schools where job markets opportunities exist, potentially including sustainable agriculture, public health, and data science	2021-22	N/A - ongoing
Convene one or more working group to discuss and assess opportunities for cross-school programs in areas including, but not limited to, sustainable agriculture, public health, environmental sustainability and justice, and data science	2021-22	2022-23
Encourage and support departments in developing new cross-campus programs	2022-23	2023-2024
Launch new cross-campus programs	2023-24 or later	N/A - ongoing
Goal: Explore development of BS + 1 yr. MS programs	2021-22	N/A - ongoing
SI-6. Systematically modernize our courses and pedagogical methods throughout our curricula.		
Goal: Augmenting pedagogical training	2021-22	2023-24
Work with departments to explore equitable team-teaching options that mix experienced and new instructors for large courses using innovative pedagogies.	2021-22	2022-23
Explore instituting an SNS/CETL Pedagogical Fellow program and expanding the Graduate Student Teaching Fellows (GSTF) program for large-enrollment courses.	2021-22	2022-23
Explore the use of multidimensional evaluation of teaching in SNS for merit and promotion.	2022-23	2023-24
Pilot use of peer observation of teaching as a possible SNS requirement.	2022-23	2023-24
Incentivize faculty to participate in professional development workshops on pedagogy.	2022-23	2023-24
Goal: Improving Program- and School-level coordination	2021-22	2023-24
Reconstitute the SNS curriculum committee.	2021-22	2022-23
Create department-level curriculum committees.	2022-23	2023-24
For departmental teaching plans, prioritize opportunities for faculty and instructors to teach the same class multiple times.	2021-22	2022-23
Include instructors and instructional staff in department meetings related to teaching.	2021-22	2022-23
Goal: Promoting a culture of teaching excellence	2021-22	N/A - ongoing
Explore strategies for teaching credit to reflect actual effort in teaching specific courses.	2021-22	2022-23
Institute policies for teaching relief for faculty or instructors reforming classes or curricula.	2021-22	2022-23
Create SNS-level awards for teaching at the faculty, instructor, and graduate student level.	2021-22	2022-23
Encourage departments to include planning for additional Teaching Faculty hires as part of their long-term planning.	2023-24 or later	N/A - ongoing

Ensure that searches for Unit-18 Lecturers are advertised widely, include interviews that assess candidates' teaching, and are concluded well ahead of the term they are needed.	2021-22	2022-23
Goal: Exploring roles for on-line instruction	2023-24	N/A - ongoing
Evaluate the post-pandemic potential of online and hyflex classes.	2023-24 or later	N/A - ongoing
Goal: Student onboarding	2021-22	N/A - ongoing
Work with campus-wide units on SNS-specific components for Summer Bridge programs.	2021-22	2024-25
Feature tools to help students match with degree programs that are aligned with their career goals, and skills.	2023-24	N/A - ongoing
Coordinate with campus resources to provide student success workshops during orientation.	2021-22	2023-24
Create department-level curriculum committees.	2022-23	2022-23
Explore outreach to regional high schools regarding UCM admission guarantees.	2022-23	2022-23
Goal: Helping first-year students	2021-22	N/A - ongoing
Explore the possibility of allowing pass/no pass grading options in lower-division courses.	2021-22	2023-24
Consider eliminating the practice of dismissing students after only one semester for low GPA.	2021-22	2022-23
Work with Student Services to better link SNS students to campus support services such as CAPS, food bank, etc.	2021-22	2024-25
Work with the VPDUE to ensure an academic focus within the Living Learning Communities.	2021-22	2024-25
Encourage faculty and instructors to provide early course feedback to help students decide whether they should continue in a class.	2022-23	N/A - ongoing
Work with SNS Excel! Program, VPDUE, and Student Services to develop SNS-specific support for mid-semester DFW students.	2023-24 or later	N/A - ongoing
Work with VPDUE on piloting "parachute classes" to allow student flexibility in dropping classes without falling below minimum unit requirements.	2022-23	2024-25
Develop materials to train faculty and TAs on how to incorporate academic supports into the instructional time.	2023-24 or later	N/A - ongoing
Goal: Helping continuing students	2023-24 or later	N/A - ongoing
Work with VPDUE to explore adopting the UT Austin system for identifying at-risk students and enrolling them into a support program.	2023-24 or later	N/A - ongoing
Explore creating honors discussion/lab sections embedded within regular lecture courses to encourage top students to stay at UC Merced.	2023-24 or later	N/A - ongoing
Offer interdisciplinary, SNS-wide, courses that teach signature skills (e.g. data science).	2023-24 or later	N/A - ongoing
SI 7. Improve our doctoral programs to achieve R1 size and research productivity.		
Goal: Increase size and quality of the graduate applicant pool	2021-22	N/A - ongoing
More recruitment from UC's and CSU's as well as exploring targeted international recruiting	2021-22	N/A - ongoing
Find opportunities to talk about graduate research at UC Merced in upper division courses taken by juniors and first-semester seniors	2022-23	N/A - ongoing
Outreach to LSAMP and SACNAS chapters with strong faculty representation at SACNAS	2021-22	N/A - ongoing
Provide grad chairs ability to offer financial incentives to students faculty most want to recruit	2021-22	2022-23
Goal: Provide better support for students move to campus	2023-24 or later	N/A - ongoing
Consider ways to lower barriers to recruiting students, such as providing moving cost support for all students, making available on-campus housing for graduate students or providing more help in finding off-campus housing	2023-24	N/A - ongoing
Goal: Improve on-campus transition/orientation process	2021-22	2023-24
Work with Graduate Division to expand Summer Bridge and reduce the amount of information presented during GROW week.	2021-22	2023-24
Goal: Improve first semester/first year success	2021-22	N/A - ongoing

Provide additional mentors for students beyond their research advisor or committee, especially in Year 1	2021-21	2022-23
Implement first year check-ins for all grad students.	2022-23	2022-23
Encourage graduate groups to create more standardized coursework/curriculum in first year.	2022-23	N/A - ongoing
Improve funding for first year students so that fewer are supported on TAs	2021-22	N/A - ongoing
Goal: Develop a strong research culture	2021-22	N/A - ongoing
Establish an SNS Student Research Success Center, to eventually be staffed by 'Student Scholars', funded by GSR/Fellowships	2021-22	2023-24
Award small fellowships to tangible research outputs, e.g., first- author publications, books, patents, computer codes, external grants, external fellowships.	2022-23	N/A - ongoing
Create common workspaces (within each building or in the SNS Student Research Success Center) and optimize student office space so that it is quiet enough to get writing and research done	2022-23	2023-24
Train students on appropriate facilities such as instrumentation, computation with staff support.	2022-23	N/A - ongoing
Goal: Increase the number of students applying for fellowships	2021-22	2023-24
Organize fellowship planning and writing workshops (within SNS Research Success Center)	2021-22	2023-24
Goal: Improve student writing	2021-22	2023-24
Regularly offer science writing classes	2022-23	2023-24
Create SNS student writing time and accountability group, modeled after NFCDD (within SNS Research Success Center)	2022-23	2023-24
Within the SNS Research Success Center, create a database of document and presentation templates, examples, and prompts so that students have a place to get such resources whenever they need it.	2021-22	2022-23
Goal: Improve faculty/student mentoring relationships	2021-22	N/A - ongoing
Organize faculty-as-mentors/managers and students-as-mentees professional training workshops	2021-22	N/A - ongoing
Collect best mentoring practices so that faculty and students have access to resources	2021-22	N/A - ongoing
Goal: Create conflict resolution strategies to help students		
Appoint and train 2 student ambassadors to mentor students if they feel stuck with their research or advisor	2021-22	2023-24
Enable students to have a forum for voicing concerns to their committee independent from their advisor	2022-23	2023-24
Goal: Improve amenities for graduate students	2021-22	N/A - ongoing
Encourage the founding of graduate student clubs for each grad group that have both social and development activities	2021-22	2022-23
Work with TAPS to discuss importance of adding affordable parking options (e.g., cheaper parking after 3pm)	2022-23	2024-25
Explore the feasibility of graduate groups sponsoring graduate student memberships in professional organizations and societies.	2023-24 or later	N/A - ongoing
Goal: Provide more opportunities for pedagogical development	2021-22	2023-24
Provide better TA training activities during GROW along with regular check ins during 1st semester	2021-22	2023-24
See SI 6, Augmenting pedagogical training, Explore instituting an SNS/CETL Pedagogical Fellow program and expanding the Graduate Student Teaching Fellows (GSTF) program for large-enrollment courses.	2021-22	2022-23
Create a lead TA position in charge of helping manage large undergrad classes	2022-23	2023-24
Goal: Improve on time graduation rates	2021-22	N/A - ongoing
Provide additional final semester dissertation fellowships	2021-22	N/A - ongoing
Supplement/expand on the Graduate Divisions' 'Dissertation Bootcamp'	2022-23	2024-25
Goal: Improve professional development training	2022-23	N/A - ongoing

Institutionalize workshops/panels/clubs for helping graduate students with postdoctoral/job applications and related skills	2022-23	2024-25
Promote student participation in summer internships at nonacademic institutions	2022-23	N/A - ongoing
SI 8. Focus on staff training, development, and professional advancement in an atmosphere that fosters mutually		
Goal: Create EDI Culture and Develop SNS Staff Cultural Competencies	2021-22	N/A - ongoing
Begin to create an EDI culture and integrate cultural competencies into existing supervision and performance management processes.	2021-22	N/A - ongoing
Goal: Implement a Management Review Initiative	2021-22	2022-23
Implement a Management Review Initiative	2021-22	2022-23
Goal: Create Opportunities for Staff and Faculty to Develop a Culture of Community	2021-22	2023-24
Create a Faculty and Staff Partnership Liaison.	2021-22	2022-23
Hold SNS summer retreat for faculty and staff.	2022-23	2022-23
Create SNS Faculty Resource webpage.	2021-22	2022-23
Create SNS faculty support workshop series.	2022-23	2022-23
Create an SNS Annual Report.	2022-23	2023-24
Goal: Formalize Staff New Hire Procedures and Onboarding	2022-23	2023-24
Formalize Staff New Hire Procedures and Onboarding	2022-23	2023-24
Goal: Expand Scope of SNS Staff Council	2022-23	2022-23
Expand the scope of the SNS Staff Council to include community service, faculty collaboration events, and more diverse offerings in the Professional Development Series.	2022-23	2022-23
Goal: Establish SNS Presence	2022-23	N/A - ongoing
Create a sense of SNS pride and culture through branding, marketing, and annual events hosted by SNS.	2022-23	N/A - ongoing
Expand presence of External Relations, Alumni Relations, and Campus Events team in SNS initiatives and events.	2023-24 or later	N/A - ongoing
Goal: Improve SNS Staff Performance Appraisal Process	2022-23	2023-24
Improve SNS Staff Performance Appraisal Process	2022-23	2023-24
Goal: Create an Advocacy Culture	2021-22	N/A - ongoing
Encourage SNS supervisors and staff to nominate one another for awards within SNS and across campus.	2021-22	2022-23
Increase SNS staff presence in inter-campus committees, organizations, student RCOs, and collaborations with other campus units in campus initiatives.	2023-24 or later	N/A - ongoing
Goal: LEED Certification	2023-24	N/A - ongoing
Implement a Sustainability Initiative where all SNS Staff Unit offices are LEED Certified under the Green Office Program through the Office of Sustainability at UC Merced.	2023-24 or later	N/A - ongoing
Goal: Expand scope and capability of EXCEL! program	2023-24 or later	N/A - ongoing
Expand Scope of the SNS EXCEL! Program to increase services in support of faculty and academic advising/student support units.	2023-24 or later	N/A - ongoing
Goal: Create a culture of professional development and community	2023-24 or later	N/A - ongoing
Create a culture of professional advancement and community for SNS Student Staff through mentoring, regular check-ins, inclusion in more Staff events and recognition for their work.	2023-24 or later	N/A - ongoing
SI 9. Develop our donor base to support faculty research programs, research infrastructure, student and post-		
Goal: Cultivate connections with donors, foundations and employers.	2021-22	2022-23
Create action items for more strategic school-level development plans.	2021-22	2022-23
Establish an external advisory board	2021-22	2022-23

APPENDIX I
Consultation Groups-SNS Strategic Plan

Long Range Planning Group
Anne Kelley, Department Chair, Chemistry and Biochemistry
Jennifer Manilay, Department Chair, Molecular Cell Biology
Rudy Ortiz, Department Chair, Molecular Cell Biology (term 6/2020)
Teamrat Ghezzehei, Department Chair, Life and Environmental Sciences
Ajay Gopinathan, Department Chair, Physics
Mayya Tokman, Department Chair, Applied Mathematics
Gordon Bennett, Program Chair, Biology
Steve Hart, Program Chair, Biology (term 6/2020)
Roummel Marcia, Graduate Group Chair, Applied Mathematics
Chris Amemiya, Graduate Group Chair, QSB
Chih-Chun Chein, Graduate Group Chair, Physics
Sai Ghosh, Graduate Group Chair, Physics (term 6/2020)
Martha Conklin, Graduate Group Chair, Environmental Systems
Christine Isborn, Graduate Group Chair, Chemistry and Biochemistry
Erik Menke, Graduate Group Chair, Chemistry and Biochemistry (term 6/2020)
Harish Bhat (Chair), Executive Committee,
Kevin Mitchell (Chair), Executive Committee (term 6/2020)
Tao Ye (Vice Chair), Executive Committee
Boaz Ilan, Executive Committee-Applied Mathematics Representative
Emily Moran, Executive Committee- Life and Environmental Sciences Representative
Lin Tian, Executive Committee-Physics Representative
Linda Hirst, Executive Committee-Physics Representative (term 6/2020)
Michele Nishiguchi, Executive Committee—Molecular Cell Biology Representative
Anna Beaudin, Executive Committee—Molecular Cell Biology Representative (term 6/2020)
Liang Shi, Executive Committee-Chemistry and Biochemistry Representative

Staff Managers
Erica Robbins, Director of Student Services
Paul Roberts, Graduate Programs Director
Chelsea Arnold, CalTeach Program Director
Shannon Adamson, Curriculum Manager
Dora Lopes, Personnel Director
Jim Whalen, Instructional Lab Coordinator
Donna Fellin-Jaramillo, Instructional Lab Coordinator
Mireille Smith, Director of Financial and Administrative Operations

Staff Council
John Newton (Chair), EXCEL!/Undergraduate Student Support
Whitney Williams (Vice Chair), Dean's Office
Mariah Gonsalez, Department Specialist
Christopher Him, Department Specialist
Hannah Ewing, Development
Maricela Melendrez, Undergraduate Student Support
Alyssa Hua, Instructional Labs

Josephine Vang, Personnel
Vivian Saephan, Instruction and Curriculum Support

Justice, Equity, Diversity and Inclusion (JEDI) Task Force
Chris Amemiya, Molecular Cell Biology (co-Lead)
Shilpa Khatri, Applied Mathematics (co-Lead)
David Strubbe, Physics
Sora Kim, Life and Environmental Sciences
Aurora Pribram-Jones, Chemistry and Chemical Biology

Advancing Faculty Success Task Force
Michele Nishiguchi, Molecular Cell Biology (Lead)
Justin Yeakel, Life and Environmental Sciences
Linda Hirst, Physics
Shahar Sukenik, Chemistry and Chemical Biology
Noemi Petra, Applied Mathematics

Modernizing Curriculum Through Innovative Pedagogy Task Force
Carrie Menke, Physics (co-Lead)
Marcos Garcia Ojeda, Molecular Cell Biology (co-Lead)
Michelle Leslie, Chemistry and Chemical Biology
Yue Lei, Applied Mathematics
Sylvain Masclin, Life and Environmental Sciences

Undergraduate Programs and Skill Sets Task Force
Rebecca Ryals, Life and Environmental Sciences
Bercem Dutagaci, Molecular Cell Biology
Brian Utter, Physics
Francois Blanchette, Applied Mathematics
Chelsea Arnold, CalTeach
Liang Shi, Chemistry and Chemical Biology

Improve Doctoral Programs and R1 Task Force
Roummel Marcia, Applied Mathematics, (Lead)
Jessica Blois, Life and Environmental Sciences
Patricia LiWang, Molecular Cell Biology
Jay Sharping, Physics
Christine Isborn, Chemistry and Chemical Biology

Staff Development and Success Task Force
John Newton, EXCEL!/Undergraduate Student Support (Chair)
Whitney Williams, Dean's Office (Vice Chair)
Mariah Gonzales, Department Specialist
Christopher Him, Department Specialist
Hannah Ewing, SNS/External Relations
Maricela Melendrez, Undergraduate Student Support
Alyssa Hua, Instructional Labs

Josephine Vang -Personnel
Vivian Saephan, Instruction and Curriculum Support

SNS Community Consultation Events- SNS Strategic Plan

December 2019

Facilitated Discussions and Townhall
- Faculty
- Post Docs
- Graduate Students
- Staff

January 2020

Long Range Planning Group formed

- Department Chairs
- Graduate Group Chairs
- Executive Committee members

February 2020

Staff Managers consulted

SNS Staff Council consulted

November 2020

Townhalls to Present Phase 2 and answer questions
- Faculty
- Post Docs
- Graduate Students
- Staff

December 2020

Group Brainstorming Sessions for the following initiatives: Staff Experience, Improving Programs, Justice Equity, Diversity and Inclusion (JEDI), Improving Doctoral Programs
- Faculty
- Post Docs
- Graduate Students
- Staff

Online Survey to give feedback about these initiatives
- Faculty
- Post Docs
- Graduate Students
- Staff

January 2021

Group Brainstorming Sessions for the following initiatives: Expanding and Revisioning Undergraduate Programs, Faculty Success and Recognition
- Faculty
- Post Docs
- Graduate Students
- Staff

Online Survey to give feedback about these initiatives
- Faculty
- Post Docs
- Graduate Students
- Staff

February 2021

Initiative Task Force Teams are formed

April 2021

Townhalls to discuss and get feedback on Task Force Reports
- Faculty
- Post Docs
- Graduate Students
- Staff

Online survey to get feedback about the Task Force Reports
- Faculty
- Post Docs
- Graduate Students
- Staff

May 2021

Online survey to get feedback about on revised Task Force Reports (revisions based on April 2021 feedback)
- Faculty
- Post Docs
- Graduate Students
- Staff

January 2020-May 2021

23 meetings of the SNS Long Range Planning Group

APPENDIX III

Task Force Reports

JEDI Task Force report 05-09-2021

Task Force Members: Chris Amemiya (co-lead), Shilpa Khatri (co-lead), Aurora Pribram Jones, Sora Kim, David Strubbe

Part 1 (Deliverable 1). Principles of justice, equity, diversity and inclusion are central to the success of the School of Natural Sciences and so should be embodied in the action plans emanating from each Strategic Initiative workgroup. The JEDI workgroup is charged with proposing a review and feedback process to ensure that is the case. This could take many forms but must identify a body that is responsible and accountable for ensuring that justice, equity, diversity and inclusion are represented throughout planning.

Part 2 (Deliverable 2). The SNS JEDI task force is charged with identifying, describing in detail, prioritizing, and sequencing specific actions that the School can take to enhance our performance in metrics identified by the campus (*see 'Diversity of Faculty and Students', p. 9, Academic Planning Workgroup report*). Each action also must be accompanied by a list of required resources. These may include changes in culture, attitudes or processes as well as funding.

For references and definitions of terminolgy used in this report, we recommend using resources provided by the Office of Equity, Diversity, and Inclusion at UC Merced (https://diversity.ucmerced.edu)

Deliverable 1: Provision of a review and feedback process for ensuring that justice, equity, diversity and inclusion are represented throughout planning.
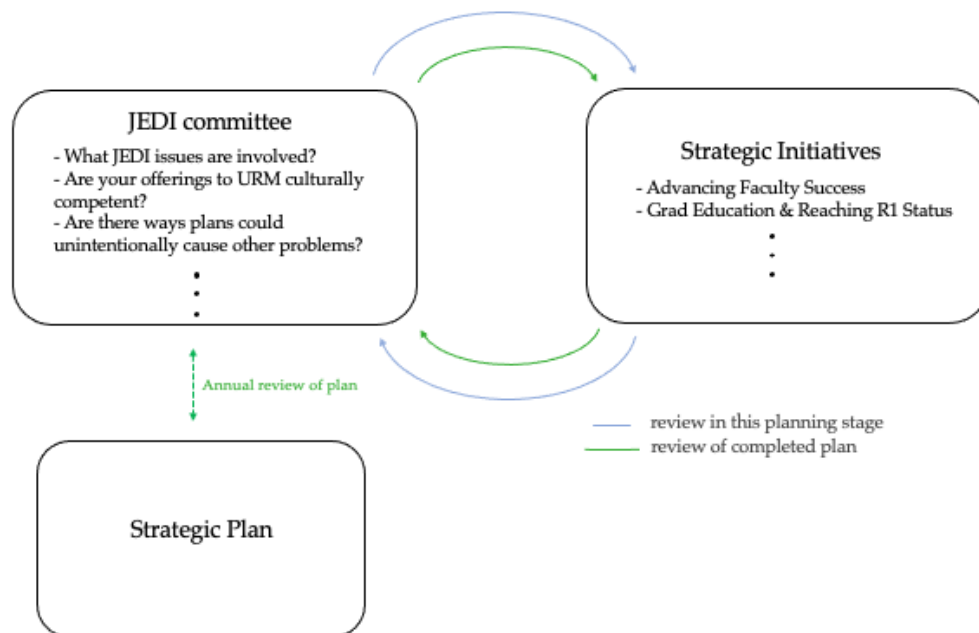
In the above diagram, the JEDI committee will evaluate the respective Strategic Initiatives with respect to JEDI issues. Wide-ranging questions have been developed to assess the role that JEDI plays in the respective initiatives. We will use an iterative process to assure that JEDI principles are being embodied for each initiative, eventuating in a well-formulated Strategic Plan. This plan will be reviewed annually by a standing JEDI committee (Deliverable 2, action item 2 below).

Deliverable 2: A prioritized list of actions aimed at increasing performance metrics over the next five years. Each action should have start and end dates, milestones when performance metrics will be assessed, and a list of required resources (timeline template to be provided at a later date). Actions planned for years 1 and 2 should be very clear. Actions planned for subsequent years can be more general given that we will revisit and refine the plan annually.

Long-term goals:
   (1) Seamlessly incorporate JEDI into research, teaching, and service
   (2) Consider and advance JEDI representation within faculty, students, and staff in SNS
   (3) Consider and improve the culture of SNS incorporating JEDI

Action Items:
We believe a number of these efforts can be led by the standing SNS JEDI committee discussed below in item (2).

   (1) JEDI task force feedback with other task forces (Start Date: March 19, End: May 18)
      Required resources: Already provided (JEDI task force)
      Questions to incorporate into planning:
         (a) What JEDI issues are involved in the task force's area?
         (b) What are existing programs within UCM or more broadly?
         (c) Is there additional support and scaffolding for minoritized groups?
         (d) What are the assessment metrics? How will you determine "success?" How does one assess JEDI issues in these metrics?
         (e) Are practices (especially those related to minoritized groups) rooted in scholarship and/or evidence based?
         (f) Alignment of service requests/requirements and what is being valued for promotion/tenure.
         (g) Are your offerings to minoritized groups "culturally competent"? Provide training and best practices.
         (h) How can efforts and energy be synergized within UCM and/or SNS?
         (i) Are there assumptions being made in background in expectations for success?
         (j) How do the plans address these JEDI issues?
         (k) Are there ways plans could unintentionally cause other challenges?

   (2) SNS Standing JEDI Committee (Start Date: July 1, 2021, End Date: on-going)

Required resources: Compensation for all members of committee (e.g., course release and/or financial), staff support for scheduling

(a) We recommend considering a new leadership position within SNS — Associate Dean of Justice, Equity, Diversity and Inclusion. This person would be a senior faculty member within SNS and would oversee JEDI matters in SNS, chair the JEDI committee, advise the SNS Dean (currently, Dean Dumont), and interface with the campus EDI Office.

(b) Each department would have a JEDI lead and these leads would encompass the SNS Standing JEDI Committee
  (i) Two-year appointment for each lead with only half the committee being new each year
  (ii) Negotiate with Department Chairs for teaching release for multiple years of service on JEDI committee
  (iii) Each lead would be responsible for the JEDI goals of each department and with communication with SNS and the other relevant resources around campus.

(c) The committee would also include other members:
  (i) Faculty Equity Advisor as appropriate for hiring decisions
  (ii) The committee in year one will determine the appropriate mechanisms to include members of undergraduate and graduate students and staff

(d) Communication with UCM D&E Senate Committee, SNS Departments, SNS Executive Committee, SNS Curriculum Committee, and other appropriate committees.

(e) Aims of this committee (see below for more details):
  (i) Set goals and measurable outcomes for JEDI for SNS in year 1 - work with campus EDI office to make sure SNS goals are in alignment with campus goals
  (ii) Improve communication on JEDI issues within SNS – work with the campus EDI office to appropriately train leaders of these conversations and facilitate conversations and discussions
  (iii) Provide references/toolkits for graduate programs
  (iv) Provide references/toolkits for curriculum development
  (v) Provide references/toolkits for tenure and promotion
  (vi) Provide advisory role to the Dean in terms of hiring and promotion
      1) Advise Dean and Chairs on roles of JEDI in FTE allocations
      2) Advise Dean and Chairs on best practices for including JEDI in faculty promotions
  (vii) Provide workshops as requested/needed
  (viii) Work with Departments to annually assess contributions to JEDI
  (ix) Data collection and Surveys: Adopt appropriate survey instruments to assess climate and attitudes experienced by students, faculty, and staff in SNS; organize their administration and analysis.
  (x) Consider outreach in the community as related to these issues

(f) Performance metrics:

- (i) JEDI plans for each department are incrementally improved with more clarity
- (ii) Department meetings on JEDI are productive and have increased participation
- (iii) Larger portion of faculty participate in events/workshops from campus EDI office (longer-term goal to measure success)
- (iv) Departments request JEDI training or workshops
- (v) Improvement in student, staff and faculty performance and satisfaction
- (vi) Work with Dean and Chairs to advocate to the Provost for more FTEs for diversity hires. Consider minoritized group representation, as well as contributions to diversity (target Associate - Full)... continuing mechanism for "Advancing Faculty Diversity" initiative rather than one-off in short window of time. If we want to hire more diverse faculty, the Provost must be made to recognize that we need to have more pathways to do so outside of the standard hiring procedure (e.g., extra hire for diversity in regular hiring process, incentives for diversity hires). Allow the faculty to be proactive about hiring diverse candidates. Allow the Dean to have flexibility in hiring processes to benefit underrepresented candidates.
- (vii) Work with VPF office to increase PPF hiring.

(3) Role in Tenure and Promotion processes (Start Date: July 1, 2021, End Date: on-going)
Intersection with *Advancing Faculty Success* task group
Required resources: Buy-in by the Dean and the UCM EDI office (see (e) below)
- (a) Annual Workshop for (new) faculty on ACRS, voting policy based on APM/MAPP
- (b) As requested, workshop for departments for best practices (VPF office can help run these)
- (c) Work with Departments, Dean and APO to systematize inclusion of equity, diversity and inclusion activities in self-statements, cases and transmittal memos (similar to research and teaching). This component needs to be more than numbers of students advised from certain groups; there is always more work to be done!
- (d) Devise a rubric to evaluate diversity statements for T&P process (deliverable w/in year)
  (i) workshop for diversity statement within T&P Self statement for faculty. Set expectations of what kind of efforts or activities should be done and what should be described
- (e) Negotiate with Provost's Office and/or Vice Provost for Faculty on possibility of half-step increases for larger load for JEDI service
- (f) Campus EDI office can evaluate case analysis or transmittal memo content for EDI before and after July 2022 to assess effort/input towards these goals (department performance metric)... The eventual goal would be long-term data with trends
- (g) Better system to evaluate service contributions for promotion – consider different mechanisms to think through service loads for individual faculty

(h) Make sure EDI service is considered equivalent to other service

(i) JEDI committee could work with faculty going on modified duty to help ensure that it is a successful process in terms of both faculty satisfaction and what they need to keep their research going while on such leave

(4) Role in hiring

Intersection with *Faculty Equity Advisor* program (Senate)

(a) Use of Diversity Statement as an initial screening of applicants - develop and use rubrics to evaluate these

    (i) Incentivize departments to take this approach in the short term

    (ii) Require within 3-5 years

(b) Pre-screening (via phone/Zoom voice interviews) for JEDI issues

(c) Consultation with Faculty Equity Advisor

    (i) Work with Vice Provost for Faculty to determine how FEAs will work with or participate on the SNS JEDI committee?

(d) UCM (at school or department level) give rubric or guidelines to applicant for diversity statement in application materials (in the "Application Requirements" of the AP Recruit site).

(e) Work with Vice Provost for Faculty to refine FEA functions such that they do not cause significant delays in hiring processes. Some recommendations include having search committee members undergo JEDI training so the committee is making decisions considering JEDI principles and having the search committee work with the FEA and the new Associate Dean more closely throughout the hiring search.

(f) More proactive guidelines for PPF hires. Lack of knowledge or clarity about how to hire these postdocs. Incentives and clarity. Think about cost in hiring here.

(5) Role in JEDI training, including anti-racism training (Start Date: July 1, 2021, End Date: on-going)

Intersection with *Campus EDI Office (Matos)* and *Senate DEI*

(a) Provide training opportunities for students, faculty, and staff

(b) Website with resources to report EDI issues - maybe with ranking of severity of issue – Note, this would also be a resource available to students, staff, and faculty

(c) Lower the barrier to report or deal with EDI issues, especially for smaller issues, to deal with it before it's a large issue (for faculty, students, and staff)

    (i) Work with Graduate School to discuss role for new Graduate Student Committee Forum for complaints and issues related to supervisors or mentors (at school or department level). Possible could be managed by graduate staff within SNS. Relate to Graduate Division student advisory committee, and/or department student committees and/or Graduate Student Association

(d) Redirect old websites with this information to EDI website (maybe?)

(e) Regular workshops/seminars from campus EDI office that can be requested by departments

(6) Role in expected service levels and recognition (Start Date: July 1, 2021, End Date: on-going)
Is there a way to assure equity across SNS?
   (a) for senate faculty - how to value service, especially related to work in equity, diversity and inclusion
   (b) for adjunct faculty
   (c) for unit 18 lecturers – they are not evaluated for service but should value their input. Recognition and compensation for any service they are doing
   (d) Staff

(7) Role in equity of resources
   (a) ECEC
   (b) Consider inclusion of faculty, students, and staff who may have limited access to childcare in academic activities.
   (c) Advocate to facilities and campus planning committees for more single use/gender neutral restrooms and lactation rooms
   (d) Consider other resources – including research space

(8) Role in Teaching and Curriculum Development (Start Date: July 1, 2021, End Date: within two-three years)
Intersection with *Modernizing Curriculum through Innovative Pedagogy* task force (this task force addresses JEDI in their report as well)
   (a) Consider including a JEDI and Basic Needs statement in syllabus
   (b) Faculty compliance - need a way to assess teaching beyond student evaluations
   (c) Syllabus toolkit (EDI office)
   (d) Incorporate JEDI in TA training
   (e) Once a semester panels for faculty, students highlighting JEDI issues
   (f) Build off Curriculum Redesign Initiative (CRI) initiative and extend it to projects that promote JEDI issues in the classroom.
   (g) Diversify pedagogy, assessment and support systems to reduce the disparities for minoritized students

(9) Role in Graduate Programs (Start Date: July 1, 2021, End Date: ongoing)
Intersection with *Graduate Education and Reaching R1 Status* task force (this task force addresses JEDI in their report as well)
   (a) Policies and procedures
   (b) Mentorship of advising – make sure there is training for this
   (c) Admissions
   (d) Recruitment, build a pathway with other Universities (CSU, CC, other MSI/HSI)
   (e) Help students succeed, provide scaffolding for underrepresented groups
      (i) Bridge programs
      (ii) Entering Mentoring training for faculty

- (iii) Peer mentoring at first year level (research shows value to both partners, Grad Div has benefits/compensation, departments can value it and make it a part of the culture)
- (iv) Publicize/encourage the NFCDD graduate student writing boot camp to increase writing/productivity/accountability
- (v) Encourage students to attend conferences (SACNAS, regional conferences). Give travel fellowships to graduate students to attend conferences
- (vi) Workshop to help students with their job portfolios (Work w/ graduate division)
- (vii) Internships - partnership with agencies (most places want to diversify their workforce)
- (viii) Mental health resources
- (ix) Resources for graduate student groups
- (f) Assessment will be increases in typical performance metrics for the grad programs (annual evaluations, better performance on PLOs)
- (g) The JEDI committee as an advocate of JEDI actions/knowledge for the achievement of enhancing enrollment, success in program, and success outside of program.
- (h) Resources for writing and training and community development for students (e.g., ESL, international, first generation students).
- (i) Making sure faculty are held accountable to their mentorship practices, as it relates to JEDI issues.

(10) Role in Undergraduate programs and skill sets
- (a) Evidence-based practices for all students — especially minoritized groups
- (b) Student voices should be part of decision making
- (c) Undergraduate students and graduate students aware of the importance of JEDI (include in TA training?)
- (d) Assure students have access to skills training that can help them attain success
- (e) Introduction to broader career options and training for those
- (f) Faculty training in such practices
- (g) SNS Curriculum committee with JEDI insights and staff support

(11) Role in Staff Issues (Start Date: July 1, 2021, End Date: ongoing)
Intersection with *Staff Success and Development* task force (this task force addresses JEDI in their report as well)
- (a) Sensitivity training/awareness, power discrepancy with faculty
- (b) What does each need? How to communicate needs?
- (c) Assessment will be increased satisfaction and efficiency.
- (d) Improve interactions with staff and faculty to learn about each other (break down barriers, get to know others more personally); find commonalities (community building)

(e) Staff-Faculty: raise awareness of power differential, issues that have caused pain in the past between faculty and staff (Most of our staff are women and people of color). Accountability to reduce microaggressions and macroaggressions from faculty to staff

(f) Work with Human Resources and relevant unions to compensate staff for work on EDI

(g) EDI diversity statements for staff

(h) Training, facilitation

(i) Bystander intervention training

(j) Assessments on whether we are making any movement (forward or backward)

Action plan for Advancing Faculty Success Task Force
Committee Members: Linda Hirst, Michele Nishiguchi (chair), Noemi Petra, Shahar Sukenik, Justin Yeakel
Angelina Gutierrez (scribe)

Goal I. Mentoring and mentorship training for new and continuing faculty
Background: Facilitating mentorship and building a network of mentors within the UC Merced community. Mentoring can be an effective mechanism for recruitment and retention of faculty, particularly those from underrepresented groups (URGs; Alexander, 1992; Sorcinelli and Yun, 2007; Rockquemore and Laszloffy, 2008; Turner et al., 2008; Montgomery et al., 2014; Zambrana et al, 2015). In order for UC Merced to promote the advancement of both junior and senior level personnel, we propose the following action plan:

A1. Develop a community or collectivist focused approach to mentoring, creating a near-peer situation through a formal mentoring program. This will be accomplished through a formalized process from the SNS Dean that requires all Departments to establish an active program where new faculty will be assigned a senior mentor within the Department who can help steward their path through various career stages (e.g., promotion and tenure, step promotions, running a research group/program). Additionally, Departments will be assessed on whether their mentor programs are attaining the goals of SNS (broad) as well as those of the Department (specific).
Timeline: This aim should start as soon as the plan is approved (Fall 2021) and continue through the 5-year plan and beyond.
Metrics: Departments will track how well faculty are progressing through their rank with the guidance of a formal mentor. Mentees will be asked to fill a questionnaire during merit review regarding their interaction with their mentor. This will assess the fit of the relationship, and whether additional support is required.
Assessment: Department chairs will examine their individual programs each year by examining questionnaires, as well as consulting mentors about their mentees, in order to determine if the mentorship program is fulfilling the needs of faculty at each career stage and make the appropriate modifications for improvement. In cases where the mentor-mentee relationship may be insufficient or prove problematic, the chair should offer alternative mentors or other solutions.
Resources: Workshop support for training mentors how to mentor (see A3).

A2. Through the formal mentoring program, mentors will be recognized for their service at either a mentor/mentee lunch, as well as potentially being nominated through the Faculty Senate mentorship award (or SNS can create one within the School).

Timeline: This aim will also commence as soon as the plan is approved (Fall 2021) and should coincide with A1 and continue throughout the 5-year plan and beyond.
Metrics: The Dean will invite all participants in the program to an end of the year lunch to recognize the efforts of the mentors in various Departmental programs.
Assessment: Department chairs will obtain reports from all active mentor/mentee pairs. In order to be considered "active", each pair must meet at least three times a semester.
Resources: SNS Dean provides resources for the end of the year event. Possible invited speaker whose expertise is on mentoring to be invited to be a speaker.

A3. Provide funds to attend workshops (such as CIMER-Center for Improvement of Mentored Experiences in Research or National Research Mentoring Network (NRNM) mentor training) for both junior and senior faculty as well as provide workshops in house to assist faculty in their mentoring efforts. This should be a requirement for all faculty interested in obtaining more training in mentorship.
Timeline: This aim should begin in the Fall 2021, to coincide with the development of mentor/mentee pairs in order to better train our senior faculty to mentor junior or mid-career faculty. Likewise for mid-career faculty to mentor junior faculty as well.
Metrics: Comparisons of how our faculty have progressed through various stages of promotion prior to formal mentor training and after faculty have received formal training.
Assessment: Post workshop surveys (qualitative) will be conducted in order to determine if the information obtained from the workshops is effective in providing good mentorship.
Resources: Funds for mentors to attend workshops (if offered off campus) as well as bringing in various mentor trainers to give workshops here at UC Merced.

A4. Encourage departments to examine acceleration criteria for each advancement case rather than relying on the model of having faculty formerly *requesting* acceleration for themselves. This can be part of the mentoring process through mentor feedback to the department chairs. Given that the majority of faculty (particularly new faculty) do not fully understand the UC system for advancement, this would ensure that all faculty are well informed of the requirements necessary for advancement. This active step will work to counter inequities that emerge for minority and disadvantaged groups that are historically less likely to initiate requests for extra step advancements.
Timeline: This aim should also commence in the Fall of 2021. Mentors in each Department can communicate with the Department chairs on candidates they believe are eligible for acceleration based on their portfolio.
Metrics: Each Department should design a set of criteria that satisfies both the School and the University in the expectations for advancement. These can be broad enough to encompass a wide variety of disciplines yet give each candidate a set of expectations required for promotion.

Assessment: Since each Department/discipline within the School is unique, it will be up to the School to develop criteria broad enough to cover SNS, such that each Department can develop more specific criteria for their discipline.
Resources: No resources needed except for the guidance from the SNS Dean and Associate Dean.

Goal II. Creating a welcoming space for new faculty at UC Merced
Background: Current on-boarding of new faculty remains sparse at the school and department level. This important process forms the basis for integration of new faculty, sets the stage for expectations, and helps new faculty "hit the ground running" as they transition into faculty positions. Currently UC Merced has a single orientation day at the whole university level that is intense and not school or department specific. Several steps could be taken without significant resource expenditure:

B1. School on-boarding - Provide a general introduction to SNS including introduction of personnel (knowing the right person to ask), the merit process, how to interact with ORD and SPO, budget administration. Include panels with current tenured faculty on strategizing progress on the tenure track, proposal submission, balancing teaching/research time commitments, student/postdoc recruitment and retention, and managing research labs and start-up funds. Importantly, these should be interspersed throughout the first year/semester to avoid overloading.
Timeline: As soon as possible (but more than likely Fall 2021) and continue throughout the process and beyond.
Metrics: Survey faculty on whether they have been provided the support needed in order to accomplish various administrative tasks (SPO, ORD, etc.). Solicit input and suggestions for additional workshops.
Assessment: End of the semester surveys for each new faculty member to determine if there are any aspects of onboarding that have been difficult or have delayed their progress towards advancement.
Resources: Obviously this action requires dedicated staff time in order to support our faculty and their needs, which can be accommodated by delegating/reassigning current staff to focus on these issues in order to provide a more effective way to deliver this action. Initiating and organizing these activities would be included in the responsibilities of the school's faculty liaison. In the future, it would improve the morale and motivation of the staff if they were accommodated by increases in their salary.

B2. Department on-boarding - New faculty members should meet with their chair to cover specific topics like departmental structure and roles including existing committees and assignments, teaching obligations, expectations for tenure etc. During this meeting a faculty mentor will be assigned. Ideally, this is someone from within the sub-discipline

of the faculty. All faculty mentors should be passionate about helping their younger colleagues.

Timeline: Fall 2021 and continuing.

Metrics: Department Chairs initiate the first meeting with new faculty, and relay information specific to their Department. The Chair will formally document their meeting with the new faculty member and ensure that all topics are made clear to the new faculty member. Additionally, the chair should meet with these new faculty annually to review and advise the faculty member whether they are meeting their expectations for advancement.

Assessment: The chair can formally document the progress of faculty who have received Departmental onboarding to determine whether this information relay has preempted any misunderstandings or unknowns about Departmental expectations.

Resources: Given this is more work for the Department Chair, the possibility of having an Associate Chair (for larger Departments) to take on this responsibility would increase the success of our junior faculty.

B3. SNS website improvements - Bring the information about SNS staff on the website up to date so faculty can easily find who to contact for different job functions and how to do it.

Timeline: Present and ongoing.

Metrics: Obtain faculty feedback on what information is needed to make an accessible and usable website for obtaining information relevant to faculty success.

Assessment: Data can be collected on how many times the new/revised website is being accessed compared to its present state.

Resources: IT personnel are needed to work with faculty on timely updates to the website, improving accessibility and ease of use.

Goal III. Create a support infrastructure for faculty grants and publications

Background: Recently there has been a push to consolidate and streamline staff roles. This has created a situation where interactions with staff are more limited and primarily on-line, which has created an overly corporate environment and is not conducive to a "team working together" atmosphere.

C1. Need to recover more human interactions with staff. Better introduction to staff roles and people new faculty will be working with. Staff organization has changed dramatically over the past couple of years, and there is a need to refresh training/onboarding for the new systems.

Timeline: Given that the faculty and staff are just returning back from working from home, a Fall 2021 start date would be ideal for a "reacquaintance".

Metrics: Faculty and staff can begin to work more closely at many levels, including grant submission, contract and grant fiscal issues, and hiring. Ideally, we envision a situation where faculty know who to contact in order to have questions answered, and whether there may be a hierarchy of who to contact when help is needed. Both faculty and staff should achieve the same satisfaction for that particular work order/assignment, such that the ongoing process is smooth and without miscommunication. Thus, metrics that would require this to succeed would be clear communication between staff and faculty (not a general email address to SNS staff), as well as timely responses to inquiries, and equal respect from both sides in order to improve human interactions. Additionally, the training of faculty to better understand the system (in person rather than an online powerpoint presentation) would enhance the interactions between faculty and staff.
Assessment: Each one of these important actions require the understanding from both staff and faculty persons. Surveys (some of which are already occurring, say in SPO) can be given to faculty after they have worked with staff in order to achieve any necessary changes in standard operating procedures.
Resources: For the present, increasing level of face-to-face interaction between faculty and staff would provide the personal experience that faculty really appreciate at UC Merced. Obviously with COVID this has to happen as we return back to campus, and both faculty and staff need to feel more secure about being face to face. Additionally, reassigning staff to focus on particular needs of the faculty would provide both an avenue for better communication as well as specific expertise in each area of support.

C2. SPO and ORD should meet with new faculty as a part of the school onboarding process. They should provide an updated list of staff and contact numbers and introduce the services they offer, and what happens behind the scenes in the grant process.
Timeline: This should commence with Fall 2021 and the start of new faculty that are presently being hired this semester.
Metrics: New faculty can be surveyed at the end of their first year to determine if this additional information has been useful for them during the past year.
Assessment: Data can be collected for a number of times a new faculty person submits a grant proposal, receives guidance or help on large, collaborative proposals, and post award procedures.
Resources: This action will require some dedicated staff time, which if reorganized and planned well, would be feasible in order to better serve faculty needs.

C3. Build a better communication link between new faculty and ORD services so faculty know who to contact and ORD staff are more aware of faculty who are seeking assistance with the grant process and their research fields.

Timeline: This should commence with Fall 2021 and the start of new faculty that are presently being hired this semester.

Metrics: New faculty can be surveyed at the end of their first year to determine if this additional information has been useful for them during the past year.

Assessment: Data can be collected on the number of times faculty (and in particular, new faculty) are utilizing ORD services.

Resources: This action will require some dedicated staff time, which if reorganized and planned well, would be feasible in order to better serve faculty needs.

Goal IV. Enhance methods for evaluating teaching.
Background: Teaching at UCM is currently evaluated solely by student evaluations, a method known to be subject to bias against women and minority scholars. Other methods such as classroom evaluation are voluntary. Weighting placed on classroom evaluations can be applied inconsistently in AP cases and is not a good metric considering vastly different class sizes, undergraduates versus graduate classes etc.

D1. Establish additional metrics to complement student evaluations for use in advancement of faculty with the goal of providing constructive criticism and feedback from more senior colleagues/mentors.

Timeline: Given this would require multiple conversations at many levels starting at the Departments, and with feedback from the undergraduate teaching task force, Fall 2022.

Metrics: Require at least 3 modes of evaluation of teaching, that would include student evaluations, as well as a self-reflection, CETL surveys or a mentor/senior faculty person who evaluates one or more classroom activities/lectures, and quantitative assessment (pre-post exams, quizzes, case studies, final project).

Assessment: Comparison of faculty teaching prior to the initiation of additional forms or evidence for teaching pedagogy.

Resources: Faculty or staff that are experts in teaching pedagogy to provide advice on how to better evaluate teaching.

Goal V. Develop mechanisms to balance scholarship, teaching, and service loads.
Background: Heavy service loads are hindering faculty success, so more fairness and transparency are needed to ensure that faculty are protected and not overburdened with service within and outside of their Departments.

E1. Recognize and award faculty for outstanding work in teaching, scholarship, service, and outreach within SNS annually. The attainment of multiple awards can be attached to a reward of value such as student support or teaching release in recognition of outstanding achievement.

Timeline: Department chairs should meet with their faculty to determine a transparent mechanism of reporting the percentage of responsibilities (scholarship/teaching/service/outreach) such that all faculty are able to balance all of their duties.

Metrics: Departments and the Dean should develop a system that awards faculty who go above and beyond their expected yearly outcomes. This can be within SNS as an annual award for excellence in teaching, excellence in research, excellence in service, and excellence in outreach, and even a "best all around" for all 4 responsibilities.

Assessment: Faculty will need to have a yearly "Allocation of Effort" that can be submitted to their Chair prior to the academic year and used as a ruler for expectations for that faculty person and can be used to guide any annual performance review to determine if a faculty person is exceeding expectations.

Resources: The Dean can provide the awards within SNS and recognize those faculty annually at an end of the year social. Faculty who accrue a specific number of awards will earn either a) summer/semester support for a graduate student, or b) a semester's teaching relief.

SNS Long-term Planning
Undergraduate Programs and Skill Sets Task Force
Submitted: March 22, 2021
First Revision: April 13, 2021
Second Revision: May 5, 2021

I. CONTEXT

The Undergraduate Programs and Skill Sets Task Force was charged with "**identifying, describing in detail, prioritizing, and sequencing specific actions** that the School can improve performance metrics by growing enrollment through **existing and new programs and developing SNS-wide skill sets** that will enhance students' future success."

Members of the Undergraduate Programs and Skill Sets Task Force represented all SNS majors and departments and included:

- Rebecca Ryals (chair), Life and Environmental Science
- Chelsea Arnold, CalTeach
- Francois Blanchette, Applied Math
- Bercem Dutagaci, Molecular and Cellular Biology
- Liang Shi, Chemistry
- Brian Utter, Physics

The Undergraduate Programs and Skill Sets Task Force convened three meetings on March 1, 8, and 15. In these meetings, we discussed various resources (e.g. notes and surveys from long-range planning brainstorming sessions) and developed goals from these resources and the collective knowledge of the Task Force.

We recognized several areas of strengths in our undergraduate programs, including the establishment of SNS Living Learning Communities, free tutoring from the Chemistry Center, pedagogical training for Biological Sciences faculty member through the HHMI training grant, a required senior thesis for all Physics students, and advisors with an open-door policy, just to name a few. These innovations, investments in resources, and practices contribute to the sharp increase in enrollment experienced in all majors during the last decade (Figure 1). We encourage SNS leadership and departments to build on existing strengths and to be bold in their approaches to provide a high-quality education that will prepare our students for successful careers in the natural sciences.

Figure 1. Enrollment in SNS majors from 2010 to 2020. Green values are the percent change for each major. Enrollment across all SNS majors, cumulatively, increased by 55% over this period.

The program and skill sets goals recommended by this Task Force are listed below, along with specific actions, resources, approximate timeline, and measures of success as defined by the Academic Planning Working Group September 2019 report.
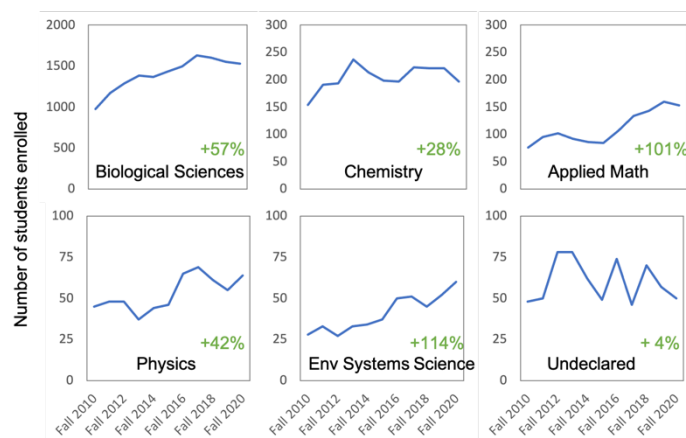
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II. UNDERGRADUATE PROGRAMS
We identified four themes of goals related to undergraduate programs:

        Theme 1. Increase the number of incoming and transfer students
- *Goal 1-1: Strengthen connection between SNS and admissions so that majors are marketed better*
- *Goal 1-2: Remove barriers for transfer students*

        Theme 2. Assess job markets and improve career resources
- *Goal 2-1: Gain a better understanding of current and future job markets for SNS majors*
- *Goal 2-2: Bolster career and professional development resources within the School of Natural Sciences*

        Theme 3. Improve or repackage existing programs to better match with job markets
- *Goal 3-1: Create opportunities for students to prepare for the job market by developing and enhancing relationship between the SNS and potential employers*
- *Goal 3-2: Re-engineer existing programs to connect with jobs in high demand (e.g. teacher training, applied health, agriculture, biotechnology, applied sciences, land management)*

        Theme 4. Create new programs to better match with job markets
- *Goal 4-1: Add an education emphasis track for each major*
- *Goal 4-2: Create a pre-health certificate*
- *Goal 4-3: Create programs that cross all schools where job markets opportunities exist, potentially including sustainable agriculture, public health, and data science*
- *Goal 4-4: Establish BS + 1 yr MS programs*

Theme 1. INCREASE THE NUMBER OF INCOMING AND TRANSFER STUDENTS

Goal 1-1: Strengthen connection between SNS and admissions so that majors are marketed better
        Action 1. Evaluate current admissions marking resources for SNS majors, and identify areas of improvement in the marketing of each major, including what the content is, how it is presented, and who it is presented to.
        Timeline: Year 1
        Resources Required: SNS and Admissions staff time (~10-20 hours per major)

Goal 1-2: Remove barriers for transfer students
        Action 1. Identify what, if any, barriers exist for transfer students to each major (e.g. required pre-reqs, number of incoming credits, time to graduation).
        Timeline: Year 1
        Resources Required: Faculty and staff time (~3 hours per major, a few meetings of major leadership and staff in a semester)

        Action 2. Consider and implement options to removing barriers for incoming transfer students.
        Timeline: Year 1 and Year 2, depending not the nature of the barrier
        Resources Required: Faculty and staff time (~3 hours per major, a few meetings in a semester), outreach to community colleges

        Metrics of Success from APWG:
- Measure #4: Student (declared majors)-to-Senate faculty ratio at the school level

o   Measure #5: School share of total student credit hours for campus

<u>Theme 2. ASSESS JOB MARKETS AND IMPROVE CAREER RESOURCES</u>

Goal 2-1: Gain a better understanding of current and future job markets for SNS majors

Action 1. Gather and analyze real-time job market data, potentially through an external vendor and map back to current and potentially future SNS majors.

Action 2. Prepare a report and present results in a SNS-wide town hall meeting with opportunity for each department to meet with SNS leadership.

Action 3. Work with Admissions to prepare promotional/recruitment materials to reflect new and existing programs and job market focus. (e.g. use career opportunities and recent alumni data to advertise careers and academic programs)

Timeline: Year 1 (all actions). ***Note:*** **There was consensus amongst the Task Force that this goal is the utmost priority because a better understanding of career opportunities for students in our majors should guide the prioritization and distribution of resources for subsequent goals related to revising and creating new programs.**

Resources Required: Funding for external vendor (e.g. Burning Glass)

Metrics from APWG: This goal alone does not directly connect with APWG defined measures of success. It is, however, an essential first step at knowing how to best modernize existing programs and establish new programs. Therefore, this goal indirectly connects with multiple APWG measures of UC Quality Academic Programs and UC Quality Education.

Goal 2-2: Bolster career and professional development resources within SNS

Action 1. Build a stronger bridge between the Center for Career and Professional Development and SNS. For example, this bridge can be made stronger by:
o   establishing monthly working group between Center and SNS staff to discuss upcoming events and opportunities
o   requesting and evaluating data from Center about how many students from SNS access information/advising, when they access information/advising, and the kinds of question asked in career advising.
o   requesting and analyzing data from Bobcat Advising on what students are interested in so that we can identify holes in what we are offering that students might be interested in.
Timeline: Year 1
Resources: time from SNS-focused staff in Center for Career and Professional Development and SNS advising staff

Action 2. Increase the flow of information from Center for Career and Professional Development to advisors and faculty via annual to bi-annual trainings and workshops.
Timeline: Year 2
Resources: incentives for faculty time to participate in workshops and incorporate career training in courses

Action 3. Increase student access to SNS advising and career resources through the following specific actions:

1. Strengthen the connection between SNS and first year advisors.
2. Encourage students to use existing SNS resources earlier and more often.
3. Increase the number of SNS student advisors to reduce the student-to-advisor ratio in order to better meet the needs of a rapidly growing student body.

Timeline: Year 1
Resources: funding for new advising staff, staff time

Action 4. Showcase alumni achievements via an annual alumni career panel and build an alumni-student mentoring program.
Timeline: Year 2
Resources: honorarium for alumni, staff coordination of mentoring program

Action 5. Incorporate career and professional training into courses that satisfy GE requirements and/or consider establishing a new course focused on career and professional development training.
Timeline: Subsequent years
Resources: resources for the development and delivery of new GE course

Metrics from APWG:
- o   Measure #3: Ratio of declared undergraduate majors within the school to the number of professional advisors serving them
- o   Measure #4: School's contribution to General Education and campus service courses measured as total number of courses taught and student credit hours generated

Theme 3. IMPROVE/RE-PACKAGE EXISTING PROGRAMS TO BETTER MATCH JOB MARKETS

Goal 3-1: Create opportunities for students to prepare for the job market by developing and enhancing relationship between SNS and potential employers

Action 1. Compile list of existing relationships between SNS and/or departments and potential employers (e.g. Advisory Board in Physics Department), including "role model" alumni.
Timeline: Year 1
Resources: faculty and/or staff time (~ 10 hours per major)

Action 2. By using information from the job market analysis, each department works with the Center for Career and Professional Development and/or new SNS career specialist to identify potential employers and propose a pathway for student interactions with employers. The nature of the relationships may vary across department, depending on program structure. Example activities could include advisory boards, internship programs, career panels, career fairs, capstone projects.
Timeline: Year 2
Resources: department and staff time (several meetings and discussions over a few months)

Action 3. Each department develops and executes a plan for providing student interaction with potential employers.
Timeline: Year 2 + Subsequent Years
Resources: variable depending on department action plans

Metrics from APWG:

- Measure #4: Student (declared majors)-to-Senate faculty ratio at the school level
- Measure #5: School share of total student credit hours for campus

Goal. 3-2: Re-engineer existing programs to connect with jobs in high demand. The focus for this goal should be guided by a job market analysis (Goal 2-1). Based on long-term planning brainstorming sessions and surveys, we identify a few potential career pathways that may be of importance and that are already served, in some capacity, by existing majors: teacher training, applied health, data science, agriculture, biotechnology, applied sciences, land management. Based on existing course availability and assumed job market demand, the highest priority seems to be adding a **pre-health** emphasis and a **data science** emphasis within one or more SNS majors.

Action 1. By major, Identify gaps in curricula needed for these careers.
Timeline: Year 1 and every few years
Resources: Faculty and Career center staff (~20 hours, several meetings with leadership of a major)

Action 2. By major, propose changes in programs or addition of minors or emphasis tracks based on existing (or nearly existing) courses and, where appropriate, highlight skill sets leading to career options.
Timeline: Year 2, and every year following action 1
Resources Required: Faculty (20 hours per major, subcommittee meetings within each major to modify curricula)

Metrics from APWG:
- Measure #4: Student (declared majors)-to-Senate faculty ratio at the school level
- Measure #5: School share of total student credit hours for campus

Theme 4. CREATE NEW PROGRAMS TO MATCH WITH CURRENT AND EMERGING JOB MARKETS

Goal 4-1: Add an education emphasis track for each major
Action 1. Identify existing gaps for education credentials for each major
Timeline: Year 1
Resources Required: minimal staff time

Action 2. Fill existing gaps to achieving teaching credentials within each major and add education emphasis track
Timeline: Year 1 and subsequent years, depending on gaps
Resources Required: staff and faculty time, variable depending on necessary changes/additions to the curriculum

Metrics from APWG:
- Measure #5: School share of total student credit hours for campus*
- Measure #4: School's contribution to General Education and campus service courses measured as total number of courses taught and student credit hours generated*

Goal 4-2: Create a pre-med/pre-health certificate, if the job market demand is evident based on Goal 2-1.

5

Action 1. Compile information on required courses (from other campuses that offer certificate), skills, and experiences needed for pre-health certificate, and courses that are currently offered.
Timeline: Year 1
Resources: staff time

Action 2. Consult with HSRI and UC Cooperative Extension for marketing and connections with health employers.
Timeline: Year 1
Resources: staff time

Action 3. Submit a proposal for pre-health certificate
Timeline: Year 1
Resources Required: faculty and staff time, administrative time and resources for certificate program

Metrics from APWG :
○ Measure #5: School share of total student credit hours for campus
○ Measure #4: School's contribution to General Education and campus service courses measured as total number of courses taught and student credit hours generated

Goal: 4-3 Create programs that cross all schools where job markets opportunities exist, potentially including sustainable agriculture, public health, and data science
Action 1. Convene a working group to discuss and assess opportunities for cross-school programs. [or three working groups, for sustainable agriculture, public health, and data science]
Timeline: Year 1
Resources: faculty and/or staff time (~9-18 people, if 3 programs x 3 schools x 1-2 people/school)

Action 2. Submit a proposal(s) for new cross-campus programs
Timeline: Year 2
Resources: faculty and/or staff time (~9-18 people, if 3 programs x 3 schools x 1-2 people/school)

Action 3. Launch new cross-campus programs
Timeline: Subsequent years
Resources: potentially new staff, faculty, other resources; staff support for prep and submission of training proposals.

Metrics from APWG:
○ Measure #5: School share of total student credit hours for campus*
○ Measure #4: School's contribution to General Education and campus service courses measured as total number of courses taught and student credit hours generated*

Goal 4-3: Establish BS + 1 yr MS programs
At this time, we did not develop specific actions related to this goal. The decision to establish a BS +1 yr MS program is highly depending on the analysis of job markets and the subsequent changes

6

that are made to existing programs. We encourage each department to include this option in their curriculum planning.

III. SKILL SETS

We identified four goals related to developing signature skill sets for all SNS majors:

Goal S1: Organize program learning outcomes around signature skill sets

Goal S2: Increase the emphasis on the goal of student learning, not just passing/graduating students

Goal S3: Increase student retention in lower division courses and emphasize career relevance of skills

Goal S4: Create opportunities for students to be mentored by faculty and see how skills learned in courses are applied

Goal S1: Organize program learning outcomes around signature skill sets

Action 1. Create a list of signature skill sets for SNS majors, including a description of what a successful demonstration of each skill set looks like. We recommend including these skill sets, in no particular order:

- critical thinking & problem-solving
- statistical comprehension
- awareness of justice, equity, diversity, and inclusion (JEDI) issues
- scientific writing and communication
- collaboration
- interrelation of STEM fields
- technical skills (data science, instrument usage etc.)

Timeline: Year 1

Resources: Faculty and/or staff time

Action 2. Hold an interdepartmental workshop focused on assessing the capacity of existing program learning outcomes to build skill sets and revising program learning outcomes as necessary.

Timeline: Year 1

Resources: Faculty and staff time, incentives for faculty to participate and follow up, a platform for departments to receive feedback on revised program learning outcomes prior to their submission for approval

Action 3. Submit revised program learning outcomes to UGC

Timeline: Year 2 + subsequent years

Resources: Faculty and staff time, incentives for faculty to participate and follow up, a platform for departments to receive feedback on revised program learning outcomes prior to their submission for approval

Metrics of Success from APWG document:

- Measure #1: School's aspirational goals for their programs, in the context of the institution's commitment to be a research university, and their status in relation to these goals
- Measure #3: Three-year rolling average of the percentage of programs pleased with student learning outcomes (as captured by the institutional reporting process – see Faculty Perceptions of Student Learning - established in response to a WSCUC expectation)*

Goal S2: Increase the emphasis on the goal of student learning, not just passing/graduating students

Action 1. Create opportunities for faculty to learn how to effectively teach skill sets.
Timeline: Year 2
Resources Required: We recommend advertising existing opportunities on campus (e.g. individual consultations with CETL, HHMI training session for BIO program), creating new opportunities within SNS (e.g. SNS-wide training series focused on each of the signature skills.), and creating opportunities across the UC systems (e.g. platform for sharing "best practices").

Action 2. Provide incentives for faculty to engage with these opportunities
Timeline: Year 2 and subsequent years
Resources Required: Development of incentives, which may include certificates that could be included in tenure & promotion cases, SNS-wide pedagogical awards or recognitions, seal for CANVAS page, use to inform teaching assignments, uplift and reward teaching faculty

Action 3. Engage with educational researchers to evaluate the effectiveness of pedagogical practices for skill sets
Timeline: Subsequent years
Resources Required: one year of graduate student or postdoc stipend, faculty/researcher time

Metrics of Success from APWG document:
- o Measure #3: Three-year rolling average of the percentage of programs pleased with student learning outcomes (as captured by the institutional reporting process – see Faculty Perceptions of Student Learning - established in response to a WSCUC expectation)

Goal S3: Increase student retention in lower division courses and emphasize career relevance of skills

Action 1. Regularly share retention rates by major to chairs of departments and majors
Timeline: One year for IRDS to setup data gathering and sharing process.
Resources Required: Staff time from IRDS

Action 2. Organize regular workshops and panel discussions for students to hear from alumni and industry partners
Timeline: One year to get organized, yearly event afterward
Resources Required: Staff time to coordinate event and invite panelists.

Metrics of Success from APWG document:
- o Measure #2: 1st and 2nd year retention rates, calculated as an absolute measure and sum of squared deviations (at school level) from institutional targets
- o Measure #2: Number of courses and credit hours taught by instructor type (i.e., ladder-rank, teaching Professors, Unit 18 lecturers, graduate students) and class type (LECT, SEM, LAB, DISC, LAB/DISC) differentiated by upper and lower division within each school

Note: During the discussion of this goal, we discussed the importance of faculty participation in lower-level courses. The Spark seminars were intended, in part, to increase

faculty teaching of first year students. We recommend SNS to evaluate the participation and impact of the Spark seminars and evaluate the most appropriate approaches to involving faculty participation in lower levels courses by the needs of the majors.

Goal S4: Create opportunities for students to be mentored by faculty and see how skills learned in courses are applied

Action 1. Implement *"*Mentoring Mondays" as regularr opportunities for informal mentorship by faculty. We note that this also helps to personalize faculty.
Timeline: Year 1
Resources: faculty time (~10-15 faculty/semester each attend one one-hour Mentoring Monday event), staff time to advertise, funding for food

Action 2. Implement "Milestone Mentoring" events centered around more formal needs. An example would be an event in January focused on planning for summer jobs/internships.
Timeline: Year 2
Resources: faculty and staff time, staff time to advertise, funding for food

Action 3. Support for faculty involving students in research, including use of Learning Labs for undergraduate projects, instructional funds for course-based research projects, support for faculty to lead research training grants.
Timeline: Year 1
Resources: faculty time, funds for undergraduate research in courses, grant support, recognition for excellence in undergraduate mentoring

Metrics of Success from APWG document:
- o Measure #2: Expenditures on Research Experiences for Undergraduates (REUs) and training grants (i.e., UROC, NRT) within the school
- o Measure #3: Percentage of undergraduates within the school that participate in research

9

Modernizing Curriculum Through Innovative Pedagogy
(Feedback incorporated)

Charge:
The Modernizing Curriculum through Innovative Pedagogy task force is charged with *identifying, describing in detail, prioritizing, and sequencing specific actions that the School can take to address the diverse needs of our students and impact performance metrics* listed under 'UC Quality Academic Programs' and 'Diversity of Faculty of Students', pp. 6-10, Academic Planning Work Group.

Each action must be accompanied by a list of required resources. These may include changes in culture, attitudes or processes as well as funding.

The Modernizing Curriculum through Innovative Pedagogy task force is free and encouraged to add SNS-specific metrics.

The working group is also encouraged to use the ideas and suggestions from the brainstorming sessions but is not required to address every idea, nor is the working group limited to the ideas from these sessions.

Task Force Members: (alphabetically)
Marcos García-Ojeda (Biology, co-chair), Lei, Yue (Math), Michelle Leslie (Chemistry), Sylvain Masclin (Life & Environmental Sciences), and Carrie Menke (Physics, co-chair)

Methodology:
The task force reviewed the "Goals and Next Steps Brainstorming" and Brainstorming notes supplied by the Dean's office regarding undergraduate education as a starting point for developing the recommendations. During this process, we identified focus areas as we wanted to Incentivize, Enable, Connect, and identify Metrics needed to lead to a culture of teaching excellence throughout SNS. We reorganized these elements to create the MICE acronym.

1. **Measure** – Measure success and performance metrics to assess the efficacy of the implemented programs.
2. **Incentivize**
   a. Faculty[1] – Encourage and support faculty to adopt evidence-based practices (carrots as well as sticks).
   b. Students – Encourage and support students to engage with these practices as well as take advantage of co-curricular resources.
3. **Connecting**
   a. Faculty – Establish a cohesive teaching team at the department and school levels. Without it, efforts to improve pedagogy and student success will be diminished.

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[1] Faculty refers to senate and non-senate faculty alike.

b. Students – Connecting students to faculty, staff, peers, and resources.
4. **Enable**
    a. Faculty – Refers to policy, programmatic, and workload considerations that enable faculty to deliver high-quality educational programs.
    b. Students – The pedagogical approaches, course structure, overall program, and co-curricular resources must meet students where they are and be accessible to students (e.g., students that work, have family responsibilities, live on or off campus, etc.)

Timelines: The application of each focus area may differ in time due to its feasibility, availability of resources or/and people. We are therefore proposing three possible timelines:
- o Short-term: the recommendations can be applied within two years;
- o Near-term: recommendations can be initiated within two years and applied within five years;
- o Long-term: these recommendations will require extensive planning, coordination, and likely have high resource needs. Some foundational work can be started in the short-term, but focused attention would begin within two years; application of these recommendations may start towards the end five years.

Context:

The "Goals and Next Steps" document from the brainstorming sessions was organized along two themes. Part I: Improve Pedagogies used in SNS Teaching. Part II: Prepare and Support Students in Learning at the University Level. We maintained this organization.

Faculty in the brainstorming sessions who were inexperienced in evidence-based practices (e.g., active learning techniques, flipped classrooms, etc.) identified lack of training and time as reasons why they had not made changes to their courses, even if they desired to do so. Junior faculty, especially, expressed concern that investing the time into training and making changes would be viewed unfavorably during the tenure and promotion process. There is also a contingent of SNS faculty that doubt the efficacy of active learning practices, regardless of data that shows it is effective for all students and especially for traditionally marginalized students.

UC Merced students, many of whom are first-generation and/or Persons Excluded due to Ethnicity or Race (PEERS), have the desire and aptitude to succeed in their education. They require that the institution creates an environment of inclusion and success that actively minimizes and eliminate the structural barriers impeding their success. Policies and practices at the course, program, School, and campus levels disproportionately impact and put these students at a disadvantage, and result in low GPA and insufficient progress towards their degree. Our students *are* qualified to be UC students and deserve a UC-level education. Faculty in the brainstorming sessions also expressed frustration at the alleged number of high performing students that transfer to other campuses. We *are* capable of meeting *all* our

students' needs and prepare them to pursue advanced degrees or immediately join a skilled workforce while progressing towards R1 status.

Focus Areas:
Part I: Improve Pedagogies Used in SNS Teaching.
Unless otherwise noted, faculty refers to senate and non-senate faculty alike.

Focus Faculty-1: Faculty pedagogical training
A. **Team-teaching.** There are different ways of approaching team teaching (e.g., all instructors are equally involved in facilitating each class meeting; instructors take turns facilitating the class meeting). What should be constant is that all instructors are present throughout the entire semester to provide consistency in style, expectations, and culture for the students. The team-teaching approach, while providing pedagogical training, should also enhance the students' learning environment.
   a. Team-teaching practices will increase equity in the teaching workload, serving as the foundation for an equitable teaching workload policy for the school.
   b. SNS-level guidelines to implement Team teaching will follow data-driven, evidence-based practices that focus on student learning and success.
      i. These guidelines will include the incorporation of student-centered, evidence-based teaching practices in team teaching.
   c. Pair novice and experienced practitioners of evidence-based teaching practices.
   d. Full teaching credit
   e. Timeline:
      i. Short-term: Some departments are already doing this in a pedagogically-beneficial way, so keep doing what you're doing.
      ii. Short-term: Incorporate team-teaching into teaching plans.
   f. Resources:
      i. Guidelines for team teaching (there are different pedagogically-based models).
      ii. Team teaching multiple sections of the same lecture: potential zero net cost (and maintains teaching credit)
      iii. Team teaching when only one lecture section: reduces available faculty to teach other courses.
      iv. Robust teaching plans (see below)
   g. Measure: Evaluate teaching plans from all departments, to ascertain the level of team teaching, especially in introductory or high impact courses. Ascertain the adoption of evidence-based practice by the faculty via observation and self-evaluation.
B. **SNS or CETL Pedagogical Fellow** (specifically for SNS)
   a. Establish a Pedagogical Fellowship program in collaboration with CETL. Allows for teaching release (senate faculty) or course buy-out (Unit-18 faculty) to provide

mentorship and coaching throughout a semester to help faculty adopt a technique the fellow specializes in.

    b. Timeline: short-term

    c. Resources:

        i. Cost of replacing faculty member to teach the course the pedagogical fellow would have taught.

    d. Measure: Work together with CETL to identify Potential candidates. An application process must clearly identify the need and impact of participating in the pedagogical fellowship program.

C. **Graduate Student Teaching Fellows** (GSTF) to lead TAs for large-enrollment courses.

    a. Provides pedagogical training for graduate students, lightens instructor's administrative burden of managing TAs, allows for responsive interventions (e.g., grading techniques, CatCourses, lab/discussion session facilitation, perform peer observations) especially since first-year graduate students are often assigned to the large-enrollment courses.

    b. Timeline: Short-term

    c. Resource (question): Is there extra compensation for the Graduate Teaching Fellows?

    d. Measure: Identify courses that could benefit from a GSTF in all departments. Identify potential GSTF candidates for these courses. After deployment, examine the attitudes and thought of faculty and GSTF about their roles in class.

D. **Use a multidimensional evaluation of teaching** in SNS for merit and promotion cases, such as in the TEval project[2] (https://teval.net/index.html), to provide a comprehensive and balanced view of faculty teaching contributions.

    a. Timeline:

        i. Short-term: determine a framework to be used in SNS (responsibility of NSCC in collaboration with Dept. CCs)

        ii. Near-term: faculty familiarize themselves with the framework and have time to adopt before

        iii. Long-term: requirement for it to be included in SNS promotion and tenure cases

    b. Resources:

        i. Faculty buy-in

        ii. Minimal financial resources expected

        iii. Cost of training

    c. Measure: use of framework rubric.

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[2] "The overarching goal of [the TEval] project is to advance educational practices by creating, aligning and sustaining effective evaluation strategies that promote the use of evidence-based instructional strategies." TEval being developed in a collaboration of three R1 institutions: University Massachusetts, University of Kansas, and University of Colorado.

E. Peer observation of teaching is an SNS requirement for merit and promotion cases.
   a. Create a culture where teaching is evaluated by faculty in the School.
      i. As with peer reviews of research, a teaching peer review is a vital means of receiving expert assessments on teaching. Whereas peer reviews of research are high-stakes (publication or grant proposal accepted/rejected), the peer observation process ensures that faculty internalize scholarly "habits of mind" by identifying goals, posing questions for inquiry, exploring alternatives, taking appropriate risks, and assessing the outcomes with learned colleagues. When this process of scholarly engagement and deliberate improvement is part of the institutional expectations for teaching, as it is with research, it can function to support a community of scholarship around teaching.
      ii. Peer review enables teaching to be a community endeavor, moving away from pedagogical isolation and opening communication lines for improvement.
         1. Peer review should be done by faculty of all ranks and lines (research and teaching) and potentially across departments, providing a system where meaningful observations are performed.
      iii. Reduces the reliance on student evaluations of teaching (SETs), which several studies show do not correlate with measures of learning and are biased against women faculty, faculty of color, and faculty in other marginalized groups.
   b. **Timeline**:
      i. Short-term: Adoption of a single peer-observation tool, build faculty by-in
      ii. Near-term: training in that tool, setting up structure for peer reviews to occur with an equitable workload, faculty begin peer reviews.
      iii. Long-term: Requirement for it to be in merit & promotion cases so faculty have time to have peer reviews and incorporate feedback
   c. **Resources**:
      i. Developing buy-in, careful framing of the purpose of peer observations
      ii. Faculty time: observers' time; coordinating observations (ie. Dept. Curriculum committees?)
      iii. Possible cost of tool,
      iv. Training sessions.
   d. **Metrics**: number of teaching evaluations performed and integrated into case materials submitted for promotion & tenure/materials submitted for continuing appointment & merit increases.
F. Incentivize faculty to participate in **professional development workshops** that focus on pedagogy.
   a. STEM-specific Faculty Learning Communities hosted in collaboration with CETL

        i. Provides much needed support for junior faculty to work in their pedagogical training

  b. Mobile Summer Institutes (MoSI) of Scientific Teaching at UC Merced

        i. Ensure participation in MoSI is rewarded in promotion and tenure.

        ii. First MoSI is scheduled for August 2021.

  c. **Timeline**:

        i. Short-term: CETL and SNS faculty organized pedagogical workshops that are immediately available for faculty to enroll.

        ii. Near-term: Incentivize participation in these programs as part of the onboarding of new faculty. This will require change in the institution's view of teaching.

  d. **Resources**:

        i. Faculty buy-in to value teaching

        ii. Money and access to teaching space that could be used for pedagogy training.

        iii. Staff with access to course grades to help with Metrics.

  e. **Metrics**: Measure how many faculty participate in these programs. Evaluate the implementation of student-centered pedagogy by these faculty. Identify and dismantle barriers to implementation. If the faculty has taught courses before, the student performance in topics taught with modern pedagogies could be compared to previous times.

G. **Introductory Instructor Course Summit.** These high-enrollment introductory courses have unique needs and characteristics, including additional course administration, TA management, scalable activities and assessments, and onboarding first-year students with varied backgrounds and new to navigating the university system. An introductory instructor course summit would allow for sharing of various ideas, pedagogies, etc.

  a. Instructors can also learn from advisors and other student support staff about issues specific to SNS introductory courses.

  b. Since so many of our introductory courses are taught by Unit-18 lecturers, this is another avenue for include them in School-level efforts to improve teaching and learning.

  c. This could lead to coordinated efforts to modify courses, align assignments, integration of skills sets, possibly through formation of intro-course themed faculty learning communities and/or CETL-organized offerings such as the 2021 Course Redesign Initiative.

  d. **Timeline**: short-term

  e. **Resources**:

        i. Staff support for event planning

        ii. Staff participation in summit

        iii. Possible coordinate with CETL

  f. **Metrics**: participation of intro course faculty (Senate and Unit-18) in the summit

Focus Faculty-2: Program- and School-level coordination

A. Resurrect the **SNS Curriculum Committee** (SNS-CC), with representation from every department and collective experience in large-enrollment service, undergraduate, and graduate courses as well as instructional labs.

    a. We strongly recommend that the SNS-CC invites participation of at least one non-senate faculty member by communicating to the Non-Senate Academic Council.

    b. The SNS-CC needs a well-defined charge that should synergize with department curriculum committees. We recommend the charge include the following:

        i. Enable program-level and School-level perspectives on courses and instruction,

        ii. Critically review course CRFs, works with curriculum manager RE: scheduling, identify synergistic efforts that allows for students to progress. (CRF reviews would no longer be done by NSEC; no net change to number of steps in CRF approval process.)

        iii. Meet with CETL every semester to learn about workshops and training opportunities available to faculty and graduate students.

        iv. Meet with a member of UGC's SNS representative at least once a semester to learn of campus-and system-wide issues pertinent to SNS programs and curriculum.

        v. Be known as a point-of-contact to help disseminate information about other pedagogical training options (e.g., HHMI MoSI)

        vi. Coordinate with CETL for faculty peer observation tool

        vii. Be responsible for sharing that School-level perspective and training opportunities back to their respective departments.

        viii. SNS-CC would establish, with departmental input, a teaching credit system to equitable reflect teaching effort across SNS. This SNS-wide policy will increase equity across all SNS departments, reducing the disadvantaged experience by faculty because they happen to be in a particular department.

            1. For example, faculty teaching large courses with integrated lab components will receive teaching credit that would take in consideration the class size, extra effort due to lab components, and TA supervision and management.

    c. Members should belong to their respective departments' curriculum committee as well.

        i. Form departmental CC (if not already established) along with formation of SNS-CC, not before or after.

        ii. Department CC should have clear charges so there is little overlap of duties and responsibilities with the SNS-CC, allowing for the departmental CC's work to be synergistic and complementary to the SNS-CC.

    d. **Timeline**: short-term

e. **Resources**: Provide members with a stipend. Staff to help with meeting organization, minutes, agendas, etc.
f. **Measure**: formation of committee

B. **Department-level curriculum committees**. Each department should have a curriculum committee that takes a program-level perspective of their major and emphases, coordinates local support and may act as the liaison for peer teaching evaluations.
   a. Consult with advising staff to identify challenges and opportunities (e.g., courses that are bottlenecks due to scheduling, courses that would benefit from intensive curriculum reform, etc.)
   b. Consult with the curriculum manager to identify issues with number of sections,
   c. Review alignment of Unit-18 lecturers' skill set with courses taught and coordinate recruiting as needed.
   d. Assist with the departmental teaching plan (see below)
   e. Coordinate and ensure an equitable workload for peer teaching observations.
   f. Coordinate repository of teaching materials to be shared amongst faculty. This allows consistency and continued improvement.
      i. Folder on Box
      ii. Collaboration site on CatCourses to allow for easy import into a specific course.
   g. Ensure that all faculty are familiar with the curriculum in their major, lower & upper division course content.
   h. **Timeline**: short-term
      i. Year 1: identify general duties and set year-long committee goals (e.g., review of emphases, update CRFs as needed, map PLO development through curriculum, create list of topics required for each course to ensure consistency, etc.)
      ii. Year 2: general duties, work on 1-2 committee goals
   i. **Resources**:
      i. Staff to help organize meetings.
      ii. Faculty time to serve on committee; one member of dept. CC should serve on SNS-CC
   j. **Measure**:

C. **Department teaching plans** should have faculty assigned to teach courses multiple, consecutive times so that time spent improving curriculum and adopting evidence-based pedagogy is worthwhile and skills can be honed.
   a. Reliable enrollment estimates will make it easier to include non-senate faculty into teaching plans, but this can be started immediately.
   b. Multiple, consecutive times: If a course is taught every semester, non-senate faculty could teach both semesters. A senate faculty member could teach course every fall for 3-4 years[3] (a different faculty member teaching in Spring) to allow

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[3] The physics department follows this model. Once a faculty member teaches a class 3-4 times, they switch to another course that is in their list of preferred teaching. Their teaching preferences are updated annually. Non-

participation in (intro and upper-division) undergraduate and graduate programs.

    c. This relies on teaching plans having multiple academic years included, which allows for planning for sabbatical coverage, teaching relief, etc.

    d. **Timeline**: short-term

    e. **Resources**:

        i. Reliable enrollment estimates,

        ii. Workable format, NSCC should work with curriculum manager

        iii. Training materials and consultations for chairs (or designees) to create these teaching plans.

    f. **Measure**: consistency of teaching assignments following the plan,

D. **All instructional faculty and staff invited to department meetings and retreats** when curriculum, teaching, and learning are on the agenda.

    a. Unit-18 lecturers and lab staff

        i. This often will include the student advising staff

    b. **Timeline**: short-term (immediate)

    c. **Resources**: none

    d. **Measure**: Evaluate if instructional faculty and teaching lab staff are invited to department meetings via surveys.

Focus Faculty-3: Culture of teaching excellence

The success of this initiative depends on the commitment of financial and staff resources.

A. **Have teaching credit reflect teaching effort**. For example, large-enrollment classes require attention to administering the course. Some faculty are also responsible for coordinating the labs associated with lecture courses, but this not reflected in their teaching credits.

    a. In cooperation with the SNS-CC and SNS departments, create a teaching credit system to equitable reflect teaching effort across SNS, aimed at increasing equity across all departments

    b. Timeline:

        i. Short-term: Develop an equitable School-wide credit system.

        ii. Near-term: Each department reviews their courses

    c. **Resources**: Coordination with staff in curricular matters

    d. **Measure**:

B. Teaching relief and/or funds for curriculum reform.

    a. Coordinate with CETL, UCOP Innovative Learning Technology Initiative (ILTI), to explore grants and other funding opportunities.

    b. Timeline:

        i. Short-term: Evaluate current programs available via CETL or ILTI

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senate faculty members tend to teach the same courses more times in a row, but there is still variation in their teaching assignments. The teaching plan also allows us to space out new course preps.

ii. Near-term/Long-term: Apply for curricular grants (NSF or foundations) to redesign courses of concern.

    1. This program relies on coordination with teaching plans to count for teaching relief.

  c. **Resources**: funding

  d. **Measure**:

C. **School-level award** for Faculty teaching excellence as well as graduate student teaching excellence.

  a. Senate awards for teaching can only be given once to senate faculty. Excellence in teaching should be recognized at the school-level. Graduate students teaching excellence must also be recognized.

  b. This must also include supporting nominations for teaching awards in national professional societies.

  c. **Timeline**:

    i. Short-term: an easy program to establish by recycling the teaching nominations from the Senate awards.

    ii. Near-term: make it part of the culture of the school.

  d. **Resources**: Coordination with staff to gather nominations. Funds for awards (plaque, trophy, money).

  e. **Measure**:

D. **Increase the number of teaching faculty with expertise in evidence-based pedagogy.** Expertise is based on knowledge and experience of evidence-based pedagogy, and may include being active in evidence-based education research.

  a. **Hire Teaching Professors**. Currently capped at least 10% of ladder-rank faculty. Teaching faculty are drivers of teaching innovation in our school. They, along with many Unit-18 lecturers, are the first to adopt evidence-based pedagogical practices and provide local mentoring to ladder-rank faculty.

    i. Dean's office automatically includes hiring of teaching faculty line as part of FTE designations rather than waiting for departments to request this.

      1. Focus on impacted majors and/or courses

    ii. This provides a career avenue for exceptional Unit-18 lecturers

  b. **Intentionally recruit Unit-18 lecturers** (if FTE lines are unavailable for teaching professor) in areas of high need and ongoing shortage of applicants with teaching excellence in the candidate pool.

    i. This will require the formation of a search committee, posting job ads aligned with that field's job cycle, teaching demonstrations as part of interviews, and allowing enough lead time for a new hire to prepare for teaching

  c. **Timeline**: Short-term

    i. Intentionally recruit Unit-18 lecturers

      ii. Dean commits to automatically including hiring of teaching faculty in FTE allocations

    d. **Resources**: cost of posting job ads, possible relocation funds

    e. **Measure**: percentage of teaching faculty; percentage of all faculty that use primarily use evidence-based pedagogy

Faculty Focus-4: Online Education

A. **Online office hours.** Offering online office hours can provide increased flexibility for students to attend if they live off campus and/or if the online office hours are offered outside of standard business hours (if that is the faculty member's preference).

    a. **Timeline**: Short-term

    b. **Resources**: Zoom

    c. **Measure**: number of students that attend

B. **Hybrid, hyflex, and online classes**. To be clear, during the pandemic, we are engaging in emergency remote education. A hybrid course has both online and in person components that are explicitly designed as such. Hyflex classes allows the student to participate in person, online, or a combination of both as they like. Online classes are often structured to be asynchronous.

    a. SNS has some experience creating hybrid and online courses through the Merced Online-Hybrid Award (MOHA) program (e.g., Mike Colvin and Emily Reed for BIO 180, Marcos Garcia-Ojeda, Mike Dawson). These courses were developed with intensive staff support through the Academic and Emerging Technologies office and funded through UCOP's Innovative Learning Technology Initiative (ILTI).

    b. **Timeline**: long-term

    c. **Resources**: training, universal design support (e.g., closed captioning), online hosting, assessment platform(s)

    d. **Measure**: number of students taking course, success of students in subsequent courses (if this is a pre-req)

Part II: Prepare and Support Students in Learning at the University Level

Focus Students-1: Onboarding

A. **Summer bridge program**. These are usually short-term programs that have students get take prep courses (often in math and writing), become familiar with campus resources, and adjust to university-level expectations. While effective, they can reach only a limited number of incoming students and require intensive staff and faculty involvement.

    a. Timeline:

        i. Short-term: organizing, identifying and applying for grants and other funding options. Identify at risk students to have a targeted experience

ii. Long-term: run summer bridge.
   b. Resources: Staff to help administer the grant and the program.
      i. Faculty to help with onboarding. It is imperative that faculty participate in these efforts, or the program will not succeed. This should be recognized as part of merit review.
   c. Measure: Comparison of DFW and retention rates of students involved in summer bridge to identical cohort without summer bridge participation.

B. Feature **tools to help students match with degree programs** that are aligned with their career goals, and skills. Make matching inventories prominently on admissions website, as part of orientation, in signage around SNS classroom and student spaces, and mentioned within classes.
   a. **Timeline**: long-term
   b. **Resources**: identifying, customizing, or developing the tool; IT support; coordination with career services, advising, admissions.
   c. **Measure**: number of students that use these tools

C. Coordinate with campus resources to provide **student success workshops during orientation**. with topics related to time management, the expectations of the university, research, library skills, etc.
   a. **Timeline**: short-term
   b. **Resources**: communication with Student Affairs/Undergraduate Education office
   c. **Measure**: number of students that attend workshops

D. Now that UC Merced has an agreement with the MCCD to directly accept students meeting specified criteria, we can have **outreach** to schools and also have high school students visit the campus (attend a UC Merced class during their spring break, etc.)
   a. **Timeline**: short-term
   b. **Resources**: coordination with STEM Resource Center
   c. **Measure**:

E. **Embed "skill sets"** identified through the Undergraduate Programs and Skill Sets initiative into courses, making sure that they're also included in introductory courses.
   a. Near-term: Skill sets as defined by the Undergraduate Programs and Skill Sets Tasks force.
   b. Long-term: Department CC would ensure that skill sets are established and assessed in individual classes through their departmental PLOs.

F. School-wide **Learning Assistant Program**. A Learning Assistant (LA) is an undergraduate that has successfully passed a course and is trained and hired to be part of the instructional team. During the LA assists the instructor in
   a. **Timeline (program):**
      i. Short-term: LA pilot program in AY21-22 focused on large-enrollment introductory courses.
      ii. Near-term: Increase usage of LAs in introductory courses

      iii. Long-term: LAs becoming common component of SNS introductory courses and expanding to other SNS courses; LAs begin being used in labs and/or discussion sessions as well.

  b. Resources

    i. Funding timeline:

      1. Short-term: LA pilot program in AY21-22, identify and apply for additional funding

        a. VPDUE Sarah Frey has committed funds for the pilot and continuing budget for partial funding.

        b. Grants: NSF-HSI (Chemistry, current), current HHMI (Biology, current), NSF-IUSE:EHR (Chemistry, Biology, Math, Physics, submitted)

      2. Near-term: Secure additional funding (grants); develop recurring, local funding commitments (SNS strategic planning,

      3. Long-term: establish plan to shift percentage of LA program budget from grant-based to campus-based. This requires demonstration of net savings of having LAs (e.g., cost of LAs is less than lost tuition when comparing retention rates.)

    ii. Staff support for website and hiring

      1. AY21-22: provided by SNS Dean's office and VPDUE Sarah Frey.

  c. Metrics: Student DFW rates; student retention in majors, SNS, and UC Merced in courses with LAs and without LAs; increased learning gains measured by various concept inventories.

Focus Students-2: First-year students

A. Offer an option of **pass/no pass** grading option in lower-division courses. This will help to prevent students from getting stuck with a low GPA when trying to shift to a different major.

  a. Timeline: Near-term.

    i. This could be a blanket approval from the registrar instead of having to modify all the courses CRFs.

  b. Resources: Coordination with Staff and the office of the registrar.

  c. Measure: number of classes that offer this and programs that allow these courses to be used to satisfy major requirments.

B. End the practice of dismissing students after only one semester for low GPA. SNS staff should coordinate with VPDUE Sarah Frey, who is working on interventions and pathways for those students that struggle with the adjustment to university-level academics.

  a. Coordinate with the STEM Resource center to help at risk students.

  b. Timeline: Near-term.

  c. Resources: staff to help identify at risk students.

      d. Measure:

C. Increase staff to offer more meaningful guidance and support for students that earn DFW at midsemester. (One task member thinks the SNS EXCEL program did something like this?)

    a. **Timeline**: short-term

    b. **Resources**: additional staff hires, working with VPDUE and student affairs to coordinate efforts and interventions

    c. **Measure**: DFW, student retention, time to degree for those students that go through the process

D. **Ensure an academic focus in the Living Learning Communities (LLCs)**.[4]

    a. There should be learning goals and outcomes and a level of required participation in academic activities within the LLCs. Faculty are already involved in LLCs, so can work with LLC staff and graduate student mentors to review and possibly realign LLC learning goals and associated activities.

    b. **Timeline**: Short-term

    c. **Resources**: continuation of faculty involvement

    d. **Measure**: Evaluation of the learning goals and outcomes as established by the LLC.

E. **Parachute Classes**: Offer select courses during an 8-week term that runs for the second half of the semester. This will allow students to drop a course that they are struggling with and pick up another course that will allow them to remain full-time (I.e., still qualify for financial aid). Some of these classes could function as "parachute" classes for students who find themselves in a class that they are not prepared for. For example, a student who is failing calculus 1 could "parachute" into Math 005 for the 8-week session.

    a. General theme of 8-week classes: 2-credit SPARK seminars, general education requirements, support/prep classes (CHEM 001, MATH 005), intro classes to allow major exploration, etc.

    b. If a student is repeating a semester-long course for the sole purpose of replacing a low/failing grade (e.g., they are switching majors), they are delaying their time to graduation and may be on academic probation.

    c. **Online classes** may be a good vehicle for delivering parachute classes, but need to be designed as online classes.

    d. **Timeline**:

        i. Near-term: work with advising, VPDUE, Registrar, UGC, financial aid, etc. to determine how this could work.

        ii. Long-term:

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[4] This task force is not very familiar with the LLCs and is hoping for feedback and comments from those more involved with them.

1. Identifying and developing courses to fit within the 8-week timeframe.
2. Communicating these options to students, faculty, and staff

 e. **Resources**:

 f. **Measure**: time to degree, retention, number of students on academic probation,

F. Normalize campus resources: food pantry, CAPS, student jobs, financial aid, tutoring, etc., to acknowledge the entirety of the student. Faculty and students should be made aware of these resources. This could be done as a signage campaign, etc.

 a. **Timeline**: Short-term

 b. **Resources**: Communicate with Student affairs

G. Courses emphasize **formative assessments** and enough grades for students to make informed decisions about dropping a class, parachuting into another course, etc.

 a. This can be integrated into faculty training (See Part I, Focus Faculty: 1)

H. Train faculty and TAs on how to **incorporate academic supports into the instructional time** (e.g., use discussion sessions to review specific math skills before needed in the lecture. Christine Isborn did this with a linear algebra/matrix review before needing it in her physical chemistry course.)

 a. This can be integrated into faculty training (See Part I, Focus Faculty: 1)

Focus Students-3: Continuing Students

A. Adopt the UT Austin system for identifying at risk students and enrolling them into a support program *branded* as an honors program. (VPDUE Sarah Frey and SNS staff member John Newton know what this is called)

 a. **Timeline**: long-term

 b. **Resources**: IRDS to provide data and analysis to identify students, staff, faculty, program development, funding, etc.

 c. **Measure**: 4-year graduation rate

B. **Honors discussion/lab sections embedded** within a regular lecture course. With high-quality lecture meetings, there can be honors discussion and/or lab sections with the instructor of record. It could also allow students to switch into/out of the honors section easily. This could make it easier to develop an honors program rather than the current standalone honors courses.

 a. **Timeline**: Long-term

 b. **Resources**: additional teaching credit for faculty-led discussion and/or lab session

 c. **Measure**: number of students that taking honors sections, retention rates, time-to-graduation of students that participate in honors courses.

C. Offer interdisciplinary, school-wide, courses that meet the needs of all SNS students such as courses that concentrate on

 a. Computational and data science skills, quantitative analysis

 b. Scientific writing and scientific reading, presentation skills

c. Critical thinking and problem-solving skills
　D. Interdisciplinary program focusing on collaboration
　E. Networking and mentorship
　　　a. **Faculty-student mentorship**. This can be done via undergraduate research, having assigned faculty advisors, undergraduate seminars, inviting undergraduates to department seminars, departmental social events to help faculty and students interact. There could be a focus on transfer students to help them integrate into the major.
　　　b. **Peer mentorship**. There's an opportunity for student organizations, especially those associated with specific degrees (e.g., SPS for physics, SIAM for math, ACS for chemistry, etc.), to coordinate peer mentors.
　　　c. **Alumni mentorship**. This is especially helpful for students to see what types of career paths students with their majors take. Alumni panels, etc.
　　　d. **Timeline**:
　　　　　i. Short-term: Plan and initiate
　　　　　ii. Long-term: mostly established
　　　e. **Resources**: work with alumni relations and leadership of student organization, advising for rosters, etc.
　　　f. **Measure**: student participation

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SNS Task Force to Improve Doctoral Programs to Achieve R1 Size and Research Productivity Recommendations

Task Force Members: Prof. Jessica Blois, Prof. Christine Isborn, Prof. Patricia LiWang, Prof. Roummel Marcia, and Prof. Jay Sharping

Introduction

Growth of our graduate programs, as well as increasing the fraction of our students with research funding, are key prerequisites for UC Merced achieving Carnegie R1 ("Very high research activity") status. Growing towards R1 status will require sustained efforts in several areas, including broader and much more proactive recruiting, focusing student efforts on research productivity by establishing a strong research culture and increasing student funding, and maintaining student satisfaction with the graduate program through effective mentoring and community building. We can also improve recruitment and student outcomes by redesigning elements of our graduate program to include support for developing research skills, enhancing faculty mentorship skills, making a deliberate effort to encourage and help students apply for fellowships, and creating an inclusive culture that supports the exploration of careers outside traditional research tracks. This initiative is strongly coupled to other strategic initiatives related to the development of research centers with associated GSR funding and increased support for faculty success.

For this strategic initiative, the Task Force identified four phases within the graduate program experience: (1) recruitment, (2) on-boarding, (3) in-program, and (4) degree completion and transition. For each of these phases, we identified specific goals and action items to achieve our overall goal of improving our graduate programs and achieving research productivity and success. In addition, we identified the broader themes of (a) justice, equity, diversity, and inclusion (JEDI), (b) mentoring, (c) skill building, and (d) funding that span these phases (see Fig. 1).

Figure 1: The four phases of the graduate program experience (yellow circle) with broader themes that span these phases (blue circle).

A key proposal of our Task Force for increasing student research success and community building is the gradual creation and establishment of the **SNS Research Success Center.** We envision that this center, which will grow to be a staffed physical location for students to gather and also host organized online resources, will be a centralized hub for students to learn more about the research process and build their research skills, develop their mentoring network, and learn more about career pathways. We expect that the SNS Research Success Center will help students develop their research writing, presentation, and analysis skills, leading to increased research success with more student-authored papers, shorter time to degree, and securing desired employment post-graduation. The center can help students with STEM-specific skills, such as writing research papers and proposals, finding and applying for science-based fellowships, and work with existing centers and campus efforts to centralize student exposure to scientific career pathways. The SNS Research Success Center would host a graduate student seminar series featuring sessions/workshops that address topics that will help all students prepare for a

successful graduate school experience, including workshops on writing, presentation, and professional development. Many of the strategies and action plans should be coordinated with existing programs within Graduate Division, but with an eye towards the specific skills and needs for students within the Natural Sciences. In addition, collaborations with the Graduate Council and the Graduate Student Association will help facilitate the proposed activities.

We now enumerate the specific goals and action items for each phase in graduate training. For each goal, we list the time horizon (whether the action is a one-time event or takes place over multiple years), resources needed for the action, the priority of the action in relation to other action items, and metrics for assessing progress (especially in terms of how the action helps achieve R1 size and research productivity). In the accompanying matrix, we outline how each goal links to the four themes.

Graduate Education Phase 1: Recruitment

Overarching goal: Strong graduate recruitment is a critical first step in improving the overall quality of the various graduate programs in the School of Natural Sciences to help us reach R1 status. The goals we outline below are intended to help SNS graduate programs and Admissions Committees find more of the type of qualified students that they seek, and incentivize those admitted students to attend UC Merced.

1. Goal: **Increase the size of the applicant pool to our graduate groups**
   a. Strategy / Action items: More recruitment from near-peer UC's, CSU's as well as forays into international recruiting. We propose that SNS facilitate in-person open houses for students from nearby campuses and facilitate virtual open houses for non-local and international students. We suggest strong outreach to LSAMP and SACNAS chapters and other URM undergraduate organizations from other universities, and strong faculty representation at SACNAS. We propose to offer attendees discounted application fee waivers. We believe SNS can facilitate pipelines to universities by supporting our faculty to speak at departmental seminars about their research and SNS programs, and also by inviting undergraduate chairs and undergraduate research program directors from other institutions to visit our campus. Emphasize SNS research at recruiting events. Recruit earlier each Fall semester.
      i. Rationale: A multi-pronged strategy to increase the size of the pool; strong efforts to include diverse populations will likely lead to strong pools for Grad Admissions Committees.
      ii. Time horizon: Starting immediately, continuing
      iii. Resources: Faculty time and possible incentives such as subsidizing travel costs to conferences and seminars. Funds for application fee waivers. This will also require some staff support to coordinate open houses and to facilitate campus visits.
      iv. Priority: high
      v. Metrics: Increase in the overall number of applications to SNS graduate programs.

2. Goal: **Recruit applicants highly ranked by the graduate program to matriculate**
   a. Strategy / Action item: Provide grad chairs with the ability to offer financial incentives to students their faculty most want to recruit. We suggest that SNS pilot a 3-year study for evaluating the efficacy of signing bonuses.
      i. Rationale: Graduate students choose a particular university for many reasons, and sometimes a signing bonus can tip the scales in favor of one of their top choices. These could also be "named", e.g., "If you attend, you will be one of the recipients of the Dean's Award for Excellence, which comes with a [dollar amount] prize and a reception with the Dean of SNS".
      ii. Time horizon: Start next year and continue. If after 2-3 years it does not appear to be successful, it can be terminated.

iii. Resources: Funds for each grad group
iv. Priority: high
v. Metrics: 1. Determine if this gives us a higher-than-average percentage of SIR compared to "best students" the previous years. Note that if a student refuses, the grad group can take the money and offer it to the next person on the list. 2. A comparison should also be made regarding whether this leads to an overall increase in SIRs to a grad program.

3. Goal: **Get more UC Merced and CSU undergraduates to apply to our graduate programs**
   a. Strategy / Action item: Make a concerted effort to talk about graduate research at UC Merced in upper division courses taken by juniors and first-semester seniors (so they have time to apply). Possibly have specific faculty who regularly make "the pitch" so that it is a honed and attractive talk, as opposed to just emailing professors and asking them to not forget to mention this during one of their lectures. Organize a "Graduate School Information Luncheon" for UC Merced students early in the fall semester. Hold a virtual session for CSU students. Organize a similar event during the summer for participants in the Undergraduate Research Opportunity Center program. Attendees will receive a discounted application fee waiver. Develop additional CSU bridge programs for recruiting.
      i. Rationale: Many of our own students can become successful PhD students but often they do not consider this opportunity or realize that graduate school does not require more tuition payments. With encouragement, we could attract some of these students to our SNS programs.
      ii. Time horizon: Start this spring, 2021, ongoing
      iii. Resources: Discounted application fee waivers. Funding could also be used to reward a good faculty speaker, whose job it would be to give 5+ talks to their group's selected courses.
      iv. Priority: Medium
      v. Metrics: Increase the number of well-qualified applicants from UC Merced and the CSU system.

Graduate Education Phase 2: Onboarding

Overarching goal: Develop better ways to onboard Graduate students. Onboarding = acceptance through the end of the first year, which overlaps with the "in-program" activities, so some items are considered there.

Note: We recommend developing a survey instrument that is implemented to grad students annually to track progress towards goals.

1. Goal: **Provide better support for students move to campus**
   a. Strategy / Action item. Provide moving cost support for all students.
      i. Rationale: Reduce barriers to joining UC Merced, standardize financial package amongst grad students within SNS, provide extra perk not often seen in acceptance packages (and thus assist with recruiting).
      ii. Time horizon: annually, starting in AY 21-22 or perhaps implemented as a 3-year pilot program to assess if it's worth the cost.
      iii. Resources: Funding for each student for relocation
      iv. Priority: Low
      v. Metrics: Should result in more SIR and actual enrollments, and potentially attract more of the top-rated candidates.
   b. Strategy / Action item. Improve access to on-campus housing for graduate students and provide more help in finding off-campus housing
      i. Rationale: Reduce barriers to transitioning to Merced and campus, could be particularly useful for international students and those without cars, and potentially also for postdoctoral and visiting scholars.
      ii. Time horizon: Within the next 3 years
      iii. Resources: This particular action item may be tied to campus plans, and as such, it may not be under SNS control. Therefore, the resources needed are unclear.
      iv. Priority: Low (because not under SNS control)
      v. Metrics: Should result in more SIR and actual enrollments. There may also be improvement in climate and feelings of belonging.
   c. Strategy / Action item. Improve move/transition information flow for incoming students.
      i. Rationale: Reducing personal logistics/stumbling blocks helps ease transition to university life and research.
      ii. Time horizon: Immediate, though would be good to start with an assessment of what info staff already provide to determine the key gaps/stumbling blocks that students encounter with their move and prioritize those gaps.
      iii. Resources: Staff and/or faculty time/effort, website development to house information for SNS
      iv. Priority: Medium

   v. Metrics: Measure satisfaction with information dissemination and access to information and resources.

2. Goal**: Improve on campus transition/orientation process**
 a. Strategy / Action item: Expand summer bridge capabilities and support
   i. Rationale: Supporting students to move to Merced early, get engaged with research early, and become involved in the summer bridge support program will help inculcate the research mindset right from the start.
   ii. Time horizon: Expansion within next 3 years, then implemented annually with commensurate growth
   iii. Resources: Funding for summer fellowships
   iv. Priority: High
   v. Metrics: Measure different statistics of progress, such as retention, time-to-degree, time to first publication, number of publications by time student finishes, etc. This should result in improved statistics, especially for graduate students from minoritized groups or first-generation students.

 b. Strategy / Action item: Reduce information overload during GROW week by only including the highest priority items, and instead introduce or reinforce key information provided during GROW week throughout the first year (perhaps through first year mentor committee, monthly panel discussions/lunch and learn mechanisms).
   i. Rationale: Much of the information provided to students in GROW week is valuable, but because there is so much presented within a short time, students do not retain the information.
   ii. Time horizon: Immediate
   iii. Resources: Staff time, or potentially a 25% GSR appointment each semester as "Senior SNS mentor" or similar to have a graduate student organize activities.
   iv. Priority: High
   v. Metrics: No easily tracked metrics. Participation in monthly panel discussions (or similar activities provided through the SNS Research Success Center should correlate with a 'smoother' degree program and access to information and resources. Measure satisfaction with information dissemination and access to information and resources.

3. Goal: **Improve first semester/first year success**
   a. Strategy / Action item: Provide additional mentors for students beyond their research advisor or committee, especially in Year 1. This could be accomplished by, e.g., creation of an advising team in each grad group who mentor all first year students (in addition to their advisors): 1-2 senior grad students, 1-2 faculty focused on research mentorship, 1-2 faculty focused on teaching mentorship.
      i. Rationale: Having a team 1) reinforces to students that there are multiple people invested in their success; 2) provides built-in people that they can email with questions; 3) smooths over variation in mentorships students receive from advisors/rotation labs; 4) reduces reliance on "single sage" view of advisor.
      ii. Time horizon: Immediate to 3 years. Some groups may need time to implement this program, but given the priority all grad groups should have strong first-year mentorship in place within 3 years.
      iii. Resources: Create a "teaching/mentorship fellow" program to compensate grad students for their time; extra stipend or reduced other service or summer support for faculty advisors committed to serving on this committee.
      iv. Priority: High
      v. Metrics: Track first year and second year success (rate at which qualifying exams are passed, number of fellowships secured in first two years), and ultimately measures of degree progress such as retention, time-to-degree, time to first publication, number of publications by time student finishes, etc. This strategy should also positively correlate with climate, sense of belonging, and fewer students should become 'stuck' (Goal 5, in-program). This should result in improved statistics across the board, but a strong mentorship framework may be especially beneficial for graduate students from minoritized groups or first-generation students.
   b. Strategy: Implement first year check-ins for all grad students.
      i. Rationale: Some but not all grad groups have checks in place at the end of the first year. Recommend creating pathways to allow students who are struggling to come up to speed, but also have processes to release students who are not likely to be successful
      ii. Time horizon: Immediate
      iii. Resources: Minimal
      iv. Priority: Medium
      v. Metrics: Track first year and second year success (rate at which qualifying exams are passed, number of fellowships secured in first two years), and ultimately measures of degree progress such as retention, time-to-degree, time to first publication, number of publications by time student finishes, etc.

c. Strategy / Action item: Create more standardized coursework/curriculum in first year, and perhaps include a 1-unit onboarding class across SNS (short faculty talks and social time).
   i. Rationale: A standardized curriculum may help facilitate both skills building as well as community building. This could be a 1-unit class taught by a senior student or postdoc that goes over things from GROW week and helps connect students to resources on campus. This could also be paired with more frequent "mini-courses" targeted at subgroups of students.
   ii. Time horizon: 1-3 years
   iii. Resources: Could be accomplished in a variety of ways, with variable resources: faculty time to develop/refine curriculum, a 50% GSR position or extra stipend for a postdoc.
   iv. Priority: Medium
   v. Metrics: Track first year and second year success (rate at which qualifying exams are passed, number of fellowships secured in first two years), and ultimately measures of degree progress such as retention, time-to-degree, time to first publication, number of publications by time student finishes, etc. This strategy should also positively correlate with climate.
d. Strategy / Action item: Improve funding for first-year students
   i. Rationale: Students often TA in their first year, especially in programs with high TA need and/or rotation systems in place. Yet, it is helpful to get students immersed in their research right from the start, so they can generate project ideas, preliminary results, etc. that will make fellowship applications stronger.
   ii. Time horizon: 3-5 years
   iii. Resources: First year GSRs/Fellowships
   iv. Priority: High
   v. Metrics: Track whether students who are supported on GSR or Fellowship in Year 1 are more 'successful' than students who are supported more often on TAships. Potential metrics include the rate at which qualifying exams are passed, number of fellowships secured, and ultimately measures of degree progress such as retention, time-to-degree, time to first publication, number of publications by time student finishes, etc.

Graduate Education Phase 3: In-program

Overarching goal: Increase research productivity (publications and other research outputs) while also increasing satisfaction with the Ph.D. program. We aim to help

students increase research productivity by emphasizing skill development and support network.

1. Goal: **Develop strong research culture**
   a. Strategy: Create and establish the SNS Research Success Center that will help develop student research skills in writing, presenting, and analyzing, along with providing student support in mentoring, conflict resolution, and career preparation (see more specific goals below that can be delivered through the Success Center).
      i. Time horizon: Gradual development, starting immediately
      ii. Resources: staff and space
      iii. Priority: Highest
      iv. Metrics: Student use of the center, correlating student use with student productivity (publications, research outputs, time to degree)

   b. Strategy: Partially staff the SNS Research Success Center with 'Student Scholars' funded by GSR/Fellowships; this will allow the student scholars more flexible time to focus on their research instead of TA duties, and also keep students in the "research success" mindset through their organization of activities such as research success workshops. These scholars should provide evidence of scholarly productivity (first author papers, presentations at conferences) so that these positions also reward high-achieving students.
      i. Time horizon: Gradual growth along with the SNS Research Success Center
      ii. Resources: GSR/Fellowship funding
      iii. Priority: High
      iv. Metrics: Student use of the center, correlating student use with student productivity (publications, research outputs, time to degree)

   c. Strategy: Award small fellowships to tangible research outputs, e.g., first-author publications, books, patents, computer codes, external grants, external fellowships. Disburse fellowships through graduate chairs to account for different research output rates for each discipline.
      i. Rationale: To contribute to the culture of research, these fellowships not only recognize student outward-facing accomplishments and productivity but also incentivize research progress.

ii. Time horizon: Gradual increase in the number of award fellowships per year

iii. Resources: Funding for the fellowships

iv. Priority: Medium

v. Metrics: Higher citation count, number of publications in high-impact journals. Improvement in the following metric from the Academic Planning Working Group Final Report

> B.b.i. Measure #1: School's aspirational goals for their programs, in the context of the institution's commitment to be a research university, and their status in relation to these goals.

d. Strategy: Create common workspaces (within each building or in the SNS Research Success Center) and optimize student office space so that it is quiet enough to get writing and research done (limit number of students per office)

i. Rationale: To create a common space for students to discuss ideas at a white board, have group meetings, practice presentations, but to also ensure their office space is conducive to thinking and productivity.

ii. Time horizon: One time

iii. Resources: Space renovation costs

iv. Priority: Medium

v. Metrics: Track student use of common space, survey students about the space they use for work

e. Strategy: Train students on appropriate facilities such as instrumentation, computation with staff support (regular funding via GSR/TA)

i. Rationale: To support student skill development and maintenance of facilities by training students to help run instrumentation and computational facilities

ii. Time horizon: Continuing

iii. Resources: Regular GSR/TA support for key facilities

iv. Priority: Medium

v. Metrics: Increased use of facilities, student job placement in careers related to facilities expertise

f. Strategy: Increase the number of research seminars. Encourage sponsoring of regional level research meetings on campus at the

conference center. Improve graduate program annual retreats. Establish named lectureship series.

      i.   Rationale: To enrich research discussion and increase awareness within each graduate program as well as within the

     ii.   Time horizon: Continuing

    iii.   Resources: Funding

    iv.   Priority: Medium

     v.   Metrics: Increased graduate student attendance in seminars and increase number of research visitors to campus.

2. Goal: **Increase the number of students applying for fellowships**

    a.   Strategy: Organize fellowship planning and writing workshops (within SNS Research Success Center)

      i.   Rationale: Additional funding through fellowships will aid in student research progress.

     ii.   Time horizon: Gradual growth as the SNS Research Success Center grows

    iii.   Resources: Funding for workshop delivery (organizer)

    iv.   Priority: high

     v.   Metrics: Increase in the following metrics from the Academic Planning Working Group Final Report:

            A.b.i. Measure #1: Total research and development within the school

            B.e.iv. Measure #4: Percentage of graduate students supported by GSRs, TAships, and Fellowships within the school

3. Goal: **Improve student writing**

    a.   Strategy: Regularly offer science writing classes

      i.   Rationale: Some students benefit from the structure of a class to help them gain writing skills while helping them publish and move more quickly to dissertation stage. Recommended in Year 1 if they focused on fellowships, Year 3 for when students should be ready to write papers.

     ii.   Time horizon: Continuing

    iii.   Resources: Funding for faculty instructor

    iv.   Priority: Medium

v.   Metrics: Higher citation count, number of student first author papers, number of publications in high-impact journals. Improvement in the following metric from the Academic Planning Working Group Final Report

> B.b.i. Measure #1: School's aspirational goals for their programs, in the context of the institution's commitment to be a research university, and their status in relation to these goals.

b. Strategy: Create SNS student writing time and accountability group, modeled after NFCDD (within SNS Research Success Center)

    i.   Rationale: Some students benefit from the structure of promoting focused time to write

    ii.   Time horizon: Continuing

    iii.   Resources: coffee, tea, snacks

    iv.   Priority: Medium

    v.   Metrics: Higher citation count, number of student first author papers, number of publications in high-impact journals. Improvement in the following metric from the Academic Planning Working Group Final Report

> B.b.i. Measure #1: School's aspirational goals for their programs, in the context of the institution's commitment to be a research university, and their status in relation to these goals.

c. Strategy: Within the SNS Research Success Center, create a space for templates, examples, and prompts so that students have a place to get help when they need it.

    i.   Rationale: Some students benefit from the structure of giving them resources and structure to begin the writing process

    ii.   Time horizon: One time, plus some maintenance

    iii.   Resources: Staff to organize documents on the website/Box folder

    iv.   Priority: High

    v.   Metrics: Higher citation count, number of student first author papers, number of publications in high-impact journals. Improvement in the following metric from the Academic Planning Working Group Final Report

> B.b.i. Measure #1: School's aspirational goals for their programs, in the context of the institution's commitment to be a research university, and their status in relation to these goals.

4. Goal: **Improve faculty/student mentoring relationships**
   a. Strategy: Organize faculty-as-mentors/managers and students-as-mentees professional training workshops.
      i. Rationale: Improved mentor/mentee relationships will increase communication and productivity. New faculty often need guidance with managing labs and mentoring/motivating students. New students arrive with varying "social capital" for navigating graduate school.
      ii. Time horizon: Annual, starting immediately
      iii. Resources: Costs to host training (e.g. CIMER)
      iv. Priority: High
      v. Metrics: Increase in the following metrics from the Academic Planning Working Group Final Report:
         > B.e.i. Measure #1: Completion rate over a 7-year time interval
         > B.e.ii Measure #2: Timely degree completion based on program-specific targets

   b. Strategy: Within the SNS Research Success Center and online, collect best mentoring practices (e.g. IDPs, mentoring map examples, mentoring plan examples, mentoring communication tips), so that both faculty and students have access to resources.
      i. Rationale: Many students and faculty are not sure where to start with improving mentoring relationships. Both should be responsible for finding resources that would improve experience. Department/ grad group websites could mirror a page about these resources.
      ii. Time horizon: One time, plus some maintenance
      iii. Resources: Staff to organize documents on the website/Box folder
      iv. Priority: High
      v. Metrics: Embed a mentoring question in the annual committee meeting form which measures student satisfaction with graduate mentoring.

5. Goal: **Create conflict resolution strategies to help students get unstuck, mediate problems before they escalate**
   a. Strategy: Appoint and train two student ambassadors to mentor students if they feel stuck with their research or advisor
      i. Rationale: Students could be more approachable than faculty for helping to mediate problems. The student ambassadors would work with the students and potentially grad chairs to offer strategies and connect students with resources. These students could have an official role in the grad student club or student success center.
      ii. Time horizon: Continuous
      iii. Resources: student training costs
      iv. Priority: High
      v. Metrics: How frequently students meet with ombuds

   b. Strategy: Enable students to have a forum for voicing concerns to their committee (e.g., Qualtrix form asking about mentoring that goes to committee chair before the annual meeting)
      i. Rationale: Student committees could help mediate student-advisor problems and help to align expectations
      ii. Time horizon: Continuous, but one-time change in procedure
          Resources: Minimal
      iii. Priority: Medium
      iv. Metrics: Mentoring questions on annual student survey

6. Goal: **Improve amenities for graduate students**
   a. Strategy: Formation of graduate student clubs for each grad group that have both social and development activities. Create additional events or activities to promote graduate student peer communication
      i. Rationale: Clubs would improve peer mentoring and community
      ii. Time horizon: Continuous, initial legwork to get the club off the ground and sustainable
      iii. Resources: Annual funding for activities, possible GSR for one summer for two students to organize the club
      iv. Priority: High
      v. Metrics: Annual student survey
   b. Strategy: Increase affordable parking options, improve transportation (e.g. cheaper parking after 3pm)
      i. Rationale: Make it easier to come to campus

        ii.   Time horizon: One time
        iii.   Resources: Work with TAPS to negotiate grad student discounts
        iv.   Priority: Medium
        v.   Metrics: Annual student survey often lists parking as an issue, measure if complaints decrease.

c. Strategy: Connect students with professional organizations and societies by supporting their memberships
        i.   Rationale: Student memberships to professional organizations are low-cost and effective means of increasing the visibility of graduate programs, widening professional networks, and increasing access to professional development opportunities these organizations offer
        ii.   Time horizon: Multiple years
        iii.   Resources: Funding for professional memberships
        iv.   Priority: Low
        v.   Metrics: Number of student memberships per year for each organization

7. Goal: **Provide more opportunities for pedagogical development to help students become better and more efficient TAs, and also provide relevant career training.**

a. Strategy / Action item: Provide better TA training activities during GROW week, along with regular check-ins during the first semester of TAing.
        i.   Rationale: Many students struggle with TAing, in addition to their other responsibilities, in their first year in particular.
        ii.   Time horizon: Continuous
        iii.   Resources: Medium, work with CETL to design training
        iv.   Priority: High
        v.   Metrics: Fewer reports of problematic or struggling TAs, fewer feelings of burnout in year 1 for students.

b. Strategy / Action item: Create a lead TA position in charge of helping manage large undergraduate classes
        i.   Rationale: Experienced TA could help mentor more junior students in their TA duties, orienting new TAs and instructors to different technologies, and could help with teaching evaluation and feedback, grading tips, time management strategies, etc.
        ii.   Time horizon: Continuous
        iii.   Resources: Funding for a 50% academic year TA position, for all courses with large enrollments (e.g., the full TA position will consist of TA for one section plus leading the rest of the TAs)

      iv.   Priority: Medium

      v.   Metrics: Fewer reports of problematic or struggling TAs, fewer feelings of burnout in Year 1 for students.

Graduate Education Phase 4: Degree completion and transition

Overarching goal: To graduate students in a timely manner and to prepare them for the next stage of their careers.

1. Goal: **Improve on-time graduation rates**
   a. Provide additional final-semester dissertation fellowships.
      i. Rationale: These fellowships will help alleviate the simultaneous pressures of finishing dissertation writing, defending, and finding post-graduation employment.
      ii. Time horizon: Gradual increase in the number of dissertation fellowships each year
      iii. Resources: Funding for the fellowships
      iv. Priority: High
      v. Metrics: Improvement in the following metrics from the Academic Planning Working Group Final Report
         > B.c.i. Measure #1: Rolling 5-year average of doctoral degrees conferred
         > B.e.i. Measure #1: Completion rate over a 7-year time interval (those who start and complete within that time window
         > B.e.ii. Measure #2: Timely degree completion based on program-specific targets
         > B.e.iv. Measure #4: Percentage of graduate students supported by GSRs, TAships, and Fellowships within the school
   b. Supplement/expand on the Graduate Division Dissertation Bootcamp
      i. Rationale: In coordination with Graduate Division, providing additional writing space and editing support for scientific writing will help students jumpstart and make progress with their dissertation writing process.
      ii. Time horizon: Graduate increase in the number of students participating in the Dissertation Bootcamp
      iii. Resource: Funds for writing support and space for dissertation writing
      iv. Priority: Medium

v. Metrics: Improvement in the following metrics from the Academic Planning Working Group Final Report

> B.c.i. Measure #1: Rolling 5-year average of doctoral degrees conferred
>
> B.e.i. Measure #1: Completion rate over a 7-year time interval (those who start and complete within that time window
>
> B.e.ii. Measure #2: Timely degree completion based on program-specific targets
>
> B.e.iv. Measure #4: Percentage of graduate students supported by GSRs, TAships, and Fellowships within the school

2. Goal: **Improve graduate student professional development training**

   a. Institutionalize workshops/panels/clubs for (i) creating an academic application package (research statement, teaching portfolio, diversity statement), (ii) improving presentation and interviewing skills (for both academia and industry), (iii) creating an on-line presence (e.g., GitHub, LinkedIn, personal website), (iv) postdoctoral fellowship writing, and (v) preparing for the next career stage (e.g., management training, mentoring). Invite M.S. and Ph.D. alumni for career panels and workshops.

      i. Rationale: These activities are meant to prepare graduate students for the next stage of their careers. These could be done in coordination with the Graduate Division as well as Career Services.

      ii. Time horizon: Gradual; increase in the number of workshops/panels/clubs.

      iii. Resource: Funding for outside speakers (including industry) and graduate student coordinators

      iv. Priority: Medium

      v. Metrics: Improvement in the following metric from the Academic Planning Working Group Final Report

      > B.e.iii. Measure #3: Percentage of graduates employed one year after graduation.

   b. Strategy / Action item: Promote student participation in summer internships at non-academic institutions.

      i. Rationale: National labs and industry use summer internships to recruit future hires.

ii. Time horizon: Increase in students participating in internships

iii. Resources: Minimal

iv. Priority: Medium

v. Metrics: Increase in the following metrics from the Academic Planning Working Group Final Report:

> B.e.iii. Measure #3: Percentage of graduates employed one year after graduation

	Justice, Equity, Diversity and Inclusion	Mentoring	Skill building	Funding
Phase 1: Recruitment				
Increase the size of the applicant pool to our graduate groups	x			
Recruit highly qualified grad students to matriculate	x			
Get more UC Merced undergraduates to apply to our graduate programs	x			
Phase 2: Onboarding				
Provide better support for students move to campus	x			
Improve on campus transition/orientation process	x	x		
Improve first semester/first year success	x	x	x	x
Phase 3: In-program				
Develop strong research culture	x	x	x	x
Increase the number of students applying for fellowships			x	x
Improve student writing			x	
Improve faculty/student mentoring relationships		x		
Create conflict resolution strategies to help students get unstuck, mediate problems before they escalate		x		
Improve amenities for graduate students		x		
Provide more opportunities for pedagogical development to help students become better and more efficient TAs, and also provide relevant career training.			x	

	Justice, Equity, Diversity and Inclusion	Mentoring	Skill building	Funding
Phase 4: Degree completion and transition				
Improve on-time graduation rates		x		x
Improve graduate student professional development training	x		x	
Improve graduate student professional development training			x	

School of Natural Sciences Staff Development and Success Task Force Action Plan

SNS Long Range Planning

Charge:

1. Implement Staff Development and Success (SDS) Long Range Planning (LRP) Initiatives
2. A prioritized list of **actions** aimed at increasing **performance metrics** over the **next five years**
3. Each action should have a **start and end dates**, **milestones** when performance **metrics** will be assessed, and a list of required **resources**
4. The next step in the planning process is to **first identify** and **then prioritize** specific **actions** that will move each initiative forward

Methodology:

Suggestions for specific actions around **staff training, development,** and **professional advancement** in an atmosphere that fosters mutually respectful and productive working **relationships among staff and faculty** were collected through two open, facilitated sessions and an on-line survey.

Desired outcomes:

1. Highly satisfied staff trained in innovative technologies who have opportunities for advancement
2. Mutually respectful and productive working environment among staff
3. Mutually respectful and productive working relationship between staff and faculty
4. Staff who can articulate the tangible impact of their work in achieving the vision and mission of the school
5. Managers fully understand the responsibilities of their staff

Review of Initial Campus Roll out of LRP, SNS Mission/Vision Statement Creation, SNS Staff/Faculty Brainstorm Sessions, and SNS Strategic Initiatives

Creation of SDS Task Force; completion of three 1-hour meetings over a two-week timeframe (3/1, 3/8 and 3/15)

Communications with SNS Dean, SNS Associate Dean, and SNS Staff Council

Artifacts Reviewed:

SNS Brainstorm Session Documents and Surveys, SNS Staff Feedback Surveys, SNS Strategic Initiatives, SNS Long Range Planning Website, SNS LRP Presentations, and Official UCM LRP Communications/Documents from Leadership (EVC/Provost)

Focus Areas:

Focus 1: SNS Staff Training

Improve SNS Staff Preparation upon Hire, Offer Enhanced New Hire Welcome Materials, Purposefully Integrate Professional Development and Training into Performance Appraisal Process, Identify Required/Beneficial Training Opportunities for Position and Growth, Provide Opportunities for Staff to Train Up, Cross Train, and/or Growth Train into a Position

Focus 2: SNS Staff Development

Improve Performance Management Process, Support Integrative Qualitative and Quantitative Best Practices (SOA, PA), Integrate Professional Development Planning, and Create a Sense of Belonging to a Community in SNS

Focus 3: SNS Staff Professional Advancement

Enhance staff opportunities for growth and advancement. Perform Program Growth Audits, Job Description Audits, Open/Future Position Planning, and Create Clear Promotion/Reclassification Pathways and Guidelines, Create an Environment for Challenged Growth/Greater School/Campus Involvement

Focus 4: SNS Staff and SNS Faculty Collaboration

Increase opportunities for SNS Staff and Faculty to connect and collaborate, through SNS Staff Council Events, a Collaborative Annual Retreat, Faculty Spotlight/Brownbag lunches, and an Updated SNS Staff Website for Faculty Access/Use

Focus Points:

1. Establish SNS 'Presence' (ethos, reputation, branding, exposure)
2. Improve Staff/Faculty Connections
3. Improve Staff Satisfaction and Engagement
4. Build on Current Best Practices
5. Integrate Annual Metrics Reviews

High Level Metrics:

Based on Unit/Program Performance Metrics established in Year 1 of Action Plan (Action B).

Examples: Staff Retention Rates, Staff Promotion/Reclassification Rates, Program Growth Indicators (e.g., EXCEL now serving Probation Students), Program Impact Indicators (GPA Growth/Academic Standing for Probation Students), Performance Appraisal Ratings Increases, Output Processing Rates, Website Analytics, Email Opens/Click Rates, SLA Performance Metrics

Low Level Metrics:

Examples: Qualitative Surveys, Attendance at Events, Recognitions Given, Staff Engagement, Brand Representation, Anecdotal Feedback

Proposed 5 Year Plan: *If necessary, develop Tier system for Priority Year 1 Actions to include Lower Tier Actions for Year 2 implementation. Use SMART Goal format for all Yearly Actions.*

> **Year 1:** Build Foundation, Establish Presence
> **Year 2:** Initial Implementation and Transition Management
> **Year 3:** Preliminary Assessment, Metrics Review, Revisions Planning
> **Year 4:** Scaling/Refined Implementation
> **Year 5:** Assessment of 5-Year Plan, Actions and Performance Metrics, Future Year Planning

Year 1 Action Plan Summary:

A. Phase 1 JEDI: Create JEDI Culture and Develop SNS Staff Cultural Competencies (Year 1-3 Phased Approach)
B. Implement a Management Review Initiative
C. Create an Advocacy Culture
D. Create a Faculty and Staff Partnership Liaison
E. Create SNS Faculty Resource Webpage *(in development)*

Year 2 Action Plan Summary:

A. Continuation and End of Year Review of Year 1 Actions
B. Formalize Staff New Hire Procedures and Onboarding
C. Create SNS Annual Report
D. Extend Scope of SNS Staff Council
E. Hold SNS Summer Retreat
F. Create SNS Faculty Support Workshop Series
G. Establish SNS Presence
H. Phase 2 EDI: Create EDI Culture and Develop SNS Staff Cultural Competencies (Year 1-3 Phased Approach)
I. Improve SNS Staff Performance Appraisal Process

Year 3 Action Plan Summary:

A. Expand SNS University Development, External Relations, and Alumni Relations Presence
B. Expand Scope of the SNS EXCEL! Program to increase services in support of faculty and academic advising/student support units
C. Increase SNS Staff presence in inter-campus committees, organizations, student RCOs, and collaborations with other campus units in campus initiatives
D. Phase 3 EDI: Create EDI Culture and Develop SNS Staff Cultural Competencies (Year 1-3 Phased Approach)
E. Implement a Sustainability Initiative where all SNS Staff Unit offices are LEED Certified under the Green Office Program through the Office of Sustainability at UC Merced
F. Create a Culture of Professional Development and Community for SNS <u>Student</u> Staff

<div align="center">

Year 1 Action Plan:

</div>

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A. Phase 1 JEDI: Create JEDI Culture and Develop SNS Staff Cultural Competencies (Year 1-3 Phased Approach)
B. Implement a Management Review Initiative
C. Create an Advocacy Culture
D. Create a Faculty and Staff Partnership Liaison
E. Create SNS Faculty Resource Webpage *(in development)*

Action A: *Phase 1 JEDI: Create JEDI Culture and Develop SNS Staff Cultural Competencies (Year 1-3 Phased Approach)*

Description: Create a JEDI culture and integrate cultural competencies into existing supervision and performance management processes. Note: It is the goal of the staff council to incorporate JEDI into every action we perform in an integrated manner. However, we still collectively agreed this important work needs to be named and outlined in an action item, to confirm and maintain our commitment to these principles.

1. All staff participate in a diversity statement writing workshop (The Office of Student Affairs did this in 2020, Charles Nies could share information)
2. Supervisors encourage/advocate for staff to focus on JEDI core competencies in their annual performance appraisals
3. Consider a JEDI award for the annual SNS staff retreat recognitions
4. Encourage participation and training of SNS staff through the office of JEDI events that already exist
5. Consider a more formal partnership between the School of Natural Sciences and the Office of JEDI at UC Merced
6. Require additional JEDI trainings (e.g., Implicit Bias Training) in the UC Merced talent management system
7. Require a diversity statement from staff when hired
8. Include a diversity-based question in all SNS interviews

Resources Required: Budget, Staff, Time
Metrics for Success: Developed in 1A
Timeline for Implementation: Start of Year 1, Continuing
Milestones: 6-month Progress Report and End of Term Report

Action B: *Implement a Management Review Initiative*
Description: Perform a review led by leadership, management, and supervisors to establish a baseline of SNS Staff, Performance, Work Load, and Effort metrics, descriptions, and processes to assist in the growth of SNS over time.

1. Perform Process Audits for work flow, technology use, and peak work times
2. Perform Baseline Position Job Description Audits for effort management, cross training opportunities, cross-campus role/pay equity review (e.g., are all campus Advisors paid equitably based on job description/title/classification), and professional development suggestions for Performance Appraisal process. Coordinate with Human Resources on process
3. Perform Program Audits to identify growth management, connected units, and operational deadline calendar events
4. Establish Growth Projections and Projected Staffing Level Adjustments for Critical Functions over the next 5 years
5. Implement Cross-Training and Back up Personnel Procedures for Critical Areas
6. Establish tangible Unit success metrics for process flows, inputs, and outputs. Determine metrics for each program/unit to serve as basis for indicators of success

7. Establish Unit Planning Agendas/Calendars to provide for a central SNS Agenda/calendar
8. Hold Unit Planning Retreats during summer
9. Establish/Modify detailed position training schedules for new hires by Unit (Position Training Plans)
10. Perform SNS website review – Child Pages, Unit/Program Pages, Working Links, expanded information; Perform overview of public presence and social media usage

Resources Required: Budget, Staff, Time
Metrics for Success: Developed in 1A
Timeline for Implementation: Start of Year 1, Continuing
Milestones: 6-month Progress Report and End of Term Report

Action C: *Create an Advocacy culture within SNS*
Description: SNS supervisors and staff are encouraged to nominate one another for awards within SNS and campus overall.

1. An SNS staff council member is in charge of "Awards and Nominations." This staff member researches and compiles awards that staff are eligible to be nominated for and shares them with SNS staff and supervisors through the SNS monthly staff breakfast, the SNS staff council website* (*may be restrictive due to websites changing often?) and any other opportunities for announcement afforded by the staff council's work
2. The staff council member can compile the awards through website searches, the UC Merced Monday Memo, the #ICYMI In Case You Missed It publication, Staff Assembly announcements, all other campus-wide announcements, and any other relevant means of information gathering
3. This staff council member (or all staff council members) encourage staff and supervisors to nominate each other for awards. It can be considered that a list of campus and SNS recognitions is provided to supervisors and employees and supported by targeted communications throughout the year based on deadlines for nominations
4. Example Awards:
   Staff Assembly Staff Excellence Award: https://staffassembly.ucmerced.edu/staff-awards/excellence-awards/award-guidelines
   Equity and Justice Awards: https://diversity.ucmerced.edu/form/equity-justice-awards-nominations-spring-2021

Resources Required: Budget, Staff, Time; an SNS staff member, council member, or otherwise, to compile a list of inter-campus awards and encourage staff members to nominate on another. Supervisor buy-in and advocacy, and wherewithal to nominate staff. Low budget action.
Metrics for Success: Increased numbers of SNS staff being nominated for SNS On the Spot Awards and inter-campus awards and recognitions. Method for metrics: The Staff Council member in charge of "Awards and Nominations" could track nominations in an excel sheet. This would take coordination with nominators (*i.e.,* supervisors and staff are asked to notify the staff council member when they nominate staff for awards). This could be incentivized by the staff council member offering to proofread nominations for errors, etc., before submission.
Timeline for Implementation: Start of Year 1, Continuing
Milestones: 6-month Progress Report and End of Term Report

Action D: *Create a Faculty & Staff Partnership Liaison to Create Opportunities for Staff and Faculty to Develop a Culture of Community*

> **Description:** Create a staff liaison focused to focus on building and advancing community between faculty, staff, and students.
>
> 1. This can be an extension of the SNS Staff Council
> 2. The position can be a prelude to the forming of a possible committee comprised of faculty representatives from each department and several staff members.
> 3. They can create events, workshops, materials designed to build community between staff and faculty; building faculty and staff relationships through sharing current projects or research and incorporating students
> 4. Involve Faculty in large scale SNS events (Staff Appreciation, Retreats)
> 5. Create a seminar style series for staff and faculty information sharing (similar to SOE)
> 6. Encourage more face-to-face interactions - encourage 'office hours' for both faculty and staff
> 7. Staff inclusion on committees within departments or programs, having staff on meetings as much as possible but with intentionality
>
> **Resources Required:** Budget, Staff, Time
> **Metrics for Success:** Developed in 1A
> **Timeline for Implementation:** Start of Year 1, Continuing
> **Milestones:** 6-month Progress Report and End of Term Report

Action E: *Create an SNS Faculty Resource Webpage*

> **Description:** Create SNS Faculty Resource page in SNS Web site for staff to manage Faculty Support and Expectations
>
> 1. Create an interface that contains all the webpages faculty utilize on a daily basis. We can add this interface on the SNS website where there's a tab for Faculty resources
> 2. Dedicate staff member to maintain and update website as needed.
> 3. Have a point person listed for each department/unit to better define roles of staff
>
> **Resources Required:** Staff, Time
> **Metrics for Success:** Web Site Traffic Analytics, See 1A, 2A
> **Timeframe of Implementation:** Day 1 of Year 1 of Long-Range Planning Implementation to end of calendar year or academic year (pending implementation format); continuing throughout plan duration
> **Milestones:** Launch, Quarterly Usage Assessment, End of Year Usage Assessment

Year 1 Priorities Do-able with No Additional Funding:

1. Staff Professional Development: Create an Advocacy Culture
2. Faculty and Staff Collaboration: Create SNS Faculty Resource Webpage
3. JEDI: having diversity statements required and questions incorporated into hiring process
4. Faculty and Staff Collaboration: Staff inclusion on committees within departments or programs, having staff on meetings as much as possible but with intentionality

Year 2 Action Plan:

Year 2 Action Plan Summary:
   A. Continuation and End of Year Review of Year One Actions.
   B. Formalize Staff New Hire Procedures and Onboarding
   C. Create SNS Annual Report
   D. Extend Scope of SNS Staff Council
   E. Hold SNS Summer Retreat
   F. Create SNS Faculty Support Workshop Series
   G. Establish SNS Presence
   H. Phase 2 EDI: Create EDI Culture and Develop SNS Staff Cultural Competencies (Year 1-3 Phased Approach)
   I. Improve SNS Staff Performance Appraisal Process

Action A: *Continuation and End of Year Review of Year 1 Actions.*
   Description: Review initiatives from year one for continued progress reporting
   Resources Required: Budget, Staff, Time
   Metrics for Success: See 1B, 2A
   Timeline for Implementation: Twice throughout Year 2 (start of Term, end of term
   Milestones: Two Reviews

Action B: *Formalize Staff/Faculty/Student Assistant New Hire Procedures and Onboarding*
   Description: Create a cohesive onboarding and welcome experience to new staff/faculty, and student assistants in SNS.
   1. Create Onboarding "Welcome Package" for all new hires, to include canvas tote, notepad/pen, t-shirt, resource folder with staff/faculty/graduate pamphlets, SNS Staff Directory with function list, Save the Date post cards for SNS BBQ, Vista Winery Social, and Yearly Planning Retreat
   2. Create School Checklist for SNS new hires to complete during first day, month, semester, and year (units will have their own training regimen/checklists)
   3. Include official City of Merced, Transportation/Parking, Food and Leisure information, coupons/discounts at local establishments if not provided by central HR
   4. Create SNS Employee Mentor Program (provide transition support during first month of new hire employment). Assign SNS Staff Member to guide a new hire as a new SNS employee.
   5. Create a new Staff/Faculty Orientation specific to SNS and Higher Education (if necessary). Provide necessary information over a few meetings to not overload information.
   6. Create SNS Supervisor Supplement to offer resources for Supervisors, Annual Performance Appraisal Process and Resources, Suggested UC Learning courses/certificates for Supervisors
   7. Create Welcome to SNS Video Message by Dean
   8. Create SNS Orientation Program for new staff and faculty
        A. Introduces new hires to departments, materials, processes, community, locations, and guest speakers
        B. Provide new hire SNS swag bags

            C.   Can be a six-month new hire orientation

            D.   Meets 1-time per month to discuss specific topics

            E.   1 cohort per six-month period

9. Develop SNS Mentor & Development Program to provide Mentorship and Development Program focused on SNS staff and their advancement.

    1. Mentorship opportunities for SNS staff and student employees.

    2. This can help staff take an active approach to developing students' employees professionally.

    3. Entry level employees can be mentored by mid-level/supervisory employees.

    4. Could be a six-month period, staff/students could apply to be a mentor or mentee.

    5. Entry level employees can learn from leaders in the industry and gain an understanding of supervisory/management approaches/tactics.

Resources Required: Budget, Staff, Time

Metrics for Success: See 1B, 2A

Timeline for Implementation: Start of Year 2, Continuing

Milestones: 6-month Progress Report and End of Term Report

Action C: *Create SNS Annual Report*

Description: Create and publish a polished SNS Annual Report for distribution to all Faculty and Staff

    1. Include Faculty, Staff, Research, Student, and Long-Range Planning Sections

    2. Distribute and Post widely in SNS

Resources Required: Budget, Staff, Time

Metrics for Success: See 1B, 2A

Timeline for Implementation: Start of Year 2, Continuing

Milestones: 6-month Progress Report and End of Term Report

Action D: *Extend Scope of SNS Staff Council*

Description: Extend Staff Council scope (add community service, faculty collaboration events, and more diverse offerings in Dev Series) SC is Organic place to offer support with certain Actions.

    1. Modify SNS Staff Council Charge with Dean's Approval to include Community Service, JEDI Initiatives, and Workshop offerings related to Actions

    2. Create/Reinforce SNS Staff Council Identity within the School

    3. Provide for an Annual SNS Staff Council Day Retreat for yearly Council goal planning

Resources Required: Budget, Staff, Time

Metrics for Success: See 1B, 2A

Timeline for Implementation: Start of Year 2, Continuing

Milestones: 6-month Progress Report and End of Term Report

Action E: *Hold SNS Summer Retreat*

Description: Hold Summer Retreat with SNS Staff, Faculty, and SNS Staff WITH SNS Faculty Retreat sessions, Program Planning Plans

1. Hold Sessions to provide Long Range Planning Updates and Goal Progression Review
2. Hold Sessions for Faculty and Staff to collaborate on SNS Goals

Resources Required: Budget, Staff, Time
Metrics for Success: See 1B, 2A
Timeline for Implementation: Start of Year 2, Continuing
Milestones: 6-month Progress Report and End of Term Report

Action F: *Create Faculty Support Workshop Series*
Description: Create workshop series for faculty by staff on faculty support services, processes, and best practices
Resources Required: Budget, Staff, Time
Metrics for Success: See 1B, 2A
Timeline for Implementation: Start of Year 2, Continuing
Milestones: 6-month Progress Report and End of Term Report

Action G: *Establish SNS Presence*
Description: Create a sense of UC Merced pride and culture through Branding and Marketing (swag items like T-Shirts are seen more on campus, traditions are supported and celebrated) Enhance the annual and traditional events offered by SNS.
Resources Required: Budget, Staff, Time
Metrics for Success: See 1B, 2A
Timeline for Implementation: Start of Year 2, Continuing
Milestones: 6-month Progress Report and End of Term Report

Action H: *Phase 2 EDI: Create an EDI Culture and SNS Staff Cultural Competencies (Year 1-3 Phased Approach)*
Description: Create an EDI culture and integrate cultural competencies into existing supervision and performance management processes. Note: It is the goal of the staff council to incorporate EDI into every action we perform in an integrated manner. However, we still collectively agreed this important work needs to be named and outlined in an action item, to confirm and maintain our commitment to these principles.
1. All staff participate in a diversity statement writing workshop (The Office of Student Affairs did this in 2020, Charles Nies could share information).
2. Supervisors encourage/advocate for staff to focus on EDI core competency in their annual performance appraisals.
3. Consider an EDI award for the annual SNS staff retreat recognitions.
4. Encourage participation and training of SNS staff through the office of EDI events that already exist.
5. Consider a more formal partnership between the School of Natural Sciences and the Office of EDI at UC Merced.
6. Require(?) additional EDI trainings in the UC Merced talent management system
7. Require(?) a diversity statement from staff when hired
8. Include a diversity-based question in all SNS interviews

Resources Required: Budget, Staff, Time
Metrics for Success: See 1B, 2A

Timeline for Implementation: Start of Year 2, Continuing
Milestones: 6-month Progress Report and End of Term Report

Action I: *Improve SNS Staff Performance Appraisal Process*
      Description: *Improve upon the standard UCM Performance Appraisal Process to integrate additional staff professional development, advancement, and standard reviews per positions.*

1. Create an SNS Performance Appraisal Supplement to UCM HR Resources to include:
   a. Provide Supervisor and Employee Job Description Review and Discussion Guidelines, conduct yearly job description audits that align with Performance Appraisal competencies, and compare with similar positions on campus to identify standard pay scales/ranges.
   b. Provide supervisor and employee guidelines for identification of at least one (1) process improvement initiative as a goal for the year (collaboration to identify areas to improve work flow)
   c. Provide supervisor guidelines to establish a clear goal-oriented option path for growth, promotion, reclassification, or career identified and included in the Performance Appraisal. Include 3-year, 5-year, and 10-year benchmarks.
   d. Provide Supervisor and Employee guidelines to identify required and preferred training and professional development opportunities aligned with goals, position, or performance (System/Software Training (SNS, UCM), SNS/UCM Required UC Learning Courses and Certificates (Supervisor Training, Implicit Bias Training, Bobcat Sustainability Certificate Course, Laboratory Materials Handling, Safety Procedures, Purchasing Systems, Cognos Reporting, etc.)
   e. Create template documents to assist in the above procedures; create standard check-list prior to first Performance Appraisal of systems and/or knowledge training opportunities with included benchmark timeframes
2. Offer two SNS Staff Development Series sessions sponsored by the SNS Staff Council (Employee and Supervisor sessions) promoting best practices for providing effective Summary of Accomplishments and Performance Appraisal documents and meetings
3. Need more promise of growth for SNS staff within the next 5 years; Intermediate position lines created between admins and supervisors to bridge that promotion jump
4. Create opportunities for lower-level positions to learn about leadership and management positions

      Resources Required: Budget, Staff, Time
      Metrics for Success: Developed during 1A
      Timeline for Implementation: Start of Year 2, Continuing
      Milestones: 6-month Progress Report and End of Term Report

<div align="center">Year 3 Action Plan:</div>

Action A: *Expand SNS University Development, External Relations, and Alumni Relations Presence into SNS Staff and Faculty initiatives, SNS School Goals, Outreach, and Campus Events*

Action B: *Expand Scope of the EXCEL! Program to incorporate services in support of faculty (Don't Cancel Class Day, Integrating STEM Resource Center and Learning Support into Syllabi), additional academic*

coaching staff, and upgrading website for increased learning support information. Provide learning support training to all EXCEL! Staff (reading, writing, note-taking, library research for STEM w/support from Library Services, learning disabilities, and effective study methods)

Action C: *Increase SNS staff presence in inter-campus committees, organizations, student RCOs, and collaborations with other campus units in campus initiatives.*

Action D: *Phase 3 EDI: Create an EDI culture and integrate cultural competencies into existing supervision and performance management processes.*

Action E: *Implement a Sustainability Initiative where all SNS Staff Unit offices are LEED Certified under the Green Office Program through the Office of Sustainability at UC Merced. Create a Pledge of Sustainability upon hire, onboarding, and provide sustainability training as part of onboarding.*

Action F: *Create a Culture of Professional Development and Community for SNS <u>Student</u> Staff*
> **Description:** Create a culture of professional advancement and community for SNS <u>Student</u> Staff through mentoring, regular check-ins, and inclusion in more Staff events and recognitions for their work.
>> 1. Student Assistant On-The-Spot Awards; can be part of our Staff Breakfast events
>> 2. Including Student Assistants in regular Staff onboarding procedures; they will receive the same information and welcome packets/items regular staff will receive
>> 3. Use Student Staff evaluations as a way to create mentor relationships and emphasize professional development goal projections for the student staff
>> 4. Monthly Supervisor Check-in meetings with template provided by Personnel that will survey Student Staff on planning their professional development pathways and how they will follow through
>> 5. Invite Student Staff to SNS Staff Professional Development Workshop. Student Staff can volunteer to present or assist on a staff presentation in the series
>> 6. Hold an SNS Student Assistant Appreciation Event for our Student Employees; professional development awards, customer service awards, JEDI awards
>> 7. Invite Student Staff to monthly SNS Staff Breakfasts.
>
> **Resources Required:** Budget, Staff, Time
> **Metrics for Success:** Developed in 1A
> **Timeline for Implementation:** Start of Year 3, Continuing
> **Milestones:** 6-month Progress Report and End of Term Report

Year 4: Scaling/Refined Implementation

Year 5: Assessment of 5 Year Plan, Actions and Performance Metrics, Future Year Planning

Recommendations:

1. **Increase staff** in critical faculty support and student services areas – grant writers/processors, academic coaches, curriculum support, graduate support, faculty support, instructional labs, etc.; align with growth projections in enrollment, R1 goals

2. **Build collaborative work groups** to prepare and implement processes during regular annual peak times/seasons (specific) that cross multiple units/areas. Designate participants
3. **Post Docs:** include in the process with all staff, since they are considered staff

SCHOOL OF SOCIAL SCIENCES, HUMANITIES & ARTS

To explore and explain the past and present human condition…

Five Year Strategic Plan 2021-Draft

University of California, Merced, 5200 N. Lake Road, Merced, CA 95343

TABLE OF CONTENTS

INTRODUCTION

The [School of Social Sciences, Humanities and Arts (ssha.ucmerced.edu)](ssha.ucmerced.edu) was among the first three campus schools opening in 2005. Since that time, SSHA has grown extensively in the areas of graduate and undergraduate education, research endeavors, and service to the San Joaquin Valley and wider world. SSHA has become the largest school on campus in terms of faculty and student numbers, and the range of majors offered (currently 14, with several more degree programs proposed; see Table 1). In addition to housing UC Merced's most diverse set of disciplines, SSHA students and faculty are on the trajectory to represent California's demographics in terms of race, gender, class, and sexuality. SSHA faculty are   amazing scholars and creatives who helped our campus obtained R2 status faster than any American campus in history, and we will play a large role in taking us to R1 in the future.

In our classrooms and research programs, SSHA faculty develop analytical, critical, and creative thinkers, conscientious and active global citizens, and lifelong learners and leaders. We are known for our diverse range of faculty expertise in disciplines that span certain STEM-related areas, as well as broad swaths of the arts, humanities, and social sciences. SSHA Students learn about ethnic and cultural histories, applied and fine arts, language and linguistics, quantitative analysis of human behavior, cognition and neuroscience, health and health inequities, social justice and education, political structures and decision making, behavioral economics and business management, among other crucial human activities. We support basic disciplinary scholarship, as well as interdisciplinary work that spans multiple areas in SSHA as well as the Schools of Natural Sciences and Engineering.

 Table 1. **Majors and Minors Across 10 Departments and the Merritt Writing Program**

Majors*	Minors*	Graduate Programs**
• Anthropology	• American Studies	• Psychology
• Cognitive Science	• Anthropology	• Sociology
• Critical Race and Ethnic Studies	• Chicano/a Studies	• Interdisciplinary Humanities
• **Management-Business Economics**	• Cognitive Science	• Political Science
• English	• Community Research and Service	• Cognitive Science
• Global Arts Studies	• Economics	• Economics
• History	• English	• Public Health
• Economics	• Global Arts Studies	
• Philosophy	• History	
• Political Science	• Management-Business Economics	
• **Psychology**	• Philosophy	
• Public Health	• Political Science	
• Sociology	• Psychology	
• Spanish	• Public Health	
	• Sociology	
	• Spanish	
	• World Heritage	
	• Writing	
*As of Fall '20; Bolded majors are in the top five on campus.		**As of Fall '20; Some programs have multiple Master's and doctorate degree options.

Table 2: Students and Programs in SSHA

	F2020
Undergraduates: Majors (transfers)	3769 (337)
Undergraduates: Minors	750
# of Majors/Minors	14 Udcl/ 18
Graduate Students	213
Graduate Programs	7
# of Senate Faculty	165
# Lecturers	~ 50 + 66 in MWP
Departments	10 + MWP
* Numbers may vary, ** Excludes students served by MWP	

Past, Present, and Future

As noted in our mission statement (page 7), the central core of what we do is to *explore and explain the past and present human condition.* Our School aims to develop research and coursework that enhances representation; promotes social justice, mobility, and equity; encourages active environmental stewardship; spurs economic growth; improves health outcomes; and expands aesthetic, cultural, and scientific boundaries. How SSHA's central mission and vision connects with the tripartite overarching campus goals is illustrated in Figure 1. *With this in mind, our plan will generate new revenue, strengthen our university and community, increase our research productivity, and improve our student program offerings and experiences.*

Figure 1: A representation of the unification of campus goals 1-3 and the mission and vision of SSHA.
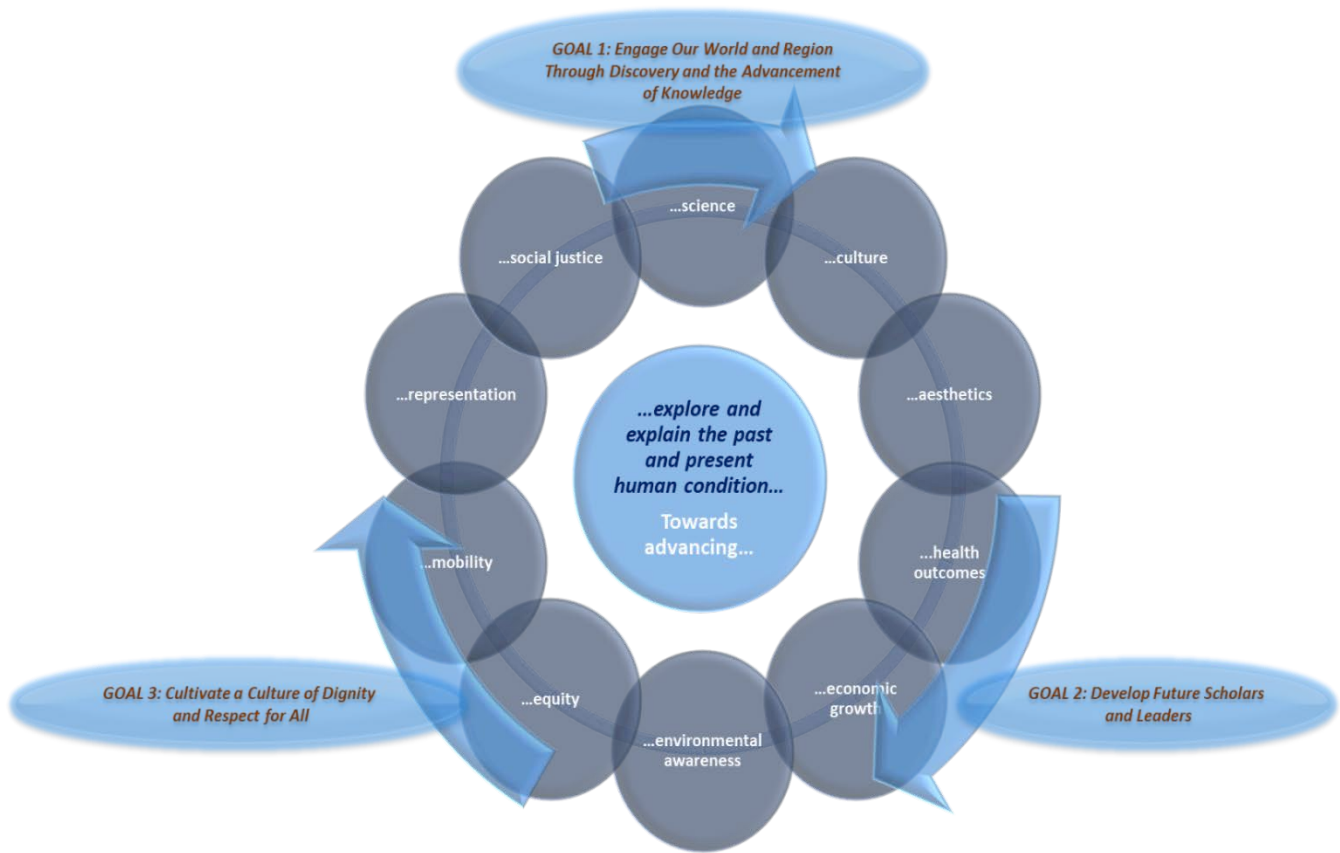
Looking ahead, SSHA will face new and old pressures as we continue to develop, especially in a resource constrained environment. Given its size, diversity and complexity of people and programs, SSHA has often had to contend with an overburdened infrastructure that is needed to maintain what we do, let alone grow. Thus, sustainability, stability, and infrastructure will be a major focus over the next five years (see Figure 2). Without enough attention to this issue many of the goals of this academic plan will go unfulfilled.

Plan Execution

While many of the goals of this plan were started or imagined prior to the COVID-19 outbreak, the faculty and staff support this plan with an awareness that some goals may not be met as quickly as anticipated. Resource allocation plans, timelines, etc., are flexible, and will depend somewhat on shifts in School priorities or on the economic/social context. Whether or not our economy allows for deep or shallow investments, our approach to goals and resources will be made under a flexible philosophical umbrella.

Over the next five years, both the campus and SSHA will share two key priorities: grow campus enrollments and increase our research portfolio. Both of these priorities correlate strongly with the need for revenue generation and the goal of achieving R1 status. Our philosophy towards resource management is portrayed in Figure 2 on page 5. This action plan umbrella will help us think about resources and School or departmental strategies as needs change and as the years go by. The umbrella has three compass points that consider Stability-Sustainability of programs, Strengths, and Initiatives.

Examples are presented in Figure 2 to show how each compass point might be considered or applied to decision making within the campus or socioeconomic context. For instance, *stability* of a unit may be critical for that unit to teach its major and graduate students on time; there may be a well-established department with growing disciplinary *strengths* that could be further nurtured given the opportunities it provides for important research and/or attracting more graduate students; and there may be new *initiatives* the school or units could take-on to expand our educational offerings, career training, or branch into valuable research streams. The relative priority of the compass points is *stability* first (particularly in COVID), followed by *strengths* and *new initiatives. While a certain compass point might be emphasized during a particular year, all three compass points will be active to some extent all the time.* Again, our earliest goals will align with the campus need to grow enrollments and advance our research profile.

Figure 2: Representation of the areas of focus in the course of five years or more.
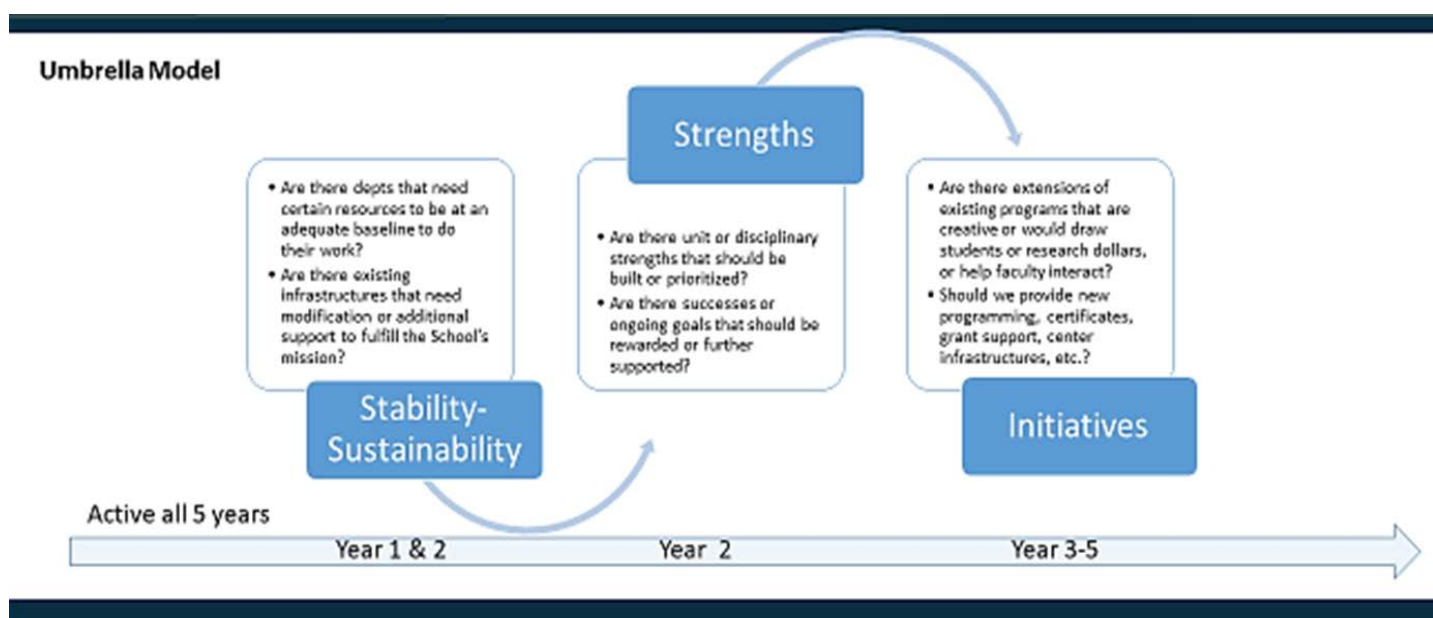
Planning Process

Planning was done in three phases. The following process was applied in phases I and II.

During the Fall 2019 semester each department was directed to develop its' own strategic plan. The Dean, Associate Dean, SSHA Executive Committee, and a School Planning Committee reviewed these plans. The School Planning Committee was comprised of three subcommittees that focused on certain topics and made summaries for the topical areas: one on diversity, equity and inclusion; one on education/learning; and one on research/scholarship. Subcommittees were comprised of faculty and staff and met multiple times. The Dean facilitated the School Planning Committee. Subcommittees were facilitated by the Associate Dean (Research), the Executive Committee Chair (Teaching), and the Dean (Diversity). Staff retreats and meetings yielded a staff-specific set of values/principles and mission statements. Individual and group meetings occurred with the Dean, Department Chairs, staff and faculty throughout this process, and the SSHA Executive Committee advised, reviewed and consulted.

The subcommittees reviewed the department plans and extrapolated overarching mission, vision, and diversity statements, as well as core School values/principles. Preparation materials for planning are included in **Appendix A.** Department plans and other related materials are in **Appendix B.**

Next Steps

The goals, objectives and strategies below have been crafted in a manner that allows for all departments, faculty and staff to align with the general school mission and initiatives. Initiatives of each department or program plan can be easily integrated with the yearly chosen priorities for the School.

In August of 2021, the Dean will work with the SSHA Executive Committee to form three new processes, subcommittees, or task forces:

- A group that will be used to gather input representing faculty and staff on budgets and planning. This group will help monitor the academic plan across the years and advise the Dean on budgetary and School priorities. Staff leadership, including the CAO will be part of this process as well. This group will operate with these principles in mind: valued consultation with staff and faculty; maintenance of our educational mission and needed support; maintenance of our research mission and needed support; and maintain healthy work-life environment for staff and faculty.

- A task force on SSHA Future and Initiatives. This group will examine issues that influence SSHA's long term future; new ideas and programs; initiatives; and more.

- A DEI standing committee will be established to advise the Dean and SSHA units on DEI-related issues, activities, and support. This committee will also track specific indices related to DEI in the school. In collaboration with faculty, students, and staff the DEI committee, will develop plans to advance inclusion, retention, and educational opportunities suited to underrepresented groups of staff, students, and faculty.[1]

The Abridged SSHA Plan

An abridged plan appears on page 17. This plan takes all of our goals, objectives and strategies and prioritizes them in light of our current campus context, highlighting those that are first in line for 2021-2022. Again, other goals, objectives and strategies have been or will be targeted as well, but those in the abridged version will be the most emphasized if resources are needed.

Metrics

Measures of success, or tracking metrics, appear along with each goal and strategy below. These are also summarized in a link on page 20, and in the accompanying excel sheets. Note that not all metrics will be used simultaneously, and indices may vary over time. Furthermore, not all baseline data was available at the time of the plan submission.

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[1] The term underrepresented groups (URG), is meant to encompass marginalized people, traditional minority categories, the differently abled, diverse sexualities, and cultures. This term will be visited by the DEI Committee and adjustments of vocabulary and definition can be made at that time.

SSHA FOUNDATIONS

School Mission

The mission of the School of Social Science, Humanities, and Arts at UC Merced is to **explore and explain the past and present human condition** as expressed through arts, culture, institutions, behaviors, and ideas. Our intellectually diverse community of scholars and teachers are united by a commitment to rigorous scholarship and excellence in teaching. We develop analytical, critical, and creative thinkers, conscientious and active global citizens, and lifelong learners and leaders.

School Vision

Our School will continue to develop research and coursework that enhances representation, promotes social justice, mobility, and equity, encourages environmental awareness, spurs economic growth, improves health outcomes, and expands aesthetic, cultural, and scientific boundaries. We will ensure access to world-class undergraduate and graduate education that fosters creativity, confidence, courage, and purpose.

School Diversity Statement

SSHA acknowledges the acute need to remove barriers to the recruitment, retention, and advancement of students, faculty, and staff from all walks of life, including historically excluded populations. We recognize that some of these barriers are persistent and insidious, permeating the university from beyond its walls, but also taking special forms in academia with its long-established traditions of exclusivity. Such barriers may include scholarly and artistic/literary canons, curricular traditions, teaching practices, disciplinary modes of thought, workplace norms, and narrow definitions of "talent" that, in subtle and unsubtle ways, have functioned to marginalize large portions of humanity and/or deny them equal access. We believe that diversity, inclusivity, and equity, broadly speaking, are desirable and it is the responsibility of every SSHA department and office to work actively and persistently in breaking down barriers and seeing that they not re-form.

It is vital to create inclusive spaces that appreciate diverse ways of ways of thinking, acting, and living due to the personal experiences, values, and worldviews that arise from differences of culture and circumstance. Such differences include race, ethnicity, gender, age, religion, language, abilities and disabilities, neurodiversity, differences in disciplines and ideas, sexual orientation, gender identity, socioeconomic status, geographic region, and more.

Considerations of diversity in our organization must also include the ideas of inclusion and equity. As goals, equity and inclusion yield a work environment where all individuals are treated fairly and respectfully, have equal access to opportunities and resources, and can contribute to our school mission. Staff, students, and faculty have a right to community and connectedness, both on and off campus.

School Values/Principles

These principles guide our ongoing efforts to increase access and inclusion, and to create a school community that nurtures lifelong learning and growth for all its members:

We recognize and celebrate the identities, values, and beliefs of our community.

We value scholarly and creative excellence.

We affirm the inherent dignity and value of every person while cultivating a campus climate rooted in mutual respect and compassion.

We embrace varied methods and perspectives in scholarship and teaching.

We foster a culture of dialogue and understanding in an environment where a rich tapestry of ideas is shared, collaboration is embraced, and innovation is promoted.

We believe in the principles of academic freedom and free speech, and the respectful exchange of ideas, recognizing that academic freedom and free speech does not allow for communication that is harassing, heinous, illegal, or depriving of the rights of others.

We pursue excellence in teaching and learning through contributions from all our community members fostering a culture of open exchange.

We champion research and teaching that connect theory and practice to learning and doing.

We facilitate social and personal explorations by acknowledging the experiences, structures, and patterns that shape our daily experience and our perceptions of self and others.

We commit to sustaining and enhancing our academic and non-academic communities.

We promote educational programs that serve as a general educational foundation and as a path to specialized study.

School Staff Mission

We actively partner with our colleagues on campus and our local communities to support the educational and research mission of the university. We facilitate the success of our students and faculty, and we advance the success of UC Merced through our work.

School Staff Values/Principles, Staff

We are mindful of equity, diversity, and inclusion in the decisions we make, policies that guide us, and in our behavior towards others.

We aim to have empathy and understanding in daily interactions.

We practice honesty, integrity, respect, and trust with colleagues and those we serve.

We are diligent in our duties, committed and responsible in support of our School and Campus.

We are accountable and ethical.

We are innovative and adaptable.

We value teamwork and opportunities for collaboration.

We respond to change in positive ways.

We balance our work and personal lives and recognize that each is an integral part of our success and health.

Goals (1, 2, 3...) & Objectives (A, B, C...)

Objectives are in order of priority within Goals.

Bolded strategies are the focus of Year 1 and Year 2 (see Abridged Plan). Some strategies not highlighted are currently active or will proceed in the background. Start years for initiatives/strategies may vary from what is presented below. Some strategies have already been engaged and many will continue across multiple years. Additional strategies may be adopted as needed and as the target of the initiative (e.g., a new MA program in XX) is identified.

1. **Grow in stature as housing education and research programs in the humanities, arts, and social sciences that are recognized regionally and nationally.**

   A. Increase impact and visibility of SSHA research/scholarship and associated educational activities.

   Measure: Raise the number of media stories and media citations yearly. Include ratio of citations over faculty numbers.

   B. Improve the number of recognitions and awards per discipline through organizations/outlets such as the National Endowment for the Arts, J. of Blacks in Higher Ed, Diverse, National Association for Bilingual Education, and through various foundations, Web of Science, etc.

   Measure: Compared to a rolling three-year average, show a demonstrable increase every two years. Include ratio of recognitions/awards over number of faculty.

   C. For applicable programs, improve in the rankings provided by major outlets (e.g., USNEWS, Princeton Review, Carnegie, etc.) and discipline specific organizations (American Sociological Association, American Psychological Association, College Factual, etc.).

   Measure: Increase every two years in the number of programs ranked and/or in ranks obtained in respected outlets (Compared to a rolling three-year average show a demonstrable increase every two years (e.g., 10%) in number of programs ranked and/or in ranks obtained.

Example Strategies	Goals			Start Year
	A	B	C	
1. Work with the SSHA Faculty Research Liaison (FRL) to prioritize internal and external media and collaborate with campus communications.	X			'20
2. Establish a SSHA Awards Committee who, along with the FRL, will help identify and support award opportunities and applications.		X		'21
3. Work with the SSHA FRL to track rankings and strategize on ranking processes for departments.			X	'21
4. Develop a communications plan for the School and/or individual departments.	X			'22-'23
5. Develop a SSHA faculty expertise database that is easily accessible by internal and external media, researchers, etc.	X			'21
APWG Target Categories				
UC Quality Academic Programs			X	
UC Quality Scholarship	X	X	X	
Diversity		X		

2. Provide quality undergraduate education and research experiences, while also expanding our offerings and opportunities for students.

A. Increase enrollments.

Measure: Raise enrollments to approximately 5100 by 2030.

B. Provide high contact experiences through research opportunities.

Measure: Target of at least 40% of all undergraduates having had some research-oriented experience and having signed-up for independent or research study credits. Stabilize at 40% or higher after 2025.

C. Improve five-year graduation rates.

Measure: Raise 4-year rates to 70% by 2030.

Measure: Raise 6-year rates to 86% by 2030.

D. Enhance post-graduation student success for undergraduates.

Measure: Compared to a rolling three-year average, show a demonstrable increase each year in numbers of students going on to graduate school and/or obtaining a job within two years after graduation.

E. Target an average SSHA student-faculty ratio in alignment with campus expectations.

Measure: Maintain a department/major student-faculty ratio in alignment with campus expectations. Aim to achieve a ratio of 40:1 or lower for all units by 2030.

Example Strategies	Goals					Start Year
	A	B	C	D	E	
1. Establish Degree Completion Program with enrollments > 100 by 2025.	X		X	X		'21
2. Further develop transfer pathways for all majors by 2023.	X		X			'21
3. Develop more high-touch recruitment materials, social media connections and other, to advance current and new degree pathways.	X	X				'21-ongoing
4. Perform a market study that analyzes the educational and career needs of the region.				X		'21-'22
5. Provide new online courses and in-person programs and certificates.	X	X	X	X		'22-'23
6. In collaboration with extension, provide continuing education opportunities for adults.	X					'23
7. Increase community/region-relevant educational/research activities.	X	X		X		ongoing
8. Increase Summer Session courses (e.g., minors, graduation needs, intro courses, etc.) and research offerings.	X	X	X		X	'21-ongoing
9. Work with alumni, career services center, community to establish connections and increase opportunities for internships and seminars about careers.				X		'21-ongoing
10. Establish and support an umbrella organization for student clubs to coordinate and enhance activities.				X		'19-ongoing
11. Maintain an adequate faculty base, spread of course sections, etc. to cover increased enrollments while targeting discipline-specific faculty to student ratios in alignment with peers.					X	ongoing
12. Establish mechanisms of Summer Session earnings return to departments and faculty as incentive and research capacity building.	X	X	X		X	'21-'22

Example Strategies	Goals					Start Year
	A	**B**	**C**	**D**	**E**	
13. Develop a fundraising plan to support undergraduate education, fellowships, and research.	X	X				'21-'22
APWG Target Categories						
UC Quality Academic Programs		X	X	X	X	
UC Quality Scholarship		X				
Diversity	X					

3. Provide quality graduate education, while also expanding our offerings and opportunities for students.

A. Improve five and six-year graduation rates for PhDs.

Measure: Compared to a rolling three-year average to show a demonstrable increase each year in numbers of students graduating by their seventh year, with an overall target between 60% and 80% by 2030.

B. Adopt a graduate student-funding model that aligns with credit hour production and external fund revenue.

Measure: Reduce the current TA budget deficit to <$50k by 2025 and reduce the TA budget deficit to a two-year average of $0.0 by 2030.

C. Increase the number of PhD students funded externally.

Measure: Raise the rate of funded students by 100% (compared to current) by 2030.

D. Increase the enrollments and opportunities for Master's Degree students.

Measure: Develop three or more new Master's programs by 2025.

E. Further diversify graduate student population, hence the professoriate and leadership opportunities of underrepresented or under-recognized groups (URGs).

Measure: Compared to a rolling three-year average to show a demonstrable increase each year in the numbers of URG students.

F. Raise graduate student enrollments.

Measure: Increase enrollments to approximately 330 by 2030 (54% increase).

G. Enhance post-graduation student success for graduate students.

Measure: Compared to a rolling three-year average, show a demonstrable increase each year in numbers of students obtaining a job within two years after graduation.

Example Strategies	Goals							Start Year
	A	B	C	D	E	F	G	
1. Associate Dean will work with graduate programs to better align graduate program policies and procedures in SSHA. Completed by 2025.	X	X	X					'20-ongoing
2. Track at the School level, yearly progress of graduate students towards degree.	X	X	X					'21-ongoing
3. Develop more high-touch and targeted recruitment materials, social media connections and other, to advance current and new degree pathways.			X	X	X			'20-ongoing
4. Perform a market study that analyzes the educational and career needs of the region.				X		X	X	'21-'22
5. Provide support for five-year professional certificates and four+ one-degree programs.			X	X		X		'22-ongoing
6. Provide support for the development of new Master's degree proposals.			X	X		X		'22-ongoing
7. Increase Summer Session courses taught by graduate students.		X	X				X	'22-ongoing
8. Work with alumni, career services center, community to establish connections and increase opportunities for				X	X	X	X	ongoing

Example Strategies		Goals							Start Year
internships and seminars about careers.									
	A	B	C	D	E	F	G		
9. Establish mechanisms o earnings return to departments and faculty as incentive and research capacity building.									'20-'21
10. Develop a fundraising plan to support graduate education, fellowships, and research. As part of this plan, include fellowships for URG students.	X		X		X	X			'21-'22
APWG Target Categories									
UC Quality Academic Programs	X		X		X				
UC Quality Scholarship		X							
Diversity					X				

4. Play our part in the campus drive to R1 status by increasing the acquisition of external funds and producing well-trained PhD students.

A. Support and expand extramural funding activity and success.

Measure: Continue our upwards trend of grant proposals submitted. Approximate .50 proposal submissions per faculty by 2025.

B. Increase the level of external grant/award expenditures.

Measure: Relative to current values, increase expenditures by 100% by 2025.

C. Improve time-to-degree for graduate students.

Measure: See 3.A. above.

D. Increase per year average of doctoral degrees conferred.

Measure: See 3.A. above.

E. Recognize the value and potential for research/education at our HIS institution.

Measure: Submit at least one large HSI training or infrastructure grant by 2025.

F. Increase grant funded staff.

Measure: Increase by 87% the number of externally funded professional staff and post-docs by 2030.

Example Strategies	Goals						Start Year
	A	**B**	**C**	**D**	**E**	**F**	
1. Establish an office of the Faculty Research Liaison (FRL) who will be the central touch point for SSHA growth on grant making and SSHA-specific research resources.	X		X	X			19-ongoing
2. Consult with departments/programs to improve our school research support infrastructure and business model.	X		X				ongoing
3. Conduct interest and discipline survey of faculty to identify potential research clusters in SSHA and in collaboration with the other Schools.	X	X			X	X	'21-'22
4. Develop virtual and real hubs, centers, infrastructures for research networks on and off campus emphasizing interdisciplinary work.	X	X			X		'21-ongoing
5. **Develop SSHA specific grant support programs, such as pre-submission review, workshops, etc.**	X	X	X	X			'19-ongoing
6. Improve School and campus support for research and education that includes greater opportunity for interdisciplinary collaboration and fewer administrative obstacles.	X	X		X			ongoing
7. Establish mechanisms of IDC return directly to faculty as incentive and research capacity building.	X	X	X			X	'20-'21
8. Establish mechanisms of Summer Session earnings return to departments and faculty as incentive and research capacity building.				X			'21-'22
APWG Target Categories							
UC Quality Academic Programs			X	X			
UC Quality Scholarship	X	X			X	X	
Diversity					X		

5. Ensure an adequate faculty and staff base for the deliverance of all School priorities and strategies.

A. Provide faculty FTE to maintain or otherwise reduce student-to-ladder rank faculty ratios while maintaining the intellectual breadth and health of diverse programs.

Measure: Maintain department/major average student-faculty ratio in alignment with campus expectations of 40:1 or lower for all departments. See 2.E. above.

B. Provide adequate staff to meet School needs, with adequate training.

Measure: Obtain staff numbers in alignment with other Schools, based on staff to faculty, staff to programs, staff to student ratios.

C. Decrease share of student credit hours delivered by non-Senate faculty.

Measure: Compared to a rolling three-year average, show a demonstrable decrease each year in credit hours generated by non-Senate faculty, excluding continuing lecturers.

Example Strategies	Goals			Start Year
	A	B	C	
1. Allocate faculty FTE first on the basis of program need (stability-sustainability), followed by allocations based on programmatic strengths or new initiatives.	X		X	ongoing
2. Maintain and/or grow the intellectual, cultural, and demographic diversity of our faculty.	X		X	ongoing
3. Decrease the number of non-Senate faculty in favor of continuing lecturers, teaching faculty, and ladder rank research faculty.	X	X		ongoing
4. Supplement current staff in numbers adequate to handle SSHA growth. Capitalize on an enrollment budget model to support additional staff.	X	X	X	ongoing
5. Continue to prepare staff and staff structures for more independent departments and better departmental services.	X	X		ongoing
6. Provide opportunities for staff advancement and professional development.	X	X	X	ongoing
APWG Targets				
UC Quality Academic Programs	X	X	X	
UC Quality Scholarship	X			
Diversity	X			

6. **Work with faculty and staff to foster a collegial and consultative environment that functions with good morale, efficiency, and quality. Maintain a positive school climate and advocate for representative and diverse staff and faculty.**

   A. Enhance recruitment, retention, inclusion, and community for underrepresented or under-recognized groups (URG) of faculty and staff. Increase percent of URGs in faculty and staff.

   Measure: Compared to a rolling three-year average, show a demonstrable increase across years in percent of URGs.

   B. Enhance recruitment, retention, inclusion, and community for underrepresented or under-recognized groups (URG) of students. Increase percent of URGs of students.

   Measure: Compared to a rolling three-year average, show a demonstrable increase across years in percent of URGs.

   C. Raise retention for URG and nonURG faculty, students, and staff.

   Measure: Compared to a rolling three-year average, show an increase across years in faculty, staff and student retention and/or graduation success for URG and nonURG faculty, students and staff. See 3.A. above.

   D. Establish regular feedback on the Dean's Office performance and collect yearly information on the needs of personnel. Report regularly on School climate, budget and other. Include core questions that can be compared across years.

   Measure: Maintain or improve on measures yearly.

Example Strategies	Goals				Start Year
	A	B	C	D	
1. Establish a DEI committee to advise the Dean and SSHA units on DEI-related issues, activities, and support. This committee will also track specific indices related to DEI in the school.	X	X	X		'21
2. Target leadership or leadership training opportunities for URGs of staff and faculty.	X		X		ongoing
3. In collaboration with faculty, staff, and the DEI committee, develop plans to advance inclusion, retention, and educational opportunities suited to URGs of staff, students, and faculty.	X	X	X		'21
4. In collaboration with SSHA staff and faculty leadership, the DEI and STEP committees, and others, regularly assess and report on the school climate.			X	X	'20
5. Initiate an annual faculty/staff survey of the Dean's/Dean's Office performance.				X	'20-ongoing
6. Maintain and develop clear communication channels and interaction/consult opportunities for the Dean(s), staff and faculty.				X	ongoing
7. In collaboration with SSHA staff and faculty, access professional development opportunities and leadership mentoring (or make these available) for all faculty/staff.	X	X	X		ongoing
APWG Target Categories					
UC Quality Academic Programs				X	
UC Quality Scholarship				X	
Diversity	X	X	X		

ABRIDGED PLAN, YEARS 1-2

SSHA Prioritized Strategies

The six strategies in Table A1 are priorities for SSHA starting in 2021. These reflect the campus focus on revenue generation, research, and diversity. Many of these will run simultaneously, and some pieces may have already started. The prioritized strategies are listed under their goal and by their number in the unabridged SSHA plan.

Other goals and strategies, some in support of the six priorities, are already in progress, or will run in the background starting in 2021.

Note that objectives A and B of goal five are critically important even though they are not listed in the abridged priorities. Attention to these objectives will be ongoing as resources allow.

Some example measurement indices are provided in the second table.

Table A1: Abridged Priorities

Priority Strategies	Effects			Start Year	Cost
	Grow Enrollment	Increase Grants	Support Diversity		
Goal 2. 1. Establish Degree Completion Program with enrollments > 100 by 2025.	X		X	'21 and ongoing	Grant Funded. Campus collaborators.
Goal 2. 2. Further develop transfer pathways for all majors by 2023.	X			'21 and ongoing	Neutral.
Goal 2. 5. Provide new online courses and in-person programs and certificates.	X		X	'21	Neutral, cost minimal. Collaboration with extension starts in 2021.
Goal 2. 8. Increase Summer Session courses (e.g., minors, graduation needs, intro courses, etc.) and research offerings.	X			'21 and ongoing	Net revenue generating.
Goal 4. 5. Develop SSHA specific grant support programs, such as pre-submission review, workshops, etc.		X		'21 and ongoing	Neutral, cost minimal
Goal 6. 1. Establish a DEI committee to advise the Dean and SSHA units on DEI-related issues, activities, and support. This committee will also track specific indices related to DEI in the school.			X	'21 and ongoing	Cost minimal, some small funds for programs or stipends possible.

SSHA Prioritized Strategies – Notes & Metrics

In Table 2 below, the five priorities are shown with some brief notes, and some potential indices of growth or success. For specific and more detailed Metrics table on page 20 and accompanying excel sheets.

Table A2: Priorities, Indices and Notes

Priority Strategies	Notes	Index
Goal 2. 1. Establish Degree Completion Program with enrollments > 100 by 2025.	This will introduce new staff who can also help with articulations, course and program development, transfers, etc. This will help our connections to Jr. Colleges, and improve graduation rates and time to degree. In collaboration with Extension. Primarily use current courses plus a small number of new ones. Evening courses will be considered. Possibility for stipends associated with this. Work with Senate to allow for online courses and certificates. Make online teaching available in the summers moving forward. Encourage more grad student instructors. Get Senate approval. Create mechanism in SSHA that facilitates connections between student workers/assistants and researchers. This will also help with graduation rates and time to degree. Provide more opportunities	Program establishment, function, and enrollment growth.
Goal 2. 2. Further develop transfer pathways for all majors by 2023.		Increase in number of transfer students.
Goal 2. 5. Provide new online courses and in-person programs and certificates.		Increase in enrollments, net revenue generated.
Goal 2. 8. Increase Summer Session courses (e.g., minors, graduation needs, intro courses, etc.) and research offerings.		Course offering growth. Growth in enrollments. More minors completed in summer. Number of research or independent study credit hours taken by students.

Priority Strategies	Notes	Index
Goal 4. 5. Develop SSHA specific grant support programs, such as pre-submission review, workshops, etc.	for student research experiences. Will be supported by the Faculty Research Liaison (FFR). Some initiatives are in progress now in collaboration with ORED and our FFR.	Increase in grant, fellowship, foundation submissions. Increase in external funds. Improve faculty and student success.
Goal 6. 1. Establish a DEI committee to advise the Dean and SSHA units on DEI-related issues, activities, and support. This committee will also track specific indices related to DEI in the school.	This will help with all our DEI initiatives and as they relate to the six goals of our plan.	Developed set of measures, initiatives, assessments of activities and improvement.

METRICS

See: [link](), Table A2, goals above and excel attachments

APPENDIX A

Preparation Materials for Planning: link

APPENDIX B

Department Plans and Related Materials: link

END

Phase III Academic Plan: Proposed E & J Gallo School of Management

HISTORY AND CONTEXT

With the backing of nearly all faculty from three departments, a pre-proposal for establishing the **Ernest & Julio Gallo School of Management** was submitted to campus administration in June 2020, and feedback was received from the campus review in February 2021. Given the feedback and variety of concerns raised, the pre-proposal will be revised in AY2021-22 for resubmission to the campus administration by the end of the year. The revised pre-proposal will lay out a vision and implementation strategy for a new school over five-to-ten years, projecting a potential start date in 2023. The three current "Gallo School departments" – Cognitive and Information Sciences, Economics and Business Management, and Management of Complex Systems – are participating in the academic planning process as part of the proposed Gallo School, especially as it relates to plans over a two-to-five-year period, that is, after the proposed school may be in operation. As such, there are no specific short-term goals, plans, or strategies that will be active in the next two years, and this document focuses entirely on the last three years of the planning cycle.

The proposed Gallo School has six very high-level aspirational goals:

1. *Establishing Thought Leadership in Studies of Cognition, Economics, Philosophy, Management, and Sustainability*: To be world leaders in scholarship and application of knowledge in disciplinary and interdisciplinary studies of business, cognitive science, economics, ethics of technology, environmental sustainability, management, philosophy, public policy, and computational, empirical, quantitative, and qualitative social sciences.

2. *Advancing Social, Behavioral, and Economic Knowledge for Human Welfare*: To advance knowledge of the behavior and performance of individuals and groups in integrated social-political-economic systems and to inform the design and practices of businesses, organizations and governments in local, regional, national and international markets and societies. Related underpinnings include complex physical, biological, social, and natural systems; the design and use of incentives and policy; and the functioning and failures of markets; all in view of social and economic outcomes broadly defined to include human satisfaction, diversity and equality in health, education and wealth, health of natural environments and their relationship to both human progress and ecosystem function.

3. *Defining a New Field of Complex Systems Science, Engineering, and Management*: To create and promote a new interdisciplinary field of science, engineering, and management of complex human-centered systems. This means defining new theories and methods aimed at understanding, shaping, and improving the outcomes that emerge from interactions among people, technology, institutions, and the natural world across multiple scales. This requires incorporating cognitive and behavioral science, economics and social science, philosophical and ethical analysis, environmental and sustainability

science, design science and engineering, data science and analytics, and management science and practice.

4. *Educating Future Leaders and Training a Modern Workforce*: To prepare the future workforce and future leadership of California to tackle grand challenges by combining traditional approaches to science, engineering, and management education with practice-based educational programs at the undergraduate, graduate and professional levels. Our programs aim to incorporate complex systems thinking, data analytics, technological skills, ethical analysis, and a triple-bottom-line (people, planet, and profit) perspective throughout the curriculum so our diverse graduates will be able to work effectively today and will be able to create what is needed to lead effectively tomorrow. Related educational priorities include the advancement of historically oppressed and marginalized groups within California and the Central Valley, and training students in philosophy and ethics so they are socially responsible.

5. *Driving Prosperity and Sustainable Development in the Central Valley and California*: To drive local and regional growth and development sustainably through novel educational programs and development of knowledge, tools, and resources that promote entrepreneurship and innovation. To do this, we will focus on complex human-centered economic, technological, and environmental systems. Tailored to local and regional needs, our programs aim to enable state and local investment to multiply across existing and new social and economic opportunities in the Central Valley, creating an approach that can serve as a model for driving sustainable growth and development in historically oppressed and marginalized areas around the world.

6. *Promoting Social Justice, Environmental Justice, and Equity Locally and Globally:* To address complex social, environmental, economic, and technological challenges, such as climate change, food insecurity, wealth inequality, wildfire, drought, artificial intelligence, workforce automation, privacy, and more. In this, we take an approach centered on complex systems as well as social and environmental justice perspectives, demonstrating a commitment to supporting and improving the conditions of vulnerable and marginalized populations locally, regionally, and globally.

Mission

To develop students into outstanding leaders who direct public, private, and non-profit organizations. Drawing broadly from a wide array of disciplines, the proposed Gallo School will fill gaps in foundational and applied knowledge, engage with relevant stakeholders, as well as provide a well-rounded education that incorporates multiple perspectives for solving real-world problems. Reflecting the many domains in which science and management skills are critical, the proposed Gallo School will prepare students for careers in many areas of technology, environment, and management, including business management, environmental and natural resource management, public policy, educational leadership, business and data analytics, and more.

To become a world leader in the science, design, technology, and management of human-centered complex systems, creating fundamental and applied knowledge and developing ethical and excellent leaders who work toward a more just, sustainable, and prosperous world.

GOALS, STRATEGIES, AND OBJECTIVES

Aligned with the proposed school's aspirational goals are four strategic goals, each with a supporting set of strategies and example objectives.

1. *Establish Centers of Excellence and Increase Research Support to Enhance Scholarship and Increase Research Funding*

    a. Establish centers of excellence through convergence research related to economics, cognition, human adaptive systems, complex systems science, parks and protected areas, wildfire, climate change, and the future of work through external funding.

        Objective: Establish at least one such center with sustainable funding by 2025.

    b. Grow extramural research funding by targeting specific growth areas, such as wildfire, climate change, innovation, ethics of technology, learning and augmented intelligence, and the future of work.

        Objective: Submit at least one large grant proposal aligned with targeted growth areas every other year starting in 2024.

    c. Develop gift and grant opportunities aligned with scholarly and engagement priorities.

        Objective: Develop $500K in aligned gift/grant funding by 2025.

    d. Establish infrastructure for extramural funding and research staff support.

        Objective: Establish the school with sufficient staff to support grant development across diverse areas in 2023.

    e. Grow industry and agency relationships through internships, project work, and topical workshops.

        Objective: Place at least 15% of undergraduates in internships by 2025; and to 100% professional masters students in internships by 2026.

    f. Establish mentoring practices for faculty grant activities, for instance, creating a research committee to review and advise faculty on plans for grant applications.

        Objective: Establish mentoring committee in 2023; increase number of grant applications by junior faculty by 25% by 2025.

    g. Create funding programs for faculty and graduate student research from self-supporting program revenues.

Objective: Use a portion of program revenues to fund projects once programs are solvent.

2. *Program Growth to Support Student Success and Increase Student Demand*

   a. Implement new undergraduate programs, such as a BS in Data Science and Analytics, and a BS/BA in Environmental Sustainability and Justice.

   Objective: Two new undergraduate programs to start with the new school in 2023, with enrollments reaching at least 100 students each by 2028.

   b. Implement new specializations across majors, such as an accounting specialization in the MBE major.

   Objective: Increase enrollments by 20% through development of high demand specializations across programs, starting in 2025.

   c. Implement new professional programs, such as a Master of Data Science and Analytics, a parks program, a climate change program, an engineering management program, and an accounting program – considering hybrid and online offerings at the program and course level as appropriate.

   Objective: Establish data science masters program with the new school in 2023.

   d. Support some TAships through self-supporting and professional degree programs, freeing up state funds and tuition funds to support PhD students.

   Objective: Increase proportion of TAships funded by school programs by 50% by 2028.

   e. Develop and implement an outreach and recruitment plan for graduate programs, professional programs, and undergraduate programs to grow enrollments, focusing initially on the new CIS MS degree program, the new Economics BS degree, the MIST MM program, and the proposed Data Science and Analytics degree programs.

   Objective: Increase undergraduate enrollment by 25% by 2028.

   f. Increase undergraduate and graduate course offerings aligned with major/minor programs and undergraduate research opportunities.

   Objective: Ensure there are enough courses for students to complete degrees in a timely manner, increasing 4-year undergraduate graduation rates by 20% by 2028.

   g. Develop scholarship and fellowship opportunities for students across undergraduate, graduate, and professional programs.

   Objective: Increase scholarship and fellowship funding for the school by 25% by 2025.

   h. Establish and nurture short-term professional programs jointly with UC Merced Extension, such as the National Parks Institute.

Objective: Build self-sustaining, profitable programs of broad community interest, helping to fund the school and its programs.

3. *Engage Internal and External Stakeholders to Support Faculty and Student Success*

    a. Engage UC Merced alumni to stay connected and to support the school's programs, initiatives, and current students.

        Objective: Increase number of alumni who attend events and who give to UC Merced (target TBD).

    b. Engage Merced community leaders, organizations, businesses to support and collaborate on faculty and student projects and events.

        Objective: Establish at least three collaborations by 2025.

    c. Engage UC Merced Development team to identify potential donors to support specific School programs and activities.

        Objective: Increase endowment and other gift funds available to the school 25% by 2028.

    d. Engage UC Merced Marketing team to develop a digital outreach and recruitment plan through search-engine optimization, content development for prospective students, and active social media presence.

        Objective: Increase freshman and graduate student enrollment 25% and 10% respectively by 2026.

    e. Promote interdisciplinary interactions on campus by collaborating with the library and other graduate groups to grow graduate programs (e.g., in data science), sharing revenues for collaborative growth.

        Objective: Establish revenue-sharing agreements with related groups starting with new programs in 2023 and beyond.

4. *Targeted Faculty and Curriculum Growth to Support Diversity Goals*

    a. Establish new faculty positions that have an emphasis on social change, social and economic equality, political ecology, practical philosophy, and environmental and climate justice – fields that recognize and address the often disproportionate impacts of policies on low-income communities and communities of color.

        Objective: Demonstrate increase in number of underrepresented faculty in the school by 2025 (target TBD).

    b. Support faculty tenure and promotion through workshops and mentoring, and ensure that equity, diversity, and inclusion are a component of merit and promotion reviews.

        Objective: Demonstrate increase in levels of advancement for underrepresented faculty in the school by 2025 (target TBD).

c. Increase the number of underrepresented faculty in leadership roles by providing mentoring and opportunities for leadership across all ranks.

   Objective: Demonstrate increase in leadership roles for underrepresented faculty in the school by 2025 (target TBD).

d. Build curricula that reflect all viewpoints, including the values of underrepresented students, and recruiting and retaining faculty that reflect their backgrounds will facilitate the recruiting and retention of students from diverse backgrounds.

   Objective: Inclusive curricula will help student retention; target increasing student retention rate (target TBD).

e. Develop extramural and gift funds to support underrepresented student scholarships and fellowships across department programs.

   Objective: Target $100K in funding in 2023, doubling by 2026.

f. Establish a high-profile annual lecture on issues related to equity, diversity, and inclusion, followed by a reception that will bring together students, researchers, and faculty from across campus.

   Objective: Develop sustainable funding for this lecture series by 2024.

Academic Planning 2020

Division of Undergraduate Education

Planning Phase III - 5/28/21

Introduction to the 2020 Division of Undergraduate Education Strategic Plan

Over the next ten years, the Division of Undergraduate Education seeks to support campus enrollment growth and educational innovation. We would like to continue to grow UC Merced's reputation for excellence in inclusive education and will develop national models for innovative academic support and enrichment programs.

The following plan outlines the major strategic priorities for the Division of Undergraduate Education and implementation tactics we seek to implement. Since the mission of our division involves close partnerships with the academic schools, we end by highlighting how our goals align with those of the schools.

Note that this is a preliminary strategic plan for the Division of Undergraduate Education. We intend to have a team retreat in the near future to get broader input on the formulation of our plans and to create unit-level measurable, target goals which align with our overall aims.

Division of Undergraduate Education Mission Statement

The Division of Undergraduate Education (DUE) at UC Merced provides students, faculty and instructional staff with resources that promote academic student success and instructional excellence. DUE leads innovative, collaborative campus partnerships to enhance student learning. DUE also serves as the administrative home for centers and programs that support and enrich the undergraduate student academic experience.

Strategic Priorities

1) <u>Student Success</u> – Lead and support campus efforts to reach the university's undergraduate retention and graduation rate targets
   a) Coordinate tutoring/academic services on campus, including increased visibility to students, collaborative tutor training practices and increased operational capacity
   b) Expand undergraduate research and experiential learning opportunities, including curricular embedded CUREs (course-based undergraduate research experience)
   c) Support pedagogical enhancements and adoption of evidence-based instructional practices, particularly utilizing campus experience with educational technology to better make our early gateway courses curriculum more adaptive, scaffolded and active for students
   d) Offer faculty and TA development at scale on inclusive instructional practices
   e) Support a learning assistant program pilot, assess impact and support infrastructure for institutionalization, if successful
   f) Extend first year learning communities to include more academic LLC options and explore scalable, cohorted learning structures
   g) Enhance the student success data infrastructure including our abilities to identify struggling students and conduct longitudinal, cross-unit evaluations of various programming impact
   h) Leverage summer session to improve time-to-degree by using data-driven approaches to course offerings, strategically targeting students for enrollment, and developing new bridge offerings

i) Revive campus discussions about the creation of an honors program

2) <u>DUE Visibility and Collaborations</u> – Increase awareness and utilization of DUE programs and services for faculty and students
   a) Connect the Bobcat Advising Center staff strongly with school advising units and with Student Affairs teams
   b) Improve visibility and awareness of DUE student offerings, such as UROC, UCDC, and academic support services
   c) Launch a DUE faculty liaison program, with particular emphasis on supporting more targeted faculty instructional development and student success support for the needs of schools and departments

3) <u>General Education</u> – Consolidate, enhance and institutionalize our general education offerings to create measurable improvements in student retention and student achievement on GE learning outcomes
   a) Work with the General Education Executive Committee to consolidate the GE requirements to make less complex and more consistent with the load of peer institutions
   b) Expand targeted pedagogical training, content collaborations and support for GE course instructors
   c) Extend Spark course engagement across departments and operationalize the teaching of Spark seminars as part of regular instructional activities (including possible reevaluation of Spark course parameters)
   d) Refine the diversity, equity and inclusion curriculum within the diversity GE and develop DEI learning outcomes for across the undergraduate education experience

4) <u>External Funding</u> – Increase external DUE funding to support student success efforts
   a) Increase Summer Session revenue
   b) Create corporate sponsorship program for experiential learning/UROC activities
   c) Support faculty grant applications including undergraduate education components, boilerplate language, institutional data, assessment support, and consultation services
   d) Apply for and receive government and foundation grants targeting inclusive student success

5) <u>Undergraduate Enrollments</u> – Meet 2030 undergraduate enrollment targets and increase transfer student ratio to 2:1
   a) Work with departments and senate on refining major transfer requirements
   b) Continue developing relationships and pathways partnership initiatives with community colleges
   c) Collaborate with schools to identify new major opportunities and increase visibility of existing majors to prospective students

6) <u>Curriculum Redesign</u> – Develop undergraduate major curriculum that aligns with modern industry needs, includes 21st Century skill development, incorporates experiential learning, and is well-aligned and structured
   a) Develop a curriculum redesign consultation services that allows department faculty to systematically evaluate and fine-tune their undergraduate major curriculum
   b) Offer faculty development on curriculum-level and course-level redesign to enhance experiential learning and 21st Century skills instruction

7) <u>DUE Staff</u> – Foster a student-centered team of engaged professionals focused on collaborative student and faculty programming to foster student success and excellence
   a) Develop structures to help promote DUE staff collaboration and network building across the university

b) Promote targeted continuous learning and professional development for DUE team members
c) Generously recognize successes of DUE team members
d) Expect respectful, professional conduct in all DUE team interactions
e) Prioritize doing what is right for students in all aspects of DUE work

Alignment with School Priorities

The following are selected excerpts from the strategic plans of the academic schools, grouped by themes. Given in brackets is the item from the Division of Undergraduate Education priorities that addresses or supports the goal from the schools.

- Enhance Instructional Approaches [1c, 1f]
  - Systematically modernize our courses and pedagogical methods throughout our curricula.(SNS)
  - Transform Engineering Service Learning into a freshman design experience (SoE)
- Increase Student Success [1]
  - Target four-five year graduation rates for undergraduate students (SSHA)
  - Promote student success actively through enhanced support (SoE)
- Address Diversity Equity and Inclusion [1d, 3d]
  - Establish a DEI committee to advise the dean and SSHA units on DEI-relatedissues, activities and support. This committee will also track specific indices related to DEI in the school (SSHA)
  - Foster ethical leadership among a diverse community within our faculty, staff, and students. (SoE)
  - Providing exceptional and equitable STEM education; bringing inclusive excellence to the classroom through individual actions as well as funded collaborative projects (SNS)
- Expand Curricular Offerings [5c]
  - Develop new majors, tracks, minors, MS, and/or combined BS/MS programs in high demand areas. (SNS)
- Expand Grant Funding, Donor Relationships and ORUs [4c]
  - STEM Education ORU (SNS)
  - Foster success in extramural funding. (SNS)
  - Develop our donor base (SNS)
  - Increase the overall number of grants submitted and funded, and increase the number of dollars per faculty member acquired.(SSHA)
  - Seek to establish centers/institutes that focus research in the theme areas, increasing research capabilities (expertise, facilities, equipment). (SoE)
  - Develop an entrepreneurial mindset that promotes innovation in research, education, and service, while being cost effective in its operations (SoE)
- Incorporate 21st Century Skills in Undergraduate Curriculum [6]
  - Identify "signature skill sets" essential to success in STEM fields and incorporate them into our existing majors through cross-disciplinary courses. (SNS)
  - Incorporate professional development into the curriculum and work with Career Services to improve internship opportunities for undergraduate students at companies.(SoE)
- Grow Enrollments and Transfers [5]
  - Develop more high-touch recruitment materials, social media connections and other, to advance current and new degree pathways. (SSHA)
  - In consultation with VPDUE, expand summer course offerings, including minor programs towards early/on-time graduation.(SSHA)
  - Further develop transfer pathways towards the 2:1 transfer ratio targeted by the UC. (SSHA)

- o Establish MOUs with partner domestics schools for BS or MS transfer to SoE graduate programs with high URM enrollments. (SoE)

Sequencing: Alignment with AY 21-22 and 22-23 Strategies with EVC/Provost Priorities

The following shows additional details of the Division of Undergraduate Education implementation strategies aligned with increasing grant awards, growing enrollment and supporting diversity over the next two years.

- **Increase Grant Awards**
  - o 4b) Create corporate sponsorship program for experiential learning/UROC activities
    - ▪ Develop a menu of supportable experiential learning opportunities for corporate donors (Fall 2021)
    - ▪ Work with Career Services and Development on an outreach campaign about experiential learning partnership opportunities to existing and new corporate partners (Spring 2022)
    - ▪ Pilot a satellite internship experience site, potentially in the East Bay or South Bay (AY 22-23)
  - o 4c) Support faculty grant applications including undergraduate education components, boilerplate language, institutional data, assessment support, and consultation services
    - ▪ Create a website with boilerplate language for DUE programs applicable to faculty grants (Fall 2021)
    - ▪ Collaborate with ORED to host workshops for major grants with education components, such as NSF REU, NSF CAREER, etc. (Every year)
    - ▪ Outreach to targeted chairs and other faculty to offer support for specific relevant funding opportunities that arise at least five times per semester (Ongoing)
    - ▪ Host internal DUE team meetings on supporting faculty grants each semester (Ongoing)
  - o 4d) Apply for and receive government and foundation grants targeting inclusive student success
    - ▪ Identify and apply for at least three grants per year for student success related funding (Every year)
    - ▪ Subscribe all DUE cabinet members to week funding opportunities emails and rewrite job descriptions of DUE senior leadership team to include at least 5% time for grant writing (Fall 2021)

- **Grow Enrollment**
  Note: The vast majority of the student and faculty support services offered by the Division of Undergraduate Education are directly or indirectly intended to support student success. Student success is directly tied to retention rates and thus supports growing enrollment. For purposes of this plan, we only address the DUE strategies for direct enrollment growth and do not include student success and retention efforts.
  - o 4a) Increase Summer Session enrollment and revenue
    - ▪ Visit departments to discuss strategic summer course scheduling (Fall 2021)
    - ▪ Work with SSHA to launch at least two new summer minors (AY 21-22)
    - ▪ Propose summer course schedules changes to UGC, eliminating 7:30 classes (Fall 2021)
    - ▪ Develop comprehensive summer marketing scheme, including non-matriculated students (Fall 2021)
    - ▪ Pilot at least two summer experience programs with suites of course offerings (AY 22-23)

- o 5a) Work with departments and senate on refining major transfer requirements
    - ▪ Collaborate with Transfer Articulation Officer to develop a list of barrier major transfer requirements to share with departments (Fall 2021)
    - ▪ Propose streamlined changes to GE requirements, particularly limiting number of upper division requirements (AY 21-22)
- o 5b) Continue developing relationships and pathways partnership initiatives with community colleges
    - ▪ Continue the faculty convenings with target Central Valley community colleges and UCM to develop transfer pathways for entry into Program Mapper (AY 21-22 and AY 22-23)
    - ▪ Work with Admissions and Marketing to improve brochures, websites and other communications with potential transfer students (Fall 2021)
    - ▪ Collaborate with Central Valley community college partners to submit at least two grants per year to fund undergraduate research and other experiential pathways programs for students (Every year)
- o 5c) Collaborate with schools to identify new major opportunities and increase visibility of existing majors to prospective students
    - ▪ Support the implementation and utilization of Burning Glass (Fall 2021)
    - ▪ Collaborate with Admissions and Marketing to develop a major mapping interest survey for prospective students and link with content about our degrees (Fall 2021)
    - ▪ Collaborate with Admissions and Marketing to create new website pages for our majors with improved content highlighting the academic opportunities within the department (Fall 2021)

- **Support Diversity**
  Note: The vast majority of work by the Division of Undergraduate Education is directly or indirectly intended to support diverse student recruitment and success. For purposes of this plan, we only address the DUE strategies directly tied to diversity and do not include broader student success and retention efforts.
    - o 1d) Offer faculty and TA development at scale on inclusive instructional practices
        - ▪ Continue the successful Anti-Racist Pedagogy faculty learning community (AY 21-22)
        - ▪ Offer faculty stipends to redesign courses to adopt best inclusive instructional practices and provide multi-day training workshops (Every year)
        - ▪ Pilot new model for TA development, including pre-semester orientation and weekly pedagogy sessions offered by graduate pedagogical fellow (Fall 2021)
        - ▪ Develop online and in-person inclusive instruction training modules leading to digital certificates (AY 21-22)
        - ▪ Develop online research mentoring module for TAs and postdocs leading to digital certificate (AY 21-22)
        - ▪ Collaborate with SNS on piloting and proposing changes to promotion and tenure documentation and evaluation of teaching (AY 21-22)
        - ▪ Host an inaugural teaching open house event in which faculty can watch a colleague's class and then meet with others to discuss observations (Spring 2022)
    - o 3d) Refine the diversity, equity and inclusion curriculum within the diversity GE and develop DEI learning outcomes for across the undergraduate education experience
        - ▪ Participate in the AACU Institute on GE Assessment (Summer 2021)
        - ▪ Continue the GE Executive Committee work group on DEI and work with the group to develop DEI learning outcomes with progressive levels (AY 21-22)

- Create a faculty-led task force to review DEI components of GE curriculum at other comparator universities (Spring 2022)
- Pilot new Spark courses with infused DEI components in the curriculum (Fall 2022)

Graduate Division Phase II Academic Planning
Submitted for 5/26/2021 Deadline

A. History and Context

Graduate education at UC Merced has come a long way in a short time. After just 15 years, the campus has grown to 17 graduate programs, over 60 postdoctoral researchers, and over 740 graduate students, mostly Ph.D. students, comprising 8.2% of the student population. The campus has conferred over 300 Ph.D. degrees and over 100 masters' degrees. Degree awardees have begun over 100 careers in academia plus a wide range of non-academic careers in the public and private sectors. The campus reached R2 Carnegie classification quickly and is now headed for R1 to join the other UC campuses. Graduate education and research are central to this next major milestone.

Graduate education has grown in both disciplinary and interdisciplinary directions, and programs have distinguished themselves in specific areas of study and distinction to make a name for UC Merced on the national and international stages. The Graduate Division has grown in kind to support students, postdocs, and faculty in their research, training, professional development, and career pathways. Many processes have been established to provide infrastructure and incentives for graduate education, resulting in a full-fledged, fully operational UC Graduate Division.

We have now reached a point where continued growth and success in graduate education will require more strategy and responsiveness to fiscal constraints. In some areas, graduate students need more external funding to support their research and less reliance on teaching assistantships. In other areas, we need to grow tuition revenue from undergraduate and masters' students to support doctoral education and research. In all cases, we need internal and external fellowships to support Ph.D. students, especially in their first and final years when they need time to learn their fields and finish their dissertations, respectively. We need to further develop a culture of excellence in graduate and postdoctoral advising and mentorship for all tenure-track faculty members on campus. Graduate students and postdocs face increasingly competitive job markets, so we need to support the full range of career paths available to them, to ensure their success at UC Merced and beyond.

B. Mission

The Graduate Division is dedicated to excellence in academic and research training of graduate students and postdoctoral researchers at UC Merced. The Division works closely with the Graduate Council of the Academic Senate to ensure the highest quality in graduate education, facilitate development of doctoral and master's degree programs, and implement Senate policies. Graduate education and postdoctoral training at UC Merced is founded on disciplinary and interdisciplinary research excellence; a deep appreciation for diversity, equity, and inclusion; and a supportive community in which students can thrive.

The Graduate Division supports every stage of graduate student life including admissions, funding, academic progress and degree milestones, mentoring activities, preparation for teaching, and other resources and professional development activities. The staff of the Graduate Division takes pride in creating an inclusive environment that respects and celebrates diversity, and in our collegial working relations with faculty, staff and students from all graduate programs and administrative units at UC Merced, and across the UC system.

C. Vision

UC Merced graduate and postdoctoral training programs prepare the next generation of experts whose scholarship and research will contribute innovative, creative solutions to regional, national, and global concerns.

D. Values

The Graduate Division values excellence, diversity, and inclusiveness in both disciplinary and interdisciplinary research and education for graduate students and postdoctoral scholars. We value the full range of their career aspirations and the full range of academic pathways to realize those aspirations. Finally, we value collaboration and cooperation within Graduate Division, and between all the many units on campus, that is essential to the support of our graduate and postdoctoral communities.

E. Goals, Strategies, and Objectives

The Graduate Division has four overarching **goals**, and each goal is associated with several **strategies**. The strategies are listed as bullets in order of when they are planned to begin, from "underway" to AY21-22, AY22-23, and beyond AY22-23. Estimated end dates are also included in terms of academic year, or "ongoing" is noted for strategies that have no planned end date.

For the strategies starting within two years, emphasis is placed on the campus priorities to 1) grow undergraduate and self-paying master's enrollment; 2) increase grant awards; and 3) support diversity. In addition, **objectives** are listed as sub-bullets with specific milestones and timelines for each strategy starting within two years, where timelines default to those of the respective strategies.

Goal 1: Enhance Graduate and Postdoctoral Diversity and Inclusion

- <u>Underway through AY21-22</u>: Establish antiracist practices and policies for our graduate communities.
    - o Publish 10 simple rules for building antiracist graduate programs and disseminate them to campus stakeholders in partnership with the Office of Equity, Diversity, and Inclusion.
    - o Work with graduate groups and Graduate Council on alternatives to using GRE scores for admissions and implement them in our graduate application process.
- <u>Underway through AY22-23</u>: Increase graduate applications and admissions for students from non-traditional backgrounds, e.g. underrepresented minorities and first-generation students.
    - o Establish three or more MOUs with HBCU and other minority serving campuses. MOUs will be aimed at recruiting non-traditional graduate students and fostering collaborations and mentorship teams across campuses.

- o Obtain external funding through at least two new or renewed training grants aimed at enhancing graduate diversity and inclusion. Grants may be led by faculty and supported by the Graduate Division, or they may be led by the Graduate Division.
  - o Obtain internal or external funding to double the size the Competitive Edge Summer Bridge program.
  - o Increase the number of graduate students from non-traditional backgrounds by 20% above current levels.
- Underway to Ongoing: Increase the contributions to diversity from our postdoctoral scholars.
  - o Support two President's or Chancellor's Postdoctoral Fellows per year.
  - o Increase the number of graduate students from non-traditional backgrounds by 10% above current levels.
- AY22-23 to Ongoing: Grow internal recruiting fellowships to diversify our graduate community.
  - o Work with the Provost and Chancellor to increase UCOP funding of Eugene Cota-Robles and Chancellor's Inclusive Excellence fellowships to get campus withing 10% of internal fellowship funding levels of other campuses.

Goal 2: Grow Master's Programs and Matriculations

- Underway through AY21-22: Incentivize growth in the enrollment of master's students not financially supported by the campus.
  - o Revamp return-to-aid (USAP) graduate funding formula to grow with graduate enrollments and incentivize non-campus supported enrollments.
- Underway through AY22-23: Establish self-supporting and professional degree supplemental tuition (PDST) master's programs.
  - o Partner with Graduate Council and the Provost's Office to establish a campus framework and policy for self-supporting and PDST proposals.
  - o Help start the second PDST program on campus, and our first self-supporting program.
- AY21-22 to Ongoing: Provide marketing support for master's programs.
  - o Work with Communications to provide search engine marketing and optimization for graduate programs; increase website traffic and applications by at least 50% over three years.
- Beyond AY22-23: Consider pathways to doctoral degrees that begin with enrolling non-campus supported students into master's programs, and then students may transition into supported Ph.D. programs.

Goal 3: Manage Doctoral Student Enrollments and Support

- Underway through AY22-23: Stabilize and expand campus support for Ph.D. students.
  - o Work with Schools, Provost, and Budget Office to estimate Ph.D. funding capacity based on projected enrollments, TAships, fellowships, and grant support.
  - o Work with the Schools, Provost, and Budget Office to establish instructional budgets for departments to project TAships.
  - o Work with the Division of Undergraduate Education to provide training and support opportunities for at least 20 graduate students per year to teach SPARC seminars.
- Underway to Ongoing: Support graduate training program proposals and grants.
  - o Provide budgetary support for all graduate training grants and proposals through the Graduate Division.
  - o Formalize practices and policies for institutional commitments in the form of cost sharing and priority access to professional development programming.
  - o Work with ORED to establish centralized project coordinator support for graduate training grants.
- AY21-22 through AY22-23: Further incentivize external support for Ph.D. students.

- o Reconsider 25% tuition reduction for Ph.D. students fully funded on grants paying full indirect costs. Consider expanding the incentive to include grants playing less than full indirect costs and compare with alternative incentives.
- AY21-22 through AY22-23: Establish multi-year PhD funding offers in all graduate programs.
  - o Work with School of Engineering Dean and graduate groups to implement 5-year offers for all Ph.D. admissions; 5-year offers are currently standard in the SSHA and SNS.
- Beyond AY22-23: Increase doctoral student enrollments to obtain R1 Carnegie Classification.
- Beyond AY22-23: Provide semester-long fellowships for all incoming PhD students in their first year.

Goal 4: Enhance Graduate Student and Postdoctoral Success

- Underway through AY22-23: Improve pedagogical training for graduate students.
  - o Partner with CETL and schools to establish a semester-long basic TA training program, and more advanced training for graduate IORs.
  - o Partner with local CSU and CC campuses to provide classroom experiences and professional development opportunities for at least 10 graduate students per year.
- Underway through AY22-23: Improve professional relationships between graduate students, postdoctoral researchers, and faculty.
  - o Work with GSA and Graduate Council to vet and disseminate guidelines for healthy faculty/grad relationships and conflict management, as well as graduate student rights and responsibilities.
  - o Work the Vice Provost for Faculty to develop mentorship training resources for faculty.
  - o Work with Graduate Council to standardize and disseminate graduate group policies and procedures.
- AY21-22 through AY22-23: Expand career services for graduate students and postdocs.
  - o Pilot and establish an academic job market preparation program for graduate students and postdoctoral scholars.
- Beyond AY22-23: Expand professional development services for postdoctoral scholars and graduate students.
- Beyond AY22-23: Work with Student Affairs and the Chancellor's Office to support graduate student housing with priority for international students, especially new international students, plus graduate students in-need and with families.

UC Merced Academic Planning-Phase III

Library History and Context

The UC Merced Library was created in 2001 with the goal of supporting research, teaching, and learning on the UC Merced campus. While the library's leadership team at that time focused on developing the UC Merced Library digital collections, library resources in various formats were still collected and purchased based on the needs of the academic community. In order for the UC Merced Library to effectively serve a twenty-first-century research university, the Leadership Team decided to leverage the collective power of the entire University of California System. The latter strategy required UC Merced Library's fullest possible participation in the acquisition and funding of shared UC Library collections. Separate from collections, the UC Merced Library served as a campus hub serving students whose space needs ranged from quiet private study to active group work; at the same time, the library was configured to provide space for printed books, archival collections, digitization services, and library-based instruction.

In the area of instruction, the library has provided ongoing and extensive collaborate with faculty and instructors to teach UC Merced student not only how to find, access, and appropriately apply information resources to their assignment, but also to think critically about information as part of the process of research and writing. Over the years, UC Merced librarians have provided instruction to tens-of-thousands of UC Merced students via course-specific instruction sessions and topic-focused workshops that continue to grow and develop with advancements in campus curriculum. These same librarians also foster student success by creating online videos, tutorials, library tours, and other digital learning objects. In addition to providing in-person research consultations, UC Merced Library was an early adopter of virtual reference services and has been providing 24/7 digital chat reference service to the campus for more than a decade. The library's course-resources service has directly contributed to student success by digitizing and making available via Canvas hundreds of articles and book chapters requested by faculty and instructors. When the COVID-19 pandemic effectively closed the UC Merced campus, the library's experience providing digital services and information resources allowed a quick and effective adjustment to the new normal.

The UC Merced Library supplements its locally held print and digital information resources through a robust interlibrary-loan service. The library's interlibrary-loan service provides both physical materials (chiefly books) and digital items (chiefly .pdfs of journal articles) at no charge to UC Merced faculty, students and staff.

The UC Merced Library has always been a campus hub, providing a variety of services and study and meeting spaces. By 2019, when the growth of the campus student population necessitated more quiet study space, the library was able to reconfigure its fourth floor to make it a quieter study area while reconfiguring its lower floors to accommodate more interactive group study. The loss of access to library space during the months of the COVID-19 pandemic was felt by the entire UC Merced community.

As the campus grew, the library placed a high emphasis on the development of print and digital collections that directly support research conducted by UC Merced faculty while continuing to support learning by UC Merced students. The library has applied its command of technology and its intellectual capital to digitizing information resources–including many that are the products of UC Merced faculty research–and making these

resources freely available to the world via the Internet. For example, the library has undertaken the ambitious CARA project, a multi-year, county-by-county effort to preserve the rich agricultural history of California through the collection and digitization of records created by the University of California Cooperative Extension service. CARA has garnered not only national recognition, but also significant external support from such sources as the UC Division of Agriculture and Natural Resources (UCANR) and the National Historical Publications and Records Commission (NHPRC). The Library has also partnered with the U.S. National Park Service to preserve and make available to researchers from UC Merced (and beyond) such research resources as panoramic photographs of Yosemite National Park. Even more ambitiously, the library proposes to establish a "Mountain/Valley Archive" that will provide a unique research collection focusing on California's Central Sierra Nevada Mountains and its under-researched and under-served Central Valley, two regions with cultural, economic, and environmental ties extending back to the time when Native Americans were the sole inhabitants of those regions. A letter signed by many of our faculty earlier this year indicated that this Mountain/Valley Archive idea was highly relevant to their research and would "help define our academic identity within the UC system."

Within the last five years, UC Merced Library has taken on two related roles with significant impact on research at UC Merced. The first of these roles was to become the organizational (and eventually physical) home of UC Merced's Center for GIS Services (formerly known as SpARC), the hub for spatial science research, analysis, education, visualization, spatial data archiving, and access to spatial science software and equipment for UC Merced faculty, students, and administrative units. The second role was, through the recent establishment of the UC Merced Center for Data Services, to provide a growing suite of services related to research data curation, including Data Carpentry workshops to support curricular developments such as the Data Science Program within the Gallo School of Management.

Library Mission Statement
Advancing UC Merced's mission of teaching, research, and public service through expert management of information resources, timely delivery of services, and long-term preservation of scholarship.

Library Vision Statement
To become an indispensable partner in learning, discovery, and the creation of new knowledge.

Library Values
- Creativity
- Service
- Innovation
- Openness
- Collaboration
- Diversity

Library Strategic Goals for 2021-2023

The UC Merced Library differs from UC Merced's Schools in that most of the library's goals and strategies are on-going and cannot be divided into categories as outlined in the Academic Planning Phase III Submission Template, based on when they will be completed. This aspect of the library goals is a result of the library's overall mission being not so much varying over time but growing with the campus, which is not to say that the specifics of how the library fulfills its mission always remain the same. Providing collections that support scholarly and creative activity as well as student learning and success is an example of a core library mission that does not change even though the ways and formats in which the library provides those collections is always changing to keep pace with both technology and the demands of faculty and students, as reflected in the goals and strategies listed below. A contrasting example is the goal of creating "unique physical and digital archives focused on the San Joaquin Valley and Sierra Nevada Region." Some elements of this goal, such as the possible construction of purpose-built space for a comprehensive Mountain Valley Archive, do have an end date–in this case, a date many years in the future–though other elements of this goal, such as the collecting and digitizing of archival materials relating to the region, will never end. With that in mind, the goals and strategies of the UC Merced Library are as follows:

1. Provide collections and services to support UC quality scholarly and creative activity
   A. Acquire or provide access to information resources in support of the scholarly and creative activity of individual scholars.
   B. Build unique physical and digital archives focused on the San Joaquin Valley and Sierra Nevada Region.
   C. Support data management plans for faculty research proposals.
   D. Provide data curation expertise for digital scholarship projects.
   E. Support GIS needs for faculty who conduct research using GIS.
   F. Provide, in collaboration with OIT, expertise and tools to support research workflows as they relate to the creation, use, sharing, and preservation of information.
   G. Serve as a center of expertise for the stewardship of the campus's intellectual output.
   H. Acquire or provide access to information resources in support of student success.
   I. Assure access to information resources is fast and convenient regardless of whether or not those resources are held locally.
   J. Make information discovery as easy and intuitive as it can possibly be.
   K. Integrate information literacy across the curriculum.
   L. Achieve data literacy for all graduate students.
   M. Provide GIS support for GIS related courses and programs as well as for student work.
   N. Participate in and support international, national, and UC Systemwide initiatives that further the transition to open-access scholarship.
   O. Seek out and invest in transformative models that replace traditional subscription-based paywalls with sustainable open-access alternatives.

   P. Collaborate with commercial and society publishers of scholarly information to
       ensure the transition to open access is truly sustainable for all stakeholders:
       researchers, publishers, and academic libraries.

2. Advance research and creative activity
   A. Acquire or provide access to information resources in support of the scholarly and
       creative activity of individual scholars.
   B. Build unique physical and digital archives focused on the San Joaquin Valley and
       Sierra Nevada Region.
   C. Support data management plans for faculty research proposals.
   D. Provide data curation expertise for digital scholarship projects.
   E. Support GIS needs for faculty who conduct research using GIS.
   F. Provide, in collaboration with OIT, expertise and tools to support research
       workflows as they relate to the creation, use, sharing, and preservation of
       information.
   G. Serve as a center of expertise for the stewardship of the campus's intellectual
       output.
   H. Acquire or provide access to information resources in support of student success.
   I. Assure access to information resources is fast and convenient regardless of whether
       or not those resources are held locally.
   J. Make information discovery as easy and intuitive as it can possibly be.
   K. Integrate information literacy across the curriculum.
   L. Achieve data literacy for all graduate students.
   M. Provide GIS support for GIS related courses and programs as well as for student
       work
   N. Participate in and support international, national, and UC Systemwide initiatives
       that further the transition to open-access scholarship.
   O. Seek out and invest in transformative models that replace traditional subscription-
       based paywalls with sustainable open-access alternatives.
   P. Collaborate with commercial and society publishers of scholarly information to
       ensure the transition to open access is truly sustainable for all stakeholders:
       researchers, publishers, and academic libraries.

3. Provide collections and services to support UC quality academic programs
   A. Acquire or provide access to information resources in support of the scholarly and
       creative activity of individual scholars.
   B. Build unique physical and digital archives focused on the San Joaquin Valley and
       Sierra Nevada Region.
   C. Serve as a center of expertise for the stewardship of the campus's intellectual
       output.
   D. Acquire or provide access to information resources in support of student success.
   E. Assure access to information resources is fast and convenient regardless of whether
       or not those resources are held locally.
   F. Make information discovery as easy and intuitive as it can possibly be.
   G. Integrate information literacy across the curriculum.
   H. Achieve data literacy for all graduate students.

    I.   Provide GIS support for GIS related courses and programs as well as for student work.

   J.   Seek out and invest in transformative models that replace traditional subscription-based paywalls with sustainable open-access alternatives.

   K. Collaborate with commercial and society publishers of scholarly information to ensure the transition to open access is truly sustainable for all stakeholders: researchers, publishers, and academic libraries.

4. Champion information/data literacy throughout the campus

   A.   Support data management plans for faculty research proposals.
   B.   Provide data curation expertise for digital scholarship projects.
   C.   Support GIS needs for faculty who conduct research using GIS.
   D.   Provide, in collaboration with OIT, expertise and tools to support research workflows as they relate to the creation, use, sharing, and preservation of information.
   E.   Serve as a center of expertise for the stewardship of the campus's intellectual output.
   F.   Acquire or provide access to information resources in support of student success.
   G.   Assure access to information resources is fast and convenient regardless of whether or not those resources are held locally.
   H.   Make information discovery as easy and intuitive as it can possibly be.
   I.   Integrate information literacy across the curriculum.
   J.   Achieve data literacy for all graduate students.

5. Support and promote the transition to open-access scholarship

   A.   Provide, in collaboration with OIT, expertise and tools to support research workflows as they relate to the creation, use, sharing, and preservation of information.
   B.   Serve as a center of expertise for the stewardship of the campus's intellectual output.
   C.   Make information discovery as easy and intuitive as it can possibly be.
   D.   Integrate information literacy across the curriculum.
   E.   Achieve data literacy for all graduate students.
   F.   Participate in and support international, national, and UC Systemwide initiatives that further the transition to open-access scholarship.
   G.   Seek out and invest in transformative models that replace traditional subscription-based paywalls with sustainable open-access alternatives.
   H.   Collaborate with commercial and society publishers of scholarly information to ensure the transition to open access is truly sustainable for all stakeholders: researchers, publishers, and academic libraries.

6. Support diversity, equity, and inclusion

   A.   Build unique physical and digital archives focused on the San Joaquin Valley and Sierra Nevada Region.
   B.   Serve as a center of expertise for the stewardship of the campus's intellectual output.

C. Integrate information literacy across the curriculum.
D. Support the recruitment, retention, and ongoing achievements of highly qualified staff with diverse backgrounds and talents to best serve the campus community.
E. Create a diverse and welcoming workplace environment in the library organization.
F. Encourage and support our diversified Library staff and student employees to pursue library careers.
G. Provide diversified collections in support of both disciplinary and inter/cross disciplinary fields as well as community of cultures.

From:	Chancellor Juan Sánchez Muñoz, Ph.D. <announcements@ucmerced.edu>
Sent:	Friday, October 8, 2021 11:02 AM
To:	Laura Martin
Subject:	UC Merced 2021 Strategic Plan

Re: UC Merced 2021 Strategic Plan
To: All Campus
Oct. 8, 2021

Dear Campus Community,

I am excited to share the first long-range comprehensive strategic plan of UC Merced.

The plan culminates a year of thoughtful engagement and refinement by faculty, staff, students and external partners, while preserving many of the insights and contributions of past planning efforts by colleagues.

This is a plan of immense ambition: a blueprint that will drive our success and momentum into the future as we build on this campus' first 15-plus years of achievement. We share with you here not only a vision of our future but also the codification and mechanisms by which we intend to fulfill that vision — namely, the measures by which we, and the world, will judge our progress toward R1, and beyond.

Moreover, the plan announces with clarity and conviction what UC Merced values as a community and an institution: engaging our world through discovery and the advancement of knowledge; developing future scholars and leaders; and cultivating a culture of dignity and respect for all.

UC Merced has been on a remarkable trajectory since our founding faculty and staff arrived in the Central Valley to establish the youngest campus in the University of California system. In a short time, we have become a top-100 institution and an R2 research enterprise; we have doubled the size of our physical campus with the nation's largest higher education public-private partnership; substantially increased research grants awards; we have enrolled successive record first-year classes, including a record number of graduate students; and we have achieved record philanthropic support including the university's largest single gift. Our faculty are brilliant researchers and

empowering educators, inventors, National Academy members and presidential nominees. Our alumni launch spacecraft, treat heart disease, start leading-edge businesses, and battle poverty and injustice.

We have any number of reasons to be immensely proud of where we are today and how far we have come since our early days. But we should not rest on those laurels, nor will we. UC Merced has limitless potential yet to be realized, new heights to ascend, and generations of students whose minds we will help to shape and expand. UC Merced is uniquely poised to impact a rapidly changing world, and together we will. I am excited to join this bold new adventure with you.

Our 2021 Strategic Plan is a roadmap to an exciting future — but the journey is up to each of us and all of us. Together, we are one.

Fiat Lux,

Juan Sánchez Muñoz, Ph.D.
Chancellor

University of California, Merced | 5200 N. Lake Road, Merced, CA 95343

Proposal: Strategic Planning Implementation

Senior Administrators' Council

October 14, 2021

Outcome of planning and resourcing

Vertical and horizontal alignment of work across the campus in support of strategic plan priorities
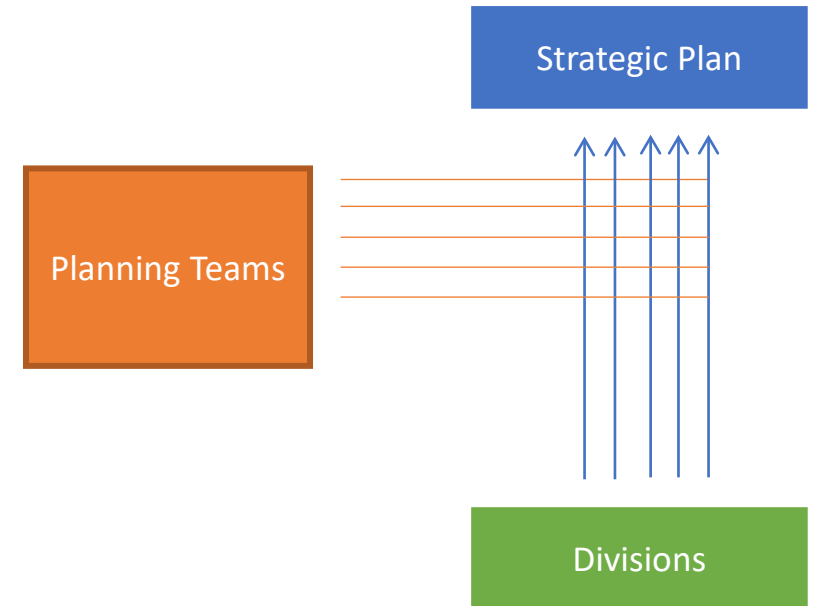
SAC Responsibilities

Accountable for campus progress on the strategic plan, the SAC guides the plan's implementation over time. In doing so, it

- Convenes standing planning teams to advance the priorities of the strategic plan

- Evaluates team plans and progress reports

- Advises on proposed resource allocation by EVC/P and CFO

- Evaluates overall campus progress on the strategic plan, advising on timelines, targets, trade-offs, and adjustments

- Issues campus progress reports

- Advises planning teams

Evaluates plans, progress reports and recommendations from planning teams and Divisions

Advises on proposed allocations by CFO and EVC

Issues progress report

Advises planning teams
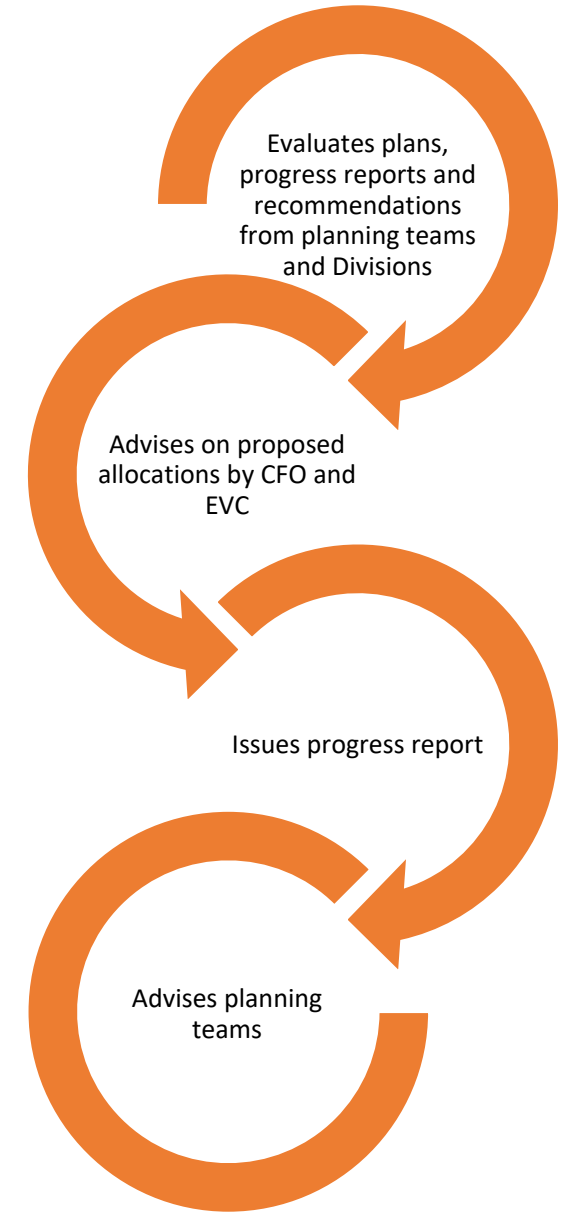
Planning Teams

Reporting to the SAC, each planning team is responsible for

- Setting a vision for what successful achievement of the objective(s) look(s) like

- Analyzing and evaluating the objectives - in light of our current state of practice and desired state of achievement - and outlining what it will take to get there, with estimated resources

- Developing pathway(s) and actions for achieving the future state

- Iteratively tracking and evaluating progress and revising the pathway(s) and actions as context changes

- Developing a structured consultation calendar, outlining the stakeholders to be consulted and timeline for doing so.

- Recommending resource allocation to support proposed pathway(s) and actions

- Working collaboratively with other planning teams
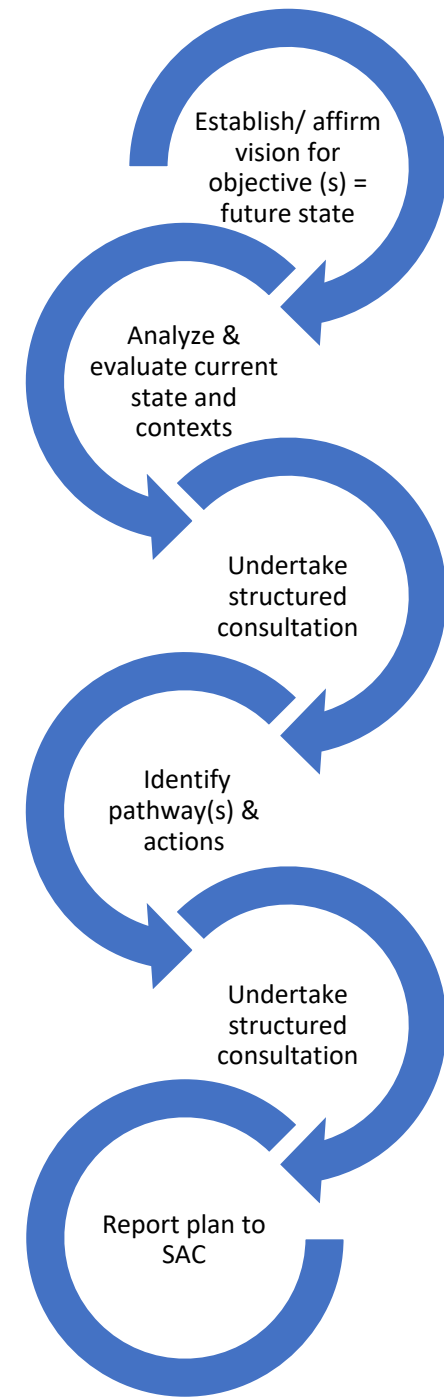
Senior Administrators' Council (SAC)
Planning Teams

Strategic Plan Goals

1.1	Public and scholarly influence of research
1.2*	Research and creative activities
2.1, 2.3	Educational opportunities
2.2	Academic, personal, and career preparation
3.1-3.3	Dignity and respect for all
3.4	International perspective
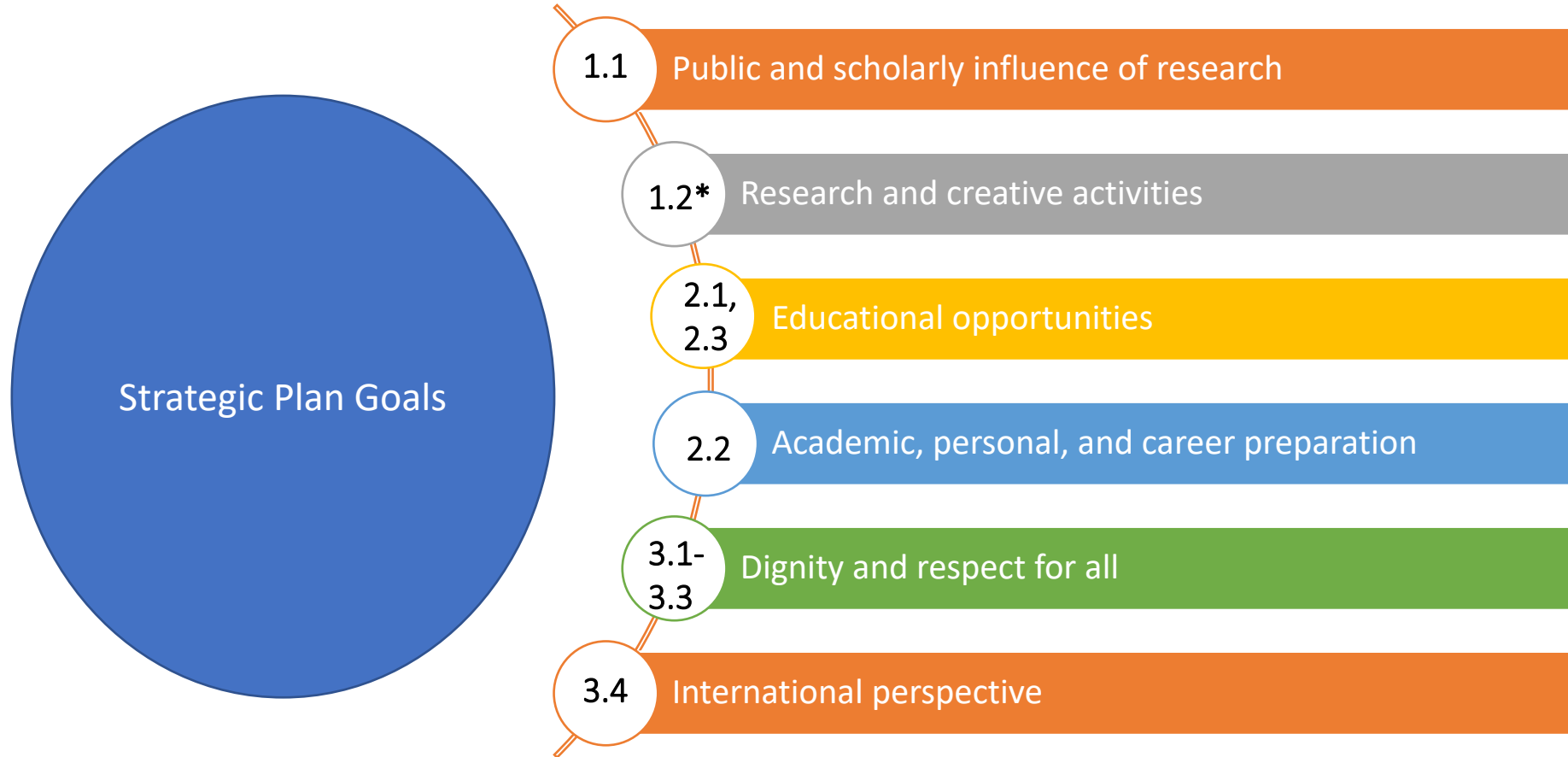
6 planning teams organized around the strategic plan's objectives

*The main priorities of 1.3 can be naturally folded into 1.2 and 2.2.

Joint Council Implementation Guidance (7/13)

Implementation involves cross-divisional collaboration in support of the campus's objectives

Ensure leaders have clear responsibility for specific priorities and that work with the relevant stakeholders

Be very clear the idea is to enhance and build out, not to abandon existing efforts for new ones; reconsider use of "initiative"

Divisional Planning

Divisions

- Establish strategic plans aligned to the campus strategic plan

- Collaborate with planning teams

- Receive budget stemming from funding recommendations developed by planning teams
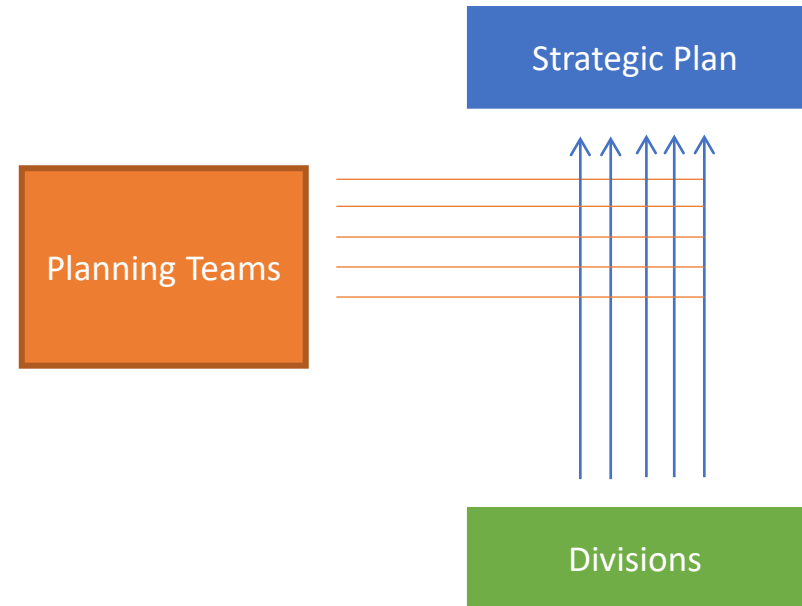
Investment
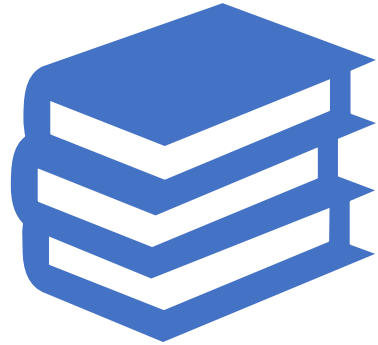
New resources

Existing resources and efforts – enhancing alignment and impact

Planning Team Membership

Generally small, 5 members or so

Co-led by academic and administrative representatives

Strategic Plan Implementation: Communications and Engagement Team

Charge

In coordination with the Strategic Planning Implementation Team, the Communications and Engagement Team establishes and implements a campus-level communications and engagement plan that will develop campus stakeholder understanding of the plan and how the plan is being implemented, including the ways in which stakeholders will contribute to the campus's planning processes. As part of its own planning, the team will identify specific goals and intended outcomes of its work. Consistent with its role, the Communications and Engagement Team will be the content owners of the strategic planning website.

Membership

- UC Merced Communications, representative
- Senate faculty, representative
- Non-Senate academic appointee, representative
- Staff Assembly, representative
- Office of Equity, Diversity, and Inclusion, representative
- Staff and Faculty of Color Association, representative
- Chief of Staff
- Assistant EVC/Provost, Academic Planning and Institutional Assessment (team lead)

Meeting Frequency

Members can expect to meet every one or two weeks as the communications and engagement plan is developed and implemented. Meeting frequency will shift with need.

Term of Service

The initial term of service will be AY 2021-22, with the role of this committee evaluated at the conclusion of this first year of implementing the plan.

MEMORANDUM OF UNDERSTANDING
REGARDING FUNDING FOR THE UNIVERSITY OF CALIFORNIA, MERCED

The Merced campus of the University of California continues to play a critical role in enhancing the University's ability to provide a world-class education to an ever-growing number of students, conduct groundbreaking research that expands the boundaries of knowledge, and offer life-changing opportunities for intellectual and professional growth to students from every socioeconomic background.

- From fall 2010 to fall 2020, California resident undergraduate enrollment at Merced grew by 4,100 students—significantly more than at any other UC campus during the same period.

- Total 2020-21 enrollment is estimated to be approximately 9,300 full-time-equivalent (FTE) students—slightly below the campus's 2020 target of 10,000 FTE but more than double the campus's enrollment in 2010-11 (4,288).

- Merced enrolls a higher proportion of students from historically underrepresented populations—including underrepresented ethnic groups, first-generation college students, and low-income students—than any other UC campus.

The campus's contributions to cutting-edge research—a hallmark of every UC campus—has increased as well. The number of ladder-rank and equivalent faculty at Merced increased by over 150% since 2010 (from 126 FTE to 320 FTE) and graduate student enrollment nearly tripled (from 241 FTE to 712 FTE). The University remains strongly committed to the further development and success of the Merced campus.

The University of California Office of the President ("UCOP") and University of California, Merced ("UC Merced") hereby enter into this Successor Memorandum of Understanding ("MOU") with respect to funding for UC Merced future growth, effective July 1, 2021 ("Effective Date") on the terms and conditions described herein.

I. BACKGROUND AND ACKNOWLEDGEMENTS

A. For much of its sixteen-year history, UC Merced has received financial support from the University of California, Office of the President, through a series of Memoranda of Understanding (MOUs). These MOUs provided UC Merced with financial certainty during a time of considerable fiscal stress on California and the University of California system. This certainty has allowed the campus to steadily increase its size and scope over time and to successfully complete the $1.2 billion Merced 2020 project last year.

B. Among the financial challenges facing UC Merced are debt service and availability payments for State-supportable capital projects that the campus must finance itself. Other UC campuses greatly benefited from the State's issuance of General Obligation (GO) bonds for

capital projects at various stages of growth; although campuses incurred costs to operate and maintain the resulting facilities, the original capital cost of the projects did not impact campus budgets. In contrast, Merced never benefited from State-issued GO bonds. Instead, the campus has had to largely rely on general revenue bonds and public-private partnerships (P3s) to finance what would have likely been State-funded space at other campuses in an earlier era. Debt service and P3 availability payments for some State-supportable projects—including a significant portion of the Merced 2020 project—is funded "off-the-top" by the University's practice of setting aside a portion of its systemwide State appropriations for projects approved through the AB 94 process. Merced must use campus funds to finance a sizable portfolio of other State-supportable projects, however. As a result of this different funding structure, UC Merced has less funding available for other parts of the campus's operating budget, including areas that directly affect student success.

C. State support provided to Merced in previous MOUs has differed from funding provided to other campuses in three ways.

- Merced receives State support of $10,000 per student for both undergraduate resident and graduate enrollment growth rather than the per-student amounts allocated to most other campuses under the University's allocation methodology (known as "rebenching"). By comparison, in 2021-22, other campuses will receive about $8,200 per California resident undergraduate, $20,500 per graduate academic student, and $41,000 per student in the health sciences.

- In most years, Merced received funding for a fixed level of enrollment growth ($6.5 million for enrollment growth of 650 students) regardless of actual enrollment growth at the campus.

- Merced has not received any annual increase in State support for its general operating budget besides the enrollment-based amounts described above. In contrast, the per-student funding amounts provided to other campuses have increased each year based on increases in unrestricted State support for the University.

This funding framework provided the campus with great predictability in State support during a critical period of its development. However, the framework was not closely aligned with incentivizing enrollment growth (since support was not tied to actual enrollment growth) or addressing annual cost increases that occur independent of enrollment growth—e.g., salary- or benefits-related costs increases.

II. GOALS AND OBJECTIVES

Continued support from UCOP and the UC system, through this successor MOU, is intended to achieve three goals:

- provide support for capital investment that is more in line with the State support received by other UC campuses (in the form of State-financed GO bonds) early in their development to reduce the burden that would otherwise fall to the campus's operating budget;

- guarantee funding for actual levels of future enrollment growth so that the campus can maximize the number of undergraduate and graduate students that it serves; and

- over time, bring total State support provided to the campus more in line with the levels received by other UC campuses under the current State General Fund allocation methodology (known as rebenching).

III. UNDERSTANDINGS

UC Merced and UCOP understand and agree to the following:

1. UCOP will allocate one-time funding of $61 million to UC Merced over a five-year period according to the schedule shown below in recognition of capital-related expenses (i.e., debt service and availability payments) for State-supportable projects that the campus must cover from its own operating budget.

Fiscal Year	Funding Provided ($M)
2021-22	9.0
2022-23	13.0
2023-24	13.0
2024-25	13.0
2025-26	13.0

    The combined funding of $61 million represents 37% of the total projected margin between the amount that the University currently budgets for outstanding GO bond debt service and actual projected GO bond payments during this five-year period. The remaining margin of $103.3 million would be distributed to campuses for general operating budget support through rebenching (which is how UCOP currently allocates any annual margin between budgeted and actual GO bond payments).

2. Consistent with previous MOUs, UC Merced will receive $6.5 million for undergraduate and graduate enrollment growth in 2021-22. Commencing with the 2022-23 fiscal year, Merced will receive the same level of per-student support for enrollment growth that is allocated to other UC campuses, subject to the same weighting factors used for California resident undergraduate students, and graduate academic doctoral students, students in the health sciences. Allocations will be based on projected growth over the prior year (i.e., funding provided in 2022-23 will be based on projected growth over 2021-22 levels) and will be

adjusted in subsequent years to address any difference between projected and actual growth in the prior year.

3. Commencing with the 2022-23 fiscal year, Merced will receive an annual base budget adjustment to its prior-year permanent allocation of State General Funds. The percentage increase will be based on the total increase to the University's permanent State General Fund appropriation (net of any amount designated in the Budget Act for specific purposes) as follows:

    - If the University's overall increase is 3% or less, the adjustment for Merced will be the same as the overall increase percentage.

    - If the University's overall increase is above 3%, the adjustment for Merced will be 3% plus half of any increase above 3%. (For example, an overall increase of 5% would result in a 4% increase for Merced: 3% plus half of the remaining 2%.)

    The same formula would be used to calculate any reduction to Merced's budget in the event of an overall reduction to the University's State General Fund appropriation. Any rebenching set-asides allocated to Merced (e.g., funding for Student Academic Preparation and Educational Partnership programs) would continue to be adjusted according to the current methodology.

4. In order to allow UCOP and the University as a whole to best support the further growth of the Merced campus, the funding commitments in paragraphs 1 - 3 above will be reviewed and refreshed if new developments change underlying assumptions on which this MOU is based. In addition, the campus will be required to provide information listed in the attachment to this MOU.

5. The terms of this agreement shall extend to June 30, 2031.

IV. <u>EXECUTION AND SIGNATURE</u>

UC Merced and UCOP hereby agree that this MOU and the Exhibits hereto, reflect their mutual understanding and commitments.

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA	THE REGENTS OF THE UNIVERSITY OF CALIFORNIA
By _____ Michael V. Drake, M.D., President, Regents of the University of California	By _____ Juan Sanchez Muñoz, Chancellor University of California, Merced
Date _____ 8/19/21 _____	Date _____ 8/20/21 _____

ACKNOWLEDGED AND AGREED:

UNIVERSITY OF CALIFORNIA
OFFICE OF THE PRESIDENT

_____

By: Nathan Brostrom, Executive Vice President

Date_____ 8/19/2021 _____

Appendix to MOU with Merced
List of Information Needs

1. Projections of student enrollment and ladder-rank faculty FTE through 2030-31

2. An all-funds operating budget with projections through 2030-31.

Financial Commitment between University of California, Merced and
University of California Office of the President

Executive Summary

The University of California, Merced has experienced a surge in student applications and record enrollment growth over the last three years. To ensure sufficient funding is in place to accommodate continued growth, the university has secured a three-year financial commitment from the UC Office of the President of $36 million -- $6 million in 2010-11, $12 million in 2011-12 and $18 million in 2012-13. The funds will allow UC Merced to add 600 students (net) per year, resulting in a projected total enrollment of 5,200 in the 2012-13 academic year compared with 3,400 in 2009-10. In addition, ladder-rank faculty appointments will grow from a current total of 130 to approximately 190 over the three-year period, which includes an increase of 50 positions on top of 10 already funded.

Faculty and staff additions during this time assume the continuation of a $5 million supplemental allocation from the state as provided in the governor's budget for the next fiscal year.

It is expected that UC Merced will continue to receive $18 million in enrollment-growth dollars in the years after 2012-13, enabling the university to sustain or possibly accelerate its current growth trajectory. However, in view of the state's economic challenges, assumptions about future funding will be reassessed annually. As a matter of prudent planning, the university is evaluating a number of slower-growth scenarios beyond 2012-13 and will make whatever adjustments might be necessary if state funding cannot be guaranteed at the expected rate. Under current growth assumptions of 600 students per year, and assuming state funding for enrollment growth is sustained, the university expects to be in position to balance its budget by the 2015-16 academic year.

The three-year faculty-growth projection includes 21 new faculty lines for the School of Social Sciences, Humanities and Arts, 15 for the School of Natural Sciences and nine for the School of Engineering. All three schools will compete, individually or in partnership, for the remaining five strategic investment lines. This allocation model will result in a strategic rebalancing of faculty growth that is more representative of other UC campuses. Curriculum development during this period will focus primarily on strengthening existing undergraduate and graduate programs rather than developing additional majors.

**Memorandum of Understanding between UC Merced and the
University of California, Office of the President**

Introduction

In the five years since its opening, UC Merced has aggressively pursued its founding principles of building the first research university of the 21st century and providing a strong focus on student success through inclusive excellence. During this period the campus has grown and matured with the addition of each new faculty member and each class of new students. Today UC Merced is a vibrant campus with an engaged faculty and staff committed to excellence and a student body passionate about their campus and its future development.

A major goal of the campus in the next few years is significantly increased enrollment. The campus must balance the need to increase the ladder rank faculty essential to building a research university coupled with high quality instructional offerings in the context of limited financial resources. In addition, the campus will augment the temporary instructional staff needed to share in the instruction of increasing numbers of undergraduates at the lower division level and add non-instructional staff support critical to both faculty and student success. Space will also be a significant challenge during these coming years. The ability to accommodate faculty, students and staff that are needed to allow for campus growth will require, insofar as funding permits, a flexible approach to its existing space, plus the capital funding necessary for additional growth.

This document is prepared in collaboration with the Office of the President to reflect campus growth plans that are predicated on enhanced efficiency and keen attention to the limitations of state funding for the University of California as a whole. The campus greatly appreciates the strong support from UCOP and its collaboration in UC Merced's growth. This MOU includes an analysis of three near-term scenarios for campus development accompanied by supporting exhibits. In addition, the document includes metrics against which the campus performance can be assessed to ensure that it is effectively fulfilling its commitments under the agreement. All of the scenarios included imply restrictions in growth of faculty numbers that will remain below the desirable systemwide norms for ladder rank faculty (LRF) who comprise only 58 percent of instructional faculty at Merced while other campuses are in the range of 74 percent-80 percent. In addition to the potential impact on undergraduate instruction, the low number of LRF can have serious consequences for the development of both graduate education and research on the campus.

Continued enrollment growth on the Merced campus is a positive both for the campus, in that it will help to insure continued development during this period of State austerity, and for the State of California and the UC system. UC Merced serves the State as well as the UC system by providing access to a substantial number of qualified California students, especially those who are first generation college enrollees and who come from low income families. UC Merced is seriously committed to educating California's diverse population of students from a full range of high schools. The diversity of the student body at UC Merced is a critical element for the systemwide diversity goals and bodes well for educating the population that will guide California's future.

UC Merced has made remarkable progress in the years since its opening. Application numbers, enrollment growth, grant activity, the overall trajectory for the campus and public perception are all positive as the campus moves into the second five years of operation. Although this campus was born in a time of State fiscal strife, it has made substantial progress in every metric that is critical to building a 21st century research university; application numbers, enrollment, (Exhibit A), and research funding (Exhibit B) all show significant increases.

Basic Assumptions

UCOP will provide $36M in funding over a three year period in return for the following campus commitments:

1. UC Merced will enroll 600 additional fully funded students per year from 2010 to 2013. At the end of this period, it will have an enrollment of approximately 5,200 students, compared to the current 3,400 FTE. Enrollment growth is predicated on the availability of a total of $36M ($6M, $12M, $18M) in funding from the Office of the President over this period. It is expected that there will be a continuation of the $18M in enrollment growth dollars in the years after 2012/13, although the source of such funds has not been identified. (Exhibit H series displays the primary revenue sources for the campus during the period of the MOU.) This plan will be updated annually to assess the availability of at least $18M in permanent continuation funding without which the future structure of UC Merced is uncertain, and the plan for continued growth will be reassessed each year. If permanent state funding for enrollment growth resumes, growth at UC Merced possibly can be accelerated.

2. The general parameters outlined for faculty and staff growth also are contingent on the continuation of the $5M supplemental allocation from the State as allocated in the Governor's budget for the next fiscal year. The UC Office of the President will strive to ensure that this amount is added from state funds to the permanent base budget for the campus.

3. The Office of the President has provided access to a $5M per year loan that is a crucial extension of UC Merced's budget in the years prior to reaching financial stability.

4. UC Merced has 19 undergraduate majors that will form the foundation for undergraduate education during the next three years, and nine graduate areas (Exhibit C). In the near-term UC Merced will not develop additional majors that would require new resources and diminish the campus' ability to strengthen current offerings; undergraduate offerings now accommodate approximately 80 percent of student enrollment on the other UC general campuses. The campus will expand the depth of its graduate programs during this period to strengthen research development and facilitate growth in the number of graduate student TA's to aid faculty in the delivery of instruction.

5. The campus will encourage enrollment of current and new students in majors that are the most cost effective both in terms of the campus's operational and capital budget needs. While the students' strong interest in the basic and applied sciences is seen as positive for the long term economic needs of the San Joaquin Valley, enlarging the School of Social Sciences, Humanities and Arts is a positive path for the campus's near-term growth needs. The Social Sciences and Management Building in 2011-12 will provide needed space for faculty growth in these disciplines.

6. Special emphasis will be placed on hiring faculty for the growth of a broad based undergraduate management program housed in the School of Social Sciences, Humanities and Arts. Management is a popular major on the campus and growth of the management specific faculty will enhance continued growth in its enrollment. Those anticipated faculty hires are encompassed in the numbers displayed in Exhibit D.

7. Students who apply to UC Merced typically seek to reside in on-campus housing .The campus strongly feels that additional on-campus housing is needed to accommodate limited growth as projected in this MOU. The low or no-growth scenarios evaluated in this document will make it

2

difficult to cover the required debt ratios, and the lack of housing will hamper UC Merced's ability to attract students, as was learned in the opening years of 2005 and 2006. In addition, an increase in the number of students living off campus will increase our traffic counts on adjacent streets and will hasten the required transportation mitigation costs. If either of these two scenarios is required, however, the campus would consider a variety of options including requesting tolerance for a temporary lower than standard debt ratio. (Exhibit E).

8. This analysis envisions that UC Merced will attain a balanced budget with a student population of approximately 7,000-7,500 FTE, an enrollment that will be reached in the 2015-16 academic year if growth is funded by the State.

The Plan for 2010-2013

During the next three years UC Merced will continue to enroll 600 additional students per year. The first year's realization of this plan will be met by enrolling about 1,270 freshmen, 200 transfer and 50 graduate students in the fall semester of 2010 (accompanying display).

Ladder rank faculty (LRF) numbers will grow from the current faculty size of 122 LRF by 50 FTE within the three Schools during the three years of the plan. At least 45 faculty lines will be allocated as part of a three-year rolling plan; five or more lines will be strategically invested through a campus-wide proposal process focusing on the five strategic areas of growth identified in the campus academic vision statement: *Beginning: A Legacy Renewed for the 21st Century*. The analysis is based on models of faculty hiring sequenced in either 17+17+16 new faculty every three years or 25+25+0 new faculty every three years. This allocation of new FTE, although it does not reverse the negative trend in the student to ladder rank faculty ratio, does allow for continued programmatic maturation in existing majors across all three Schools that will bolster both the research and teaching missions critical to the campus (Exhibit F). The overall student to faculty ratio is currently weighted toward temporary instructional staff.

This three-year allocation model represents a strategic reorientation of faculty growth from the basic and applied science intensive focus of the last five years to a School of Social Sciences, Humanities and Arts (SSHA) focus that is more representative of our sister UC campuses. Of the first 45 faculty lines, 21 have been earmarked for SSHA, 15 for the School of Natural Sciences (SONS), and nine for the School of Engineering (SOE). Furthermore, redirection of new hires will continue through the decade resulting in 50 percent of FTE in SSHA and management disciplines by 2020. In addition, all three Schools, individually or in partnership, will compete for the five strategic investment lines that will be made available.

The proposed distribution of faculty considers faculty growth, critical faculty retention issues in the Schools and the space constraints in the sciences and engineering. Restricting all faculty hires to the social sciences, humanities and management for the next three years would not take account of the ongoing needs in both engineering and natural sciences. It might also put at risk significant investments of $45M the campus has already made in these areas, should faculty in the SONS and SOE perceive a campus-wide lack of interest in further development of their areas. The campus has recruited a Dean of Engineering with a vision for the future of the School and who will require some resources to implement his vision through the addition of appropriate faculty lines, albeit under constrained finances.

Accountability Metrics

To insure that the enrollment growth dollars will be used in the most effective way to build the campus, the following metrics will measure UC Merced's performance during and after the period of the MOU.

First, during the three years of the compact UC Merced will meet its enrollment growth goals for both undergraduate and graduate student enrollment. Through growth of the social sciences, humanities and management programs student enrollment will be increasingly directed to non-laboratory based majors that are more cost effective.

Second, the campus will achieve initial WASC accreditation in July of 2011. This key milestone opens the opportunity for accreditation of engineering programs that are critical for the success of our graduates. It also provides opportunity for the campus to be defined as a research university in the Carnegie classification of universities in 2015.

Third, the campus will continue the positive trajectory for growth in extramural research funding. Although a shift to a more social science oriented campus may reduce the year-over-year increase in research support, the advancement of UC Merced's junior faculty in the sciences and engineering should continue to provide the catalyst for substantial growth. Current research expenditures per FTE are comparable to other general campuses without a medical center.

Fourth, the campus will track undergraduate and graduate retention rates and will continue with success workshops that are aimed at retaining and graduating an increasing number of UC Merced's first generation and at risk students. The initial 2005 cohort was retained at 63 percent after three years and achieved a four-year graduation rate of 33.6 percent. Student Affairs and the Center for Research on Teaching Excellence are implementing a variety of programs, such as summer bridge programs, that are intended to increase retention and graduation rates among our students (Exhibit G).

Fifth, the campus will track enrollment in all majors. The campus will implement the undergraduate management program and the formation of the Gallo entrepreneurship center and will move forward with hiring LRF in management. By the year 2013-14, 50 percent of the students will graduate from SSHA associated majors.

Sixth, the campus will gather and report data reflecting success at providing classes needed by students and comment on how impacted classes were addressed.

Seventh, a critical element for the campus and for the Office of the President is to move the campus to a financial position where there is a reasonable ability to balance UC Merced's budget, pay down its accumulated debt and begin to invest in the future. Financial models indicate that by the 2015-16 academic year a balanced budget would be achieved given growth of the student body at 600 additional students annually, although this is contingent on the State's ability to fund enrollment growth.

Eighth, the campus has invested over $45M in its current faculty. Recruitment of new faculty and retention of existing faculty is critical to building distinction in academic programs. Success will be assessed by documenting the campus' ability to hire its top-ranked candidates for faculty positions.

Beyond 2013

The exercise outlined below looks at the three growth scenarios in the years beyond the duration of the compact (Exhibit H series). Scenario 1 provides the best pathway to UC Merced's future as a research university, albeit with far less than ideal resources. The other two scenarios could recreate many of the issues that plagued the development of UC Riverside and UC Santa Cruz in the 1970s and require a prolonged pathway to maturity and success. Each of the scenarios considers three years of funding at $6 million per year for student enrollment growth, followed by two years of funding consistent with 600 additional students per year, 300 additional students per year, or no new students per year. The budget for each scenario includes measures that will result in a balanced budget in 2013/14 and 2014/15, and the

4

probable effects of those measures on the health and quality of the campus. The Office of the President and the campus will annually review the funding available for the next few years and adjust enrollment growth and faculty and staff hiring for the immediate future in the light of funding.

Scenario 1 envisions a continuation of the growth rate outlined in the LREP that would build the campus by approximately 600 fully funded students per year. This scenario is contingent on the continued ability to fully fund enrollment growth in the 2010 – 2013 years and to provide additional marginal cost dollars appropriate to annual growth of 600 additional students in the years beyond 2013 (Exhibit H-1).

By all analyses, this is the most effective pathway forward for the campus. It would enable the campus to achieve a positive bottom line in 2015-16 while continuing to grow modestly the faculty, staff and other needs. Ultimately, this scenario would provide additional resources to be invested in UC Merced's future, most importantly allowing an increase in the growth rate of the faculty to bring the campus into closer alignment with the UC norms for the proportion of teaching faculty who are LRF and also help the campus reach its graduate student enrollment goals. This model also provides resources adequate for the campus to meet its debt service obligation for auxiliaries and to begin to pay down the accumulated debt sooner than more restrictive scenarios.

Scenario 2 allows for the addition of 300 students per year in the two years immediately following the MOU. It relies on the State's ability to provide new State funding for enrollment growth of 300 students per year (Exhibit H-2).

The campus could continue to operate at this reduced rate of growth for two years, but this scenario would require that the campus address some issues to maintain a slowed, but still positive momentum. This situation would extend the time at which the campus could achieve self-supporting financial stability, likely up to three years compared to scenario one. Growth would slow in all areas. Specific steps that would be required to meet the financial exigencies of a slowed growth rate for two years include: 1) reduced hiring of ladder rank faculty to half the number outlined in the previous scenarios, 2) reduced staff hires comparable to the reduction in the student and faculty growth rates, 3) reduced co-curricular programs for students, 4) curtailed startup packages in higher cost and higher yield areas and additional focus on hiring in lower cost areas in the humanities and social sciences, 5) reassess 10 year capital plans, 6) decreased campus support for graduate education, 7) reduced support for research initiatives that bring large scale multiuser research instrumentation to UC Merced, 8) seek forgiveness and/or alternative repayment schedules for operational debt service.

These actions could trigger a decline in faculty and staff morale and make hiring and retention more difficult. UC Merced would strive to maintain morale and a team spirit, but if the reduced growth persists, it would be difficult to avoid the perception of an institution at risk. This situation could erode the benefits derived through UC Merced's growing success in serving California's most diverse, economically challenged and needy population. The slowed growth scenario likely would have a negative near term impact on fund raising efforts and could erode what has been a high level of community and regional support for the campus.

Scenario 3. While both UC Merced and the Office of the President sincerely hope that this scenario does not happen, circumstances must be evaluated that would occur should state funding not allow further growth. The Office of the President and the campus will continue to work with the state to provide enrollment funding for UC Merced. However, in the undesirable case where UC Merced was required to remain at a population of 5,200 students for up to two years beyond the term of this MOU, owing to a slower than anticipated recovery by the state, all new faculty and staff hires would be eliminated (Exhibit H-3). Faculty who choose to depart would most likely be replaced with non-ladder rank instructors, thus eliminating almost all start up costs. To the extent possible, all vacated staff positions would be left

unfilled except in mission critical cases. Some non-critical services and programs would be curtailed. The campus also would need to defer debt repayments on UC internal loans. The campus would focus on freshman recruitment in order to maximize the flow of dollars to housing and dining services. Of necessity, this would minimize the transfer student enrollment since such students generally do not reside on campus and, with too few LRF, fewer upper division courses may be available. The campus will in all scenarios pursue recruitment of greater numbers of non-resident students to maximize revenues.

Of course, the campus would make every effort to provide a UC-quality education to the students who chose to enroll. The campus would emphasize the smaller campus experience and would explore boosting revenues through extension programs and distance learning arrangements. In concert with other UC campuses, UC Merced would explore lower-cost delivery of some instruction which will require close collaboration with the Academic Senate.

The campus has invested heavily in attracting a senior cadre of faculty who are distinguished in their fields of expertise. Retention of these faculty underpins the quality of the academic and research programs on campus and will greatly influence the campus' ability to retain students, particularly at the graduate level. More recently, an increasing number of junior faculty have been added to the academic ranks. These more recent arrivals have already distinguished themselves by successfully competing for research dollars and several have received national and international prizes or awards for their work. As these junior faculty members achieve tenure, they will be entering the most productive period of their careers and a point when their marketability will increase. The campus greatly wishes to retain these individuals, in whom investments have been substantial, and who are the key to strengthening the core disciplines. Scenario three would significantly jeopardize retention of these outstanding young faculty.

Staff members are equally critical to the successful development and operation of the campus. It is vital that these individuals, who are essential to the success of students and faculty, be retained. It is also clear that as UC Merced grows both student and faculty numbers it will need to increase a staff that is already extremely lean. Scenario three would make retention of staff much more difficult.

A serious danger of this scenario could be the perception throughout the State and nation that UC Merced is an eroding campus that might not attract or retain the enrollment needed to maintain a steady state. Attrition could continue to erode the faculty and staff and the negative perception of a lagging institution would prevent the campus from recruiting UC-quality replacements. This would also place a greater part of the curriculum in the hands of temporary instructional staff and would further depress the research capability of the campus. It would also negatively impact fundraising prospects for the campus. The Office of the President and UC Merced would try to mitigate these perceptions but should such a lack of growth funding persist for a number of years it will be very difficult for a small campus to sustain a consistently positive experience for students and faculty.

UC Merced recently was designated as a Hispanic Serving Institution (HSI) by the federal government. A slowing in the growth of the campus and the expected attendant drop off in enrollment demand and challenges associated with retention of faculty and staff could jeopardize this status and the possibility of procuring additional federal funds in support of both the educational and research missions of the campus. UC Merced's designation as the second UC campus to receive HSI status provides further visibility for the entire system.

With concerted effort on everyone's part, the campus could survive two years of no growth. However, a prolonged time to self-sufficiency and a growing debt would further reduce the campus's ability to achieve financial stability. The campus cannot function as a full UC campus under a prolonged no-growth scenario.

Budgetary Self-Sufficiency

The campus estimates that achieving an enrollment base of about 7,000-7,500 fully-funded students will enable the campus to reach the point of budgetary self-reliance and the ability to begin the process of decreasing the accumulated debt. It is clearly in everyone's best interest that UC Merced achieves this milestone as quickly and efficiently as possible. Based on the current models, the growth of 600 new students per year would realize a positive income stream in 2015-16. This assumes that we continue with a faculty and staff hiring plan identical to the one proposed for the three years of the compact and that there are no unfunded mandates that further erode our purchasing power (Exhibit H series).

It is important to note that enrollment growth is directly tied to growth in the faculty ranks and that increases in faculty and students will require additional instructional space and offices for faculty. Coupled with the growth in faculty and student numbers, comes the need for additional staff to ensure student and faculty success.

Space

The following would be the expected impact on UC Merced's capital program under each scenario. The campus believes that the planned timeframe for housing 4 is important and is based on the need for additional on campus housing to accommodate a population of 5,200 students at approximately the same percentage as UC Merced will be able to accommodate our 4000 students with the opening of housing three this fall.

600 FTE Growth Model:

In March 2010, UC Merced's 10 Year Capital Financial Plan (CFP) and Physical Design Framework (PDF) were accepted by the Regents. One year prior, in March 2009, Merced's Long Range Development Plan (LRDP) was approved by the Regents, of course depending on state-funded enrollment growth and capital support for both plans. Though the enrollment assumptions in these three documents do not directly align with the 600 FTE growth model discussed herein, they track closely enough (11,094 student FTE in AY 20/21 under the CFP, PDF and LRDP vs. 10,277 student FTE in AY 20/21 under the 600 FTE model) that the campus' recent CFP can be considered reflective of the timing, scope and program of capital projects required to support the 600 FTE growth model (Exhibit J-1).[1]

300 FTE Growth Model:

All State-funded capital projects through the Instruction and Student Academic Services building would be delivered in accordance with the CFP, provided State or other funding is acquired (Exhibit J-2). These projects include:

- Science and Engineering 2;

- Castle 1200 – Facilities Renewal;

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[1] The Academic Surge Building proposed in the March 2010 Capital Financial Plan was to be a $20MM non-State funded facility. In the intervening months, the campus submitted a PPG for a $40MM State funded Academic Surge Building. For the purposes of evaluating the enrollment scenarios relative to capital project needs, all scenarios assume the $20MM project as proposed in the March 2010 Capital Financial Plan.

- Instruction and Student Academic Services Building;

- Campus Instructional Space Renovations; and

- Site Development and Infrastructure Phases 4, 5, 6, 7, and a reduced scope Phase 8.

Subsequent projects would be postponed as below:[2]

- Instruction & Research Building ($116MM) would be postponed from an anticipated occupancy date of August 2016 to August 2019.

- Professional School ($67.4MM) would be postponed from an anticipated occupancy date of August 2019 to at least August 2021.

- Environmental Health and Safety, Facilities Management and Public Safety Facility ($33MM) would be postponed from an anticipated occupancy date of August 2020 to at least August 2021.

- Central Campus West Site Development and Infrastructure ($45MM) would be postponed from an anticipated completion date of August 2021 to at least August 2022.

- Classroom & Office Building 2 ($44.5MM) would be postponed from an anticipated occupancy date of August 2020 to at least August 2021.

- Instruction & Research Building 2 ($65.9MM) would be postponed from an anticipated occupancy date of August 2021 to at least August of 2022.

The impact of reduced enrollment growth on non-State funded capital projects are more complex than those of State funded projects, as the financial models related to repayment of existing capital project debt have been based on increased student enrollments in accordance with the 2009 LDRP. Nevertheless, reductions in student enrollments would likely result in decreased demand for future non-State capital projects.

Zero FTE Growth Model:

Under this model, all State-funded projects beyond the Site Development and Infrastructure Phase 6 project would be deferred until growth resumes (Exhibit J-3. The list of project deferrals includes:

- Site Development and Infrastructure Phase 7 ($11.7MM)

- Site Development and Infrastructure Phase 8 ($65MM)

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[2] The current planning model extends through the 20-21 AY. The office of Capital Planning & Space Management is in the process of extending the model's planning horizon but, at this time, estimates beyond the 20-21 AY do not have the same clarity of those within the scope of the current model.

- Instruction and Student Academic Services Building ($48.7MM)

- Campus Instructional Space Renovations ($6.1MM)

- Instruction and Research Building ($116MM)

- Professional School ($67.4MM)

- Environmental Health and Safety, Facilities Management and Public Safety Facility ($33MM)

- Central Campus West Site Development and Infrastructure ($45MM)

- Classroom and Office Building 2 ($44.5MM)

- Instruction and Research Building 2 ($65.9MM)

The impact of a zero growth model on non-State capital projects would be similar in theme to those discussed in the 300 growth model scenario above, although a zero growth model will degrade the ability of campus auxiliaries to repay debt incurred for current capital projects, and may require a restructuring of that debt or assistance with required debt ratios.

Conclusion
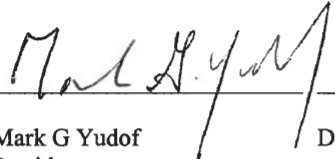
The next five years are especially critical to the maturation of UC Merced as an independent campus built from the culture of excellence provided by our sister campuses.

The successful recruitment and retention of students, faculty and staff is critical to the UC Merced campus. Significant investments have been made to ensure student enrollment growth and it is critical that the students who begin as freshmen, or who come as transfer students, are able to acquire the courses necessary to graduate in a timely manner. It is also essential that the campus develop the educational, and co-curricular facilities that students reasonably expect to find while attending a UC campus. On the other hand, the campus has to prepare for whatever funding becomes available, even if inadequate funding continues for some years. Exhibit K provides a summary of the most critical data for each of the three growth scenarios to address different funding levels.
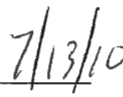
As the campus weathers the anticipated period of continued austerity, it is also critical that faculty, students and staff perceive a solid future of growth on the campus, although funding is uncertain for such growth. UC Merced is the only research university in the San Joaquin Valley and will play an increasingly important role in addressing the severe economic plight of the region. The campus is proud of its record in attracting a high degree of ethnic and geographic diversity among the student body, a factor that argurs well for sound future growth and is beneficial to the UC system. The Office of the President and the campus are committed to securing funding for continuing growth, but this remains a challenging task.

The agreement outlined in this MOU extends the opportunity for campus development that is so crucial for the future of the State and for that of the San Joaquin Valley. UC Merced already has had a significant and positive impact on one of the poorest and most underdeveloped regions of California. The presence of a UC campus in this area has been a beacon of hope and a catalyst for enhanced college preparedness by students from throughout the region, while the research of the faculty is already having an impact on many of the area's most pressing problems.
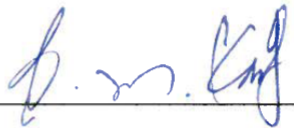
We are very appreciative to the Office of the President for the concern and support voiced for UC Merced. This strong interest from systemwide leaders makes the campus optimistic about the future of the campus and the region.
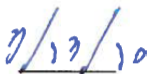
_____   7/13/10   _____   7/13/10
Mark G Yudof   Date   Steve Kang   Date
President   Chancellor
University of California   University of California, Merced

10

Exhibit A
Enrollment - FTE and Applications
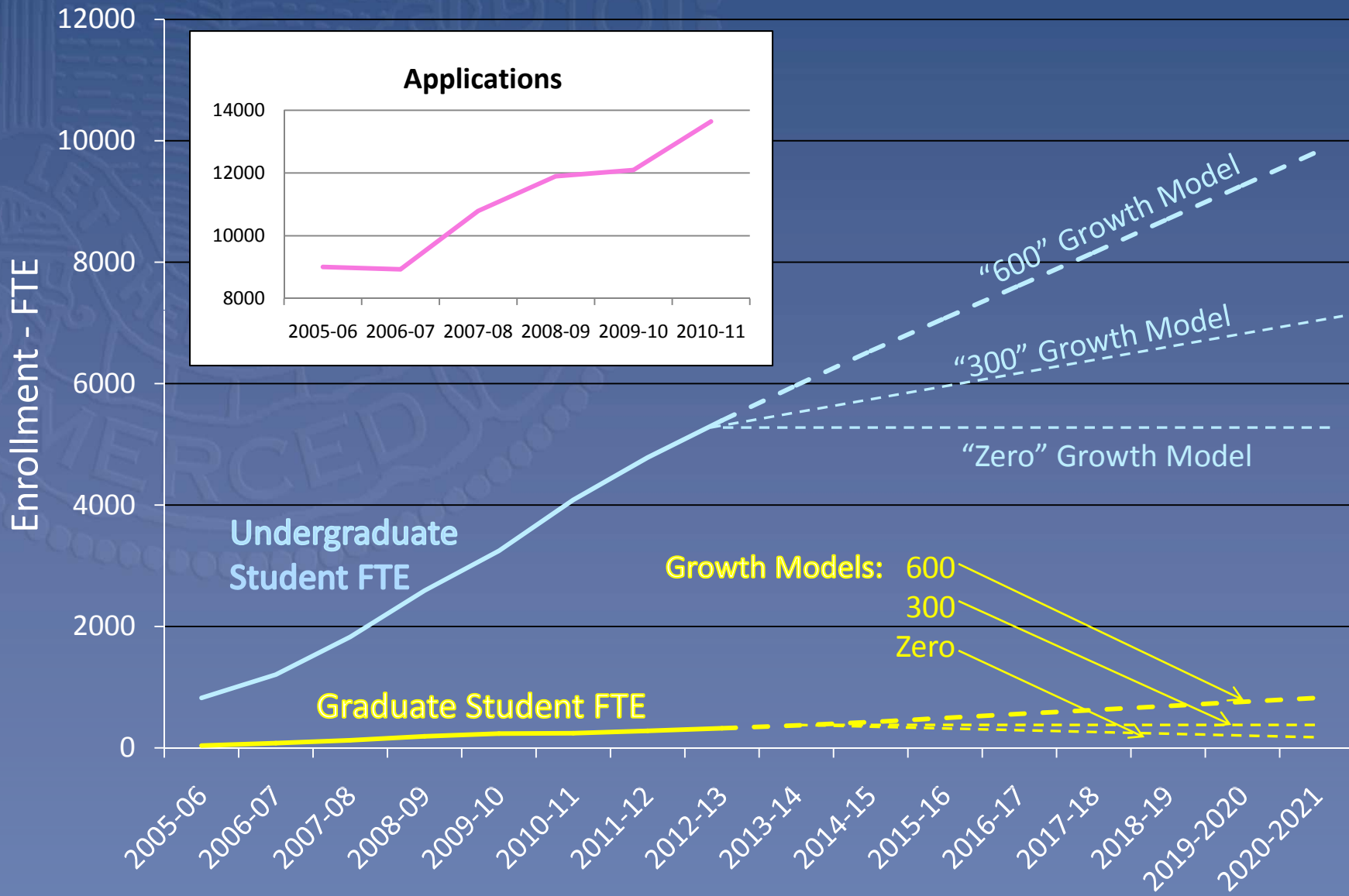
Exhibit B
Research Expenditures

UC Merced Research Awards by Fiscal Year (Millions)

$25
$22.8
$20
$16.4
$15
$12.2
$10
$8.6
$7.6
$6.3
$5
$0

FY 2004 | FY 2005 | FY 2006 | FY 2007 | FY 2008 | FY 2009

UCMERCED
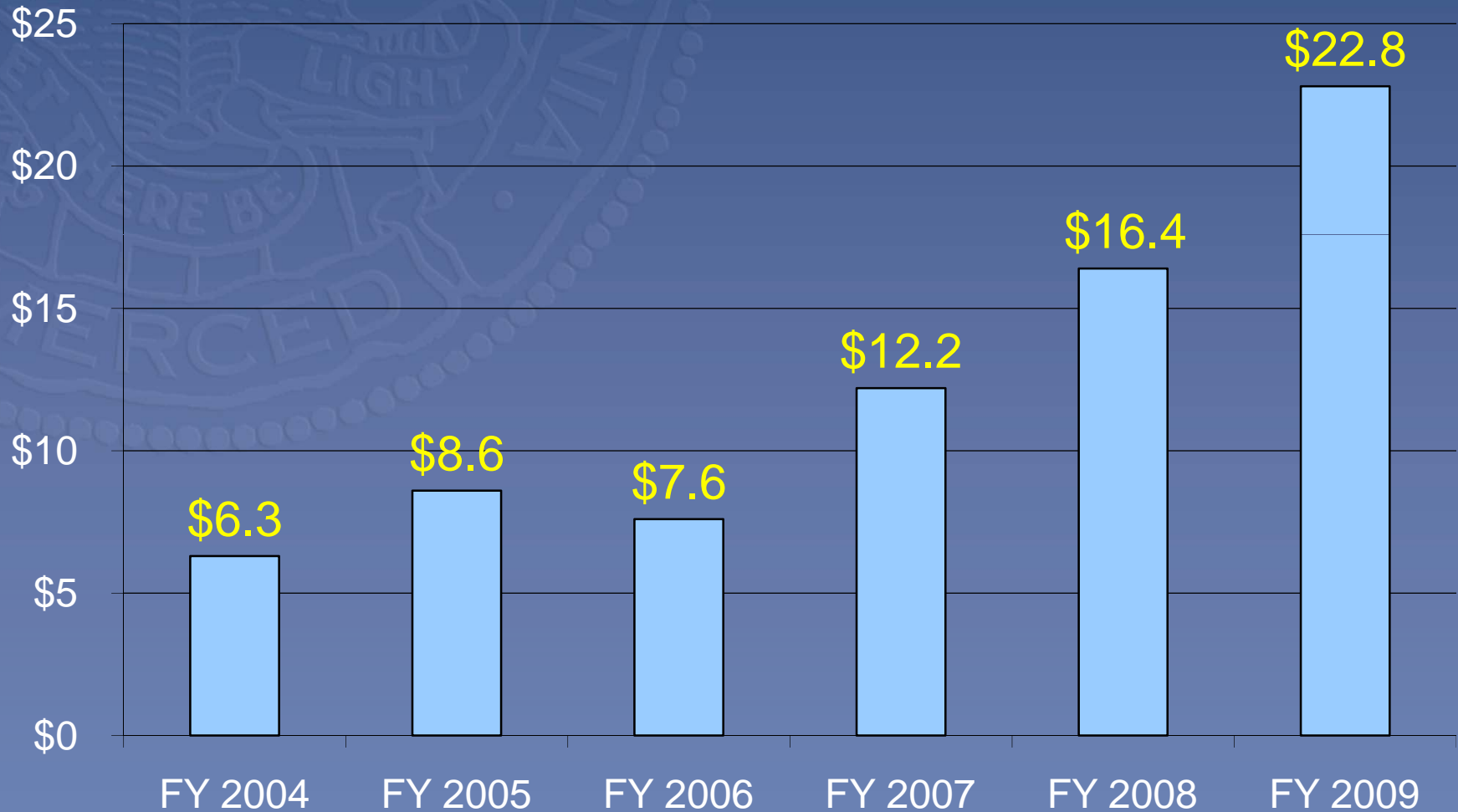
Exhibit C
Undergraduate Majors and Graduate Programs

School of Engineering Undergraduate Majors

Bioengineering
Computer Science & Engineering
Environmental Engineering
Materials Science & Engineering
Mechanical Engineering

Graduate Studies- Ph.D. and M.S. Programs

Biological Engineering and Small Scale Technologies
Electrical Engineering and Computer Science
Environmental Systems
Mechanical Engineering and Applied Mechanics

School of Natural Sciences Undergraduate Majors

Applied Mathematics
Biological Sciences
Chemical Sciences
Earth Systems Sciences
Physics

Graduate Studies – Ph.D. and M.S. Programs

Applied Mathematics
Physics and Chemistry
Quantitative and Systems Biology

School of Social Sciences, Humanities and Arts Undergraduate Majors

Anthropology
Cognitive Sciences
Economics
History
Literature and Cultures
Management
Political Sciences
Psychology
Sociology

Graduate Studies – Ph.D. and M.S. Programs

Social and Cognitive Sciences
World Cultures
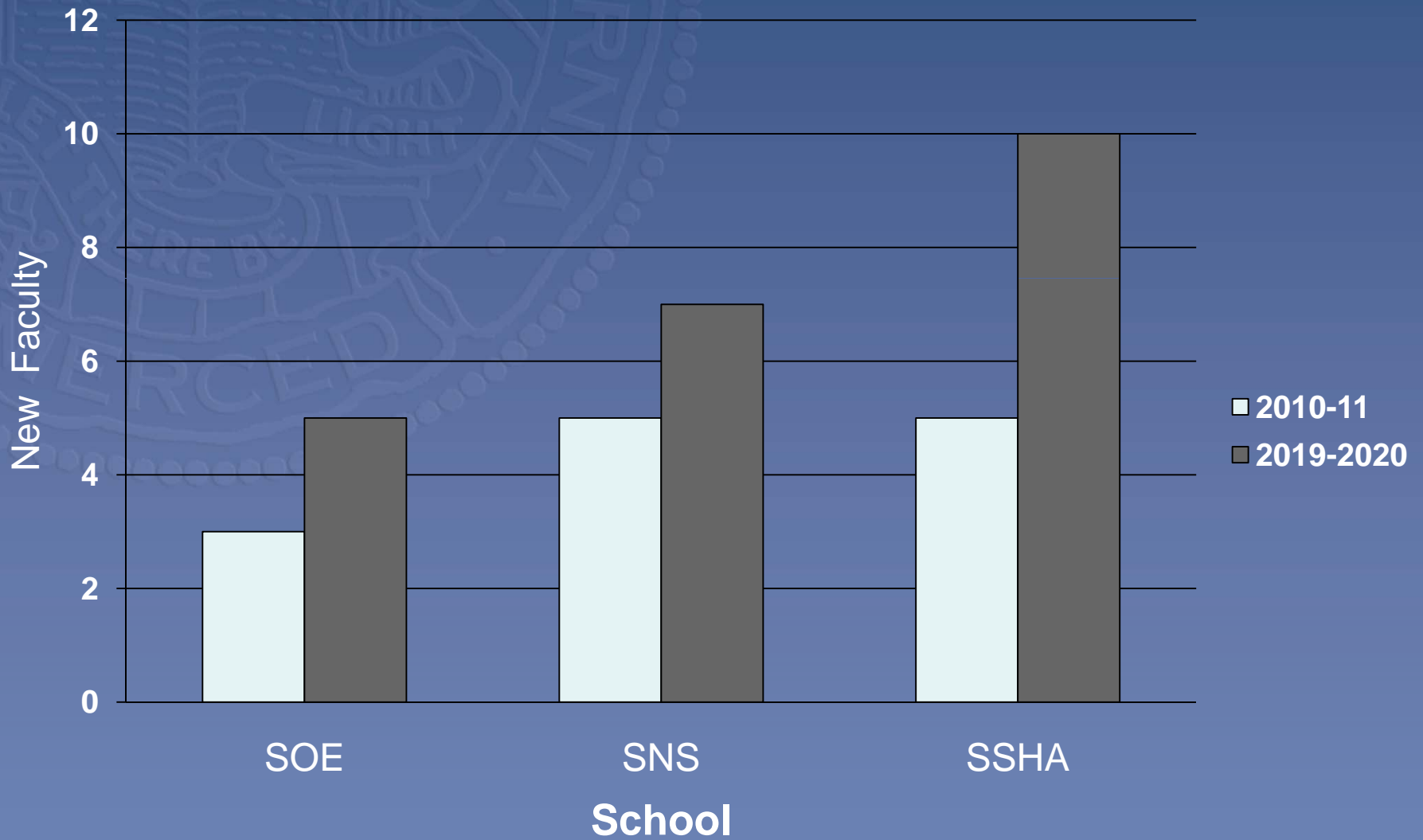
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Exhibit E
Beds Available and Anticipated Demand
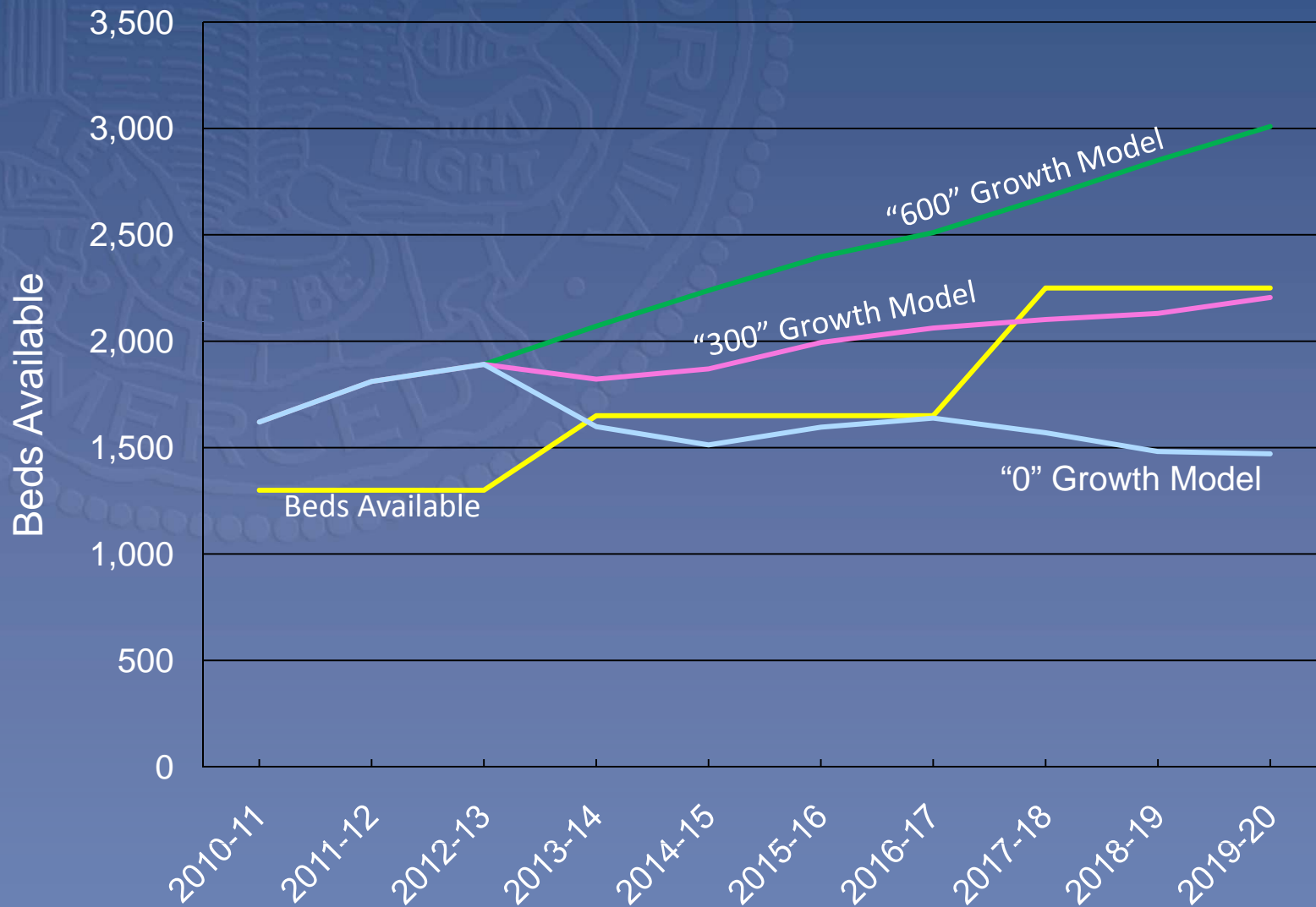
"600" Growth Model
"300" Growth Model
"0" Growth Model
Beds Available

Beds Available (y-axis): 0, 500, 1,000, 1,500, 2,000, 2,500, 3,000, 3,500

2010-11, 2011-12, 2012-13, 2013-14, 2014-15, 2015-16, 2016-17, 2017-18, 2018-19, 2019-20

UCMERCED

EXHBIT H1

<table>
<tr><td colspan="3"></td><td colspan="2">AGREEMENT WITH UCOP</td><td colspan="8" align="center">600 FTE Enrollment Growth →</td></tr>
<tr><td>UC MERCED CORE FUNDING</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>Budget Plan Scenario 1A: 600 FTE 50 Faculty Recruitments</td><td>FY 2010-11</td><td>FY 2011-12</td><td>FY 2012-13</td><td>FY 2013-14</td><td>FY 2014-15</td><td>FY 2015-16</td><td>FY 2016-17</td><td>FY 2017-18</td><td>FY 2018-19</td><td>FY 2019-20</td></tr>
<tr><td>Over Three Year Span</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>Comprehensive Picture Based on $36M Agreement Over Three Years</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>Total Student FTE</td><td>4327</td><td>5063</td><td>5716</td><td>6343</td><td>6963</td><td>7570</td><td>8176</td><td>8783</td><td>9403</td><td>10,023</td></tr>
<tr><td>SOURCES OF FUNDS</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>BASE STATE APPROPRIATION</td><td>$ 10,000,000</td><td>$ 10,000,000</td><td>$ 10,000,000</td><td>$ 10,000,000</td><td>$ 10,000,000</td><td>$ 10,000,000</td><td>$ 10,000,000</td><td>$ 10,000,000</td><td>$ 10,000,000</td><td>$ 10,000,000</td></tr>
<tr><td>ENROLLMENT SUPPORT</td><td>$ 34,670,191</td><td>$ 40,670,191</td><td>$ 46,670,191</td><td>$ 51,470,191</td><td>$ 56,270,191</td><td>$ 61,070,191</td><td>$ 65,870,191</td><td>$ 70,670,191</td><td>$ 75,470,191</td><td>$ 80,270,191</td></tr>
<tr><td>STUDENT FEE INCOME</td><td>$ 28,255,000</td><td>$ 33,797,000</td><td>$ 38,411,000</td><td>$ 42,694,000</td><td>$ 46,912,000</td><td>$ 51,017,000</td><td>$ 55,113,000</td><td>$ 59,221,000</td><td>$ 63,421,000</td><td>$ 67,619,000</td></tr>
<tr><td>STUDENT AID ALLOCATIONS</td><td>$ 14,773,592</td><td>$ 17,230,619</td><td>$ 19,545,135</td><td>$ 21,710,272</td><td>$ 23,865,107</td><td>$ 25,995,904</td><td>$ 28,123,267</td><td>$ 30,250,630</td><td>$ 32,424,352</td><td>$ 34,599,791</td></tr>
<tr><td>SUPPLEMENT STATE APPROPRIATION</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td>$ 5,000,000</td></tr>
<tr><td>LINE OF CREDIT WITH UCOP</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td>$ 5,000,000</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>OTHER (ICR; STIP; Lottery; Searles, for ex.)</td><td>$ 15,115,000</td><td>$ 12,815,000</td><td>$ 13,206,000</td><td>$ 13,624,000</td><td>$ 13,947,000</td><td>$ 13,817,000</td><td>$ 14,227,000</td><td>$ 14,634,000</td><td>$ 15,045,000</td><td>$ 15,456,000</td></tr>
<tr><td>TOTAL CORE REVENUE</td><td>$ 112,813,783</td><td>$ 124,512,810</td><td>$ 137,832,326</td><td>$ 149,498,463</td><td>$ 160,994,298</td><td>$ 166,900,095</td><td>$ 178,333,458</td><td>$ 189,775,821</td><td>$ 201,360,543</td><td>$ 212,944,982</td></tr>
<tr><td>USE OF FUNDS</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td>INSTRUCTION AND RESEARCH</td><td>$ 34,729,000</td><td>$ 39,585,000</td><td>$ 43,964,000</td><td>$ 45,879,000</td><td>$ 49,950,000</td><td>$ 52,982,000</td><td>$ 55,977,000</td><td>$ 59,651,000</td><td>$ 62,964,000</td><td>$ 66,220,000</td></tr>
<tr><td>ACADEMIC PLANNING, SUPPORT & LIBRARY</td><td>$ 12,638,956</td><td>$ 12,949,294</td><td>$ 13,224,883</td><td>$ 13,490,730</td><td>$ 13,753,842</td><td>$ 13,952,000</td><td>$ 14,201,000</td><td>$ 14,449,000</td><td>$ 14,705,000</td><td>$ 14,959,000</td></tr>
<tr><td>STUDENT AFFAIRS</td><td>$ 9,100,000</td><td>$ 9,500,000</td><td>$ 10,644,000</td><td>$ 11,285,000</td><td>$ 11,917,000</td><td>$ 12,533,000</td><td>$ 13,147,000</td><td>$ 1,764,000</td><td>$ 14,396,000</td><td>$ 15,028,000</td></tr>
<tr><td>STUDENT AID</td><td>$ 14,773,592</td><td>$ 17,230,619</td><td>$ 19,545,135</td><td>$ 21,710,272</td><td>$ 23,865,107</td><td>$ 25,995,904</td><td>$ 28,123,267</td><td>$ 30,250,630</td><td>$ 32,424,352</td><td>$ 34,599,791</td></tr>
<tr><td>GENERAL ADMIN AND SERVICES</td><td>$ 35,984,128</td><td>$ 38,656,922</td><td>$ 41,562,922</td><td>$ 43,691,483</td><td>$ 46,323,666</td><td>$ 46,786,903</td><td>$ 47,722,641</td><td>$ 47,961,254</td><td>$ 48,920,479</td><td>$ 49,898,889</td></tr>
<tr><td>DEBT SERVICE (Core Operating)</td><td>$ 1,630,746</td><td>$ 2,236,896</td><td>$ 2,449,396</td><td>$ 2,661,896</td><td>$ 2,946,361</td><td>$ 5,055,504</td><td>$ 5,589,686</td><td>$ 5,826,501</td><td>$ 6,063,316</td><td>$ 6,300,131</td></tr>
<tr><td>OTHER (UCRP; Addl Staffing; Public Service, for ex.)</td><td>$ 9,384,000</td><td>$ 10,296,000</td><td>$ 11,272,110</td><td>$ 11,939,000</td><td>$ 12,297,170</td><td>$ 11,595,000</td><td>$ 11,160,000</td><td>$ 11,088,311</td><td>$ 13,079,190</td><td>$ 15,919,000</td></tr>
<tr><td>TOTAL COMMITMENTS</td><td>$ 118,240,421</td><td>$ 130,454,732</td><td>$ 142,662,447</td><td>$ 150,657,381</td><td>$ 161,053,146</td><td>$ 168,900,311</td><td>$ 175,920,594</td><td>$ 182,990,696</td><td>$ 192,552,337</td><td>$ 202,924,811</td></tr>
<tr><td>BALANCE AFTER PLANNED SAVINGS</td><td>($4,856,638)</td><td>(5,371,921)</td><td>(4,260,120)</td><td>(900,421)</td><td>(58,848)</td><td>499,784</td><td>4,802,864</td><td>10,146,209</td><td>13,450,898</td><td>19,020,171</td></tr>
<tr><td>CUMULATIVE BALANCE/DEFICIT</td><td></td><td>($10,228,559)</td><td>($14,488,679)</td><td>($15,389,100)</td><td>($15,447,948)</td><td>($14,948,164)</td><td>($10,145,299)</td><td>$910</td><td>$13,451,808</td><td>$32,471,979</td></tr>
</table>

Positive Bottom Line at 7570 FTE in 2015-16

Accumulated Deficit Cleared at 8783 FTE in 2017-18

PROJECTED REVENUE: RELIANCE ON STATE FUNDING AND FEE INCOME TO MEET EXPECTED COMMITMENTS

PERCENT OF TOTAL - Sources of Projected Funds

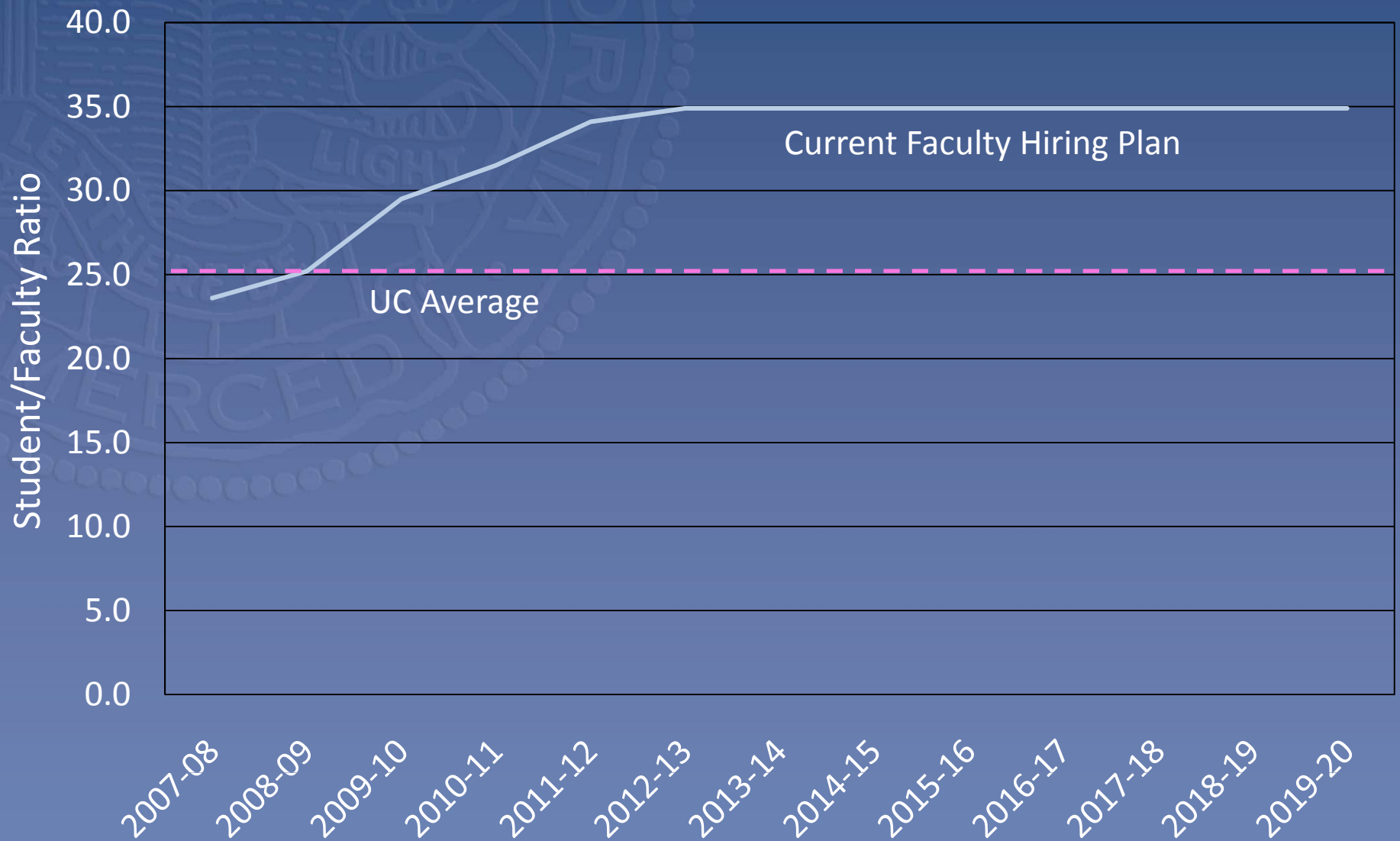|										
STATE/ENROLLMENT SUPPORT	40%	41%	41%	41%	41%	43%	43%	43%	42%	42%
FEE INCOME	25%	27%	28%	29%	29%	31%	31%	31%	31%	32%
STUDENT AID	13%	14%	14%	15%	15%	16%	16%	16%	16%	16%
SUPPLEMENT STATE APPROPRIATION	4%	4%	4%	3%	3%	3%	3%	3%	2%	2%
LINE OF CREDIT WITH UCOP	4%	4%	4%	3%	3%					
OTHER (ICR; STIP; Lottery; Searles, for ex.)	13%	10%	10%	9%	9%	8%	8%	8%	7%	7%

PERCENT OF TOTAL - Use of Projected Funds

INSTRUCTION AND RESEARCH	29%	30%	31%	30%	31%	31%	32%	33%	33%	33%
ACADEMIC PLANNING, SUPPORT & LIBRARY	11%	10%	9%	9%	9%	8%	8%	8%	8%	7%
STUDENT AFFAIRS	8%	7%	7%	7%	7%	7%	7%	8%	7%	7%
STUDENT AID	12%	13%	14%	14%	15%	15%	16%	17%	17%	17%
GENERAL ADMIN AND SERVICES	30%	30%	29%	29%	29%	28%	27%	26%	25%	25%
DEBT SERVICE (Core Operating)	1%	2%	2%	2%	2%	3%	3%	3%	3%	3%
OTHER (UCRP; Addl Staffing; Public Service, for ex.)	8%	8%	8%	8%	8%	7%	6%	6%	7%	8%

ASSUMPTIONS:

A. Enrollment growth is based on growth of 600 FTE per year

B. Student enrollment support is valued at $10,000 per FTE with expected $6M-$12M-$18M over the next 3 years. Reduced to $8000 in out years. Revenue based on exactly 'plus 600 FTE'.

C. $6.3 million for student enrollment support received in FY 2008-09 will continue in the base funding for UC Merced.

D. Student fees raised 15% 2009-10 midyear increase Ed Fee Only; Grad Fees flat; 15% Ed Fee in 2010-11; flat in out years; Reg Fee flat at 2009-10 levels.

E. Ongoing OMP remains flat.

F. Student/faculty workload ratio is 18.7:1 to derive Faculty FTE generated; actual approved recruitments based on 17-17-16 plan; same faculty recruitment plan in out years.
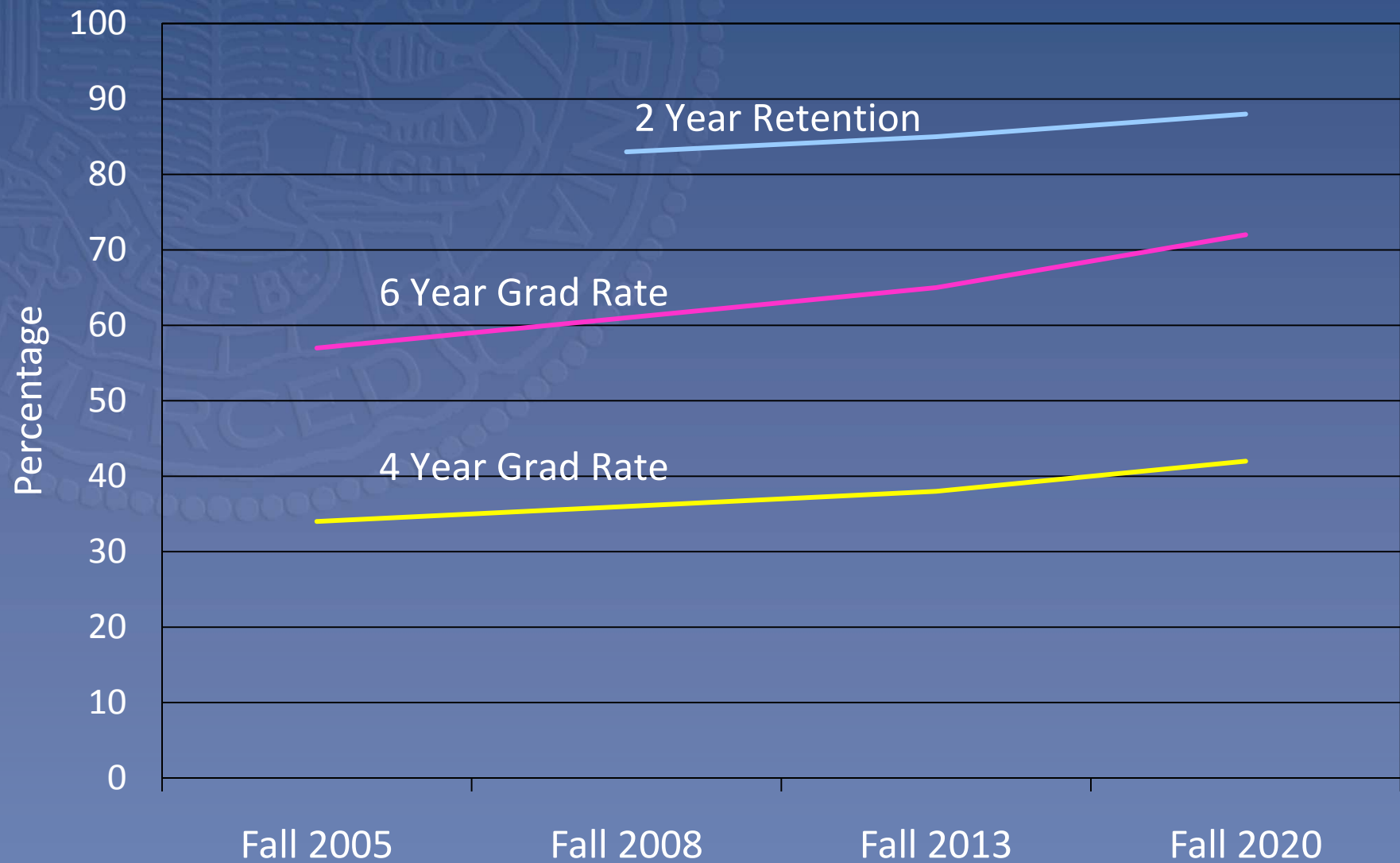
EXHIBIT H2

AGREEMENT WITH UCOP

UC MERCED CORE FUNDING
Budget Plan Scenario 2B: 300 FTE 50 Faculty Recruitments
Over Three Year Span; Reduced Hires in Out Years
Comprehensive Picture Based on $36M Agreement Over Three Years

300 FTE Enrollment Growth →

	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20
Total Student FTE	4327	5063	5716	6026	6344	6646	6946	7247	7539	7,833
SOURCES OF FUNDS										
BASE STATE APPROPRIATION	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000
ENROLLMENT SUPPORT	$ 34,670,191	$ 40,670,191	$ 46,670,191	$ 49,070,191	$ 51,470,191	$ 53,870,191	$ 56,270,191	$ 58,670,191	$ 61,070,191	$ 63,470,191
STUDENT FEE INCOME	$ 28,255,000	$ 33,797,000	$ 38,411,000	$ 40,418,000	$ 42,469,000	$ 44,394,000	$ 46,316,000	$ 48,262,000	$ 50,144,000	$ 52,047,000
STUDENT AID ALLOCATIONS	$ 14,773,592	$ 17,230,619	$ 19,545,135	$ 20,621,694	$ 21,739,461	$ 22,812,586	$ 23,868,541	$ 24,910,760	$ 25,920,356	$ 26,931,669
SUPPLEMENT STATE APPROPRIATION	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000
LINE OF CREDIT WITH UCOP	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000					
OTHER (ICR; STIP; Lottery; Searles, for ex.)	$ 15,115,000	$ 12,815,000	$ 13,206,000	$ 13,511,000	$ 13,728,000	$ 13,419,000	$ 13,596,000	$ 13,773,000	$ 13,945,000	$ 14,118,000
TOTAL CORE REVENUE	$ 112,813,783	$ 124,512,810	$ 137,832,326	$ 143,620,885	$ 149,406,652	$ 149,495,777	$ 155,050,732	$ 160,615,951	$ 166,079,547	$ 171,566,860
USE OF FUNDS										
INSTRUCTION AND RESEARCH	$ 34,729,000	$ 39,585,000	$ 43,964,000	$ 44,375,000	$ 42,444,000	$ 44,995,000	$ 45,987,000	$ 48,268,000	$ 49,247,000	$ 51,503,000
ACADEMIC PLANNING, SUPPORT & LIBRARY	$ 12,638,956	$ 12,949,294	$ 13,224,883	$ 13,361,730	$ 13,500,842	$ 13,574,000	$ 13,697,000	$ 13,820,000	$ 13,940,000	$ 14,061,000
STUDENT AFFAIRS	$ 9,100,000	$ 9,500,000	$ 10,644,000	$ 10,901,000	$ 11,168,000	$ 11,415,000	$ 11,660,000	$ 11,906,000	$ 12,141,000	$ 12,379,000
STUDENT AID	$ 14,773,592	$ 17,230,619	$ 19,545,135	$ 20,621,694	$ 21,739,461	$ 22,812,586	$ 23,868,541	$ 24,910,760	$ 25,920,356	$ 26,931,669
GENERAL ADMIN AND SERVICES	$ 35,984,128	$ 38,656,922	$ 41,562,922	$ 43,691,483	$ 45,941,666	$ 46,401,083	$ 46,865,093	$ 47,333,744	$ 47,807,082	$ 48,285,153
DEBT SERVICE (Core Operating)	$ 1,630,746	$ 2,236,896	$ 2,449,396	$ 2,661,896	$ 2,946,361	$ 5,055,504	$ 5,589,686	$ 5,826,501	$ 6,063,316	$ 6,300,131
OTHER (UCRP; Addl Staffing; Public Service, for ex.)	$ 9,384,000	$ 10,296,000	$ 11,272,110	$ 10,904,752	$ 11,845,124	$ 9,786,708	$ 10,529,539	$ 11,473,656	$ 11,619,095	$ 13,365,898
TOTAL COMMITMENTS	$ 118,240,421	$ 130,454,732	$ 142,662,447	$ 146,517,555	$ 149,585,454	$ 154,039,881	$ 158,196,859	$ 163,538,661	$ 166,737,849	$ 172,825,851
BALANCE AFTER PLANNED SAVINGS	($4,856,638)	(5,371,921)	(4,260,120)	(3,672,421)	(994,926)	(994,249)	57,454	121,209	1,410,898	1,418,599
CUMULATIVE BALANCE/DEFICIT		($10,228,559)	($14,488,679)	(18,161,100)	(19,156,026)	(20,150,275)	(20,092,821)	(19,971,611)	(18,560,713)	(17,142,115)

Positive Bottom Line at FTE 6946 FTE in 2016-17

Accumulated Deficit Reduced But Not Cleared

PROJECTED REVENUE: RELIANCE ON STATE FUNDING AND FEE INCOME TO MEET EXPECTED COMMITMENTS

PERCENT OF TOTAL - Sources of Projected Funds										
STATE/ENROLLMENT SUPPORT	40%	41%	41%	41%	44%	43%	43%	43%	43%	43%
FEE INCOME	25%	27%	28%	28%	28%	30%	30%	30%	30%	30%
STUDENT AID	13%	14%	14%	14%	15%	15%	15%	16%	16%	16%
SUPPLEMENT STATE APPROPRIATION	4%	4%	4%	3%	3%	3%	3%	3%	3%	3%
LINE OF CREDIT WITH UCOP	4%	4%	4%	3%	3%					
OTHER (ICR; STIP; Lottery; Searles, for ex.)	13%	10%	10%	9%	9%	9%	9%	9%	8%	8%

PERCENT OF TOTAL - Use of Projected Funds										
INSTRUCTION AND RESEARCH	29%	30%	31%	30%	28%	29%	29%	30%	30%	30%
ACADEMIC PLANNING, SUPPORT & LIBRARY	11%	10%	9%	9%	9%	9%	9%	8%	8%	8%
STUDENT AFFAIRS	8%	7%	7%	7%	7%	7%	7%	7%	7%	7%
STUDENT AID	12%	13%	14%	14%	15%	15%	15%	15%	16%	16%
GENERAL ADMIN AND SERVICES	30%	30%	29%	30%	31%	30%	30%	29%	29%	28%
DEBT SERVICE (Core Operating)	1%	2%	2%	2%	2%	3%	4%	4%	4%	4%
OTHER (UCRP;Addl Staffing; Public Service, for ex.)	8%	8%	8%	7%	8%	6%	7%	7%	7%	8%

ASSUMPTIONS:

A. Enrollment growth is based on growth of 300 FTE per year

B. Student enrollment support is valued at $10,000 per FTE with expected $6M-$12M-$18M over the next 3 years. Reduced to $8000 in out years. Revenue based on exactly 'plus 300 FTE'.

C. $6.3 million for student enrollment support received in FY 2008-09 will continue in the base funding for UC Merced.

D. Student fees raised 15% 2009-10 midyear increase Ed Fee Only; Grad Fees flat; 15% Ed Fee in 2010-11; flat in out years; Reg Fee flat at 2009-10 levels.

E. Ongoing OMP remains flat.

F. Student/faculty workload ratio is 18.7:1 to derive Faculty FTE generated; actual approved recruitments based on 17-17-16 plan; halved faculty recruitment plan in out years.

EXHIBIT H3

AGREEMENT WITH UCOP

UC MERCED CORE FUNDING

Budget Plan Scenario 3A: Zero (0) FTE Growth 50 Faculty Recruitments
Over Three Year Span; Zero (0) Hires in Out Years
Comprehensive Picture Based on $36M Agreement Over Three Years

	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20
Total Student FTE	4327	5063	5716	5725	5727	5720	5725	5706	5671	5,629
SOURCES OF FUNDS										
BASE STATE APPROPRIATION	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000	$ 10,000,000
ENROLLMENT SUPPORT	$ 34,670,191	$ 40,670,191	$ 46,670,191	46,670,191	$ 46,670,191	$ 46,670,191	$ 46,670,191	$ 46,670,191	$ 46,670,191	$ 46,670,191
STUDENT FEE INCOME	$ 28,255,000	$ 33,797,000	$ 38,411,000	38,641,590	$ 38,421,410	$ 38,515,200	$ 37,961,860	$ 37,258,000	$ 36,833,000	$ 36,369,000
STUDENT AID ALLOCATIONS	$ 14,773,592	$ 17,230,619	$ 19,545,135	19,588,060	$ 19,620,683	$ 19,620,683	$ 19,643,004	$ 19,562,305	$ 19,409,492	$ 19,222,339
SUPPLEMENT STATE APPROPRIATION	$ 5,000,000	$ 5,000,000	$ 5,000,000	5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000	$ 5,000,000
LINE OF CREDIT WITH UCOP	$ 5,000,000	$ 5,000,000	$ 5,000,000	5,000,000	$ 5,000,000	$ 5,000,000				
OTHER (ICR; STIP; Lottery; Searles, for ex.)	$ 15,115,000	$ 12,815,000	$ 13,206,000	13,325,000	$ 13,464,000	$ 8,056,000	$ 13,058,000	$ 13,051,000	$ 13,038,000	$ 13,023,000
TOTAL CORE REVENUE	$ 112,813,783	$ 124,512,810	$ 137,832,326	138,224,841	$ 138,176,284	$ 132,862,074	$ 132,333,055	$ 131,541,496	$ 130,950,683	$ 130,284,530
USE OF FUNDS										
INSTRUCTION AND RESEARCH	$ 34,729,000	$ 39,585,000	$ 43,964,000	43,634,000	$ 36,912,000	$ 36,854,000	$ 36,854,000	$ 36,743,000	$ 36,672,000	$ 36,600,000
ACADEMIC PLANNING, SUPPORT & LIBRARY	$ 12,638,956	$ 12,949,294	$ 13,224,883	13,237,730	$ 13,247,842	$ 13,194,000	$ 13,196,000	$ 13,188,000	$ 13,174,000	$ 13,156,000
STUDENT AFFAIRS	$ 9,100,000	$ 9,500,000	$ 10,644,000	10,538,000	$ 10,422,000	$ 10,295,000	$ 10,489,520	$ 10,540,440	$ 10,540,440	$ 10,591,360
STUDENT AID	$ 14,773,592	$ 17,230,619	$ 19,545,135	19,588,060	$ 19,620,683	$ 19,620,683	$ 19,643,004	$ 19,562,305	$ 19,409,492	$ 19,222,339
GENERAL ADMIN AND SERVICES	$ 35,984,128	$ 38,656,922	$ 41,562,922	43,691,483	$ 45,941,666	$ 43,423,521	$ 43,857,756	$ 44,296,334	$ 44,739,297	$ 45,186,690
DEBT SERVICE (Core Operating)	$ 1,630,746	$ 2,236,896	$ 2,449,396	2,661,896	$ 2,946,761	$ 5,055,504	$ 5,589,686	$ 5,826,501	$ 6,063,316	$ 6,300,131
OTHER (UCRP; Addl Staffing; Public Service, for ex.)	$ 9,384,000	$ 10,296,000	$ 11,272,110	8,456,168	$ 7,659,000	$ 7,759,000	$ 7,759,000	$ 7,875,385	$ 7,993,516	$ 8,113,419
TOTAL COMMITMENTS	$ 118,240,421	$ 130,454,732	$ 142,662,447	141,807,337	$ 136,749,552	$ 136,201,708	$ 137,388,966	$ 138,031,965	$ 138,592,061	$ 139,169,939
BALANCE AFTER PLANNED SAVINGS	($4,856,638)	$ (5,371,921)	$ (4,260,120)	(3,582,496)	$ (3,955,926)	$ (5,550,249)	$ (5,055,911)	$ (6,490,469)	$ (7,641,378)	(8,885,409)
CUMULATIVE BALANCE/DEFICIT		($10,228,559)	($14,488,679)	($18,071,175)	($22,027,101)	($27,577,350)	($32,633,261)	($39,123,729)	($46,765,107)	($55,650,515)

> Significant accumulated debt by 2019-20

PROJECTED REVENUE: RELIANCE ON STATE FUNDING AND FEE INCOME TO MEET EXPECTED COMMITMENTS

PERCENT OF TOTAL - Sources of Projected Funds										
STATE/ENROLLMENT SUPPORT	40%	41%	41%	41%	41%	43%	43%	43%	43%	43%
FEE INCOME	25%	27%	28%	28%	28%	29%	29%	28%	28%	28%
STUDENT AID	13%	14%	14%	14%	14%	15%	15%	15%	15%	15%
SUPPLEMENT STATE APPROPRIATION	4%	4%	4%	4%	4%	4%	4%	4%	4%	4%
LINE OF CREDIT WITH UCOP	4%	4%	4%	4%	4%	4%	0%	0%	0%	0%
OTHER (ICR; STIP; Lottery; Searles, for ex.)	13%	10%	10%	10%	10%	6%	10%	10%	10%	10%
PERCENT OF TOTAL - Use of Projected Funds										
INSTRUCTION AND RESEARCH	29%	30%	31%	31%	27%	27%	27%	27%	26%	26%
ACADEMIC PLANNING, SUPPORT & LIBRARY	11%	10%	9%	9%	10%	10%	10%	10%	10%	9%
STUDENT AFFAIRS	8%	7%	7%	7%	8%	8%	8%	8%	8%	8%
STUDENT AID	12%	13%	14%	14%	14%	14%	14%	14%	14%	14%
GENERAL ADMIN AND SERVICES	30%	30%	29%	31%	34%	32%	32%	32%	32%	32%
DEBT SERVICE (Core Operating)	1%	2%	2%	2%	2%	4%	4%	4%	4%	5%
OTHER (UCRP;Addl Staffing; Public Service, for ex.)	8%	8%	8%	6%	6%	6%	6%	6%	6%	6%

ASSUMPTIONS:

A.   Enrollment growth is based on growth of zero (0 FTE) per year in outyears.

B.   Student enrollment support is valued at $10,000 per FTE with expected $6M-$12M-$18M over the next 3 years.

C. $6.3 million for student enrollment support received in FY 2008-09 will continue in the base funding for UC Merced.

D.   Student fees raised 15% 2009-10 midyear increase Ed Fee Only; Grad Fees flat; 15% Ed Fee in 2010-11; flat in out years; Reg Fee flat at 2009-10 levels.

E.   Ongoing OMP remains flat.

F.   Student/faculty workload ratio is 18.7:1 to derive Faculty FTE generated; actual approved recruitments based on 17-17-16 plan; zero (0 FTE) faculty recruitment plan in out years.

Exhibit I
Our Space Challenge and the10 Year Capital Plan

Exhibit J-1   DRAFT CPEC SPACE ANALYSIS (2010-11 to 2020-21)

Draft as of: April 23, 2010

	Based on Historical Data					Based on Updated 600 FTE Growth Enrollment Scenario										
	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16	16-17	17-18	18-19	19-20	20-21
TOTAL STUDENT FTE	862	1,285	2,008	2,780	3,420	4,140	4,828	5,478	6,095	6,699	7,303	7,886	8,473	9,077	9,680	10,277
Annual enrollment growth		423	723	772	640	720	688	650	617	604	604	583	587	604	603	597
Annual % enrollment growth		49%	56%	38%	23%	21%	17%	13%	11%	10%	9%	8%	7%	7%	7%	6%
Undergraduate	824	1,206	1,885	2,617	3,185	3,900	4,547	5,155	5,731	6,282	6,822	7,344	7,870	8,413	8,952	9,482
Annual enrollment growth	-	382	679	732	595	715	647	608	576	551	540	522	526	543	539	530
Annual % enrollment growth	-	14.7%	26.2%	28.3%	23.0%	22.5%	16.6%	13.4%	11.2%	9.6%	8.6%	7.7%	7.2%	6.9%	6.4%	5.9%
UG Majors by School																
ENG			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%
NS			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%
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%
Graduate	38	79	124	164	235	240	281	323	364	417	481	542	603	664	728	795
Annual enrollment growth	-	41	45	40	51	5	41	42	41	53	64	61	61	61	64	67
Annual % enrollment growth	-	108.2%	56.7%	32.3%	31.3%	2.0%	17.1%	14.9%	12.7%	14.6%	15.3%	12.7%	11.3%	10.1%	9.6%	9.2%
% Grad enrollment	-	6.1%	6.2%	5.9%	6.9%	5.8%	5.8%	5.9%	6.0%	6.2%	6.6%	6.9%	7.1%	7.3%	7.5%	7.7%
Total Faculty FTE	63	105	136	185	200	231	271	306	339	372	405	437	470	503	536	569
Ladder	45	69	83	110	118	135	152	169	185	202	219	235	252	269	285	301
Ladder Faculty Growth		24	14	27	8	17	17	17	16	17	17	16	17	17	16	16
% Ladder Rank of faculty	71.4%	65.7%	61.0%	59.5%	59.0%	58.2%	56.0%	55.2%	54.5%	54.2%	54.0%	53.7%	53.6%	53.4%	53.1%	52.9%
Grad Student/Ladder Faculty	0.84	1.14	1.49	1.49	1.99	1.78	1.85	1.91	1.97	2.07	2.20	2.31	2.40	2.47	2.56	2.64
Total Lad Fac FTE by School																
ENG			24	28	26	29	32	34	37	39	42	44	47	49	52	54
%			28%	25%	22%	22%	21%	20%	20%	19%	19%	19%	19%	18%	18%	18%
NS			32	41	47	52	56	61	65	70	74	78	82	86	90	93.5
%			38%	37%	39%	38%	37%	36%	35%	34%	34%	33%	32%	32%	31%	31%
SSHA			29	42	46	54	63	71	79	88	97	105	114	123	131	140.2
%			34%	38%	39%	40%	42%	42%	43%	44%	44%	45%	45%	46%	46%	47%
Strategic Hires			-	-	-	-	1	3	4	5	6	8	9	11	12	13
%			0%	0%	0%	0%	1%	2%	2%	2%	3%	3%	4%	4%	4%	4%
Lecturer	18	36	53	75	82	97	119	137	155	171	186	203	218	234	251	268
Stu/Fac ratio	13.7	12.2	14.8	15.0	17.1	17.9	17.8	17.9	18.0	18.0	18.0	18.0	18.0	18.1	18.1	18.1
Post Docs	6	11	9	17	18	24	31	39	47	56	66	76	87	100	113	126
Ratio Post Docs to FTE Faculty	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
Annual Post Doc Growth		5	(2)	8	1	6	7	8	8	9	10	10	11	12	13	14
TAs	15	26	36	50	64	93	109	123	136	149	161	173	185	198	211	223
Ratio TA / Undergrad	55	46	52	52	50	42	42	42	42	42	42	42	43	42	42	43
Net New TA		11	10	14	14	29	16	14	13	13	12	12	12	13	13	12
Total Staff FTE	349	377	486	563	629	671	812	948	1,085	1,229	1,376	1,530	1,691	1,860	2,037	2,219
Ratio Staff FTE / Fac FTE	5.5	3.6	3.6	3.0	3.1	2.9	3.0	3.1	3.2	3.3	3.4	3.5	3.6	3.7	3.8	3.9
Net New Staff FTE		28	109	77	66	42	141	136	137	144	147	154	161	169	177	182
Annual % Staff FTE Growth		8%	29%	16%	12%	7%	21%	17%	14%	13%	12%	11%	11%	10%	10%	9%

CPEC I&R Analysis	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16	16-17	17-18	18-19	19-20	20-21
Classroom																
Allowance	4,961	7,369	11,517	15,951	19,582	23,757	27,703	31,428	34,962	38,408	41,840	45,154	48,491	51,926	55,353	58,741
Inventory	28,273	28,273	28,273	28,273	28,273	30,633	30,633	30,633	30,633	30,633	40,633	40,633	42,433	42,433	58,358	72,608
Delta	23,312	20,904	16,756	12,322	8,691	6,876	2,930	(795)	(4,329)	(7,775)	(1,207)	(4,521)	(6,058)	(9,493)	3,005	13,867
% Adequacy	570%	384%	245%	177%	144%	129%	111%	97%	88%	80%	97%	90%	88%	82%	105%	124%
Class Laboratory																
Allowance	8,652	12,852	20,085	27,819	34,152	41,432	48,314	54,811	60,975	66,983	72,969	78,748	84,568	90,560	96,536	102,445
Inventory	25,915	25,915	25,915	25,915	25,915	30,555	30,555	30,555	30,555	37,586	40,586	40,586	44,786	44,786	44,786	54,386
Delta	17,263	13,063	5,830	(1,904)	(8,237)	(10,877)	(17,759)	(24,256)	(30,420)	(29,397)	(32,383)	(38,162)	(39,782)	(45,774)	(51,750)	(48,059)
% Adequacy	300%	202%	129%	93%	76%	74%	63%	56%	50%	56%	56%	52%	53%	49%	46%	53%
Research / Scholarly Activity																
Allowance																
ENG			15,934	20,500	20,278	24,009	27,554	30,029	33,310	35,881	38,530	40,709	43,360	45,435	48,200	50,237
NS			27,123	35,906	41,664	49,132	55,873	62,267	67,653	73,966	79,100	84,818	90,362	96,649	102,741	108,754
SSHA			17,822	26,277	29,598	36,149	43,836	50,574	57,303	63,966	71,064	77,770	84,842	91,837	99,044	106,719
Total Allowance			60,880	82,683	91,541	109,290	127,264	142,870	158,266	173,813	188,693	203,297	218,565	233,921	249,985	265,710
Inventory			117,170	117,170	117,170	149,850	149,850	169,054	169,054	207,452	207,452	207,452	246,452	246,452	260,452	269,402
Delta			56,290	34,487	25,629	40,560	22,586	26,184	10,788	33,639	18,759	4,155	27,887	12,531	10,467	3,692
% Adequacy			192%	142%	128%	137%	118%	118%	107%	119%	110%	102%	113%	105%	104%	101%
Academic Office Facilities																
Allowance																
ENG			8,342	11,188	11,281	13,711	15,779	17,320	19,297	20,995	22,491	23,809	25,313	26,577	28,122	29,320
NS			13,395	17,760	20,842	25,341	29,119	32,591	35,535	39,063	41,981	45,273	48,521	52,341	55,905	59,415
SSHA			13,731	20,214	23,024	28,808	34,927	40,477	45,982	51,263	57,126	62,676	68,505	74,212	80,322	86,714
Total Allowance			35,468	49,163	55,147	67,861	79,824	90,389	100,814	111,321	121,598	131,758	142,338	153,129	164,349	175,448
Inventory			61,260	61,260	61,260	77,130	77,130	77,130	77,130	90,268	95,268	95,268	110,268	110,268	125,268	125,268
Delta			61,260	61,260	61,260	77,130	77,130	77,130	77,130	90,268	95,268	95,268	110,268	110,268	125,268	125,268
% Adequacy			173%	125%	111%	114%	97%	85%	77%	81%	78%	72%	77%	72%	76%	71%
Research + Office Facilities																
Allowance																
ENG			24,276	31,688	31,560	37,720	43,333	47,350	52,607	56,876	61,020	64,518	68,672	72,011	76,322	79,558
NS			40,518	53,666	62,506	74,473	84,992	94,858	103,188	113,029	121,081	130,091	138,883	148,990	158,645	168,169
SSHA			31,554	46,491	52,622	64,957	78,763	91,051	103,285	115,229	128,190	140,446	153,347	166,049	179,367	193,432
Total Allowance			96,348	131,845	146,688	177,151	207,088	233,259	259,080	285,133	310,291	335,055	360,903	387,050	414,334	441,158
Inventory			178,430	178,430	178,430	226,980	226,980	246,184	246,184	297,720	302,720	302,720	356,720	356,720	385,720	394,670
Delta			82,082	46,585	31,742	49,829	19,892	12,925	(12,896)	12,587	(7,571)	(32,335)	(4,183)	(30,330)	(28,614)	(46,488)
% Adequacy			185%	135%	122%	128%	110%	106%	95%	104%	98%	90%	99%	92%	93%	89%

Auxiliary Analysis	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16	16-17	17-18	18-19	19-20	20-21
Housing																
Total Number Beds (Built)	602	602	1,008	1,008	1,008	1,308	1,308	1,308	1,308	1,658	1,658	1,658	1,658	1,658	2,208	2,208
Total Student FTE / Built Beds	1.43	2.13	1.99	2.76	3.39	3.17	3.69	4.19	4.66	4.04	4.40	4.76	5.11	5.47	4.38	4.65
Addl Beds to Maintain 2.0 Ratio					702	762	1,106	1,431	1,740	1,692	1,994	2,285	2,579	2,881	2,632	2,931
Parking																
Total Number of Spaces	903	954	1,441	1,441	2,091	2,091	2,091	2,091	2,691	3,016	3,016	3,366	3,366	3,826	3,826	4,376
Spaces / Student FTE	1.05	0.74	0.72	0.52	0.61	0.51	0.43	0.38	0.44	0.45	0.41	0.43	0.40	0.42	0.40	0.43
Addl Spaces to Maintain .7 CR					303	807	1,289	1,744	1,576	1,673	2,096	2,154	2,565	2,528	2,950	2,818
Addl Acre Req .7 CR (120 SP/A)					2.5	6.7	10.7	14.5	13.1	13.9	17.5	18.0	21.4	21.1	24.6	23.5

A : Data based on the most recent campus modeling by the Office of Institutional Planning & Analysis (IPA).

B : Post-doctoral figures were modeled by using the most recent historical Post-Doc to Faculty ratio (.09 in 09/10) and assuming level increases to achieve a .22 ratio by 20-21.

C : Staff FTE are based on the most recent campus modeling by IPA. This data will need to be revised based on more recent considerations regarding staffing levels.

D : Classroom space allowances are driven by Weekly Student Contact Hours (WSCH). Spaces covered by the "Classroom" category are: *Classroom* (Code 110); *Seminar* (Code 130); *Classroom Service* (Code 125). Merced's most recent formal submission of classroom utilization data (2009) indicated approximately 82% of total WSCHs took place in a classroom environment. Preliminary analysis of 2009 utilization data indicates this proportion decreased to 78%. For the purposes of this model, 82% of WSCH were apportioned to classroom.

E : Class Laboratory space allowances are driven by WSCH. Spaes covered by the "Class Laboratory" category are: *Class Laboratory* (Code 260); *Special Class Laboratory* (Code 261); *Shop - Teaching Lab* (Code 711); *Storage - Teaching Lab* (Code 721); *Class Lab Service* (Code 265); *Shop Service - Teaching Lab* (Code 726). Merced's most recent formal submission of classroom utilization data (2009) indicated approximately 18% of total WSCHs took place in a class lab environment. Preliminary analysis of 2009 utilization data indicates this proportion increased to 22%. For the purposes of this model, 18% of WSCH were apportioned to class lab.

F : Research / Scholarly Activity is driven by Faculty FTE, Grad Student headcount and Postdoc headcount, with varying allowances by discipline. Spaces covered by the "Research / Scholarly Activity" category are: *Research Lab/Studio* (Code 210); *Research Office* (Graduate Students) (Code 211); *Scholarly Activity* (Code 250); *Shop* (Code 710); *Storage* (Code 720); *Research Lab or Office Service* (Codes 010, 225, 226, 255, 510 515, 560, 565, 715).

G : Academic Office Facilities are driven by Faculty FTE, Teaching Assistant headcount and Postdoc headcount. Spaces covered by the "Academic Office" category are: Academic Office (310); Other Office (320); Conference Room (340); Storage - Office (322); Office/Conference Room Service (Codes 335, 345).

H : The number of additional beds required to meet the LRDP goal of a two-year housing guarantee (or a 2.0 student to bed ratio). Some number of this excess demand could be met through convert double rooms to triples.

I : The number of additional parking spaces required to meet the LRDP target of a .7 parking space to student FTE ratio.
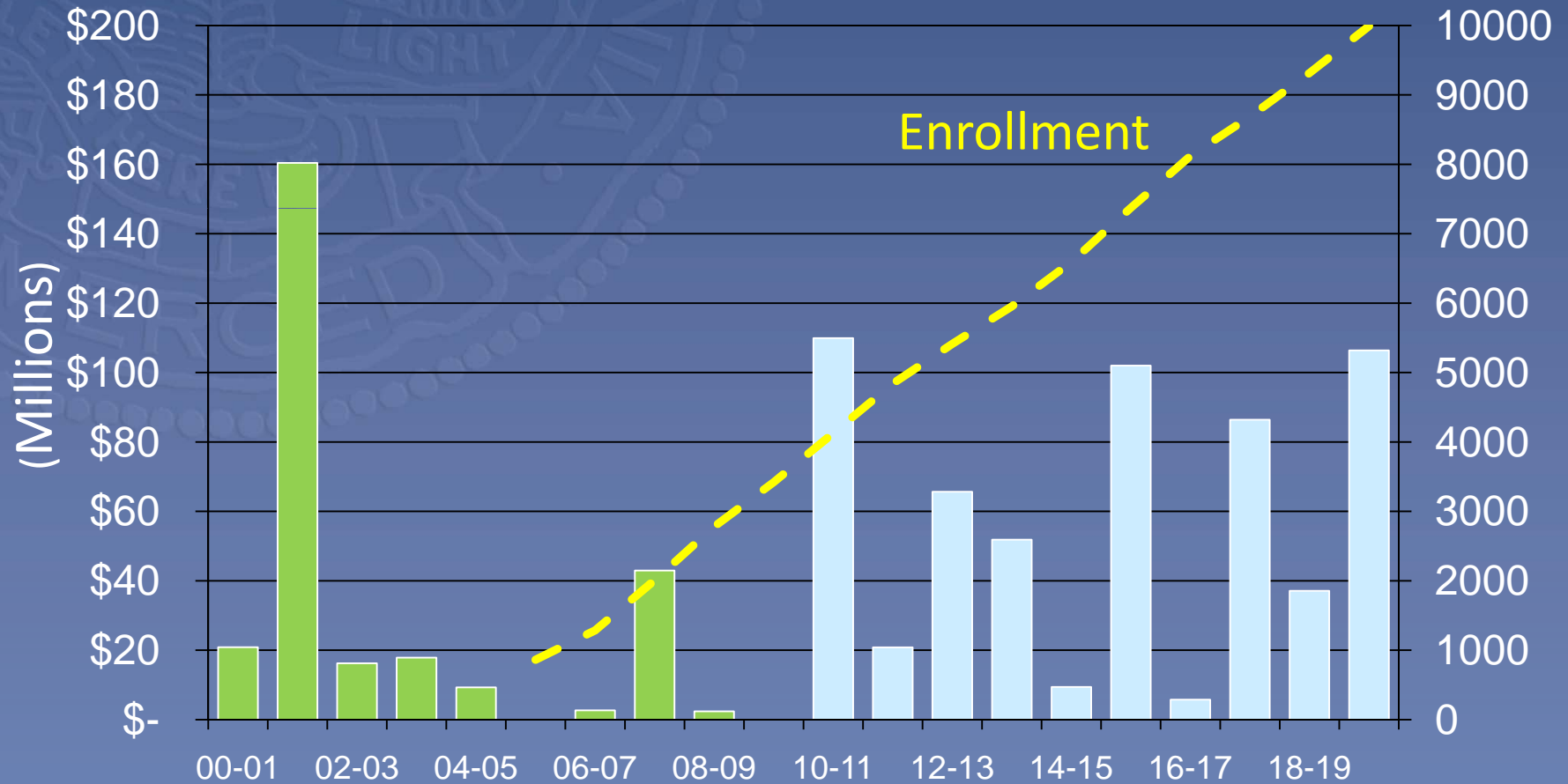
Exhibit J-2 **DRAFT** CPEC SPACE ANALYSIS (2010-11 to 2020-21)

Draft as of: April 23, 2010

	Based on Historical Data					Based on Updated 300 FTE Growth Enrollment Scenario										
	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16	16-17	17-18	18-19	19-20	20-21
A **TOTAL STUDENT FTE**	862	1,286	1,953	2,780	3,481	4,327	5,063	5,716	6,026	6,344	6,646	6,946	7,247	7,539	7,833	8,109
Annual enrollment growth		424	667	827	701	846	736	653	310	318	302	300	301	292	294	276
Annual % enrollment growth		49%	52%	42%	25%	24%	17%	13%	5%	5%	5%	5%	4%	4%	4%	4%
A Undergraduate	824	1,207	1,827	2,590	3,245	4,085	4,782	5,393	5,656	5,919	6,160	6,405	6,661	6,909	7,162	7,397
Annual enrollment growth	-	383	620	763	655	840	697	611	263	263	241	245	256	248	253	235
Annual % enrollment growth	-	14.8%	23.9%	29.5%	25.3%	25.9%	17.1%	12.8%	4.9%	4.6%	4.1%	4.0%	4.0%	3.7%	3.7%	3.3%
A UG Majors by School																
ENG			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%
NS			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%
SSHA			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%
A Graduate	38	79	126	190	236	242	281	323	370	425	486	541	586	630	671	712
Annual enrollment growth	-	41	47	64	52	6	39	42	47	55	61	55	45	44	41	41
Annual % enrollment growth	-	107.9%	59.5%	50.8%	27.4%	2.5%	16.1%	14.9%	14.6%	14.9%	14.4%	11.3%	8.3%	7.5%	6.5%	6.1%
% Grad enrollment	-	6.1%	6.5%	6.8%	6.8%	5.6%	5.6%	5.7%	6.1%	6.7%	7.3%	7.8%	8.1%	8.4%	8.6%	8.8%
A **Total Faculty FTE**	63	105	136	185	200	231	271	306	322	339	355	371	388	403	419	434
Ladder	45	69	83	110	118	135	152	169	185	193	202	210	218	227	235	243
Ladder Faculty Growth		24	14	27	8	17	17	17	16	9	9	8	9	9	8	8
% Ladder Rank of faculty	71.4%	65.7%	61.0%	59.5%	59.0%	58.2%	56.0%	55.2%	57.3%	56.9%	56.8%	56.5%	56.3%	56.2%	56.0%	56.0%
Grad Student/Ladder Faculty	0.84	1.14	1.52	1.73	2.00	1.80	1.85	1.91	2.00	2.20	2.41	2.58	2.69	2.78	2.86	2.93
Total Lad Fac FTE by School																
ENG			24	28	26	29	32	34	37	38	40	41	42	43	45	45.5
%			28%	25%	22%	22%	21%	20%	20%	20%	20%	19%	19%	19%	19%	19%
NS			32	41	47	52	56	61	65	67	69	71	73	75	77	79
%			38%	37%	39%	38%	37%	36%	35%	35%	34%	34%	33%	33%	33%	33%
SSHA			29	42	46	54	63	71	79	84	88	92	97	101	105	109.7
%			34%	38%	39%	40%	42%	42%	43%	43%	44%	44%	44%	45%	45%	45%
Strategic Hires			-	-	-	-	1	3	4	5	5	6	7	8	8	8.5
%			0%	0%	0%	0%	1%	2%	2%	2%	2%	3%	3%	3%	3%	4%
Lecturer	18	36	53	75	82	97	119	137	138	146	154	162	169	177	184	191
Stu/Fac ratio	13.7	12.2	14.4	15.0	17.4	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7
B **Post Docs**	6	11	9	17	18	24	31	39	44	51	58	65	72	80	88	96
Ratio Post Docs to FTE Faculty	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
Annual Post Doc Growth		5	(2)	8	1	6	7	8	6	6	7	7	7	8	8	8
A **TAs**	15	26	36	50	64	93	109	123	129	135	140	146	151	157	163	168
Ratio TA / Undergrad	55	46	51	52	51	44	44	44	44	44	44	44	44	44	44	44
Net New TA		11	10	14	14	29	16	14	6	6	5	6	5	6	6	5
C **Total Staff FTE**	349	377	486	563	629	671	812	948	1,031	1,120	1,208	1,300	1,395	1,492	1,592	1,691
Ratio Staff FTE / Fac FTE	5.5	3.6	3.6	3.0	3.1	2.9	3.0	3.1	3.2	3.3	3.4	3.5	3.6	3.7	3.8	3.9
Net New Staff FTE		28	109	77	66	42	141	136	83	89	88	92	95	97	100	99
Annual % Staff FTE Growth		8%	29%	16%	12%	7%	21%	17%	9%	9%	8%	8%	7%	7%	7%	6%

CPEC I&R Analysis	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16	16-17	17-18	18-19	19-20	20-21
D **Classroom**																
Allowance	4,960	7,374	11,192	15,919	19,935	24,840	29,067	32,810	34,555	36,337	38,020	39,698	41,393	43,037	44,696	46,251
Inventory	28,273	28,273	28,273	28,273	28,273	30,633	30,633	30,633	30,633	30,633	40,633	40,633	42,433	42,433	58,358	72,608
Delta	23,313	20,899	17,081	12,354	8,338	5,793	1,566	(2,177)	(3,922)	(5,704)	2,613	935	1,040	(604)	13,662	26,357
% Adequacy	570%	383%	253%	178%	142%	123%	105%	93%	89%	84%	107%	102%	103%	99%	131%	157%
E **Class Laboratory**																
Allowance	8,651	12,861	19,519	27,763	34,767	43,321	50,694	57,220	60,264	63,372	66,307	69,233	72,189	75,057	77,950	80,662
Inventory	25,915	25,915	25,915	25,915	25,915	30,555	30,555	30,555	30,555	37,586	40,586	40,586	44,786	44,786	44,786	54,386
Delta	17,264	13,054	6,396	(1,848)	(8,852)	(12,766)	(20,139)	(26,665)	(29,709)	(25,786)	(25,721)	(28,647)	(27,403)	(30,271)	(33,164)	(26,276)
% Adequacy	300%	202%	133%	93%	75%	71%	60%	53%	51%	59%	61%	59%	62%	60%	57%	67%
F **Research/Scholarly Activity**																
Allowance																
ENG			21,170	27,730	28,577	33,756	40,216	45,428	47,600	49,979	53,049	55,705	58,570	60,778	63,789	66,288
NS			22,616	31,046	35,243	41,517	46,448	51,417	53,854	56,555	58,361	60,365	62,212	64,087	66,024	67,790
SSHA			16,900	24,094	27,655	33,915	40,623	46,258	49,314	52,487	55,327	58,287	61,362	64,751	67,775	70,871
Total Allowance			60,686	82,870	91,475	109,188	127,287	143,103	150,767	159,021	166,738	174,358	182,145	189,617	197,587	204,949
Inventory			117,170	117,170	117,170	149,850	149,850	169,054	169,054	207,452	207,452	207,452	246,452	246,452	260,452	269,402
Delta			56,484	34,300	25,695	40,662	22,563	25,951	18,287	48,431	40,714	33,094	64,307	56,835	62,865	64,453
% Adequacy			193%	141%	128%	137%	118%	118%	112%	130%	124%	119%	135%	130%	132%	131%
G **Academic Office Facilities**																
Allowance																
ENG			12,629	17,063	18,484	23,033	27,605	31,567	33,377	35,125	37,391	39,432	41,500	43,204	45,443	47,384
NS			10,115	14,250	15,888	18,868	21,294	23,668	25,011	26,428	27,318	28,312	29,243	30,180	31,137	32,013
SSHA			12,725	17,850	20,775	25,960	30,926	35,154	37,299	39,751	41,867	44,220	46,633	49,445	51,899	54,371
Total Allowance			35,468	49,163	55,147	67,861	79,824	90,389	95,687	101,304	106,577	111,964	117,376	122,829	128,480	133,768
Inventory			61,260	61,260	61,260	77,130	77,130	77,130	77,130	90,268	95,268	95,268	110,268	110,268	125,268	125,268
Delta			61,260	61,260	61,260	77,130	77,130	77,130	77,130	90,268	95,268	95,268	110,268	110,268	125,268	125,268
% Adequacy			173%	125%	111%	114%	97%	85%	81%	89%	89%	85%	94%	90%	98%	94%
Research + Office Facilities																
Allowance																
ENG			33,799	44,793	47,061	56,789	67,821	76,995	80,976	85,104	90,440	95,137	100,070	103,982	109,232	113,673
NS			32,730	45,296	51,132	60,385	67,742	75,084	78,865	82,983	85,680	88,677	91,455	94,268	97,161	99,802
SSHA			29,625	41,944	48,430	59,875	71,549	81,412	86,612	92,238	97,194	102,507	107,995	114,196	119,674	125,242
Total Allowance			96,154	132,033	146,622	177,049	207,112	233,492	246,454	260,326	273,314	286,322	299,521	312,446	326,067	338,717
Inventory			178,430	178,430	178,430	226,980	226,980	246,184	246,184	297,720	302,720	302,720	356,720	356,720	385,720	394,670
Delta			82,276	46,397	31,808	49,931	19,868	12,692	(270)	37,394	29,406	16,398	57,199	44,274	59,653	55,953
% Adequacy			186%	135%	122%	128%	110%	105%	100%	114%	111%	106%	119%	114%	118%	117%

Auxiliary Analysis	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16	16-17	17-18	18-19	19-20	20-21
Housing																
Total Number Beds (Built)	602	602	1,008	1,008	1,008	1,308	1,308	1,308	1,308	1,658	1,658	1,658	1,658	1,658	2,208	2,208
Total Student FTE / Built Beds	1.43	2.14	1.94	2.76	3.45	3.31	3.87	4.37	4.61	3.83	4.01	4.19	4.37	4.55	3.55	3.67
H Addl Beds to Maintain 2.0 Ratio					733	856	1,224	1,550	1,705	1,514	1,665	1,815	1,966	2,112	1,709	1,847
Parking																
Total Number of Spaces	903	954	1,441	1,441	2,091	2,091	2,091	2,091	2,691	3,016	3,016	3,366	3,366	3,826	3,826	4,376
Spaces / Student FTE	1.05	0.74	0.74	0.52	0.60	0.48	0.41	0.37	0.45	0.48	0.45	0.48	0.46	0.51	0.49	0.54
I Addl Spaces to Maintain .7 CR					346	938	1,453	1,910	1,527	1,425	1,636	1,496	1,707	1,451	1,657	1,300
Addl Acre Req .7 CR (120 SP/A)					2.9	7.8	12.1	15.9	12.7	11.9	13.6	12.5	14.2	12.1	13.8	10.8

A : Data based on the most recent campus modeling by the Office of Institutional Planning & Analysis (IPA).

B : Post-doctoral figures were modeled by using the most recent historical Post-Doc to Faculty ratio (.09 in 09/10) and assuming level increases to achieve a .22 ratio by 20-21.

C : Staff FTE are based on the most recent campus modeling by IPA. This data will need to be revised based on more recent considerations regarding staffing levels.

D : Classroom space allowances are driven by Weekly Student Contact Hours (WSCH). Spaces covered by the "Classroom" category are: *Classroom* (Code 110); *Seminar* (Code 130); *Classsroom Service* (Code 125). Merced's most recent formal submission of classroom utilization data (2009) indicated approximately 82% of total WSCHs took place in a classroom environment. Preliminary analysis of 2009 utilization data indicates this proportion decreased to 78%. For the purposes of this model, 82% of WSCH were apportioned to classroom.

E : Class Laboratory space allowances are driven by WSCH. Spaes covered by the "Class Laboratory" category are: *Class Laboratory* (Code 260); *Special Class Laboratory* (Code 261); *Shop - Teaching Lab* (Code 711); *Storage - Teaching Lab* (Code 721); *Class Lab Service* (Code 265); *Shop Service - Teaching Lab* (Code 726). Merced's most recent formal submission of classroom utilization data (2009) indicated approximately 18% of total WSCHs took place in a class lab environment. Preliminary analysis of 2009 utilization data indicates this proportion increased to 22%. For the purposes of this model, 18% of WSCH were apportioned to class lab.

F : Research / Scholarly Activity is driven by Faculty FTE, Grad Student headcount and Postdoc headcount, with varying allowances by discipline. Spaces covered by the "Research / Scholarly Activity" category are: *Research Lab/Studio* (Code 210); *Research Office* (Graduate Students) (Code 211); *Scholarly Activity* (Code 250); *Shop* (Code 710); *Storage* (Code 720); *Research Lab or Office Service* (Codes 010, 225, 226, 255, 510 515, 560, 565, 715).

G : Academic Office Facilities are driven by Faculty FTE, Teaching Assistant headcount and Postdoc headcount. Spaces covered by the "Academic Office" category are: Academic Office (310); Other Office (320); Conference Room (340); Storage - Office (322); Office/Conference Room Service (Codes 335, 345).

H : The number of additional beds required to meet the LRDP goal of a two-year housing guarantee (or a 2.0 student to bed ratio). Some number of this excess demand could be met through convert double rooms to triples.

I : The number of additional parking spaces required to meet the LRDP target of a .7 parking space to student FTE ratio.

Exhibit J-3 **DRAFT** CPEC SPACE ANALYSIS (2010-11 to 2020-21)

Draft as of: April 23, 2010

		Based on Historical Data				Based on Updated 0 FTE Growth Enrollment Scenario										
		05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16	16-17	17-18	18-19	19-20	20-21
A	**TOTAL STUDENT FTE**	862	1,286	1,953	2,780	3,481	4,327	5,063	5,716	5,725	5,727	5,720	5,725	5,706	5,671	5,629	5,582
	Annual enrollment growth		424	667	827	701	846	736	653	9	2	(7)	5	(19)	(35)	(42)	(47)
	Annual % enrollment growth		49%	52%	42%	25%	24%	17%	13%	0%	0%	0%	0%	0%	-1%	-1%	-1%
A	**Undergraduate**	824	1,207	1,827	2,590	3,245	4,085	4,782	5,393	5,355	5,302	5,241	5,203	5,153	5,097	5,040	4,985
	Annual enrollment growth	-	383	620	763	655	840	697	611	(38)	(53)	(61)	(38)	(50)	(56)	(57)	(55)
	Annual % enrollment growth	-	14.8%	23.9%	29.5%	25.3%	25.9%	17.1%	12.8%	-0.7%	-1.0%	-1.2%	-0.7%	-1.0%	-1.1%	-1.1%	-1.1%
A	**UG Majors by School**																
	ENG			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%
	NS			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%
	SSHA			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%
A	**Graduate**	38	79	126	190	236	242	281	323	370	425	479	522	553	574	589	597
	Annual enrollment growth	-	41	47	64	52	6	39	42	47	55	54	43	31	21	15	8
	Annual % enrollment growth	-	107.9%	59.5%	50.8%	27.4%	2.5%	16.1%	14.9%	14.6%	14.9%	12.7%	9.0%	5.9%	3.8%	2.6%	1.4%
	% Grad enrollment	-	6.1%	6.5%	6.8%	6.8%	5.6%	5.6%	5.7%	6.5%	7.4%	8.4%	9.1%	9.7%	10.1%	10.5%	10.7%
A	**Total Faculty FTE**	63	105	136	185	200	231	271	306	306	306	306	306	305	303	301	299
	Ladder	45	69	83	110	118	135	152	169	185	185	185	185	185	185	185	185
	Ladder Faculty Growth		24	14	27	8	17	17	17	16	-	-	-	-	-	-	-
	% Ladder Rank of faculty	71.4%	65.7%	61.0%	59.5%	59.0%	58.4%	56.1%	55.2%	60.5%	60.5%	60.5%	60.5%	60.7%	61.1%	61.5%	61.9%
	Grad Student/Ladder Faculty	0.84	1.14	1.52	1.73	2.00	1.79	1.85	1.91	2.00	2.30	2.59	2.82	2.99	3.10	3.18	3.23
	Total Lad Fac FTE by School																
	ENG			24	28	26	29	32	34	37	37	37	37	37	37	37	37
	%			28%	25%	22%	21%	21%	20%	20%	20%	20%	20%	20%	20%	20%	20%
	NS			32	41	47	52	56	61	65	65	65	65	65	65	65	64.5
	%			38%	37%	39%	38%	37%	36%	35%	35%	35%	35%	35%	35%	35%	35%
	SSHA			29	42	46	54	63	71	79	79	79	79	79	79	79	79.2
	%			34%	38%	39%	40%	42%	42%	43%	43%	43%	43%	43%	43%	43%	43%
	Strategic Hires			-	-	-	-	1	3	4	4	4	4	4	4	4	4
	%			0%	0%	0%	0%	1%	2%	2%	2%	2%	2%	2%	2%	2%	2%
	Lecturer	18	36	53	75	82	96	119	137	121	121	121	121	120	118	116	114
	Stu/Fac ratio	13.7	12.2	14.4	15.0	17.4	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7
B	**Post Docs**	6	11	9	17	18	24	31	39	42	46	50	53	57	60	63	66
	Ratio Post Docs to FTE Faculty	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
	Annual Post Doc Growth		5	(2)	8	1	6	7	8	4	4	4	4	3	3	3	3
A	**TAs**	15	26	36	50	64	93	109	123	122	121	119	118	117	116	115	113
	Ratio TA / Undergrad	55	46	51	52	51	44	44	44	44	44	44	44	44	44	44	44
	Net New TA		11	10	14	14	29	16	14	(1)	(1)	(2)	(1)	(1)	(1)	(1)	(2)
C	**Total Staff FTE**	349	377	486	563	629	670	813	949	979	1,010	1,040	1,071	1,098	1,121	1,144	1,166
	Ratio Staff FTE / Fac FTE	5.5	3.6	3.6	3.0	3.1	2.9	3.0	3.1	3.2	3.3	3.4	3.5	3.6	3.7	3.8	3.9
	Net New Staff FTE		28	109	77	66	41	143	136	30	31	30	31	27	23	23	22
	Annual % Staff FTE Growth		8%	29%	16%	12%	7%	21%	17%	3%	3%	3%	3%	3%	2%	2%	2%

	CPEC I&R Analysis	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16	16-17	17-18	18-19	19-20	20-21
D	**Classroom**																
	Allowance	4,960	7,374	11,192	15,919	19,935	24,840	29,067	32,810	32,807	32,755	32,652	32,631	32,485	32,257	31,996	31,714
	Inventory	28,273	28,273	28,273	28,273	28,273	30,633	30,633	30,633	30,633	30,633	40,633	40,633	42,433	42,433	58,358	72,608
	Delta	23,313	20,899	17,081	12,354	8,338	5,793	1,566	(2,177)	(2,174)	(2,122)	7,981	8,002	9,948	10,176	26,362	40,894
	% Adequacy	570%	383%	253%	178%	142%	123%	105%	93%	93%	94%	124%	125%	131%	132%	182%	229%
E	**Class Laboratory**																
	Allowance	8,651	12,861	19,519	27,763	34,767	43,321	50,694	57,220	57,216	57,125	56,945	56,909	56,653	56,257	55,801	55,309
	Inventory	25,915	25,915	25,915	25,915	25,915	30,555	30,555	30,555	30,555	37,586	40,586	40,586	44,786	44,786	44,786	54,386
	Delta	17,264	13,054	6,396	(1,848)	(8,852)	(12,766)	(20,139)	(26,665)	(26,661)	(19,539)	(16,359)	(16,323)	(11,867)	(11,471)	(11,015)	(923)
	% Adequacy	300%	202%	133%	93%	75%	71%	60%	53%	53%	66%	71%	71%	79%	80%	80%	98%
F	**Research/Scholarly Activity**																
	Allowance																
	ENG			21,170	27,730	28,577	33,619	40,205	45,418	44,117	44,224	44,775	45,124	45,269	44,968	44,896	44,775
	NS			22,616	31,046	35,243	41,431	46,428	51,397	51,763	51,973	51,778	51,715	51,563	51,327	51,096	50,791
	SSHA			16,900	24,094	27,655	33,820	40,608	46,242	46,975	47,146	47,109	47,280	47,336	47,452	47,384	47,249
	Total Allowance			60,686	82,870	91,475	108,871	127,242	143,057	142,855	143,343	143,661	144,119	144,169	143,746	143,376	142,816
	Inventory			117,170	117,170	117,170	149,850	149,850	169,054	169,054	207,452	207,452	207,452	246,452	246,452	260,452	269,402
	Delta			56,484	34,300	25,695	40,979	22,608	25,997	26,199	64,109	63,791	63,333	102,283	102,706	117,076	126,586
	% Adequacy			193%	141%	128%	138%	118%	118%	118%	145%	144%	144%	171%	171%	182%	189%
G	**Academic Office Facilities**																
	Allowance																
	ENG			12,629	17,063	18,484	22,969	27,604	31,566	31,133	31,184	31,612	31,895	32,073	31,913	31,977	31,936
	NS			10,115	14,250	15,888	18,835	21,292	23,666	24,025	24,239	24,138	24,120	24,060	23,957	23,857	23,730
	SSHA			12,725	17,850	20,775	25,903	30,923	35,151	35,507	35,745	35,728	35,968	36,124	36,423	36,487	36,478
	Total Allowance			35,468	49,163	55,147	67,706	79,819	90,383	90,665	91,169	91,478	91,983	92,257	92,293	92,321	92,144
	Inventory			61,260	61,260	61,260	77,130	77,130	77,130	77,130	90,268	95,268	95,268	110,268	110,268	125,268	125,268
	Delta			61,260	61,260	61,260	77,130	77,130	77,130	77,130	90,268	95,268	95,268	110,268	110,268	125,268	125,268
	% Adequacy			173%	125%	111%	114%	97%	85%	85%	99%	104%	104%	120%	119%	136%	136%
	Research + Office Facilities																
	Allowance																
	ENG			33,799	44,793	47,061	56,588	67,810	76,984	75,250	75,408	76,387	77,019	77,342	76,881	76,874	76,711
	NS			32,730	45,296	51,132	60,266	67,720	75,062	75,789	76,213	75,915	75,835	75,623	75,284	74,953	74,522
	SSHA			29,625	41,944	48,430	59,723	71,532	81,394	82,481	82,891	82,837	83,248	83,460	83,875	83,871	83,727
	Total Allowance			96,154	132,033	146,622	176,576	207,061	233,440	233,520	234,512	235,139	236,102	236,426	236,040	235,697	234,960
	Inventory			178,430	178,430	178,430	226,980	226,980	246,184	246,184	297,720	302,720	302,720	356,720	356,720	385,720	394,670
	Delta			82,276	46,397	31,808	50,404	19,919	12,744	12,664	63,208	67,581	66,618	120,294	120,680	150,023	159,710
	% Adequacy			186%	135%	122%	129%	110%	105%	105%	127%	129%	128%	151%	151%	164%	168%

	Auxiliary Analysis	05-06	06-07	07-08	08-09	09-10	10-11	11-12	12-13	13-14	14-15	15-16	16-17	17-18	18-19	19-20	20-21
	Housing																
	Total Number Beds (Built)	602	602	1,008	1,008	1,008	1,308	1,308	1,308	1,308	1,658	1,658	1,658	1,658	1,658	2,208	2,208
	Total Student FTE / Built Beds	1.43	2.14	1.94	2.76	3.45	3.31	3.87	4.37	4.38	3.45	3.45	3.45	3.44	3.42	2.55	2.53
H	Addl Beds to Maintain 2.0 Ratio					733	856	1,224	1,550	1,555	1,206	1,202	1,205	1,195	1,178	607	583
	Parking																
	Total Number of Spaces	903	954	1,441	1,441	2,091	2,091	2,091	2,091	2,691	3,016	3,016	3,366	3,366	3,826	3,826	4,376
	Spaces / Student FTE	1.05	0.74	0.74	0.52	0.60	0.48	0.41	0.37	0.47	0.53	0.53	0.59	0.59	0.67	0.68	0.78
I	Addl Spaces to Maintain .7 CR					346	938	1,453	1,910	1,317	993	988	642	628	144	114	(469)
	Addl Acre Req .7 CR (120 SP/A)					2.9	7.8	12.1	15.9	11.0	8.3	8.2	5.3	5.2	1.2	1.0	(3.9)

A : Data based on the most recent campus modeling by the Office of Institutional Planning & Analysis (IPA).

B : Post-doctoral figures were modeled by using the most recent historical Post-Doc to Faculty ratio (.09 in 09/10) and assuming level increases to achieve a .22 ratio by 20-21.

C : Staff FTE are based on the most recent campus modeling by IPA. This data will need to be revised based on more recent considerations regarding staffing levels.

D : Classroom space allowances are driven by Weekly Student Contact Hours (WSCH). Spaces covered by the "Classroom" category are: *Classroom* (Code 110); *Seminar* (Code 130); *Classsroom Service* (Code 125). Merced's most recent formal submission of classroom utilization data (2009) indicated approximately 82% of total WSCHs took place in a classroom environment. Preliminary analysis of 2009 utilization data indicates this proportion decreased to 78%. For the purposes of this model, 82% of WSCH were apportioned to classroom.

E : Class Laboratory space allowances are driven by WSCH. Spaes covered by the "Class Laboratory" category are: *Class Laboratory* (Code 260); *Special Class Laboratory* (Code 261); *Shop - Teaching Lab* (Code 711), *Storage - Teaching Lab* (Code 721); *Class Lab Service* (Code 265); *Shop Service - Teaching Lab* (Code 726). Merced's most recent formal submission of classroom utilization data (2009) indicated approximately 18% of total WSCHs took place in a class lab environment. Preliminary analysis of 2009 utilization data indicates this proportion increased to 22%. For the purposes of this model, 18% of WSCH were apportioned to class lab.

F : Research / Scholarly Activity is driven by Faculty FTE, Grad Student headcount and Postdoc headcount, with varying allowances by discipline. Spaces covered by the "Research / Scholarly Activity" category are: *Research Lab/Studio* (Code 210); *Research Office* (Graduate Students) (Code 211); *Scholarly Activity* (Code 250); *Shop* (Code 710); *Storage* (Code 720); *Research Lab or Office Service* (Codes 010, 225, 226, 255, 510 515, 560, 565, 715).

G : Academic Office Facilities are driven by Faculty FTE, Teaching Assistant headcount and Postdoc headcount. Spaces covered by the "Academic Office" category are: Academic Office (310); Other Office (320); Conference Room (340); Storage - Office (322); Office/Conference Room Service (Codes 335, 345).

H : The number of additional beds required to meet the LRDP goal of a two-year housing guarantee (or a 2.0 student to bed ratio). Some number of this excess demand could be met through convert double rooms to triples.

I : The number of additional parking spaces required to meet the LRDP target of a .7 parking space to student FTE ratio.

EXHIBIT K-1

	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20
ENROLLMENT (GROWTH = 600 FTE PER YEAR) AFTER 2012-13										
UG	4,085	4,782	5,393	5,973	6,538	7,078	7,617	8,159	8,713	9,266
GRAD	242	281	323	370	425	492	559	624	690	757
TOTAL FTE	4,327	5,063	5,716	6,343	6,963	7,570	8,176	8,783	9,403	10,023
FACULTY FTE GENERATED BY 18.7:1	231.39	270.75	305.67	339.20	372.35	404.81	437.22	469.68	502.83	535.99
FACULTY RECRUITMENTS	13.00	17.00	17.00	16.00	17.00	17.00	16.00	17.00	17.00	16.00
(New)										
SOE	3.00	3.00	2.00	3.00	3.00	3.00	2.00	3.00	2.00	3.00
SNS	5.00	4.00	5.00	4.00	4.00	4.00	4.00	4.00	4.00	4.00
SSHA	5.00	9.00	8.00	8.00	8.00	9.00	8.00	9.00	9.00	8.00
STRATEGIC HIRES		1.00	2.00	1.00	2.00	1.00	2.00	1.00	2.00	1.00
SALARIES	$ 1,092,000	$ 1,428,000	$ 1,445,000	$ 1,360,000	$ 1,445,000	$ 1,445,000	$ 1,360,000	$ 1,445,000	$ 1,445,000	$ 1,360,000
BENEFITS	$ 251,160	$ 328,440	$ 332,350	$ 312,800	$ 332,350	$ 332,350	$ 312,800	$ 332,350	$ 332,350	$ 312,800
START-UP	$ 6,300,000	$ 6,900,000	$ 7,300,000	$ 6,700,000	$ 7,200,000	$ 6,900,000	$ 6,600,000	$ 6,900,000	$ 6,800,000	$ 6,700,000
OTHER SUPPORT	$ 130,000	$ 170,000	$ 170,000	$ 160,000	$ 170,000	$ 170,000	$ 160,000	$ 170,000	$ 170,000	$ 160,000
TOTAL (ONGOING)	$ 1,343,160	$ 1,756,440	$ 1,777,350	$ 1,672,800	$ 1,777,350	$ 1,777,350	$ 1,672,800	$ 1,777,350	$ 1,777,350	$ 1,672,800
TOTAL (ONE TIME)	$ 6,430,000	$ 7,070,000	$ 7,470,000	$ 6,860,000	$ 7,370,000	$ 7,070,000	$ 6,760,000	$ 7,070,000	$ 6,970,000	$ 6,860,000
CUMULATIVE FACULTY FTE BY SCHOOL										
SOE	29.00	32.00	34.00	37.00	40.00	43.00	45.00	48.00	50.00	53.00
SNS	52.00	56.00	61.00	65.00	69.00	73.00	77.00	81.00	85.00	89.00
SSHA	54.00	63.00	71.00	79.00	87.00	96.00	104.00	113.00	122.00	130.00
STRATEGIC HIRES		1.00	3.00	4.00	6.00	7.00	9.00	10.00	12.00	13.00
CUMULATIVE FACULTY FTE TOTAL	135.00	152.00	169.00	185.00	202.00	219.00	235.00	252.00	269.00	285.00
CUMULATIVE FACULTY SALARIES AND BENEFITS	$ 13,864,483	$ 15,620,923	$ 17,398,273	$ 19,071,073	$ 20,848,423	$ 22,625,773	$ 24,298,573	$ 26,075,923	$ 27,853,273	$ 29,526,073
TOTAL OF CUMULATIVE AND NEW FACULTY SALARIES AND BENEFITS	$ 15,207,643	$ 17,377,363	$ 19,175,623	$ 20,743,873	$ 22,625,773	$ 24,403,123	$ 25,971,373	$ 27,853,273	$ 29,630,623	$ 31,198,873
LECTURER FTE										
TOTAL AS GENERATED TO MAINTAIN RATIO OF 18.7:1	96.1	118.7	136.7	154.2	170.4	185.8	202.2	217.7	233.8	251.0
LECTURERS SALARIES AND BENEFITS										
TOTAL AS GENERATED BY FORMULA AND TO MAINTAIN 18.7:1	$ 5,191,418	$ 6,412,293	$ 7,384,671	$ 8,576,912	$ 9,477,989	$ 10,334,568	$ 11,246,768	$ 12,108,909	$ 13,004,424	$ 13,961,122
TA FTE (TOTAL AS GENERATED BY FORMULA)	92.8	108.7	122.6	135.8	148.6	160.9	173.1	185.4	198.0	210.6
SALARIES, BENEFITS, FEES	$ 4,734,886	$ 5,542,773	$ 6,496,114	$ 7,194,750	$ 7,875,318	$ 8,525,773	$ 9,175,023	$ 9,827,886	$ 10,495,205	$ 11,161,318
TOTAL (PROJECTED) STAFF FTE	414	450	486	522	570	618	666	714	762	810
(EXCLUDES STAFF ON FUNDING FROM CONTRACTS & GRANTS; GIFTS; AUXS.)										
STAFF/LADDER FACULTY RATIO	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1
SALARIES AND BENEFITS	$ 31,618,865	$ 36,000,000	$ 38,880,000	$ 41,760,000	$ 46,740,000	$ 50,676,000	$ 54,612,000	$ 58,548,000	$ 62,484,000	$ 66,420,000

EXHIBIT K-2

	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20
ENROLLMENT (GROWTH = 300 FTE PER YEAR) AFTER 2012-13										
UG	4,085	4,782	5,393	5,656	5,919	6,160	6,405	6,661	6,909	7,162
GRAD	242	281	323	370	425	486	541	586	630	671
TOTAL FTE	4,327	5,063	5,716	6,026	6,344	6,646	6,946	7,247	7,539	7,833
FACULTY FTE GENERATED BY 18.7:1	231.39	270.75	305.67	322.25	339.25	355.40	371.44	387.54	403.16	418.88
FACULTY RECRUITMENTS	13.00	17.00	17.00	16.00	8.00	9.00	8.00	9.00	8.00	9.00
(New)										
SOE	3.00	3.00	2.00	3.00	1.00	2.00	1.00	2.00	1.00	2.00
SNS	5.00	4.00	5.00	4.00	2.00	2.00	2.00	2.00	2.00	2.00
SSHA	5.00	9.00	8.00	8.00	5.00	4.00	4.00	4.00	4.00	4.00
STRATEGIC HIRES		1.00	2.00	1.00		1.00	1.00	1.00	1.00	1.00
SALARIES	$ 1,092,000	$ 1,428,000	$ 1,445,000	$ 1,360,000	$ 680,000	$ 765,000	$ 680,000	$ 765,000	$ 680,000	$ 765,000
BENEFITS	$ 251,160	$ 328,440	$ 332,350	$ 312,800	$ 156,400	$ 175,950	$ 156,400	$ 175,950	$ 156,400	$ 175,950
START-UP	$ 6,300,000	$ 6,900,000	$ 7,300,000	$ 6,700,000	$ 3,000,000	$ 3,900,000	$ 3,300,000	$ 3,900,000	$ 3,300,000	$ 3,900,000
OTHER SUPPORT	$ 130,000	$ 170,000	$ 170,000	$ 160,000	$ 80,000	$ 90,000	$ 80,000	$ 90,000	$ 80,000	$ 90,000
TOTAL (ONGOING)	$ 1,343,160	$ 1,756,440	$ 1,777,350	$ 1,672,800	$ 836,400	$ 940,950	$ 836,400	$ 940,950	$ 836,400	$ 940,950
TOTAL (ONE TIME)	$ 6,430,000	$ 7,070,000	$ 7,470,000	$ 6,860,000	$ 3,080,000	$ 3,990,000	$ 3,380,000	$ 3,990,000	$ 3,380,000	$ 3,990,000
CUMULATIVE FACULTY FTE BY SCHOOL										
SOE	29.00	32.00	34.00	37.00	38.00	40.00	41.00	43.00	44.00	46.00
SNS	52.00	56.00	61.00	65.00	67.00	69.00	71.00	73.00	75.00	77.00
SSHA	54.00	63.00	71.00	79.00	84.00	88.00	92.00	96.00	100.00	104.00
SRATEGIC HIRES		1.00	3.00	4.00	4.00	5.00	6.00	7.00	8.00	9.00
CUMULATIVE FACULTY FTE TOTAL	135.00	152.00	169.00	185.00	193.00	202.00	210.00	219.00	227.00	236.00
CUMULATIVE FACULTY SALARIES AND BENEFITS	$ 13,864,483	$ 15,620,923	$ 17,398,273	$ 19,071,073	$ 19,907,473	$ 20,848,423	$ 21,684,823	$ 22,625,773	$ 23,462,173	$ 24,403,123
TOTAL OF CUMULATIVE AND NEW FACULTY SALARIES AND BENEFITS	$ 15,207,643	$ 17,377,363	$ 19,175,623	$ 20,743,873	$ 20,743,873	$ 21,789,373	$ 22,521,223	$ 23,566,723	$ 24,298,573	$ 25,344,073
LECTURER FTE										
TOTAL AS GENERATED TO MAINTAIN RATIO OF 18.7:1	96.1	118.7	136.7	137.2	146.3	153.4	161.4	168.5	176.2	182.9
LECTURERS SALARIES AND BENEFITS										
TOTAL AS GENERATED BY FORMULA AND TO MAINTAIN 18.7:1	$ 5,191,500	$ 6,411,900	$ 7,383,900	$ 7,633,900	$ 8,134,792	$ 8,532,474	$ 8,979,830	$ 9,374,538	$ 9,798,098	$ 10,171,985
TA FTE (TOTAL AS GENERATED BY FORMULA)	92.8	108.7	122.6	128.5	134.5	140.0	145.6	151.4	157.0	162.8
SALARIES, BENEFITS, FEES	$ 4,734,886	$ 5,542,773	$ 6,496,114	$ 6,812,909	$ 7,129,705	$ 7,420,000	$ 7,715,114	$ 8,023,477	$ 8,322,205	$ 8,626,955
TOTAL (PROJECTED) STAFF FTE	414	450	486	504	522	540	558	576	594	612
(EXCLUDES STAFF ON FUNDING FROM CONTRACTS & GRANTS; GIFTS; AUXS.)										
STAFF/LADDER FACULTY RATIO	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1
SALARIES AND BENEFITS	$ 31,618,865	$ 36,000,000	$ 38,880,000	$ 40,320,000	$ 42,804,000	$ 44,280,000	$ 45,756,000	$ 47,232,000	$ 48,708,000	$ 50,184,000

EXHIBIT K-3

	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20
ENROLLMENT (GROWTH = 0 FTE PER YEAR) AFTER 2012-13										
UG	4,085	4,782	5,393	5,357	5,305	5,244	5,206	5,156	5,100	5,063
GRAD	242	281	323	368	422	476	519	550	571	586
TOTAL FTE	4,327	5,063	5,716	5,725	5,727	5,720	5,725	5,706	5,671	5,649
FACULTY FTE GENERATED BY 18.7:1	231.39	270.75	305.67	306.15	306.26	305.88	306.15	305.13	303.26	302.09
FACULTY RECRUITMENTS	13	17	17	16	0	0	0	0	0	0
(New)										
SOE	3	3	2	3						
SNS	5	4	5	4						
SSHA	5	9	8	8						
STRATEGIC HIRES		1	2	1	0	0	0	0	0	0
SALARIES	$ 1,092,000	$ 1,428,000	$ 1,445,000	$ 1,360,000						
BENEFITS	$ 251,160	$ 328,440	$ 332,350	$ 312,800						
START-UP	$ 6,300,000	$ 6,900,000	$ 7,300,000	$ 6,700,000						
OTHER SUPPORT	$ 130,000	$ 170,000	$ 170,000	$ 160,000						
TOTAL (ONGOING)	$ 1,343,160	$ 1,756,440	$ 1,777,350	$ 1,672,800						
TOTAL (ONE TIME)	$ 6,430,000	$ 7,070,000	$ 7,470,000	$ 6,860,000						
CUMULATIVE FACULTY FTE BY SCHOOL										
SOE	29.00	32.00	34.00	37.00	37.00	37.00	37.00	37.00	37.00	37.00
SNS	52.00	56.00	61.00	65.00	65.00	65.00	65.00	65.00	65.00	65.00
SSHA	54.00	63.00	71.00	79.00	79.00	79.00	79.00	79.00	79.00	79.00
STRATEGIC HIRES		1.00	3.00	4.00	4.00	4.00	4.00	4.00	4.00	4.00
CUMULATIVE FACULTY FTE TOTAL	135.00	152.00	169.00	185.00	185.00	185.00	185.00	185.00	185.00	185.00
CUMULATIVE FACULTY SALARIES AND BENEFITS	$ 13,864,483	$ 15,620,923	$ 17,398,273	$ 19,071,233	$ 19,071,233	$ 19,071,233	$ 19,071,233	$ 19,071,233	$ 19,071,233	$ 19,071,233
TOTAL OF CUMULATIVE AND NEW FACULTY SALARIES AND BENEFITS	$ 15,207,643	$ 17,377,363	$ 19,175,623	$ 20,744,033	$ 19,071,233	$ 19,071,233	$ 19,071,233	$ 19,071,233	$ 19,071,233	$ 19,071,233
LECTURER FTE										
TOTAL AS GENERATED TO MAINTAIN RATIO OF 18.7:1	96.1	118.7	136.7	121.1	121.3	120.9	121.1	120.1	118.3	117.1
LECTURERS SALARIES AND BENEFITS										
TOTAL AS GENERATED BY FORMULA AND TO MAINTAIN 18.7:1	$ 5,191,500	$ 6,411,900	$ 7,383,900	$ 6,738,590	$ 6,744,539	$ 6,723,718	$ 6,738,590	$ 6,682,076	$ 6,577,971	$ 6,512,533
TA FTE (TOTAL AS GENERATED BY FORMULA)	92.8	108.7	122.6	121.8	120.6	119.2	118.3	117.2	115.9	115.1
SALARIES, BENEFITS, FEES	$ 4,734,886	$ 5,542,773	$ 6,496,114	$ 6,452,750	$ 6,390,114	$ 6,316,636	$ 6,270,864	$ 6,210,636	$ 6,143,182	$ 6,098,614
TOTAL (PROJECTED) STAFF FTE	414	450	486	486	486	486	486	486	486	486
(EXCLUDES STAFF ON FUNDING FROM CONTRACTS & GRANTS; GIFTS; AUXS.)										
	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1	~3:1
SALARIES AND BENEFITS	$ 31,618,865	$ 36,000,000	$ 38,880,000	$ 38,880,000	$ 39,852,000	$ 39,852,000	$ 39,852,000	$ 39,852,000	$ 39,852,000	$ 39,852,000

MEMORANDUM OF UNDERSTANDING
REGARDING FUNDING FOR THE UNIVERSITY OF CALIFORNIA, MERCED

In 2013-14, the Merced campus of the University of California is part way through its planned growth trajectory. The University system is strongly committed to the further development and success of the Merced campus as a high-quality research university in the 21st century.

The Office of the President ("UCOP") and University of California, Merced ("UC Merced") hereby enter into this Successor Memorandum of Understanding ("MOU") with respect to funding for UC Merced future growth, effective July 1, 2014 ("Effective Date") on the terms and conditions described herein.

I. BACKGROUND AND ACKNOWLEDGEMENTS

A. For much of its eight-year history, the University of California, Merced, has been provided financial support from the University of California, Office of the President, through a Memorandum of Understanding (MOU) that will expire at the end of the 2013-2014 academic year. This MOU has provided UC Merced with financial certainty during a time of considerable fiscal stress on California and the University of California system; as a result of the MOU guarantees, the campus has been able to achieve its aggressive growth to the point that it now has a balanced budget and can sustain operations at their current levels.[1]

B. Continued support from the Office of the President and the UC system, through this "successor" MOU, will be necessary to facilitate growth to the campus' near-term enrollment goal of 10,000 FTE students by 2020 under the campus Long Range Enrollment Plan (LREP). The LREP represents the campus' strategy to sustain enrollment growth in a challenging state budget climate, especially for capital projects, while continuing to perform a critical systemwide role under the California Master Plan for Higher Education by remaining the sole UC campus to offer admission to all eligible California high school students. The LREP outlines two distinct paths forward for UC Merced – one that allows the campus to grow to 10,000 FTE students by 2020 while the other caps enrollment at 7,200 because of the lack of financial support necessary to build space to support growth in enrollment, faculty and staff.

C. The growth strategy that will be supported by the MOU is informed by the Strategic Academic Focusing (SAF) now underway under the leadership of Provost and Executive Vice Chancellor Tom Peterson. The SAF relates primarily to the current and future directions of campus academic programs, both at the undergraduate and graduate level. The exercise recognizes the critical importance of identifying a longer-term trajectory of academic program growth and development that will enable the campus to become a full-fledged University of California-quality research university. Nascent areas of interdisciplinary research that align with current UC Merced strengths will be identified and faculty recruited

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[1] The original MOU established metrics for the campus to achieve under the terms of the agreement with the Office of the President. Almost all of the metrics were achieved, and for those few exceptions the campus has identified contributing circumstances and ways to ameliorate those difficulties going forward.

to strengthen and initiate work in these areas.   UC Merced also will bolster the infrastructure support for its research-active faculty to a level comparable to other UC campuses, so that it can retain these professors and not lose them to other institutions.

D. To further meet its growth challenges and to meet its goal of 10,000 students by 2020, UC Merced has embarked on the 2020 Project, the success of which will require systemwide partnering and support. This ambitious initiative represents the ensuing phase of development of the Merced campus and constitutes what was envisioned as the next portion (Phase 2) of the long-term development proposed under the 2009 Long Range Development Plan (LRDP). The 2020 Project includes the facilities needed to support an enrollment level of 10,000 students, including academic, administrative, research, and recreational buildings, student residences and student services buildings, utilities and infrastructure, outdoor recreation areas, and associated roadways, parking, and landscaping.

The campus plans to implement the 2020 Project as a master-planned development, bringing forth concepts of mixed-use and shared community in an urban environment. In order to assess the total cost of ownership for the project, a procurement process that considers life-cycle costs, including the design, construction, financing, operations and maintenance, will be in the best interests of the University. Preliminary analysis suggests that appropriations of State General Funds will be necessary to fund approximately 35-55% of capital project cost, with the understanding that State General Funds must be attributable to State-eligible projects.

The enrollment assumptions, operating budget assumptions, SAF, capital space plan, and final 2020 Project financing model which underlie the further development of the Merced campus and which are still under development will be the subject of ongoing consultation between Merced, the other campuses, and the Office of the President, and will be reviewed throughout the term of the successor MOU. The Office of the President and UC system commitment to the funding of the 2020 Project will be based on validation of defined need. Thus, terms expressed in the MOU may be subject to amendment each year as these major planning tools are finalized and as guidance from actual experience becomes available . It should be noted that the issue of the referral pool will also be the subject of future discussion and is not addressed in this MOU.

II. GOALS AND OBJECTIVES

This successor MOU for 2014 recognizes that UC Merced must meet three challenges:

- To mature as a research university in the same intellectual class as the other UC campuses, which will require focused attention and investment in graduate programs and the research enterprise;

- To continue to play an important role in fulfilling the UC's Master Plan commitment to find a place for every eligible student; and

- To preserve the unique academic and cultural character of a campus intentionally placed in California's San Joaquin Valley.
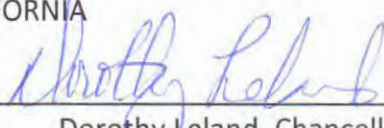
III. UNDERSTANDINGS

UC Merced and the Office of the President understand and agree to the following:

1. The Office of the President commitment of an addition to the UC Merced base budget of $10,000 per new student shall be continued through the term of the successor MOU, based on an annual growth rate of 650 students. This funding will provide continued support for enrollment growth, both undergraduate and graduate, and will provide the necessary financial resources for the faculty and staff to support that growth.

2. A one-time permanent addition of $5 million to the UC Merced budget base, with those funds to be used to partially fund start-up packages for the 18-25 new research-active faculty UC Merced expects to bring in per year over the next seven years. These recruitments will accelerate the maturation of existing research programs, seed new research initiatives, and expand UC Merced graduate student enrollment.

3. A commitment in principle to form a clear partnership between the Office of the President and UC Merced for the financing of Project 2020 as well as its near-term capital development needs, including funding to support the campus' central plant and telecommunications reliability upgrade and the acquisition, construction, maintenance and monitoring of off-site compensatory mitigations required the University's Section 404 permit and EIR/EIS. The campus will evaluate its ability to finance near-term projects related to the recruitment and retention of faculty and students from campus funds.

4. In order to allow the Office of the President and the campuses to best support the further growth of the Merced campus, the funding commitments in paragraphs 1 - 3 above will be reviewed and refreshed as new developments, such as Strategic Academic Focusing, change underlying assumptions on which this MOU is based. In addition, the campus will be required to provide information on its progress in meeting the University's needs for accountability and transparency; a list of information needs is attached to this MOU.

5. The terms of this agreement shall extend to July 1, 2020.
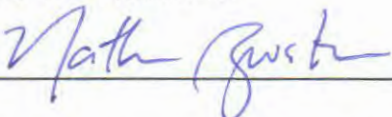
IV. EXECUTION AND SIGNATURE

UC Merced and UCOP hereby agree that this MOU and the Exhibits hereto, reflect their mutual understanding and commitments.

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA	THE REGENTS OF THE UNIVERSITY OF CALIFORNIA
By _____ Janet Napolitano, President, Regents of the University of California Date _____ 5-9-14 _____	By _____ Dorothy Leland, Chancellor University of California, Merced Date _____ May 16, 2014 _____

ACKNOWLEDGED AND AGREED:

UNIVERSITY OF CALIFORNIA
OFFICE OF THE PRESIDENT

_____

By: Nathan Brostrom, Executive Vice President

Date_____ May 8, 2014 _____

Appendix to MOU with Merced
List of Information Needs

1. Historic enrollment distribution by FTEs and discipline for 5 or more years (WCSHs Weekly Student Contact Hours)

2. Reconciliation of space assumptions (types of spaces, amount of space per FTEs or FTEF) with CPEC standards

3. Preliminary space program based on enrollment information above with preliminary projections of distribution in 2020, prior to release of the RFP for the Master developer. Clearly define spaces that may be state-eligible separately from non-state spaces.

4. Consult with UCOP on the development of the Strategic Academic Focusing Initiative (SAFI) each quarter until the initiative is complete.

5. Final Merced 2020 space program based on completed SAFI

6. Both the space program and the SAFI should include data on distribution of student FTEs by disciplines, including in terms of weekly student credit hours, in addition to other measures.

7. All funds operating budget with projections through the term of the MOU.

University of California, Merced

2014 - 2015
Annual Financial Report
(unaudited)

University of California, Merced

Table of Contents

Message from Vice Chancellor Michael Reese

Dear Readers,

I am pleased to present this Annual Financial Report for Fiscal Year 2014-15.

The University of California, Merced, has entered its second decade. Though still only in its early adolescence, the University of California's tenth and youngest campus has already graduated nearly 4,000 students, expanded research opportunities into dozens of cutting-edge fields, and contributed about $1.3 billion to the local San Joaquin Valley economy.

Now the campus is poised to enter its next stage of life – its coming of age as a major and significant teaching and research institution that lives up to its distinction as the first American research university of the 21st century.

The 2015 Strategic Academic Focusing Initiative is now being implemented to provide the intellectual and programmatic foundation for the next decade of UC Merced's growth. It is designed to provide a more strategic and targeted approach to recruitment of the best faculty through six signature themes that will be the focus of our expansion for the next decade.

Among the first beneficiaries of this new academic focus will be the incoming wave of undergraduate and graduate students. Demand remains high for admission to UC Merced, with 22,632 applicants competing for admission for 2,100 undergraduate seats in Fall 2016, an increase of 13.5 percent over last year's total – a rate of growth that is the highest among all UC campuses and more than double the systemwide growth rate of 6.4 percent.

To help meet this growing demand, the campus has adopted an innovative development strategy that designates a single private development team to design, build, finance, operate and maintain nearly one million square feet of new mixed-use space. With the request for proposal phase of the process underway as of this writing, the campus expects to select a developer by summer. With the selection, the campus will get the first glimpse of its future with the design and master plan for new housing, dining, classrooms, laboratories, recreation fields, open space and yes, even an aquatics center, and how the new construction will interact with the existing campus. Delivery of the first phase of buildings is scheduled for mid-2018.

Also this year, the campus will break ground on the new Downtown Campus Center, which will serve as the anchor of an expanding downtown campus presence and eventually house as many as 400 administrative staff. The facility is designed to establish and achieve cost savings as well as more efficient and flexible workspaces, putting UC Merced, as with so many other things, on the cutting edge of UC system practices.

It is an exciting moment for UC Merced that builds on its brief but distinctive history of innovation, energy, creativity and a commitment to the aspirations and needs of its unique student body. I hope that the following pages will give you a sense of all this, in addition to providing you with a picture of its financial status.

Sincerely,

Michael Reese
Vice Chancellor for Business and Administrative Services

University of California, Merced
Management's Discussion and Analysis (unaudited)
June 30, 2015 and 2014

The objective of Management's Discussion and Analysis (MD&A) is to give readers an overview of the financial position and operating activities of the University of California, Merced (UC Merced), for the fiscal year ended June 30, 2015 with selected comparative information for the fiscal year ended June 30, 2014. This discussion should be read in conjunction with the financial statements and accompanying notes.

UC Merced is the newest of ten campuses within the University of California System. The UC Merced Annual Financial Report, while not separately audited, is prepared from the official University of California records and accounts, which are maintained in accordance with the standards prescribed by the Governmental Accounting Standards Board (GASB). The three basic financial statements in this report, the statements of net position, the statements of revenues, expenses and changes in net position, and the statements of cash flows for UC Merced and the affiliated UC Merced Foundation. The financial statements for the UC Merced Foundation are presented discretely from UC Merced. The notes to the financial statements provide additional information that is essential to a full understanding of the financial statements.

The University of California

The University of California, one of the largest and most acclaimed institutions of higher learning in the world, is dedicated to excellence in teaching, research, health care and public service. The University has annual resources of nearly $28.7 billion and encompasses ten campuses, five medical schools and medical centers, four law schools, and a statewide Division of Agricultural and Natural Resources. The University is also involved in the operation and management of three national laboratories for the U.S. Department of Energy (DOE).

The UC Merced Campus

UC Merced is the newest campus within the University of California, opening in the fall of 2005 with the primary mission of research, teaching and service. The financial statements included in this annual report encompass the following:

The Merced campus spans 7,045 acres in Merced and is devoted to undergraduate and graduate scholarship serving over 6,000 students in the following schools and graduate programs:

Academic Schools and Divisions
School of Engineering
School of Natural Sciences
School of Social Sciences, Humanities & Arts

University of California, Merced
Management's Discussion and Analysis (unaudited)
June 30, 2015 and 2014

Graduate Studies
Applied Mathematics
Biological Engineering & Small-Scale Technologies*
Chemistry and Chemical Biology
Cognitive and Information Sciences
Electrical Engineering and Computer Science*
Environmental Systems
Mechanical Engineering*
Physics
Political Science
Psychological Sciences
Quantitative and Systems Biology
Social Sciences*
Sociology
Interdisciplinary Humanities

* Emphasis within the Individual Graduate Program

During the 2014-2015 academic year, receiving more than 18,600 first-time freshman and transfer applications for Fall 2014, UC Merced was able to enroll nearly 6,300 students. Enrollment stayed relatively flat from the previous year due primarily to capacity issues with existing facilities even though number of applications received was up nearly 3% from Fall 2013. During the year, the campus' graduating class remained relatively the same as the prior awarding 1,120 degrees during the 2014-15 academic year compared to 1,106 in the prior year. Because the campus has reached capacity within its existing facilities, it has received approval from The Regents of the University of California for its proposal to double the physical capacity of the campus by 2020, a move that would allow the campus to join other UC campuses in expanding enrollment for up to 10,000 students. While UC Merced consists of three schools, the School of Engineering, Natural Sciences, and Social Sciences, Humanities and Arts, there are plans to open two additional schools, a school of management and school of medicine in the future.

The campus' mission also includes a strong dedication to research and public service, embodied in its proud claim of being the first American research university of the 21st century. The amount of money spent at UC Merced on research, including graduate student salaries and benefits, along with supplies and equipment for research projects was $37.8 million for fiscal year 2015 as compared to $34.8 million for 2014. The UC Merced library provides access to approximately 70,000 online journals 635 databases, 120,000 books and almost 4.0 million e-books. The on-site collection is supplemented by access to the entire University of California collection of approximately 39 million volumes, which includes 3.7 million books in digital full-text format.

In addition to its educational and research mission, UC Merced is an important strategic investment in California's future economy. The campus serves as an engine of economic growth throughout the San Joaquin Valley where unemployment and poverty rates substantially exceed California averages. Through October 2015 to date, the campus has contributed approximately $1.27 billion to the valley economy in wages and benefits, construction contracts to local businesses and goods and services purchased from local businesses. Statewide, UC Merced's cumulative economic contribution has exceeded $2.4 billion since the campus opened.

UC Merced is considered a leader in sustainability design and construction with a commitment to being zero waste and zero net emissions by 2020. All of UC Merced's buildings are certified by the 3rd party verification system, Leadership in Energy and Environmental Design (LEED) with the vision of LEED Gold being the campus minimum for all projects since 2009.

University of California, Merced
Management's Discussion and Analysis (unaudited)
June 30, 2015 and 2014

While UC Merced's financial information concerning assets, liabilities, revenues and core activity expenditures is discussed in further detail in the subsequent sections of the MD&A, the following table reflects the composition of the campus for 2015, listing enrollment figures, full-time equivalent employee figures and operating expenses by school.

($ amounts in thousands)	Headcount		FTE			
	Under-graduates	Graduates	Employees	Salaries & Wages	Other Expenditures	Total Expenditures
School of Engineering	1,278		136	$ 10,933	$ 7,722	$ 18,655
School of Natural Sciences	1,800		254	16,597	13,013	29,610
School of Social Sciences, Humanities & Arts	2,115		192	16,147	9,241	25,388
Graduate Studies		384	11	870	585	1,455
Undeclared	715					
All others, including auxiliaries, student services, etc.			825	65,486	109,041	174,527
Subtotal	**5,908**	**384**	**1,418**	**$ 110,033**	**$ 139,602**	**$ 249,635**
Depreciation Expense						25,843
Total						**$ 275,478**

The Campus' Financial Position

In thousands of dollars
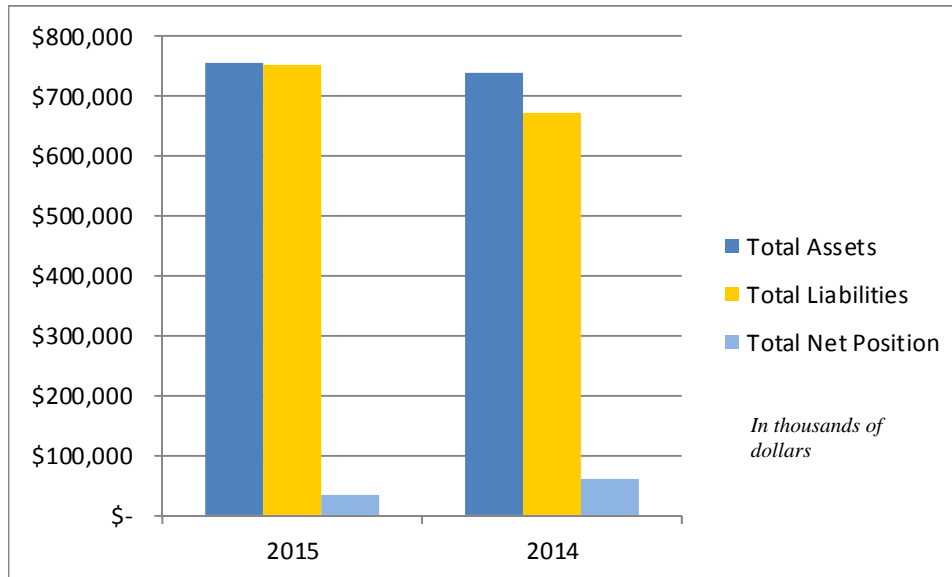
The statement of net position presents UC Merced's financial position at the end of the fiscal year. It displays all of UC Merced's assets and liabilities. The difference between assets and liabilities is net position.

The Campus' Assets
UC Merced's total assets have grown to $755.4 million in 2015, compared to $737.5 million in 2014. Generally, over the past two years, capital assets and cash and cash equivalents have increased.

Cash and cash equivalents increased by $10.4 million from the prior year due primarily to an increase in state educational appropriations to meet operating needs. Investments held by trustees relates to unspent

University of California, Merced
Management's Discussion and Analysis (unaudited)
June 30, 2015 and 2014

bond proceeds for capital projects. The decline was primarily attributable to capital spending as further discussed below.

Capital spending continues to increase in order to provide the facilities necessary to support UC Merced's teaching, research and public service mission. The facilities include core academic buildings, a library, student services, housing and auxiliary enterprises, utility plant and infrastructure. Total additions to capital assets were $49.5 million in 2015 compared to $57.5 million in the prior year. In 2015, the majority of capital asset additions related to a new classroom and office building whereas in 2014, the majority of additions related to a new science and engineering building, a student services building, and a new 364 bed student housing building.

The Campus' Deferred Outflows of Resources
Losses on debt refundings and changes in the net pension liability are reported as deferred outflows of resources. The increase of $25.8 million in deferred outflows of resources in 2015 is primarily related to pension obligations.

The increase of $13.5 million in deferred outflows of resources in 2014 is primarily related to the combination of UC Merced's portion of a debt refinancing, which increased by $25.6 million due to a current year refinancing by the University of California offset by the recognition of changes in UC Merced's share of the University's net pension liability of $12.1 million.

The Campus' Liabilities
Campus liabilities increased by $78.5 million when compared to the prior year due to a combination of an increase of $47.9 million in pension and other postretirement benefits and a $31.0 million increase in outstanding commercial paper, of which the proceeds were used to finance capital projects.

The Campus' Deferred Inflows of Resources
Deferred inflows of resources are related to changes in the net pension liability. Deferred inflows of resources in 2015 decreased by $7.5 million due to an increase in precision between projected earnings on pension plan investments used in the actuarial valuation compared to actual earnings.

The Campus' Net Position
Net position represents the residual interest in UC Merced's assets after all liabilities are deducted. During the year, net position decreased from $61.9 million to $34.4 million due primarily to its continued investment in its physical facilities offset by increases in pension and other postretirement obligations.

The Campus' Results of Operations
The statement of revenues, expenses and changes in net position is a presentation of the campus' operating results for the year. It indicates whether the financial condition has improved or deteriorated. In accordance with Governmental Accounting Standards Board (GASB) requirements, certain significant revenues relied upon and budgeted for fundamental operational support of the core instructional mission of the campus are required to be recorded as nonoperating revenues, including state educational appropriations, private gifts, and investment income.

University of California, Merced
Management's Discussion and Analysis (unaudited)
June 30, 2015 and 2014

A summarized comparison of the operating results from 2015 and 2014, arranged in a format that matches the revenue supporting the core activities of UC Merced with the expenses associated with core activities, is as follows:

(in thousands of dollars)

	2015			2014		
	Operating	Nonoperating	Total	Operating	Nonoperating	Total
REVENUES						
Student tuition and fees, net	$ 62,228		$ 62,228	$ 51,031		$ 51,031
State educational appropriations		$ 119,065	119,065		$ 109,365	109,365
Pell grants		16,526	16,526		16,426	16,426
Grants and contracts, net	20,979		20,979	17,699		17,699
Auxiliary enterprises, net	23,736		23,736	21,782		21,782
Private gifts, net		2,422	2,422		2,256	2,256
Investment income, net		2,842	2,842		3,011	3,011
Other revenues	7,153	1,568	8,721	6,091	1,535	7,626
Revenues supporting core activities	**114,096**	**142,423**	**256,519**	**96,603**	**132,593**	**229,196**
EXPENSES						
Salaries and benefits	168,472		168,472	139,795		139,795
Scholarships and fellowships	13,454		13,454	8,908		8,908
Utilities	4,534		4,534	4,458		4,458
Supplies and materials	21,025		21,025	19,188		19,188
Depreciation and amortization	25,843		25,843	22,386		22,386
Interest expense		20,233	20,233		19,172	19,172
Other expenses	42,150	220	42,370	30,015	59	30,074
Expenses associated with core activities	**275,478**	**20,453**	**295,931**	**224,750**	**19,231**	**243,981**
Income (loss) from core activities	**$ (161,382)**	**$ 121,970**	**$ (39,412)**	**$ (128,147)**	**$ 113,362**	**$ (14,785)**
OTHER CHANGES IN NET POSITION						
Capital gifts and grants, net			1,432			2,066
State capital appropriations			2,323			296
Contributions from the University for building programs			25,488			12,010
Other transfers			(17,302)			6,954
Increase in net position			**(27,471)**			**6,541**
NET POSITION						
Beginning of year			61,874			55,333
End of year			**$ 34,403**			**$ 61,874**

Revenues Supporting Core Activities

Revenues to support UC Merced's core activities, including those classified as nonoperating revenues, grew from $229.2 million in 2014 to $256.5 million in 2015, an increase of $27.3 million.

State of California educational appropriations, in conjunction with student tuition and fees, are the core components that support the instructional mission of the University. Grants and contracts provide opportunities for undergraduate and graduate students to participate in basic research alongside prominent researchers. Gifts to campus allow crucial flexibility to faculty for support of their fundamental activities or new academic initiatives. Other revenues are derived from educational activities and auxiliary enterprises, such as student housing, food service and parking.

University of California, Merced
Management's Discussion and Analysis (unaudited)
June 30, 2015 and 2014

Revenues in various categories have increased or decreased over the last year as follows:
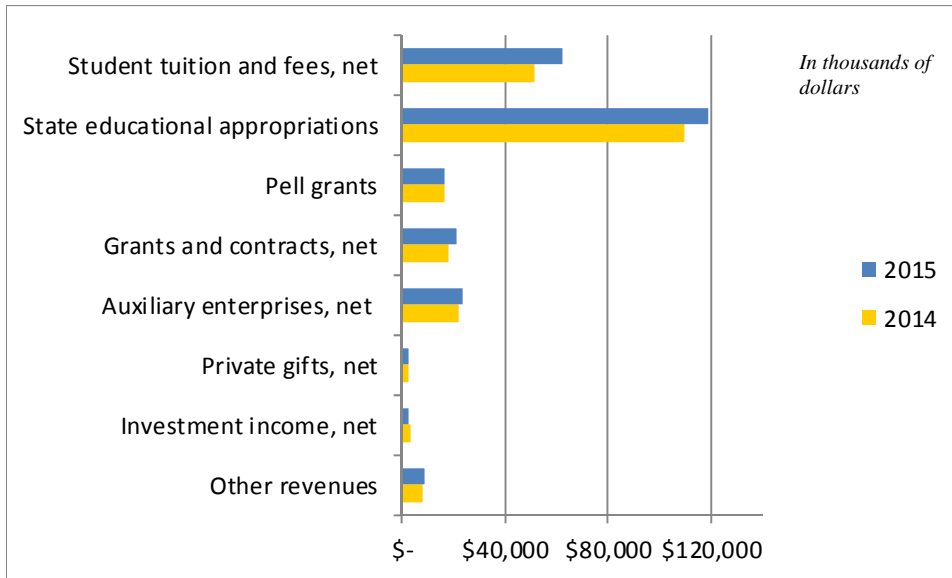
A major financial strength of UC Merced includes a diverse source of revenues, including those from student fees, federally sponsored grants and contracts, the state of California, private support, self-supporting enterprises, and the commitment of the University of California ensuring UC Merced's success as a newer campus within the UC System.

Categories of both operating and nonoperating revenue that supported UC Merced's core activities in 2015 are as follows:
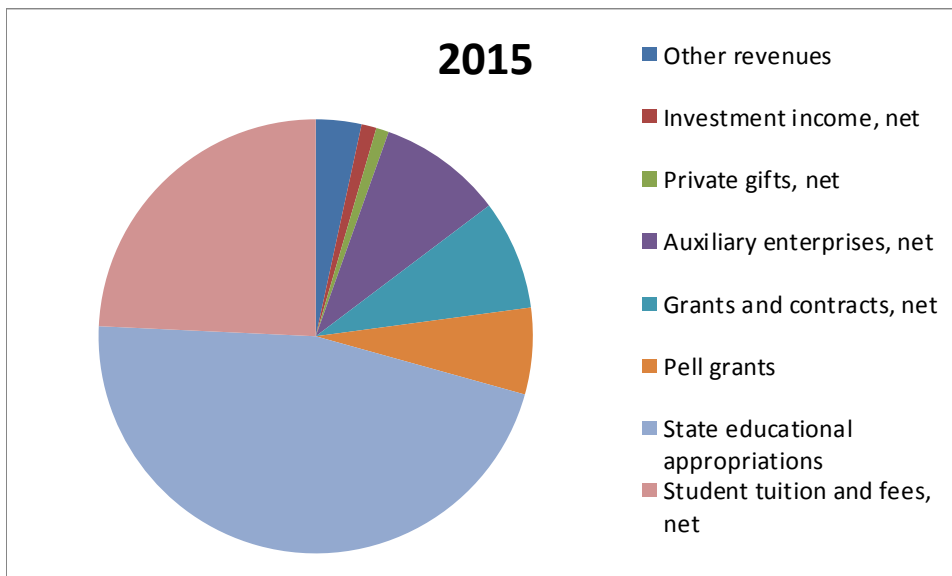
University of California, Merced
Management's Discussion and Analysis (unaudited)
June 30, 2015 and 2014

Student Tuition and Fees revenue, net of scholarship allowances, increased by $11.2 million and account for 24% of UC Merced's revenue.

(in thousands of dollars)

	2015	2014	Change
Student tuition and fees	$ 87,672	$ 85,475	$ 2,197
Summer sessions	10,130	-	10,130
Scholarship allowances	(35,574)	(34,444)	(1,130)
Total student tuition and fees	**$ 62,228**	**$ 51,031**	**$ 11,197**

Student tuition and fees increased from the prior year primarily as a result of a $1.5 million increase in out-of-state tuition. Resident enrollment rates remained relatively flat, and in connection with the passage of certain tax initiatives by the voters of California in November 2012 related to state educational appropriations, the University did not raise resident tuition in either 2014 or 2015. As a result, student tuition for resident students remained relatively flat from the prior year. Consistent with past practices, approximately one-third of the revenue generated from tuition and fees was used for financial aid.

Summer session increased as a result of a change in accounting policy in the prior year from cash-basis to accrual basis accounting. The revenue related to 2014 summer session courses was recognized when it was received in fiscal year 2013.

State educational appropriations from the state of California was $119.1 million and $109.4 million in 2015 and 2014, respectively, accounting for 46% of UC Merced's revenue. While the University of California received a 6% increase in state educational appropriations from the state of California due to tax initiatives approved by the voters of California in November 2012, UC Merced's share, an allocation determined by the University, increased by 9% as a result of the University's commitment to UC Merced's growth.

Grants and Contracts, net from federal, state, and private sources recognized as expenditures incur, including an overall facilities and administration cost recovery of $3.9 million and $3.2 million in 2015 and 2014, respectively are as follows:

(in thousands of dollars)

	2015	2014	Change
Federal government	$ 16,556	$ 14,274	$ 2,282
State agencies	696	638	58
Private industries	3,727	2,787	940
Total grants and contracts, net	**$ 20,979**	**$ 17,699**	**$ 3,280**

Revenues from the federal government increased by 16% from the prior year, primarily as a result of projects with the National Institute of Allergy and Infection Diseases and National Science Foundation.

Expenses Associated with Core Activities
Expenses associated with UC Merced's core activities, including those classified as nonoperating expenses, were $295.9 million and $244.0 million in 2015 and 2014, respectively.

University of California, Merced
Management's Discussion and Analysis (unaudited)
June 30, 2015 and 2014

Expenses in the various categories have increased or decreased over the last year as follows:
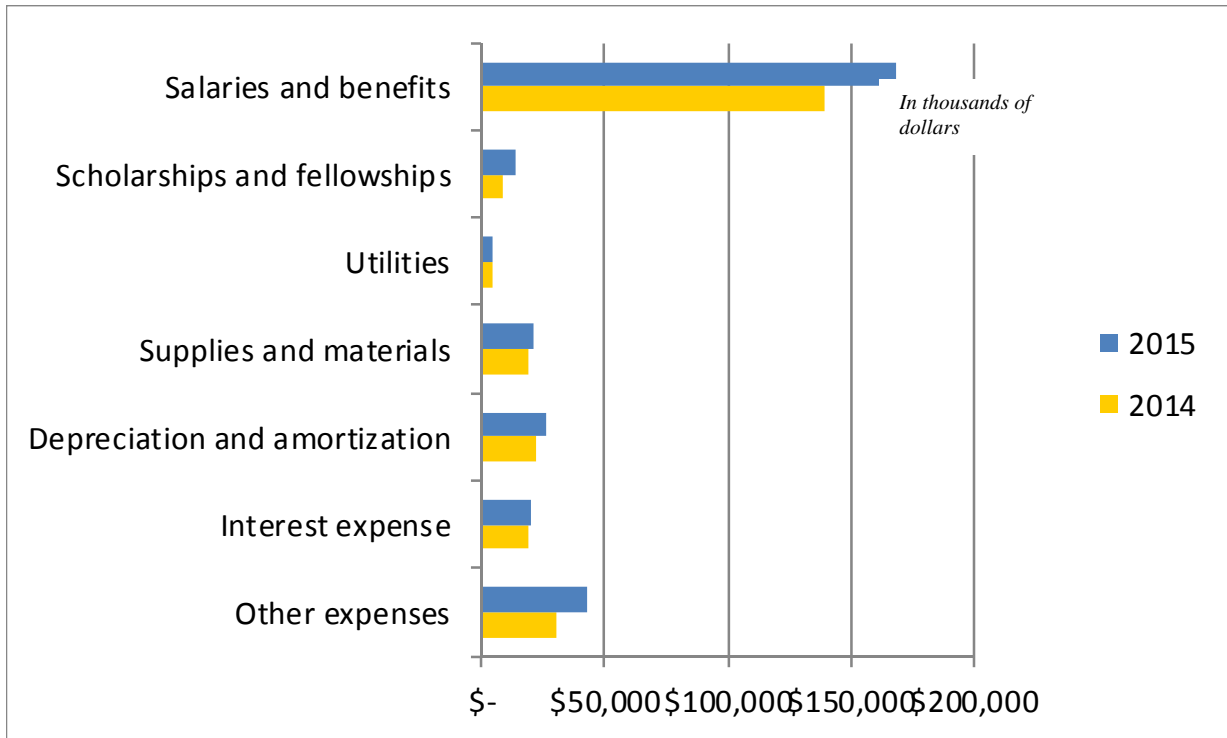
Categories of both operating and nonoperating expenses that support core activities, as of June 30, 2015 are as follows:
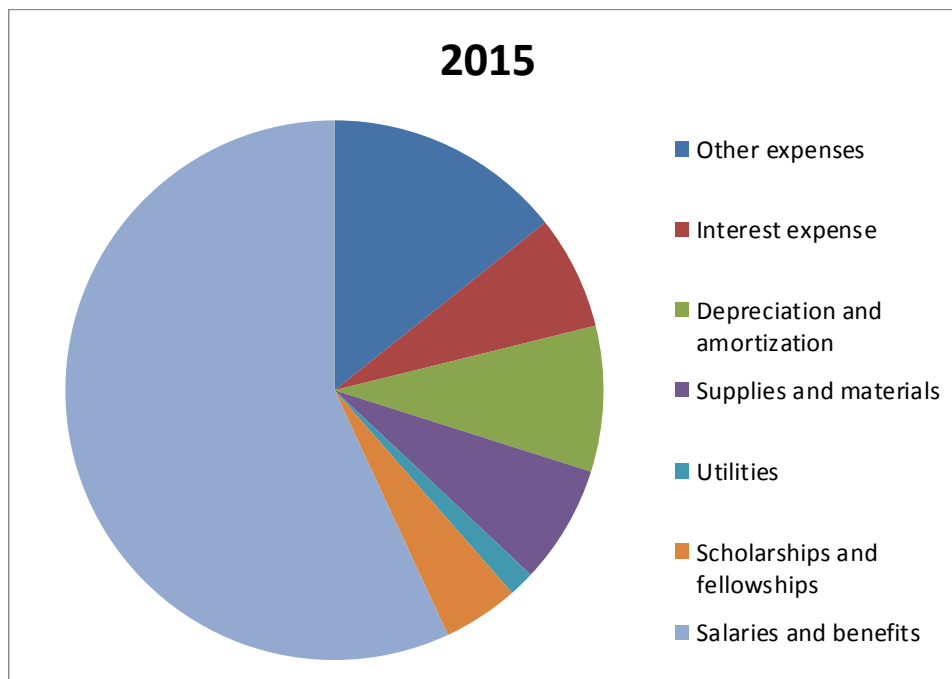
University of California, Merced
Management's Discussion and Analysis (unaudited)
June 30, 2015 and 2014

Salaries and benefits cover approximately 1,418 full-time-equivalent (FTE) employees, an increase of 3.7% over the prior year from 1368 FTE positions in 2014. Over 61% of UC Merced's expenses are related to salaries and benefits, which increased by $26.8 million from the prior year due to a combination of a $15.2 million increase in salaries and wages, $9.7 million increase in retiree health benefits expense, and $3.8 million increase in other employee benefits.

In 2015, salaries increased by 16%, $3.5 million due to an increase in the number of FTEs and $11.7 million due to an increase in the average salary per FTE. In the current year, the campus initiated a compensation strategy designed to bring the campus closer to market wages, address salary inequities across the campus, invest in job functions critical to achieving the campus' growth initiatives, and implement the across the board increases initiated by The Regents of the University of California. In 2014, salaries increased by 10%, $4.3 million due to an increase in the number of FTEs and $4.3 million due to an increase in the average salary per FTE.

In 2015, employee benefits increased by $13.5 million due to a combination of $9.7 million increase in retiree health benefits and $3.8 million in other employee benefits. Retiree health benefits expense increased as a result of an increase in UC Merced's proportional share of the University of California's obligations and because of a decrease in the actuarially required contribution, which increases the obligation over the long-term. The increase in other employee benefits is a result of increases in employer related social security contributions and workers' compensation costs. In 2014, employee benefits decreased by $7.2 million due to a decrease in the actuarially determined pension expense associated with the University's retirement plan due to increased contributions and better than expected returns on retirement plan investments.

Scholarship and fellowships, represented as payments of financial aid made directly to students, UC Merced places a high priority on student financial aid as part of its commitment to affordability. Reported as operating expenses, UC Merced experienced an increase of $4.5 million.

Scholarship allowances, representing financial aid and fee waivers awarded by UC Merced, were $42.8 million and $44.0 million in 2015 and 2014, respectively. On a combined basis, as UC Merced continues its commitment to provide financial support for needy students, financial aid in all forms increased by $5.8 million totaling $57.5 million and $51.7 million in 2015 and 2014, respectively. Consistent with past practices, approximately one-third of the revenue generated from tuition and fees was used for financial aid.

Other expenses associated with core activities, consist of a variety of expense categories, including materials and supplies, travel, rent, insurance, legal settlements, and repairs and maintenance, plus any gain or loss on disposals of capital assets and other nonoperating expenses. Other expenses increased over the prior year due primarily to an increase in outside purchased services such as environmental and planning studies and outside legal consulting related to projects associated with increasing the size of the campus in terms of both physical infrastructure and campus operations in order to serve a larger student population.

Operating Losses
In accordance with the GASB's reporting standards, operating losses were $161.4 million and $128.1 million in 2015 and 2014, respectively. The operating loss in 2015 and 2014 was partially offset by $122.0 million and $113.4 million, respectively of net nonoperating revenue that clearly supports core operating activities of UC Merced. Expenses associated with core activities in 2015 and 2014 exceeded revenue available to support core activities by $39.4 million and $14.8 million, respectively.

Other Changes in Net Position
Similar to other nonoperating activities discussed above, other changes in net position are also not available to support the University's operating expenses in the current year. State capital appropriations and capital gifts and grants may only be used for the purchase or construction of the specified capital assets. Only

University of California, Merced
Management's Discussion and Analysis (unaudited)
June 30, 2015 and 2014

income earned from gifts of permanent endowments is available in future years to support the specified program. UC Merced's enrollment growth requires new facilities; however, while other higher education institutions have a continuing need for renewal, modernization and seismic correction of existing facilities, because UC Merced is a newer campus fit to meet all safety regulations and meet most modern needs, we can put a higher level of our funds towards growing the campus with new facilities.

UC Merced Foundation

Under University policies approved by The Regents, each individual campus may establish a separate foundation to provide valuable assistance in fundraising, public outreach and other support for the missions of the campus and the University. Although an independent board governs the UC Merced Foundation (the Foundation), its assets are dedicated for the benefit of UC Merced.

During the years ended June 30, 2015 and 2014, gifts of $1.7 million and $1.5 million, respectively were transferred to UC Merced from the UC Merced Foundation. In 2015 and 2014, the Foundation's net position was $10.5 million and $9.3 million respectively.

The Foundation's Financial Position

The Foundation's statement of net position presents their financial position at the end of the year. It displays all of the assets, liabilities and net position. The difference between assets and liabilities are net position, representing a measure of their current financial condition.

The major components of the assets, liabilities and net position of the Foundation at 2015 and 2014 are as follows:

(in thousands of dollars)

	2015	2014
ASSETS		
Investments	$ 9,250	$ 8,197
Pledges receivable, net	695	720
Other assets	569	403
Total assets	**10,514**	**9,320**
LIABILITIES		
Accounts payable and other liabilities	-	-
Total liabilities	**-**	**-**
NET POSITION		
Restricted:		
Nonexpendable	7,120	6,073
Expendable	3,169	3,013
Unrestricted	225	234
Total net position	**$ 10,514**	**$ 9,320**

Investments increased in 2015 due to a combination of new endowment contributions and strong performance in the equity markets. The Foundation Board of Trustees is responsible for its specific investment policy, although the Foundation relies on the Investment Committee of The Regents. All of the Foundation's investments are managed by the University's Chief Investment Officer.

University of California, Merced
Management's Discussion and Analysis (unaudited)
June 30, 2015 and 2014

Pledge receivables remained relatively unchanged from the prior year.

The Foundation's Results of Operations

The Foundation's statement of revenues, expenses and changes in net position is a presentation of their operating results for the year. It indicates whether their financial condition has improved or deteriorated during the year.

A summarized comparison of the operating results for 2015 and 2014 is as follows:

(in thousands of dollars)

	2015	2014
Operating revenues		
Private gifts and other revenues	$ 1,370	$ 1,280
Total operating revenues	**1,370**	**1,280**
Operating expenses		
Grants to campuses and other expenses	1,710	1,564
Total operating expenses	**1,710**	**1,564**
Operating income (loss)	**(340)**	**(284)**
NONOPERATING REVENUES (EXPENSES)		
Investment income	83	72
Net appreciation (depreciation) in fair value of investments	404	1,233
Income (loss) before other changes in net position	**147**	**1,021**
OTHER CHANGES IN NET POSITION		
Permanent endowments	1,047	236
Increase (decrease) in net position	**1,194**	**1,257**
NET POSITION		
Beginning of year	9,320	8,063
End of year	**$10,514**	**$ 9,320**

Operating revenues generally consist of current-use gifts, including pledges and income from other fundraising activities, although they do not include additions to permanent endowments and endowment income. Operating revenues fluctuate based upon fundraising campaigns conducted by the Foundation during the year; however, this year they remained relatively flat compared to the prior year.

Operating expenses generally consist of grants to UC Merced, comprised of current-use gifts and endowment income and other expenses, including gift fees. Grants to campus typically follow the pattern indicated by private gift revenue; however, the campus' programmatic needs are also taken into consideration, subject to abiding by the restricted purposes of gifts to the endowment and the amounts available for grants in any particular year.

Grants to campus can only be made when the cash is received and, in addition, also include endowment investment income, classified as nonoperating income. Therefore, operating losses can occur when grants distributed to the campus in any particular year exceed private gift revenue.

Financial Statements Transmittal Letter
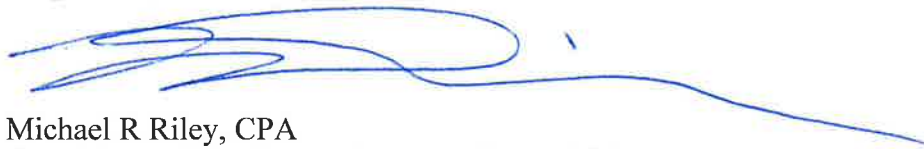
The accompanying Financial Statements reflect the financial position and the results of operations of the University of California, Merced for the fiscal year ended June 30, 2015 and 2014.

The UC Merced Financial Statements are not individually audited, but rather are audited as part of the Consolidated Annual Financial Report of the University of California by the firm KPMG, whose report is transmitted to The Regents.

The accompanying Financial Statements and Management's Discussion and Analysis, detail only local campus activity. This separate UC Merced Annual Financial Report, while not separately audited, is prepared from the official University of California records and accounts, which are maintained in accordance with the standards prescribed by the Governmental Accounting Standards Board (GASB).

In compliance with GASB Statement No. 39, Determining Whether Certain Organizations Are Component Units, the financial activity of the legally separate, tax-exempt UC Merced Foundation can be found discretely recorded in the campus' financial statements under a separate column titled "UC Merced Foundation."

Respectfully submitted,

Michael R Riley, CPA
Controller and AVC – Business and Financial Services

University of California, Merced
STATEMENTS OF NET POSITION
At June 30, 2015 and 2014 *(in thousands of dollars)*

| | Campus | | Foundation | |
	2015	**2014**	**2015**	**2014**
Assets				
Cash and cash equivalents	$ 142,170	$ 131,835	$ 5	$ 5
Accounts receivable, net	9,015	13,694		
Pledges receivable, net	-	100	283	191
Inventories	1,005	856		
Other current assets	-	2,840	564	398
Current assets	152,190	149,325	852	594
Investments	29,342	27,582	9,250	8,197
Investments held by trustees	1,734	13,658		
Pledges receivable, net	-	16	412	529
Capital assets, net	564,838	541,322		
Other noncurrent assets	7,256	5,646		
Noncurrent assets	603,170	588,224	9,662	8,726
Total assets	755,360	737,549	10,514	9,320
Deferred outflows of resources	76,803	51,044		
Liabilities				
Accounts payable	14,156	11,867		
Accrued salaries	9,857	7,341		
Employee benefits	3,325	2,747		
Unearned revenue	2,214	6,480		
Commercial paper	32,180	1,164		
Current portion of long-term debt	86,922	90,622		
Funds held for others	1,133	922		
Other current liabilities	5,363	2,998		
Current liabilities	155,150	124,141	-	-
Long-term debt	420,868	421,086		
Pension and other postretirement benefits	168,510	120,632		
Other noncurrent liabilities	4,808	4,942		
Total Noncurrent Liabilities	594,186	546,660	-	-
Total Liabilities	749,336	670,801	-	-
Deferred inflows of resources	48,424	55,918		
Net position				
Invested in capital assets net of related debt	54,255	60,327		
Restricted:				
Nonexpendable:				
Endowments and gifts	16,180	16,613	7,120	6,073
Expendable:				
Endowments and gifts	26,358	24,007	3,169	3,013
Other	2,559	14,677		
Unrestricted	(64,949)	(53,750)	225	234
Total net position	$ 34,403	$ 61,874	$ 10,514	$ 9,320

See Accompanying Notes to Financial Statements

University of California, Merced
STATEMENTS OF REVENUES, EXPENSES, AND CHANGES IN NET POSITION
As of for the year then ended June 30, 2015 and 2014 *(in thousands of dollars)*

	Campus		Foundation	
	2015	**2014**	**2015**	**2014**
OPERATING REVENUES				
Student tuition and fees, net	$ 62,228	$ 51,031		
Grants and contracts, net				
Federal	16,556	14,274		
State	696	638		
Private	3,727	2,787		
Auxiliary enterprises, net	23,736	21,782		
Campus foundation private gifts			$ 1,319	$ 1,240
Other operating revenues, net	7,153	6,091	51	40
Total operating revenues	114,096	96,603	1,370	1,280
OPERATING EXPENSES				
Salaries and wages	110,033	94,866		
UCRP benefits	9,981	9,954		
Retiree health benefits	18,824	9,166		
Other employee benefits	29,634	25,809		
Supplies and materials	21,025	19,188		
Depreciation and amortization	25,843	22,386		
Scholarships and fellowships	13,454	8,908		
Utilities	4,534	4,458		
Campus foundation grants			1,710	1,546
Other operating expenses	42,150	30,015	-	18
Total operating expenses	275,478	224,750	1,710	1,564
Total operating loss	(161,382)	(128,147)	(340)	(284)
NONOPERATING REVENUES (EXPENSES)				
State educational appropriations	119,065	109,365		
State financing appropriations	30	10		
Federal financing appropriations	1,538	1,525		
Federal pell grants	16,526	16,426		
Private gifts, net	2,422	2,256		
Investment income:				
Short Term Investment Pool and other, net	2,272	2,407		
Endowment, net	570	604		
Campus foundations			83	72
Net appreciation (depreciation) in fair value of investments			404	1,233
Interest expense	(20,233)	(19,172)		
Loss on disposal of capital assets	(119)	(109)		
Other nonoperating (expenses) revenues, net	(101)	50		
Net nonoperating revenues	121,970	113,362	487	1,305
Income (loss) before other changes in net position	(39,412)	(14,785)	147	1,021
OTHER CHANGES IN NET POSITION				
Capital gifts and grants, net	1,432	2,066		
State capital appropriations	2,323	296		
Permanent endowments			1,047	236
Contributions from the University for the building program	25,488	12,010		
Other transfers	(17,302)	6,954		
Increase (decrease) in net position	(27,471)	6,541	1,194	1,257
NET POSITION				
Beginning of year, as previously reported	61,874	55,333	9,320	8,063
End of Year	$ 34,403	$ 61,874	$ 10,514	$ 9,320

See Accompanying Notes to Financial Statements

University of California, Merced
STATEMENTS OF CASH FLOWS
As of for the year then ended June 30, 2015 and 2014 *(in thousands of dollars)*

	Campus		Foundation	
	2015	**2014**	**2015**	**2014**
CASH FLOWS FROM OPERATING ACTIVITIES				
Student tuition and fees	$ 62,306	$ 50,918		
Grants and contracts	19,779	17,732		
Auxiliary enterprises	23,632	21,797		
Campus foundation private gifts			$ 1,343	$ 1,549
Payments to employees	(107,173)	(91,949)		
Payments to suppliers and utilities	(64,100)	(58,650)		
Payments to UCRP	(12,563)	(8,880)		
Payments for retiree health benefits	(2,330)	(2,263)		
Payments for other employee benefits	(29,433)	(25,570)		
Payments for scholarships and fellowships	(13,454)	(8,908)		
Payments to campuses and beneficiaries			(1,710)	(1,546)
Other receipts (payments), net	7,217	13,206	52	10
Net cash (used) provided by operating activities	(116,119)	(92,567)	(315)	13
CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES				
State educational appropriations	115,525	106,168		
Federal pell grants	16,502	16,431		
Gifts received for other than capital purposes:				
Private gifts for endowment purposes			1,047	236
Other private gifts	2,538	2,507		
Student direct lending receipts	25,560	25,287		
Student direct lending payments	(25,560)	(25,287)		
Scheduled principal paid on debt	(1,799)	(844)		
Interest paid on debt	(334)	(448)		
Other receipts (payments), net	558	4,344		
Net cash provided by noncapital financing activities	132,990	128,158	1,047	236
CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES				
State capital appropriations	2,422	2,746		
State financing appropriations	30	1,524		
Federal financing appropriations	1,538	1,540		
Proceeds from debt issuance	695	302,342		
Purchases of capital assets	(49,618)	(57,518)		
Refinancing/Prepayment Outstanding Debt		(269,900)		
Scheduled principal paid on debt & capital leases	(6,339)	(5,759)		
Interest paid on debt and capital leases	(17,577)	(18,656)		
Commercial paper financing:				
Proceeds from Issuance	31,425	1,164		
Payments of Principal	(409)	(8,763)		
Interest Paid	(23)	(19)		
Other receipts (payments), net	28,478	37,098		
Net cash used by capital and related financing activities	(9,378)	(14,201)	-	-
Cash Flows from Investing Activities				
Proceeds from sale & maturities of investments			1,368	1,601
Purchase of investments			(2,183)	(1,921)
Investment income, net of investment expenses	2,842	3,011	83	71
Net cash provided (used) by investing activities	2,842	3,011	(732)	(249)
Net increase in cash and cash equivalents	10,335	24,401	-	-
Cash and cash equivalents, beginning of year	131,835	107,434	5	5
Cash and cash equivalents, end of year	$ 142,170	$ 131,835	$ 5	$ 5

See Accompanying Notes to Financial Statements

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

Organization
The University of California ("the University") was founded in 1868 as a public, state-supported institution. The California State Constitution provides that the University shall be a public trust administered by the corporation, "The Regents of the University of California," which is vested with full powers of organization and government, subject only to such legislative control necessary to ensure the security of its funds and compliance with certain statutory and administrative requirements. The majority of the 26-member independent governing board (The Regents) is appointed by the governor and approved by the state Senate. Various University programs and capital outlay projects are funded through appropriations from the state's annual Budget Act. The University's financial statements are discretely presented in the state's general purpose financial statements as a component unit.

Financial Reporting Entity
The University of California, Merced (UC Merced) campus is the tenth and newest of the University of California's campuses, established in 2005. The financial statements included in this annual report present the activities of the Merced campus. The University of California System is subject to an annual audit of the consolidated statements, of which UC Merced is a part. The financial statements for the Merced campus have not been individually audited.

The UC Merced Foundation (the Foundation) is a 501(c)(3) organization established for the purpose of encouraging voluntary private gifts, trusts, and bequests for the benefit of UC Merced. The economic resources received or held by the Foundation are entirely for the benefit of UC Merced. The financial activities of the separately incorporated Foundation are not reflected in the campus' records until such time as gifts are transferred from the Foundation to the campus.

Because of the nature and significance of its relationship with UC Merced, including their ongoing financial support, the Foundation is reported under Governmental Accounting Standards Board (GASB) requirements as a discretely presented component unit of UC Merced. In accordance with the statements of GASB, Foundation activity is disclosed on UC Merced's financial statements in a separate column.

Significant Accounting Policies
The financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America, using the economic resources measurement focus and the accrual basis of accounting. The University follows accounting principles issued by the GASB.

The significant accounting policies of UC Merced are as follows:

Cash and cash equivalents. UC Merced considers all balances in demand deposit accounts to be cash.

Investments. Investments are carried at fair value. Investments consist of investments in the UC Regents General Endowment Pool ("GEP"). The basis of determining the fair value of pooled funds or mutual funds is determined as the number of units held in the pool multiplied by the price per unit share.

Accounts receivable, net. Accounts receivable, net of allowance for uncollectible amounts, includes reimbursements due from state and federal sponsors of externally-funded research and other receivables. Other receivables include local government and private grants and contracts, educational activities and amounts due from students, employees and faculty for services.

Pledges receivable, net. Unconditional pledges, net of allowance for uncollectible amounts, of private gifts to UC Merced or to the UC Merced Foundation in the future are recorded as pledges receivable and revenue in the year promised at the present value of expected cash flows. Conditional pledges, including pledges of endowments to be received in future periods and intentions to pledge, are recognized as receivables and revenues when the specified conditions are met. Receivables and contribution revenue

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

associated with externally-held investment trusts are not reflected in the accompanying financial statements. UC Merced recognizes contribution revenue when all eligibility requirements have been met.

Notes receivable, net. Loans to students, net of allowance for uncollectible amounts are provided from federal student loan programs and from other University sources.

Inventories. Inventories, consisting primarily of supplies and merchandise for resale, are valued at cost, typically determined using the weighted average method, which is not in excess of net realizable value.

Capital asset, net. Land, infrastructure, buildings and improvements, equipment, libraries and collections, and special collections are recorded at cost at the date of acquisition, or estimated fair value at the date of donation in the case of gifts. Estimates of fair value involve assumptions and estimation methods that are uncertain and, therefore, the estimates could differ from actual results. Capital leases are recorded at the present value of future minimum lease payments. Significant additions, replacements, major repairs, and renovations to infrastructure and buildings are generally capitalized if the cost exceeds $35,000 and if they have a useful life of more than one year. Minor renovations are charged to operations. Equipment with cost in excess of $5,000 and a useful life of more than one year is capitalized. All costs of land, library collections and special collections are capitalized.

Depreciation is calculated using the straight-line method over the estimated economic life of the asset. Equipment under capital leases is amortized over the estimated useful life of the equipment. Leasehold improvements are amortized using the straight-line method over the shorter of the life of the applicable lease, or the economic life of the asset.

Estimated economic lives are generally as follows:

	Years
Infrastructure	25
Buildings and improvements	15 - 33
Equipment	2 - 20
Computer software	3 - 7
Intangible assets	2 - indefinite
Library books and collections	15

Capital assets acquired through federal grants and contracts where the federal government retains a reversionary interest are also capitalized and depreciated.

Inexhaustible capital assets such as land or special collections that are protected, preserved and held for public exhibition, education or research, including art, museum, scientific and rare book collections are not depreciated.

Interest on borrowings to finance facilities is capitalized during construction, net of any investment income earned during the temporary investment of project-related borrowings.

Unearned revenue. Unearned revenue primarily includes amounts received from grant and contract sponsors that have not been earned under the terms of the agreement, and other revenue billed in advance of the event, such as student tuition and fees for housing and dining services .

Funds held for others. Funds held for others result from UC Merced acting as an agent or fiduciary on behalf of organizations that are not significant or financially accountable to UC Merced.

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

Federal refundable loans. Certain loans to students are administered by UC Merced with funding primarily supported by the federal government. UC Merced's statement of net position includes both the notes receivable and the related federal refundable loan liability representing federal capital contributions owed upon termination of the program.

Self-insurance programs. The University is self-insured or insured through a wholly-owned captive insurance company for medical malpractice, worker's compensation, employee health care and general liability claims. These risks are subject to various claims and aggregate limits, with excess liability coverage provided by an independent insurer. Liabilities are recorded on a systemwide basis when it is probable a loss has occurred and the amount of the loss can be reasonably estimated. These losses include an estimate for claims that have been incurred, but not reported. The estimated liabilities are based upon an independent actuarial determination of the present value of the anticipated future payments. Each campus funds the self-insurance liability through predetermined rates applied to payroll and other expenses. These amounts are reflected as operating expenses in UC Merced's statement of revenue, expenses, and changes in net position. UC Merced's financial statements do not reflect any liabilities for self-insurance claims, as these estimated liabilities are recorded on a systemwide basis.

Deferred outflows of resources and deferred inflows of resources. UC Merced classifies gains on retirement of debt as deferred inflows of resources and losses as deferred outflows of resources and amortizes such amounts as a component of interest expense over the remaining life of the old debt, or the new debt, whichever is shorter.

Changes in net pension liability not included in pension expenses are reported as deferred outflows of resources or deferred inflows of resources. Employer contributions subsequent to the measurement date of the net pension liability are reported as deferred outflows of resources.

Net position. Net position is required to be classified for accounting and reporting purposes into the following categories:

Invested in capital assets, net of related debt. This category includes all of UC Merced's capital assets, net of accumulated depreciation, reduced by outstanding debt attributable to the acquisition, construction or improvement of those assets.

Restricted. UC Merced and the Foundation classify the net position resulting from transactions with purpose restrictions as restricted net position until the specific resources are used for the required purpose, or for as long as the provider requires the resources to remain intact.

Nonexpendable. The net position subject to externally imposed restrictions that must be retained in perpetuity by UC Merced or the Foundation, is classified as nonexpendable net position. This includes UC Merced and the Foundation permanent endowment funds.

Expendable. The net position whose use by UC Merced or the Foundation is subject to externally-imposed restrictions that can be fulfilled by actions of UC Merced or the Foundation pursuant to those restrictions or that expire by the passage of time are classified as expendable net position.

Unrestricted. The net position that is neither reserved, restricted nor invested in capital assets, net of related debt, are classified as unrestricted net position. UC Merced's unrestricted net position may be designated for specific purposes by management or The Regents. The Foundation's unrestricted net position may be designated for specific purposes by their Board of Trustees. Substantially all of UC Merced's unrestricted net position is allocated for academic and research initiatives or programs, for capital programs or for other purposes.

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

Expenses are charged to either restricted or unrestricted net position based upon a variety of factors, including consideration of prior and future revenue sources, the type of expenses incurred, UC Merced's budgetary policies surrounding the various revenue sources or whether the expense is a recurring cost.

Revenues and expenses. Operating revenues of UC Merced include receipts from student tuition and fees, grants and contracts for specific operating activities, and sales and services from educational activities and auxiliary enterprises. Operating expenses incurred in conducting the programs and services of UC Merced are presented in the statement of revenues, expenses and changes in net position as operating activities.

Certain significant revenues relied upon and budgeted for fundamental operational support of the core instructional mission of UC Merced are mandated by the GASB to be recorded as nonoperating revenues, including state educational appropriations, certain federal grants for student financial aid, private gifts, and investment income, since the GASB does not consider them to be related to the principal operating activities of UC Merced.

The Foundation was established to financially support UC Merced. Private gifts to the Foundation are recognized as operating revenues since, in contrast to the University, such contributions are fundamental to the core mission of the Foundation. Foundation grants to UC Merced are recognized as operating expenses by the Foundation. Private gift or capital gift revenues associated with the Foundation grants to UC Merced are recorded by UC Merced as gifts when the Foundation transfers the gift to UC Merced.

Nonoperating revenues and expenses include state educational appropriations, state financing appropriations, federal Pell grants, private gifts for other than capital purposes, investment income, net unrealized appreciation or depreciation in the fair value of investments, interest expense, and gain or loss on the disposal of capital assets.

State capital appropriations, capital gifts and grants, and gifts for endowment purposes are classified as other changes in net position.

Student tuition and fees. Substantially all of the student tuition and fees provide for current operations of UC Merced. A small portion of student fees is required for debt service associated with the recreation center.

UC Merced recognizes scholarship allowances as the difference between the stated charge for tuition and fees, housing and dining charges, recreational center fees, and other fees, and the amount that is paid by the student and third parties on behalf of the student. Payments of financial aid made directly to students are classified as scholarship and fellowship expenses.

Scholarship allowances are netted in the statement of revenues, expenses and changes in net position for the years ended June 30, 2015 and 2014 as follows:

(in thousands of dollars)

	2015	2014
Student tuition and fees	$ 35,574	$ 34,444
Auxiliary enterprises	8,370	8,246
Other operating revenues	100	97
Scholarship allowances	**$ 44,044**	**$ 42,787**

State appropriations. The state of California provides appropriations to the University on an annual basis. State educational appropriations are recognized as nonoperating revenue; however, the related expenses for educational operations or other specific operating purposes are reported as operating expenses. State financing appropriations provide for principal and interest payments associated with lease-purchase

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

agreements with the State Public Works Board and are also reported as nonoperating revenue. State appropriations for capital projects are recorded as revenue under other changes in net position when the related expenditures are incurred. A special state appropriation for breast cancer imaging research is reported as grant operating revenue.

Grant and Contract revenue, net. UC Merced receives grant and contract revenue from governmental and private sources. The campus recognizes revenue associated with the direct costs of sponsored programs as the related expenditures are incurred. Recovery of facilities and administrative costs of federally sponsored programs is at an estimated cost reimbursement rate negotiated with UC Merced's federal cognizant agency, the U.S. Department of Health and Human Services. For the year ended June 30, 2015 the facilities and administrative cost recovery totaled $3,929, which consisted of $3,215 from federally sponsored programs, $89 from state sponsored programs and $625 from other sponsors. For the year ended June 30, 2014 the facilities and administrative cost recovery totaled $3,203, which consisted of $2,663 from federally sponsored programs, $97 from state sponsored programs and $442 from other sponsors.

Retiree health benefits. The University established the University of California Retiree Health Benefit Trust ("UCRHBT") to allow certain University locations and affiliates, including UC Merced, to share the risks, rewards and costs of providing for retiree health benefits and to accumulate funds on a tax-exempt basis under an arrangement segregated from University assets.

The UCRHBT provides retiree health benefits to retired employees of UC Merced. Contributions from the UC Merced to the UCRHBT are effectively made to a single-employer health plan administered by the University as a cost-sharing plan. Campus contributions toward retiree health benefits, at rates determined by the University, are made to the UCRHBT and reduce the obligation for retiree health benefits in the statement of net position.

UC Merced's contributions toward retiree health costs made to UCRHBT are shown as operating activities in the statement of cash flows. Cash flows resulting from retiree health contributions from retirees are shown as noncapital financing activities in the statement of cash flows.

Pension Obligations. The University of California Retirement Plan ("UCRP") provides retirement benefits to retired employees of UC Merced. UC Merced is required to contribute to UCRP at a rate set by The Regents. Pension obligations include UC Merced's share of the University's net pension liability for UCRP. UC Merced's share of net pension liability, deferred inflows of resources, deferred outflows of resources and pension expense have been determined based upon their proportionate share of covered compensation for the fiscal year. The fiduciary net position and changes in fiduciary net position of UCRP have been measured consistent with the accounting policies used by the Plan. For purposes of measuring UCRP's fiduciary net position, investments are reported at fair value and benefit payments are recognized when due and payable in accordance with the benefit terms.

Pension expense is recognized for benefits earned during the period, interest on the unfunded liability and changes in benefit terms. The differences between expected and actual experience and changes in assumptions about future economic or demographic factors are reported as deferred inflows or outflows and are recognized over the average expected remaining service period for employees eligible for pension benefits. The differences between expected and actual returns are reported as deferred inflows or outflows and are recognized over five years.

Compensated absences. UC Merced accrues annual leave, including employer-related costs for employees at rates based upon length of service, job classification and compensatory time based upon job classification and hours worked.

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

Endowment spending. Under provisions of California law, the Uniform Prudent Management of Institutional Funds Act allows for investment income, as well as a portion of realized and unrealized gains, to be expended for the operational requirements of University programs.

Tax exemption. The University, which includes the UC Merced Foundation (the Foundation), is recognized as a tax-exempt organization under the provisions of Section 501(c)(3) of the Internal Revenue Code and is exempt from federal and state income taxes on related income.

Use of estimates. The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amount of assets and liabilities and the disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenditures during the reporting period. Although management believes the estimates and assumptions are reasonable, they are based upon information available at the time the estimates and judgment is made and actual amounts could differ from those estimates.

New Accounting Pronouncements. In February 2015, the GASB issued Statement No. 72, *Fair Value Measurement and Application*, effective for the University's fiscal year beginning July 15, 2015. This Statement establishes standards for accounting and financial reporting for fair value measurements. The Statement requires investments to be measured at fair value and permits the use of net asset value as the fair value when an investment does not have a readily determinable fair value. Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Statement No. 72 also requires certain disclosures related to all fair value measurements. The University is evaluating the effect that Statement No. 72 will have on its financial statements.

In June 2015, the GASB issued Statement No. 73, *Accounting and Financial Reporting for Pensions and Related Assets That Are Not within the Scope of GASB Statement 68, and Amendments to Certain Provisions of GASB Statements 67 and 68*, effective for the University's fiscal year beginning July 1, 2015. This Statement establishes requirements for those pensions and pension plans that were not covered by Statements 67 and 68, specifically those not administered through a trust meeting specified criteria. The University is evaluating the effect that Statement 73 will have on its financial statements.

In June 2015, the GASB issued Statement No. 75*, Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions*, effective for the University's fiscal year beginning July 1, 2017. This Statement revises existing standards for measuring and reporting retiree health benefits provided by the University to its employees. This Statement requires recognition of a liability equal to the net retiree health benefit liability, which is measured as the total retiree health benefit liability, less the amount of the UCRHBT's fiduciary net position. The total retiree health benefit liability is determined based upon discounting projected benefit payments based on claims costs, the benefit terms and legal agreements existing at the UCRHBT's fiscal year end. Projected benefit payments are required to be discounted using a single rate that reflects the expected rate of return on investments, to the extent that plan assets are available to pay benefits, and a tax-exempt, high-quality municipal bond rate when plan assets are not available. The Statement requires that most changes in the net retiree health benefit liability be included in retiree health benefit expense in the period of change. As of June 30, 2015, the University reported a retiree health benefit obligation of $9.4 billion, of which, UC Merced's proportionate share is $82,091. Under Statement No. 75, the University's OPEB obligation is expected to increase. The University is evaluating the effect that Statement 75 will have on its financial statements.

In June 2015, the GASB issued Statement No. 76, *The Hierarchy of Generally Accepted Accounting Principles for State and Local Governments*, effective for the University's fiscal year beginning July 1, 2015. This Statement reduces the GAAP hierarchy to two categories of authoritative GAAP from the four

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

categories under GASB Statement No. 55, *The Hierarchy of Generally Accepted Accounting Principles for State and Local Governments*. The first category of authoritative GAAP consists of GASB Statements of Governmental Accounting Standards. The second category comprises GASB Technical Bulletins and Implementation Guides, as well as guidance from the American Institute of Certified Public Accountants that is cleared by the GASB. The University is evaluating the effect that Statement 76 will have on its financial statements.

In August 2015, the GASB issued Statement No. 77, *Tax Abatement Disclosures*, effective for the University's fiscal year beginning July 1, 2016. This Statement requires governments to disclose information about their own tax abatements separately from information about tax abatements that are entered into by other governments that reduce the reporting government's tax revenues. The purpose of this Statement is to increase transparency in regards to tax abatements governments enter into and make the impact of these agreements more apparent to users of the financial statements. The University is evaluating the effect that Statement 77 will have on its financial statements.

1. Cash and Cash Equivalents

Cash and cash equivalents consist of balances in bank demand deposits and funds held with the University. UC Merced invests surplus cash balances in the University of California's Short Term Investment Pool (STIP) as managed by the Chief Investment Officer of the University. Substantially all of UC Merced's cash is deposited into the STIP. Deposits into STIP are considered demand deposits. Unrealized gains and losses associated with the fluctuation in the fair value of the investment included in STIP are not recorded by UC Merced, but are absorbed by the University as manager of the pool.

Cash and cash equivalents at June 30, 2015, and 2014, consist of the following:

(in thousands of dollars)

	UC Merced			UC Merced Foundation		
	2015		2014	2015		2014
Checking accounts	$	259	$ 232	$	5	$ 5
University of California Managed Short Term						
Investment Pool (STIP)		141,911	131,603			-
Total cash and cash equivalents	**$**	**142,170**	**$ 131,835**	**$**	**5**	**$ 5**

The checking accounts at June 30, 2015 and 2014 were insured by federal depository insurance. UC Merced minimizes cash balances held in checking accounts by sweeping available balances into investment accounts on a regular basis. To mitigate the risk of custodial credit risk, UC Merced's cash and investments have been placed with high quality counter parties.

The University of California's STIP invests primarily in U.S. Treasury securities, prime-grade commercial paper, and short-term corporate notes with cost approximating market value. UC Merced earns income based on its average investment in the pool and such income is reported as investment income in the statement of revenue, expenses, and changes in net position.

2. Investments

The Regents, as the governing Board, is responsible for the oversight of the University's investments and establishes investment policy, which is carried out by the Chief Investment Officer. These investments are associated with the Short Term Investment Pool (STIP) and General Endowment Pool (GEP) managed by

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

the Chief Investment Officer, or is separately invested. UC Merced's investments balance consists solely of its investment in the GEP.

GEP is an investment pool in which a large number of individual endowments participate in order to benefit from diversification and economies of scale. GEP is a balanced portfolio and the primary investment vehicle for endowed gift funds. Where donor agreements place constraints on allowable investments, assets associated with endowments are invested in accordance with the terms of the agreements.

Investments authorized by The Regents for GEP include equity securities, fixed-income securities, and certain other asset classes. The equity portion of the investment portfolios include both domestic and foreign common and preferred stocks, which may be included in actively or passively managed strategies, along with a modest exposure to private equities. The University's investment portfolios may include foreign currency denominated equity securities. The fixed-income portion of the investment portfolios may include both domestic and foreign securities, along with certain securitized investments, including mortgage-backed and asset-backed securities. Fixed-income investment guidelines permit the use of futures and options on fixed-income instruments in the ongoing management of the portfolios. Real estate investments are authorized for the GEP. Absolute return strategies, which may incorporate short sales, plus derivative positions to implement or hedge an investment position, are also authorized for GEP.

More detail about the University of California's investments can be found in the 2014–2015 annual report of the University.

3. Investments Held by Trustees

The University has entered into agreements with trustees to maintain trusts for the University's self-insurance programs, long-term debt requirements, capital projects, and certain other requirements. In addition, the state of California retains on deposit, certain proceeds from the sale of lease-revenue bonds to be used for capital projects. The combined fair value of all of the investments and deposits held by trustees was $0.9 billion at both June 30, 2015 and 2014. UC Merced's portion, as determined by the University, was $1,734 and $13,658 at June 30, 2015 and 2014, respectively, related to capital projects.

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

4. Accounts Receivable

Accounts receivable and the allowances for uncollectible amounts at June 30, 2015 and 2014 are as follows:

(in thousands of dollars)

| | UC Merced | | | | | | UC Merced Foundation | |
	State and Federal Government		Other		Total			
At June 30, 2015								
Accounts receivable	$	7,320	$	2,052	$	9,372	$	-
Allowance for uncollectible amounts		(162)		(195)		(357)		
Accounts receivable, net	**$**	**7,158**	**$**	**1,857**	**$**	**9,015**	**$**	**-**
At June 30, 2014								
Accounts receivable	$	10,728	$	3,246	$	13,974	$	-
Allowance for uncollectible amounts		(138)		(142)		(280)		
Accounts receivable, net	**$**	**10,590**	**$**	**3,104**	**$**	**13,694**	**$**	**-**

UC Merced's other accounts receivable are primarily related to private grants and contracts, tuition and fees, and auxiliary enterprises.

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

5. Pledges Receivable

The composition of pledges receivable at June 30, 2015 and 2014 is summarized as follows:

(in thousands of dollars)

	UC Merced		UC Merced Foundation	
	2015	2014	2015	2014
Total pledges receivable outstanding	$ 315	$ 435	$ 917	$ 910
Less: Unamortized discount to present value	(2)	(4)	(26)	(47)
Allowance for uncollectible pledges	(313)	(315)	(196)	(143)
Total pledges receivable, net	**-**	**116**	**695**	**720**
Less: Current portion of pledges receivable	-	(100)	(283)	(191)
Noncurrent portion of pledges receivable	**$ -**	**$ 16**	**$ 412**	**$ 529**

Payments of pledges receivable for the fiscal years subsequent to June 30, 2015 and thereafter are as follows:

(in thousands of dollars)

	UC Merced	UC Merced Foundation
Year Ending June 30		
2016	150	407
2017	50	255
2018	50	111
2019	50	111
2020	15	11
2021-2025		22
Total payments on pledges receivable	**$ 315**	**$ 917**

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

6. Capital Assets

The campus' capital asset activity for the years ended June 30, 2015 and 2014 is as follows:

(in thousands of dollars)

	2013	Additions	Disposals	2014	Additions	Disposals	2015
Original Cost							
Land	$ 12,029			$ 12,029	$ 1,331		$ 13,360
Infrastructure	32,977	$ 3,472		36,449	128		36,577
Buildings and improvements	426,957	159,035		585,992	6,971		592,963
Equipment, software and intangibles	43,679	3,581	$ (422)	46,838	8,002	$ (414)	54,426
Libraries and collections	13,611	1,700		15,311	1,612		16,923
Special collections	132			132			132
Construction in progress	118,141	(110,245)		7,896	31,481		39,377
Capital assets, at original cost	**$ 647,526**	**$ 57,543**	**$ (422)**	**$ 704,647**	**$ 49,525**	**$ (414)**	**$ 753,758**

	2013	Depreciation and Amortization	Disposals	2014	Depreciation and Amortization	Disposals	2015
Accumulated depreciation and amortization							
Infrastructure	$ 9,812	$ 1,446		$ 11,258	$ 1,422		$ 12,680
Buildings and improvements	100,336	16,066		116,402	19,547		135,949
Equipment, software and intangibles	27,510	3,967	$ (313)	31,164	3,853	$ (248)	34,769
Libraries and collections	3,594	907		4,501	1,021		5,522
Accumulated depreciation and amortization	**$ 141,252**	**$ 22,386**	**$ (313)**	**$ 163,325**	**$ 25,843**	**$ (248)**	**$ 188,920**
Capital assets, net	**$ 506,274**			**$ 541,322**			**$ 564,838**

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

7. Long-term Debt

The Regents of the University of California may finance the construction, renovation, and acquisition of certain facilities and equipment for UC Merced and other UC campuses through the issuance of debt obligations. Long-term financing includes revenue bonds, mortgages, capital lease obligations, and other borrowings that have been issued on behalf of UC Merced in the name of The Regents. UC Merced's outstanding debt at June 30, 2015 and 2014 is as follows:

(in thousands of dollars)

	2015	2014
Interim Financing:		
Commercial paper	$ 32,180	$ 1,164
Long-term Financing:		
University of California General Revenue Bonds	465,702	465,007
Capital lease obligations		-
Note payables to UCOP	42,088	46,701
Total outstanding debt	**539,970**	**512,872**
Less: Commercial paper	(32,180)	(1,164)
Current portion of outstanding debt	(86,922)	(90,622)
Noncurrent portion of outstanding debt	**$ 420,868**	**$ 421,086**

The University of California's variable-rate demand bonds reset weekly, and, in the event of a failed remarketing, can be put back to The Regents for tender. Accordingly, UC Merced has recorded its portion, totaling $81.4 million as current portion of long-term debt on the Statements of Net Position for both fiscal years ending June 30, 2015 and 2014. More detail about the University of California's debt can be found in the 2014–2015 annual report of the University.

8. Endowments and Foundation Gifts

Endowments and gifts are held and administered either by the University or by UC Merced's Foundation. The value of endowments and gifts held and administered by the University at June 30, 2015 and 2014 is as follows:

(in thousands of dollars)

	UC Merced		UC Merced Foundation	
	2015	2014	2015	2014
Restricted				
Endowments and gifts	$ 16,180	$ 16,613	$ 7,120	$ 6,073
Nonexpendable	16,180	16,613	7,120	6,073
Endowments	14,749	12,307	2,453	2,200
Funds functioning as endowments	4,053	3,836		
Gifts	7,556	7,864	716	813
Expendable	26,358	24,007	3,169	3,013
Unrestricted			225	234
University endowments and gifts	**$ 42,538**	**$ 40,620**	**$ 10,514**	**$ 9,320**

The endowments held by the University are administered on a system-wide basis. The University's endowment income distribution policies are designed to preserve the value of the endowment in real terms

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

(after inflation), and to generate a predictable stream of spendable income. Endowment investments are managed to achieve the maximum long-term total return. As a result of this emphasis on total return, the proportion of the annual income distribution provided by dividend, interest income, and capital gains may vary significantly from year to year. The University's policy is to retain the realized and unrealized appreciation with the endowment, after the annual income distribution has been made to UC Merced.

The portion of investment returns earned on endowments held by the University and distributed at the end of each year to support current operations for the following year is based upon a rate that is approved by The Regents. The annual income distribution transferred to UC Merced from endowments held by the University was $1,357 and $1,281 for the years ended June 30, 2015 and 2014, respectively.

9. Operating Expenses by Function

Operating expenses, by functional classification, for fiscal years ended June 30, 2015 and 2014, are as follows:

(in thousands of dollars)	2015	2014
Instruction	$ 55,596	$ 45,081
Research	23,103	18,497
Public service	4,268	4,088
Academic support	23,062	19,955
Student services	24,097	21,172
Institutional support	63,004	46,699
Operation and maintenance of plant	17,187	15,975
Student financial aid	14,247	9,231
Auxiliary enterprises	20,546	18,733
Depreciation and amortization	25,843	22,386
Other	4,525	2,933
Total	**$ 275,478**	**$ 224,750**

10. Deferred Outflows and Inflows of Resources

The composition of deferred outflows of resources at June 30 is summarized as follows:

(in thousands of dollars)	2015	2014
Pension obligations	$ 50,916	$ 24,232
Loss on debt refunding	25,887	26,812
Total	**$ 76,803**	**$ 51,044**

Deferred inflows of resources for June 30, 2015 and 2014 are related to pension obligations.

11. Retiree Health Plans

The University administers single-employer health plans to provide health and welfare benefits, primarily medical, dental and vision benefits, to eligible retirees of the University of California and its affiliates. The Regents have the authority to establish and amend the benefit plans.

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

The contribution requirements of the eligible retirees and the participating University locations, such as the Medical Centers, are established and may be amended by the University. Membership in the UCRP is required to become eligible for retiree health benefits. Contributions toward benefits are shared with the retiree. The University determines the employer's contribution. Retirees are required to pay the difference between the employer's contribution and the full cost of the health insurance. Retirees employed by the University prior to 1990 are eligible for the maximum employer contribution if they retire before age 55 and have at least 10 years of service, or if they retire at age 55 or later and have at least 5 years of service. Retirees employed by the University after 1989 and not rehired after that date are subject to graduated eligibility provisions that generally require 10 years of service before becoming eligible for 50 percent of the maximum employer contribution, increasing to 100 percent after 20 years of service.

Participating University locations, such as the Medical Centers, are required to contribute at a rate assessed each year by the University. The contribution requirements are based upon projected pay-as-you-go financing requirements. Contributions for fiscal years ended June 30, 2015 and 2014 were $2,311 and $2,473, respectively.

UC Merced's proportionate share of the net obligation for Retiree Health Benefits as of June 30, 2015 and 2014 is as follows:

(in thousands of dollars)	2015	2014
Proportion of the net pension liability	0.9%	0.8%
Proportionate share of net pension liability	$ 82,091	$ 65,578

The actuarial value of UCRHBT assets and the actuarial accrued liability associated with the University's campuses and Medical Centers using the entry age normal cost method as of July 1, 2014, the date of the latest actuarial valuation, were $65.2 million and $14.1 billion, respectively. The net position held in trust for retiree health benefits on the UCRHBT's statement of plan fiduciary net position were $50.6 million and $65.2 million at June 30, 2015 and 2014, respectively. For the years ended June 30, 2015 and 2014, combined contributions from the University's campuses and Medical Centers were $259.2 million and $344.5 million, respectively, including an implicit subsidy of $91.6 million and $85.2 million, respectively. The University's annual retiree health benefit expense for its campuses and Medical Centers was $1.3 billion and $1.2 billion for the years ended June 30, 2015 and 2014, respectively. As a result of contributions that were less than the retiree health benefit expense, the University's obligation for retiree health benefits attributable to its campuses and Medical Centers totaling $9.1 billion and $8.2 billion at June 30, 2015 and 2014, respectively, increased by $907.7 million and $872.9 million for the years ended June 30, 2015 and 2014, respectively.

Information related to plan assets and liabilities as they relate to individual campuses and Medical Centers is not readily available. Additional information on the retiree health plans can be obtained from the 2014–2015 annual reports of the University of California.

12. Retirement Plans

Substantially all full-time employees of UC Merced participate in the University of California Retirement System ("UCRS") that is administered by the University. The UCRS consists of The University of California Retirement Plan ("UCRP"), a single-employer defined benefit plan, and the University of California Retirement Savings Program ("UCRSP") that includes four defined contribution plans with several investment portfolios generally funded with employee non-elective and elective contributions. The Regents have the authority to establish and amend the benefit plans. Additional information on the retirement plans can be obtained from the 2014-2015 annual reports of the University of California Retirement System.

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

The UCRP provides lifetime retirement income, disability protection, death benefits, and post-retirement and pre-retirement survivor benefits to eligible employees of the University. Membership is required in UCRP for all employees appointed to work at least 50 percent time for one year or more, or for an indefinite period or for a definite period of a year or more. An employee may also become eligible by completing 1,000 hours within a 12-month period. Generally, five years of service are required for entitlement to plan benefits. The amount of pension benefit is determined under the basic formula of covered compensation times age factor times years of service credit. The maximum monthly benefit cannot exceed 100 percent of the employee's highest average plan compensation over a 36-month period, subject to certain limits imposed under the Internal Revenue Code. Annual cost-of-living adjustments (COLAs) are made to monthly benefits according to a specified formula based on the Consumer Price Index. Ad hoc COLAs may be granted subject to funding availability.

Contributions. Contributions to the UCRP may be made by UC Merced and the employees. The rates for contributions as a percentage of payroll are determined annually pursuant to The Regents' funding policy, and based upon recommendations of the consulting actuary. The Regents determine the portion of the total contribution to be made by UC Merced and by the employees. Employee contributions by represented employees are subject to collective bargaining agreements. Effective July 1, 2013, employee member and employer contributions were 6.5 percent and 12 percent, respectively. Effective July 1, 2014, employee member and employer contributions were 8.0 percent and 14.0 percent, respectively. Member contributions for the employees in the new benefit tier applicable to employees hired on or after July 1, 2013 are 7.0 percent, and the employer rate is uniform across all members.

Employee contributions to UCRP are accounted for separately and currently accrue interest at 6.0 percent annually. Upon termination, members may elect a refund of their contributions, plus accumulated interest; vested terminated members who are eligible to retire, may also elect monthly retirement income or a lump sum equal to the present value of their accrued benefits.

Contributions for fiscal years ended June 30, 2015 and 2014 are as follows:

(in thousands of dollars)	2015	2014
UC Merced	$ 12,183	$ 9,148
Employees	6,653	4,376
Total	**$ 18,836**	**$ 13,524**

Net Pension Liability. UC Merced's proportionate share of the net pension liability for UCRP as of June 30, 2015 and 2014 is as follows:

(in thousands of dollars)	2015	2014
Proportion of the net pension liability	0.9%	0.8%
Proportionate share of net pension liability	$ 86,419	$ 55,302

UC Merced's net pension liability was measured as of June 30, 2015 and 2014 and was based upon rolling forward the results of the actuarial valuations as of July 1, 2014 and 2013. Actuarial valuations represent a long-term perspective and involve estimates of the value of reported benefits and assumptions about the probability of occurrence of events far into the future. UC Merced's net pension liability was calculated using the following methods and assumptions:

	2015	2014
Inflation	3.0%	3.5%
Investment rate of return	7.25%	7.5%
Projected salary increases	3.8 - 6.2%	4.3 - 6.8%
Cost-of-living-adjustments	2.0%	2.0%

Actuarial assumptions are subject to periodic revisions as actual results are compared with past expectations and new estimates are made about the future. The actuarial assumptions were changed in 2015 based upon the results of an experience study conducted for the period July 1, 2010 through June 30, 2014. For active members, inactive members and healthy retirees, the RP-2014 White Collar Mortality Tables (separate table for males and females), projected with the two-dimensional MP2014 projection scale to 2029, and with ages then set forward one year. For disabled members, rates are based on the RP-2014 Disabled Retiree Mortality Table, projected with the two-dimensional MP2014 projection scale to 2029, and with ages then set back one year for males and set forward five years for females.

The actuarial assumptions used in 2014 were based upon the results of an experience study conducted for the period of July 1, 2006 through June 30, 2010. For active members, inactive members and healthy retirees, the RP-2000 Combined Healthy Mortality Table, projected with scale AA to 2025, with ages set back two years is used. For disabled members, rates are based on the RP-2000 Disabled Retiree Mortality Table, projected with scale AA to 2025, with ages set back two years for males.

The long-term expected investment rate of return assumption for UCRP was determined based on a building-block method in which expected future real rates of return (expected returns, net of inflation) are developed for each major asset class. These returns are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage, adding expected inflation and subtracting expected expenses and a risk margin. The target allocation and projected arithmetic real rates of return for each major asset class, after deducting inflation, but before deducting investment expenses, used in the derivation of the long-term expected investment rate of return assumption are summarized in the following table:

	Target Allocation	Long-Term Expected Real Rate of Return
Asset Class		
U.S. Equity	28.5%	6.1%
Developed International Equity	18.5%	7.0%
Emerging Market Equity	8.0%	8.6%
Core Fixed Income	12.5%	0.8%
High Yield Bonds	2.5%	3.0%
Emerging Market Debt	2.5%	3.8%
TIPS	4.5%	0.4%
Real Estate	5.5%	4.8%
Private Equity	8.0%	11.2%
Absolute Return/Hedge Funds/Real Assets	9.5%	4.4%
Total	**100.0%**	

Discount Rate. The discount rate used to estimate the net pension liability as of June 30, 2015 and 2014 was 7.25 percent and 7.5 percent, respectively. To calculate the discount rate, cash flows into and out of UCRP were projected in order to determine whether UCRP has sufficient cash in future periods for projected benefit payments for current members. For this purpose, UC Merced's contributions that are intended to fund benefits of current plan members and their beneficiaries are included. Projected

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

contributions that are intended to fund the service costs of future plan members and their beneficiaries, as well as projected contributions of future plan members, are not included. UCRP was projected to have assets sufficient to make projected benefit payments for current members for all future years as of June 30, 2015 and 2014.

Sensitivity of the Net Pension Liability to the Discount Rate Assumption. The following presents the current-period net pension liability of the University calculated using the current-period discount rate assumption of 7.25 percent, as well as what the net pension liability would be if it were calculated using a discount rate different than the current assumption:

(in thousands of dollars)

	1% Decrease (6.25%)	Current Discount (7.25%)	1% Increase (8.25%)
UC Merced	$ 145,721	$ 86,419	$ 38,012

Deferred Outflows of Resources and Deferred Inflows of Resources. Deferred outflows of resources and deferred inflows of resources for pensions were related to the following sources for the year ended June 30:

(in thousands of dollars)	2015	2014
Deferred Outflows of Resources		
Changes in proportion and differences between location's contributions and proportionate share of contributions	$ 9,524	$ 187
Changes of assumptions or other inputs	25,231	16,245
Net difference between projected and actual earnings on pension plan investments	16,161	7,800
Total	$ 50,916	$ 24,232
Deferred Inflows of Resources		
Changes in proportion and differences between location's contributions and proportionate share of contributions	$ 6,459	$ 6,539
Changes of assumptions or other inputs	12,329	14,689
Net difference between projected and actual earnings on pension plan investments	26,137	31,249
Difference between expected and actual experience	3,499	3,193
Total	$ 48,424	$ 55,670

Deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense during the year ending June 30, 2015 as follows:

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

(in thousands of dollars)

2016	$	1,804
2017		(2,843)
2018		(4,962)
2019		6,666
2020		1,827
Total	**$**	**2,492**

The UCRS plans (DC Plan, Supplemental DC Plan, 403(b) Plan and 457(b) Plan) provide savings incentives and additional retirement security for all eligible employees. The DC Plan accepts both pre-tax and after-tax employee contributions. The Supplemental DC Plan accepts employer contributions on behalf of certain qualifying employees. The 403(b) and 457(b) plans accept pre-tax employee contributions and the Medical Centers may also make contributions on behalf of certain members of management. Benefits from the plans are based on participants' mandatory and voluntary contributions, plus earnings, and are immediately vested.

13. Commitments and Contingencies

Contractual Commitments

Amounts committed but unexpended for construction projects totaled $29,650 and $43,218 at June 30, 2015 and 2014, respectively.

UC Merced leases buildings and equipment under agreements recorded as operating leases. The terms of operating leases extend through June 2020. Operating lease expenses for the years ended June 30, 2015 and 2014 were $1,323 and $1,330, respectively.

Future minimum payments on operating leases with initial or remaining non-cancelable terms in excess of one year are as follows:

(in thousands of dollars)

	Minimum Annual Lease Payments	
Year Ending June 30		
2016	$	1,419
2017		911
2018		897
2019		565
2020		142
2021		
Total	**$**	**3,934**

Contingencies

Substantial amounts are received and expended by UC Merced under federal and states programs and are subject to audit by cognizant governmental agencies. This funding relates to research, student aid, and other

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

programs. UC Merced management believes that any liabilities arising from such audits will not have a material effect on UC Merced's financial position.

UC Merced is contingently liable in connection with certain other claims and contracts, including those currently in litigation, arising in the normal course of its activities. Although there are inherent uncertainties in any litigation, UC Merced management and general counsel are of the opinion that the outcome of such matters will not have a material effect on UC Merced's financial position.

University of California, Merced
Notes to Financial Statements (unaudited)
June 30, 2015 and 2014

REQUIRED SUPPLEMENTARY INFORMATION

The schedule of UC Merced's proportionate share of UCRP's net pension liability is presented below:

(in thousands of dollars)

As of June 30	Proportion of the net pension liability	Proportionate share of net pension liability		Covered-employee payroll	Proportionate share of the net pension liability as a percentage of its covered-employee payroll	Plan fiduciary net position as a percentage of the total pension liability
2015	0.9%	$	86,419	$ 87,460	98.8%	82.9%
2014	0.8%		55,302	71,228	77.6%	86.3%
2013	0.8%		89,675	73,155	122.6%	78.3%

University of California, Merced
2019-2020 Annual Financial Report (Unaudited)

Table of Contents

I am pleased to present this Annual Financial Report for 2019-2020.

The past year has been a difficult one for many in our campus community. However, we have persevered through the pandemic and supported our colleagues in their times of need. Although many of us did not have the pleasure of being on campus, we will be returning soon and have much to look forward to in the coming year.

The completion of the Merced 2020 Project has nearly doubled the size of our campus and there will be renewed energy as we explore and use these spaces to meet the university's mission. Although we are the youngest campus in the University of California system, our commitment to the mission of a public land grant university is deeply rooted in everything we do. We are making strides toward our goals of educating our young scholars, advancing research that is relevant nationally and internationally, advancing health care in the San Joaquin Valley, and carrying out the public service mission of the University of California.

The commitment to our mission has been widely recognized. Our campus was 97th in U.S. News & World Report's latest ranking of all national universities and 40th among public universities. The university also ranks No. 1 for our ability to outperform expected graduation rates, No. 5 among all universities for social mobility and No. 8 among all universities in economic diversity. Furthermore, two of our graduate programs, Environmental Engineering and Material Science, were recently ranked in U.S. News' top 100.

Sustainability is a UC Merced hallmark, infused in our research, education and physical planning. In 2020, a third-party firm verified UC Merced as the nation's first public research university to achieve carbon neutrality. All university buildings are certified by the Leadership in Energy and Environmental Design (LEED) program. The "triple zero" goal – zero net energy, zero landfill waste and zero net greenhouse gas emissions – was actually achieved in 2018, two years ahead of schedule.

In addition to these successes, the university is taking considerable steps toward modernizing our business and financial services to ensure they enable the campus to continue to meet its mission of teaching, research and public service. In January 2021, UC Merced launched a transformative set of financial systems, led by installation of the Oracle Financial Cloud platform. The ambitious, two-year effort that led to the launch, called Alpha Financials, replaced our outdated legacy systems with reliable, high-value processes. Although this transition will require some patience to learn the new systems, once fully operational they will advance our campus and facilitate efficient financial stewardship of the Board of Regents' resources.

Moving forward, our financial resources will remain constrained by the impacts of the pandemic as well as the costs associated with our campus expansion. However, we will continue to make strategic investments needed to ensure we continue on our path to success. To help guide these resource allocations, the university is nearing completion of Imagine 2030, our first campus-wide strategic plan. In the coming months the Division of Finance and Administration will have the opportunity to review our divisional strategic plan and ensure it is aligned with Imagine 2030.

We are always looking for opportunities to gain efficiencies, attract investment and generate revenues while ensuring sufficient reserves to assure the success of our operations. It is with this commitment to success and growth that I share with you this year's financial report.

Sincerely,

Kurt Schnier
Interim Vice Chancellor and Chief Financial Officer

The objective of Management's Discussion and Analysis (MD&A) is to give readers an overview of the financial position and operating activities of the University of California, Merced (UC Merced), for the fiscal year ended June 30, 2020 with selected comparative information for the fiscal year ended June 30, 2019. This discussion should be read in conjunction with the financial statements and accompanying notes.

UC Merced is the newest of 10 campuses within the University of California System. The UC Merced Annual Financial Report, while not separately audited, is prepared from the official University of California records and accounts, which are maintained in accordance with the standards prescribed by the Governmental Accounting Standards Board (GASB). The three basic financial statements in this report are, the statements of net position, the statements of revenues, expenses and changes in net position, and the statements of cash flows for UC Merced and the affiliated UC Merced Foundation. The financial statements for the UC Merced Foundation are presented discretely from UC Merced. The notes to the financial statements provide additional information that is essential to a full understanding of the financial statements.

The University of California

The University of California, one of the largest and most acclaimed institutions of higher learning in the world, is dedicated to excellence in teaching, research, health care and public service. The University has annual resources of nearly $40.3 billion and encompasses ten campuses, five medical schools and medical centers, four law schools, and a statewide Division of Agricultural and Natural Resources. The University is also involved in the operation and management of three national laboratories for the U.S. Department of Energy (DOE).

The University's Financial Position

The outbreak of COVID-19, a respiratory disease caused by a new strain of coronavirus, was declared a pandemic by the World Health Organization. The outbreak of the disease has affected travel, commerce and financial markets globally in the United States and California, including cities and counties throughout the state. On March 4, 2020, the Gov. Gavin Newsom declared a state of emergency to help the state prepare and respond to COVID-19, and on March 19, 2020, the Gov. Newsom issued a statewide order, Executive Order N-33-20, directing all residents to heed state public health directives to stay home or at their place of residence except as needed to maintain continuity of operations of critical infrastructure sectors during the COVID-19 response. Such orders and restrictions resulted in business closures, work stoppages, slowdowns and delays, work-from-home policies, travel restrictions and cancellations of events. In response to the state orders, the University transitioned to online education for all classes in the spring and gave students living on campus the option to cancel housing contracts and move home. These changes impacted the University's operations in 2020, resulting in lost revenues and increased expenses as compared to budget.

The UC Merced Campus

UC Merced is the newest campus within the University of California, opening in the fall of 2005 with the primary mission of research, teaching and service. The financial statements included in this annual report encompass the following:

The Merced campus spans 8,184 acres in Merced and is devoted to undergraduate and graduate scholarship with fall 2019 enrollment totaling 8,847 students in the following schools and graduate programs:

Academic Schools and Divisions	Graduate Studies
School of Engineering School of Natural Sciences School of Social Sciences, Humanities & Arts	Applied Mathematics Bioengineering Chemistry and Chemical Biology Cognitive and Information Sciences Economics Electrical Engineering and Computer Science Environmental Systems Interdisciplinary Humanities Mechanical Engineering Management of Complex Systems Master of Management Professional Degree Program Materials and Biomaterials Science and Engineering Physics Political Science Psychological Sciences Public Health Quantitative and Systems Biology Sociology

While UC Merced consists of three schools: the School of Engineering, Natural Sciences, and Social Sciences, Humanities and Arts. There are plans to open a School of Management.

During the 2019-20 academic year, receiving just over 29,000 first-time freshman and transfer applications for fall 2019, UC Merced enrolled 2,279 freshman and transfer students. Enrollment decreased slightly compared to the prior fall 2018 term. Although more applicants were admitted for fall 2019, UC Merced's freshman SIR (Statement of Intent to Register) yield decreased from 17% to 15%. Undergraduate applicants who are admitted to one or more campuses of the University of California must indicate to which campus they want to matriculate. The mechanism for this is to sign a Statement of Intent to Register (SIR) when they submit their deposit. UC Merced's SIR yields are heavily influenced by the behavior of UC sister campuses. When those other campuses are in growth mode, UC Merced's yields decrease. During the year, the campus' graduating class awarded 1,671 degrees during the 2019-20 academic year compared to 1,533 in the prior year.

In June 2020, UC Merced completed the Merced 2020 Project, a $1.2 billion extensive expansion of the campus' physical space and capacity. The project came about when the campus reached capacity within its existing facilities and upon approval from the University of California Board of Regents, entered into the largest public-private partnership infrastructure project in U.S. history and will allow the campus to join other UC campuses in expanding enrollment for up to 10,000 students. The new facilities include state-of-the-art buildings with labs, classrooms and additional study areas, student housing, dedicated space for student life and organizations, a conference center, new dining options, additional parking, a competition swimming pool and outdoor recreation courts.

The campus' mission also includes a strong dedication to research and public service, embodied in its proud claim of being the first American research university of the 21st century. The funds spent at UC Merced for research, including graduate student salaries and benefits, along with supplies and equipment necessary for research projects was $77.2 million for fiscal year 2020 as compared to $56.9 million for 2019. In keeping with the University's mission of teaching, research and service, the UC Merced Library is committed to meeting the diverse research, teaching and public service needs of UC Merced researchers (students, faculty and staff) by connecting them to a world of information and ideas. This goal is met in part through the Library's extensive collection of or access to online journals, databases, books and e-books as well as access to the University of California CDL (California Digital Library). Since 2005, UC libraries have digitized millions of books through participation in mass digitization projects with Google and Internet Archive resulting in over 4.5 million available digital volumes.

In addition to its educational and research mission, UC Merced is an important strategic investment in California's future economy. The campus serves as an engine of economic growth throughout the San Joaquin Valley where unemployment and poverty rates substantially exceed California averages. The campus has contributed significantly to the valley economy in wages and benefits, construction contracts to local businesses and goods and services purchased from local businesses.

UC Merced is considered a leader in sustainability design and construction. Since 2005, UC Merced has demonstrated sustainability success in everything from green buildings, water conservation and efficiency as well as procurement. Further pushing the boundary, UC Merced has established the Triple Net Zero Goals: a set of goals for the campus to ultimately produce as much power as it uses, create zero landfill waste and achieve climate neutrality. For the first seven years, all newly constructed buildings on the UC Merced campus were required to achieve a minimum Leadership in Energy and Environmental Design (LEED) silver certification for building, design, and construction. Since 2009, however, the certification requirement is gold. As of the date of this writing, UC Merced has achieved carbon neutrality on its campus, well ahead of its goal. It is the first public university in the country to achieve net-zero carbon on campus. As the UC system works to make all campuses carbon-neutral by 2025, Merced leads the way, having undergone extensive third-party verification to audit its inventories of greenhouse gas emissions from on-site fossil fuel combustion and purchased electricity.

While UC Merced's financial information concerning assets, liabilities, revenues and core activity expenditures is discussed in further detail in the subsequent sections of the MD&A, the following table reflects the composition of the campus for 2020, listing enrollment figures, full-time equivalent employee figures and operating expenses by school.

($ amounts in thousands)	Headcount Under-graduates	Graduates	FTE Employees	Salaries & Wages	Other Expenditures	Total Expenditures
School of Engineering	2,262		226	$ 20,295	$ 13,621	$ 33,916
School of Natural Sciences	2,085		325	25,042	15,821	40,863
School of Social Sciences, Humanities & Arts	3,466		301	27,032	13,560	40,592
Graduate Studies		696	17	1,454	818	2,272
Undeclared	338					
All others, including auxiliaries, student services, etc.			1,124	97,049	197,515	294,564
Subtotal	**8,151**	**696**	**1,993**	**$ 170,872**	**$ 241,335**	**$ 412,207**
Depreciation Expense						45,504
Total						**$ 457,711**

The Campus' Financial Position
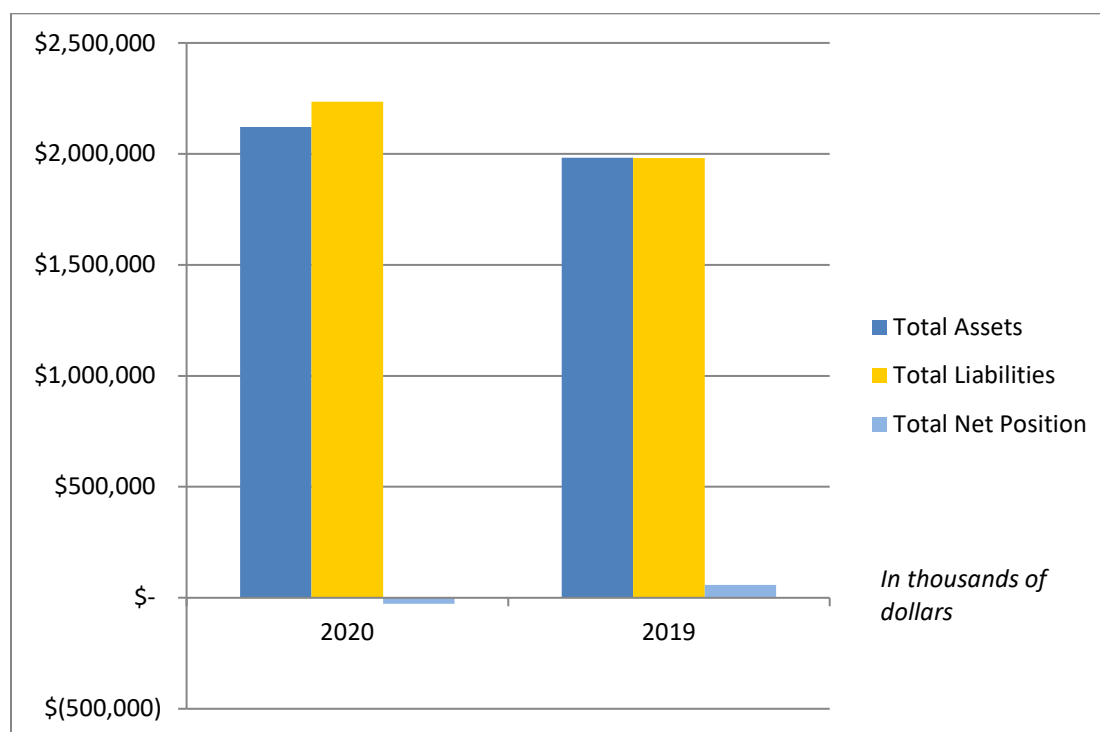
The statement of net position presents UC Merced's financial position as of the end of the fiscal year. It displays all of UC Merced's assets and liabilities. The difference between assets and liabilities is net position.

The Campus' Assets

UC Merced's total assets have grown to $2.170 billion in 2020, compared to $1.983 billion in 2019.

Cash and cash equivalents increased by $26.4 million and decreased by $29.3 million in 2020 and 2019 respectively. The increase in 2020 was the result of debt issuances associated with the expansion efforts of the 2020 Project offset by capital spending. The decrease in 2019 was primarily due to increases in capital spending.

Capital assets, net of accumulated depreciation, increased $225.4 million and $450.8 million in 2020 and 2019, respectively. In 2020, the increase is a result of $271.6 million in capital additions offset by $45.5 million in depreciation and $.7 million in disposals compared to 2019 capital additions of $488.7 million offset by $36.0 million in depreciation and $1.9 million in disposals. Capital additions over the past two years reflects the significant expansion effort which began in 2017 related to the 2020 Project in order to provide the facilities necessary to support UC Merced's teaching, research and public mission and grow the student population to 10,000. In June 2020, the Project was completed, adding new state-of-the-art buildings with labs, classrooms and additional study areas, student housing, dedicated space for student life and organizations, a conference center, new dining options, additional parking, a competition swimming pool and outdoor recreation courts.

The Campus' Deferred Outflows of Resources

Losses on debt refundings and certain changes in the net pension and net retiree health benefits liabilities are reported as deferred outflows of resources. In 2020, deferred outflows increased primarily due to an increase in UC Merced's proportionate share of the University of California retiree health benefits liability. The health benefits liability increased primarily due to changes actuarial assumption and other inputs, specifically the change in the GASB prescribed discount rate. The discount rate decreased from 3.50% as of June 30, 2019 to 2.21% as of June 30, 2020. In 2019 deferred outflows increased due to an increase in UC Merced's proportionate share of the net pension liability. Net pension liability increased primarily due to the effect of changes in actuarial assumptions and the approximately 6% return on the Market Value of Assets during 2018/2019 (which was less than the assumed return of 7.25%).

The Campus' Liabilities

Total liabilities increased $252.8 million in 2020 when compared to 2019 due to an increase in capital related commercial paper financing, borrowings related to the 2020 Project, and an increase in obligations to the University of California Pension and Retiree Health Benefits Programs. In 2019, total liabilities increased $279.2 million when compared to 2018, primarily as the result of an increase in long-term debt related to borrowing for the 2020 project.

The University has a financial responsibility for pension benefits associated with its defined benefit plans and for retiree health benefits which for UC Merced, is guaranteed by the University. In 2020, UC Merced's share of the net pension liability is $192.1 million of the total $21.7 billion for the University as a whole. In 2019, the balance was $159.1 million of the total $18.1 billion liability. Net pension liability increased from $18.1 billion as of June 30, 2019 to $21.7 billion as of June 30, 2020, primarily due to the approximately 1.7% return on the market value of assets during 2019/2020 (which was less than the assumed return of 6.75%).

UC Merced's share of the net retiree health benefit liability in 2020 is $212 million of the total $23.9 billion for the University as a whole. In 2019, the balance was $172.6 million of the total $19.9 billion

liability. The University of California funds retiree health benefits through the UC Retiree Health Benefit Trust (UCRHBT). Currently, the University does not pre-fund retiree health benefits and instead provides for benefits on a pay-as-you-go basis. Since the University's retiree health benefits are effectively funded on a pay-as-you-go cash cost basis, plan assets at the beginning of the year will be insufficient to meet the next year's projected benefit payments. As prescribed by GASB No. 75, the discount rate will be based on the index rate for 20-year tax-exempt general obligation municipal bond index rate with an average rating of AA/Aa or higher as of the measurement date. The University of California elected to determine the discount rate using the Bond Buyer 20-Bond General Obligation Index. Changes in the net retiree health benefits liability are primarily driven by changes in plan provisions or assumptions and changes in the discount rates used to estimate the retiree health benefit liability. UC Merced's fiscal year 2020 health benefits liability increased primarily due to the change in the discount rate which decreased from 3.50% as of June 30, 2019 to 2.21% as of June 30, 2020.

The Campus' Deferred Inflows of Resources

Deferred inflows of resources are related to certain changes in the net pension and net retiree health benefits liabilities. In 2019, deferred inflows increased slightly due to the actual experience of the benefits program over fiscal year 2020 being different than expected, caused primarily by lower-than-expected healthcare premium rates and removal of the health insurance provider fee.

The Campus' Net Position

Net position represents the residual interest in UC Merced's assets and deferred outflows after all liabilities and deferred inflows are deducted. UC Merced has a net position balance of $22.2 million in 2020 compared to a balance of $58.5 million in 2019 due to the University guaranteed pension and retiree health benefit liabilities. If the pension and retiree health benefit liabilities were removed, including the related deferred inflows and outflows from UC Merced's obligations, the net position balance as a result of operations would be a positive $356.4 million and $351.5 million for 2020 and 2019, respectively.

The Campus' Results of Operations

The statement of revenues, expenses and changes in net position is a presentation of the campus' operating results for the year. It indicates whether the financial condition has improved or deteriorated. In accordance with Governmental Accounting Standards Board (GASB) requirements, certain significant revenues relied upon and budgeted for fundamental operational support of the core instructional mission of the campus are required to be recorded as nonoperating revenues, including state educational appropriations, private gifts, and investment income.

A summarized comparison of the operating results from 2020 and 2019, arranged in a format that matches the revenue supporting the core activities of UC Merced with the expenses associated with core activities, is as follows:

(in thousands of dollars)

	2020			2019		
	Operating	Nonoperating	Total	Operating	Nonoperating	Total
REVENUES						
Student tuition and fees, net	$ 84,639		$ 84,639	$ 84,783		$ 84,783
State educational and financing appropriations		$ 219,264	219,264		$ 166,837	166,837
Pell grants		28,430	28,430		27,383	27,383
Grants and contracts, net	37,461		37,461	30,350		30,350
Auxiliary enterprises, net	33,236		33,236	36,973		36,973
Private gifts, net		3,816	3,816		3,039	3,039
Investment income, net		4,449	4,449		5,343	5,343
Other revenues	10,374	1,562	11,936	11,170	1,555	12,725
Revenues supporting core activities	**165,710**	**257,521**	**423,231**	**163,276**	**204,157**	**367,433**
EXPENSES						
Salaries and benefits	281,046		281,046	246,625		246,625
Scholarships and fellowships	26,197		26,197	15,967		15,967
Utilities	6,197		6,197	5,108		5,108
Supplies and materials	44,588		44,588	24,258		24,258
Depreciation and amortization	45,504		45,504	35,985		35,985
Interest expense		44,747	44,747		41,478	41,478
Other expenses	54,179	653	54,832	53,267	1,924	55,191
Expenses associated with core activities	**457,711**	**45,400**	**503,111**	**381,210**	**43,402**	**424,612**
Income (loss) from core activities	**$(292,001)**	**$ 212,121**	**$ (79,880)**	**$(217,934)**	**$ 160,755**	**$ (57,179)**
OTHER CHANGES IN NET POSITION						
State capital appropriations			-			-
Capital gifts and grants, net			308			(220)
Contributions from the University for building programs			18,692			99,713
Other transfers			24,575			43,130
Increase in net position			**(36,305)**			**85,444**
NET POSITION						
Beginning of year, as previously reported			58,534			(26,910)
Cumulative effect of accounting change			-			-
Begining of year, as restated			58,534			(26,910)
End of year			**$ 22,229**			**$ 58,534**

Revenues Supporting Core Activities

Revenues to support UC Merced's core activities, including those classified as nonoperating revenues, grew from $367.4 million in 2019 to $423.2 million in 2020, an increase of $55.8 million as compared to an increase of $32 million in 2019 compared to 2018.

State of California educational and financing appropriations, in conjunction with student tuition and fees, are the core components that support the instructional mission of the University. Grants and contracts provide opportunities for undergraduate and graduate students to participate in basic research alongside prominent researchers. Gifts to campus allow crucial flexibility to faculty for support of their fundamental activities or new academic initiatives. Other revenues are derived from educational activities and auxiliary enterprises, such as student housing, food service and parking.

Revenues in various categories have increased or decreased over the last year as follows:
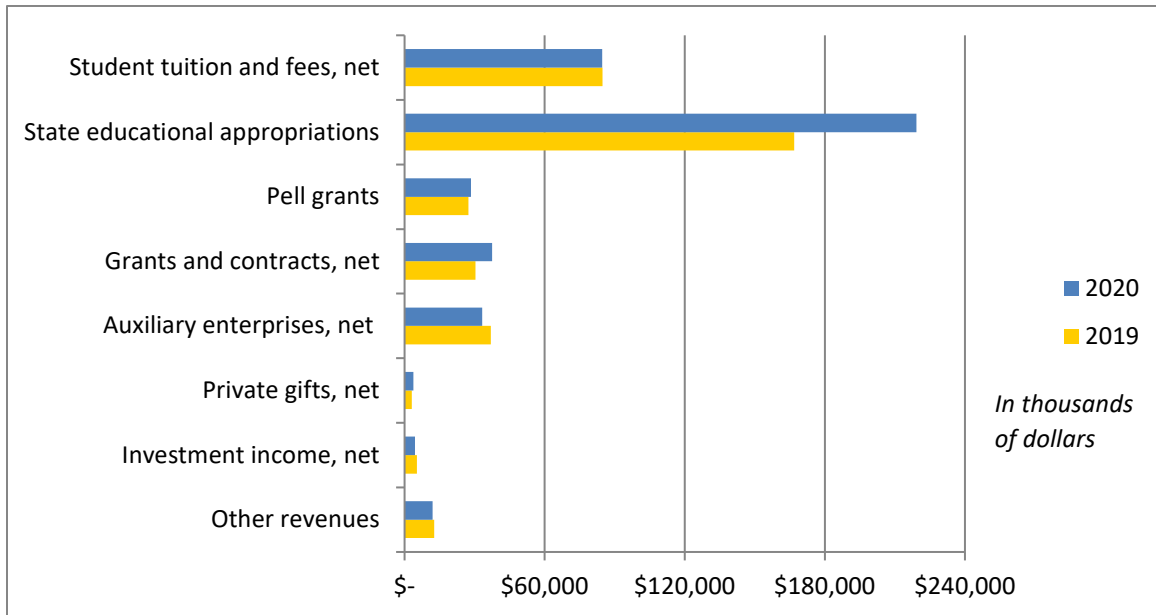
A major financial strength of UC Merced includes a diverse source of revenues, including those from student fees, federally sponsored grants and contracts, the state of California, private donors, self-supporting enterprises, and the commitment of the University of California ensuring UC Merced's success as a newer campus within the UC System.

Categories of both operating and nonoperating revenue that supported UC Merced's core activities in 2020 are as follows:
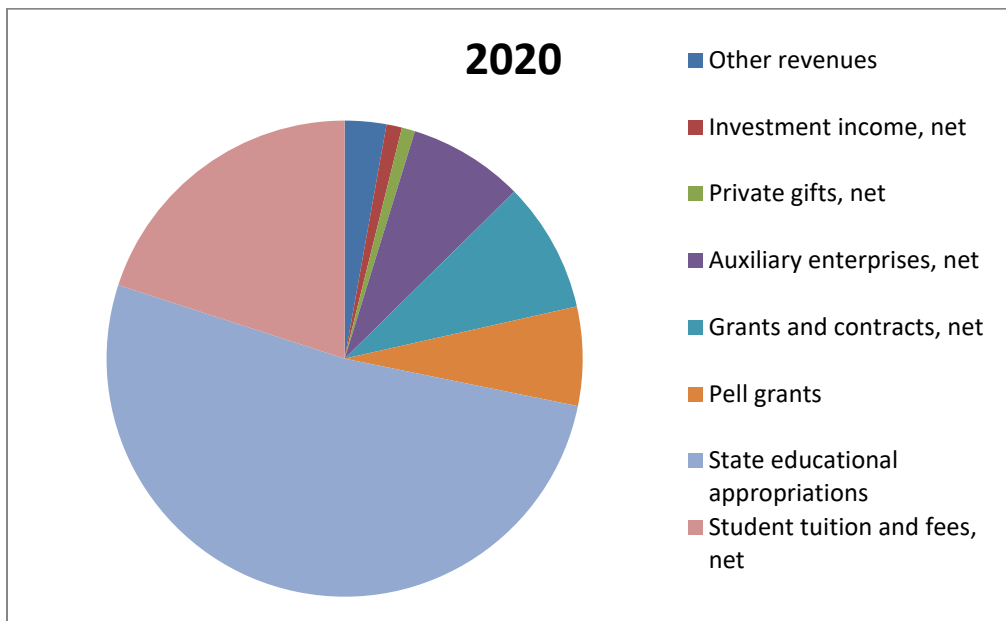
Student Tuition and Fees revenue, net of scholarship allowances, remains relatively unchanged from the prior year and accounts for 20% and 23% of UC Merced's revenue for 2020 and 2019, respectively.

(in thousands of dollars)

	2020	2019	Change
Student tuition and fees	$ 120,789	$ 116,941	$ 3,848
Summer sessions	6,886	5,686	1,200
Scholarship allowances	(43,036)	(37,844)	(5,192)
Total student tuition and fees	**$ 84,639**	**$ 84,783**	**$ (144)**

In 2020, student tuition and fees increased by $3.8 million due to 3.5% growth in student population combined with a per student (graduate and undergraduate) increase in tuition and fees of $231 (resident) and $993 (non-resident). Scholarship allowances increased in 2020, comprising 36% of total student tuition and fees. In 2019, student tuition and fees increased by $7.7 million due to 7.2% growth in student population combined with a per student (graduate and undergraduate) increase in tuition and fees of $190 (resident) and $1,168 (non-resident). Scholarship allowances decreased slightly in 2019, comprising 32% of total student tuition and fees.

State educational appropriations. The state of California provides appropriations to the University on an annual basis. State educational appropriations are recognized as nonoperating revenue; however, the related expenses for educational, retirement or other specific operating purposes are reported as operating expenses. Appropriations from the state of California were $219.3 million and $166.8 million in 2020 and 2019, respectively, accounting for 52% and 45% of UC Merced's revenue for 2020 and 2019, respectively. State educational appropriations increased in 2020 by $52.4 million.

Grants and Contracts, including an overall facilities and administration cost recovery of $6.9 million and $5.6 million in 2020 and 2019, respectively are as follows:

(in thousands of dollars)

	2020	2019	Change
Federal government	$ 26,663	$ 22,100	$ 4,563
State agencies	5,999	3,785	2,214
Private industries	4,799	4,465	334
Total grants and contracts, net	**$ 37,461**	**$ 30,350**	**$ 7,111**

In 2020, grants and contract revenue increased $7.1 million primarily due to an increase of $4.6 million in United States Government grants. In 2019, grants and contract revenue increased $4.4 million primarily due to an increase of $2.9 million in United States Government grants.

Expenses Associated with Core Activities

Expenses associated with UC Merced's core activities, including those classified as nonoperating expenses, were $503.1 million and $424.6 million in 2020 and 2019, respectively.

Expenses in the various categories have increased or decreased over the last year as follows:
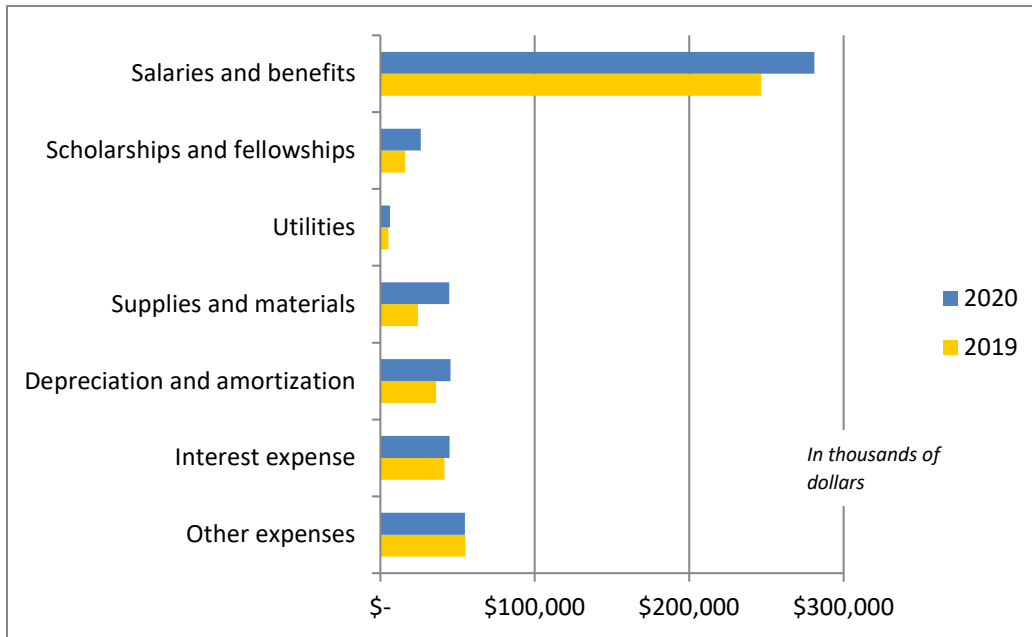
Categories of both operating and nonoperating expenses that support core activities, as of June 30, 2020 are as follows:
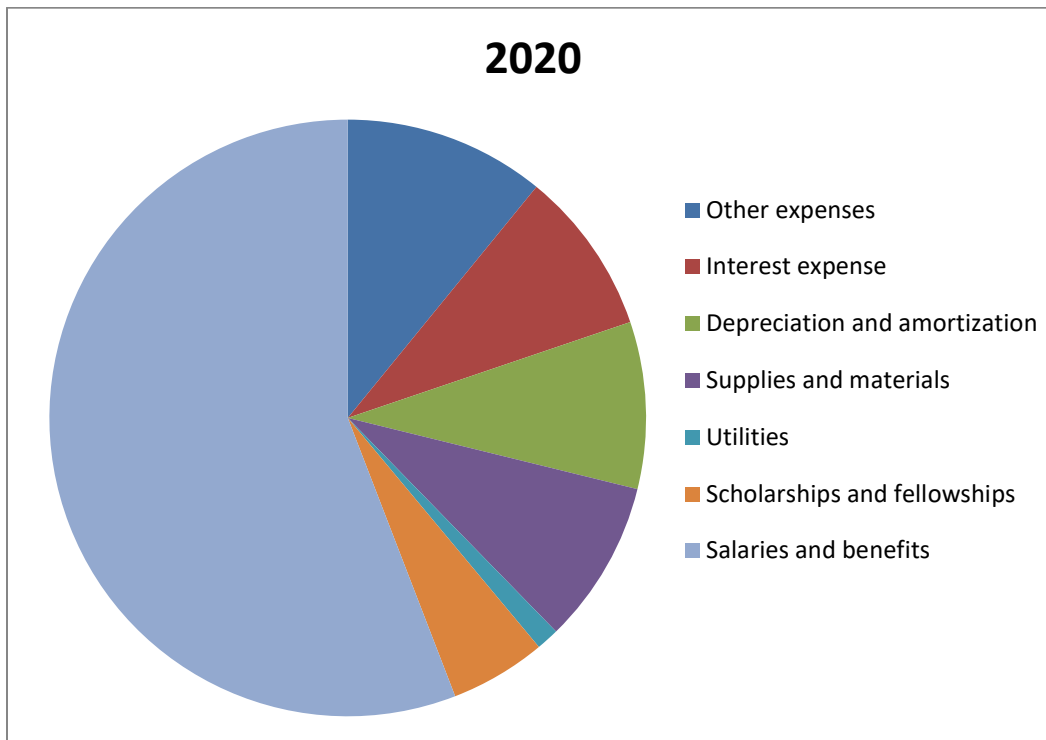
Salaries and benefits cover approximately 1,993 and 2,010 full-time equivalents (FTE) for fiscal year ended 2020 and 2019, respectively. The number of FTE employees decreased slightly from 2019 to 2020 as compared to the prior fiscal year, where FTE employees increased in number by 19.5% in 2019 when

compared to 2018. 61% and 65% of UC Merced's operating expenses are related to salaries and benefits for 2020 and 2019, respectively.

In 2020, UC Merced's salaries and benefits increased by $34.4 million when compared to 2019 due to a combination of a $14.2 million increase in salaries, $10 million increase in UCRP benefits, $4.5 million increase in retiree health benefits and a $5.7 increase in other employee benefits. In 2019, UC Merced's salaries and benefits increased by $41.5 million when compared to 2018 due to a combination of a $16.2 million increase in salaries and $28.4 million increase in UCRP benefits offset by a $3.1 million decrease in retiree health and other employee benefits.

In 2020, salaries increased by 9.1% as a result of increases in average salary while the overall employee population remained relatively flat when compared to 2019. In 2019, salaries increased 11.5% due to an increase in average salary and an increase in the number of FTE employees.

In 2020, employee benefit expenses increased by $20.2 million due to a $10 million increase in pension benefits, $4.5 million increase in retiree health benefits and a $5.7 million increase in other employee benefits. The increase in pension benefits was primarily due to an increase in the interest on the total pension liability, an increase in the recognition of beginning of year deferred outflows of resources as pension expense, an increase in the expensed portion of current-period differences between actual and projected earnings on plan investments and an increase in service costs compared to prior year. Retiree health benefits increased due to a change in the GASB prescribed discount rate. The discount rate decreased from 3.50% as of June 30, 2019 to 2.21% as of June 30, 2020. Other employee benefit expense increased due to a higher Composite Benefit Rate assessment in 2020. In 2019, employee benefit expense increased by $25.3 million primarily due to a $28.4 million increase in pension benefits offset by a $2.8 million decrease in retiree health benefits and a slight decrease in other employee benefits such as Social Security, Medicare, and other employer costs. Increase in pension benefits was due to an increase in the expensed portion of current-period changes of assumptions and other inputs compared to prior year as well as recognition of beginning of year deferred inflow and outflow or resources as pension expense. Retiree health benefits decreased due to a lower discount rate in 2019 compared to 2018.

Scholarship and fellowships, represented as payments of financial aid made directly to students, are part of UCM's commitment to affordability. Reported as operating expenses, UC Merced experienced an increase of $10.2 million and $1.8 million in 2020 and 2019, respectively.

Scholarship allowances, representing financial aid and fee waivers awarded by UC Merced, were $58.1 million and $54.3 million in 2020 and 2019, respectively. On a combined basis, as UC Merced continues its commitment to provide financial support for needy students, financial aid in all forms totaled $84.3 million in 2020. Scholarship allowances increased in 2019 compared to 2018 while direct financial aid payments to students decreased resulting in no change in total aid from 2018 to 2019. Consistent with past practices however, approximately one-third of the revenue generated from tuition and fees was used for financial aid.

Other expenses associated with core activities, consist of a variety of expense categories, including materials and supplies, travel, rent, insurance, legal settlements, and repairs and maintenance, plus any gain or loss on disposals of capital assets and other nonoperating expenses. Other operating expenses increased $31.9 million in 2020, primarily due to the increase in supplies and materials expense and an

increase in depreciation. Supplies and materials expense increased due to the capital expansion and new structures related to the 2020 Project. Similarly, the increase in depreciation is primarily on campus buildings and structures related to the Project 2020 campus expansion.

In 2019, other operating expenses increased by $8.6 million, primarily due an increase in depreciation expense on campus buildings and structures related to the Project 2020 campus expansion and an increase in outside purchased services related to Project 2020 building maintenance and financial software implementation services.

Operating Losses

In accordance with the GASB's reporting standards, operating losses were $292 million and $217.9 million in 2020 and 2019, respectively. The operating losses in 2020 and 2019 were partially offset by $212.1 million and $160.8 million, respectively of nonoperating income that supports the core operating activities of UC Merced. Expenses associated with core activities in 2020 and 2019 exceeded revenue available to support core activities by $79.9 million and $57.2 million, respectively.

Other Changes in Net Position

Similar to other nonoperating activities discussed above, other changes in net position are also not available to support the University's operating expenses in the current year. State capital appropriations and capital gifts and grants may only be used for the purchase or construction of specified capital assets. Income earned from gifts of permanent endowments is only available in future years to support the program specified by the endowment. UC Merced's enrollment growth requires new facilities. However, while other higher education institutions have a continuing need for renewal, modernization and seismic correction of existing facilities, UC Merced is a newer campus meeting safety regulations and most modern needs and as a result can put a higher level of our funds towards growing the campus with new facilities.

UC Merced Foundation

Under University policies approved by The Regents, each individual campus may establish a separate foundation to provide valuable assistance in fundraising, public outreach and other support for the missions of the campus and the University. Although an independent board governs the UC Merced Foundation (the Foundation), its assets are dedicated for the benefit of UC Merced.

The Foundation is a vital component to meeting the funding needs of the Campus and has directly contributed $23.7 million toward meeting UC Merced's mission over the last thirteen years through grants made to UC Merced. More recently, during the years ended June 30, 2020 and 2019, gifts of $2.9 million and $2.1 million, respectively were transferred to UC Merced from the UC Merced Foundation. In 2020 and 2019, the Foundation's net position was $19.0 million and $15.4 million, respectively.

The Foundation's Financial Position

The Foundation's statement of net position presents their financial position at the end of the year. It displays all the assets, liabilities and net position. The difference between assets and liabilities are net position, representing a measure of their current financial condition.

The major components of the assets, liabilities and net position of the Foundation at 2019 and 2018 are as follows:

(in thousands of dollars)

		2020		2019
ASSETS				
Investments	$	14,288	$	13,694
Beneficial interest in split interest agreements		582		565
Pledges receivable, net		144		341
Other assets		4,568		1,335
Total assets		**19,582**		**15,935**
LIABILITIES				
Accounts payable and other liabilities		7		13
Total liabilities		**7**		**13**
DEFERRED INFLOWS OF RESOURCES				
Third party split interest agreements		582		565
NET POSITION				
Restricted:				
Nonexpendable		13,453		9,703
Expendable		5,297		5,575
Unrestricted		243		79
Total net position	$	**18,993**	$	**15,357**

In 2020, the increase in assets from prior year is attributable to the combination of strong investment performance in the equity markets and new endowments gifts. The Foundation Board of Trustees is responsible for its specific investment policy, although the Foundation relies on the Investment Committee of The Regents. All of the Foundation's investments are managed by the University's Chief Investment Officer.

The Foundation's Results of Operations

The Foundation's statement of revenues, expenses and changes in net position is a presentation of their operating results for the year. It indicates whether their financial condition has improved or deteriorated during the year.

A summarized comparison of the operating results for 2020 and 2019 is as follows:

(in thousands of dollars)

	2020	2019
Operating revenues		
Private gifts and other revenues	$ 2,051	$ 2,202
Total operating revenues	**2,051**	**2,202**
Operating expenses		
Grants to campuses and other expenses	2,909	2,140
Total operating expenses	**2,909**	**2,140**
Operating income (loss)	**(858)**	**62**
NONOPERATING REVENUES (EXPENSES)		
Investment income	59	70
Net appreciation (depreciation) in fair value of investments	609	931
Income (loss) before other changes in net position	**(190)**	**1,063**
OTHER CHANGES IN NET POSITION		
Permanent endowments	3,826	1,309
Increase (decrease) in net position	**3,636**	**2,372**
NET POSITION		
Beginning of year	15,357	12,985
End of year	**$18,993**	**$ 15,357**

Operating revenues generally consist of current-use gifts, including pledges and income from other fundraising activities, although they do not include additions to permanent endowments and endowment income. Operating revenues fluctuate based upon fundraising campaigns conducted by the Foundation during the year. In 2020, the Foundation saw a slight decrease in current gift giving as compared to the prior year where the Foundation saw a significant increase in gift giving, both in the number of gifts received and the average dollar amount of gifts.

Operating expenses generally consist of grants to UC Merced, comprised of current-use gifts and endowment income and other expenses, including gift fees. Grants to campus typically follow the pattern indicated by private gift revenue; however, the campus' programmatic needs are also taken into consideration, subject to abiding by the restricted purposes of gifts to the endowment and the amounts available for grants in any particular year.

Grants to campus can only be made when the cash is received and in addition to current gifts, include endowment investment income, which is classified as nonoperating income. Therefore, operating losses can occur when grants distributed to the campus in any particular year exceed private gift revenue.

The accompanying Financial Statements reflect the financial position and the results of operations of the University of California, Merced for the fiscal year ended June 30, 2020 and 2019.

The UC Merced Financial Statements are not individually audited, but rather are audited as part of the Consolidated Annual Financial Report of the University of California by the firm PricewaterhouseCoopers, whose report is transmitted to The Regents.

The accompanying Financial Statements and Management's Discussion and Analysis, detail only local campus activity. This separate UC Merced Annual Financial Report, while not separately audited, is prepared from the official University of California records and accounts, which are maintained in accordance with the standards prescribed by the Governmental Accounting Standards Board (GASB).

In compliance with GASB Statement No. 39, Determining Whether Certain Organizations Are Component Units, the financial activity of the legally separate, tax exempt UC Merced Foundation can be found discretely recorded in the campus financial statements under a separate column titled "UC Merced Foundation."

Respectfully submitted,

Kimberly Groesbeck

Kimberly Groesbeck
Interim AVC/Controller – Business and Financial Services

University of California, Merced
STATEMENTS OF NET POSITION
At June 30, 2020 and 2019 *(in thousands of dollars)*

	UC Merced		Foundation	
	2020	**2019**	**2020**	**2019**
Assets				
Cash and cash equivalents	$ 59,988	$ 33,545	$ -	$ 5
Accounts receivable, net	17,142	15,510		
Pledges receivable, net	-	150	127	254
Inventories	219	849		
Other current assets	(35)	63	4,568	1,330
Current assets	77,314	50,117	4,695	1,589
Investments	119,219	113,394	14,288	13,694
Investments held by trustees	85,763	157,460		
Beneficial interest in split interest agreements			582	565
Pledges receivable, net	-	49	17	87
Notes receivable	2,152	1,506		
Capital assets, net	1,885,283	1,659,910		
Other noncurrent assets	307	116		
Noncurrent assets	2,092,724	1,932,435	14,887	14,346
Total assets	2,170,038	1,982,552	19,582	15,935
Deferred outflows of resources	157,092	124,374		
Liabilities				
Accounts payable	14,621	28,433	-	1
Accrued salaries	172	173		
Employee benefits	3	3		
Unearned revenue	7,022	4,276	7	12
Commercial paper	86,876	958		
Current portion of long-term debt	134,855	101,191		
Funds held for others	4,650	1,546		
Other current liabilities	11,132	7,989		
Current liabilities	259,331	144,569	7	13
Long-term debt	1,565,314	1,501,041		
Pension and other postretirement benefits	404,089	331,695		
Other noncurrent liabilities	5,774	4,419		
Total Noncurrent Liabilities	1,975,177	1,837,155	-	-
Total Liabilities	2,234,508	1,981,724	7	13
Deferred inflows of resources	70,393	66,668	582	565
Net position				
Invested in capital assets net of related debt	200,779	233,026		
Restricted:				
Nonexpendable:				
Endowments and gifts	16,881	16,869	13,453	9,703
Expendable:				
Endowments and gifts	37,960	36,278	5,297	5,575
Other	4,697	7,225		
Unrestricted	(238,088)	(234,864)	243	79
Total net position	$ 22,229	$ 58,534	$ 18,993	$ 15,357

See Accompanying Notes to Financial Statements

University of California, Merced
STATEMENTS OF REVENUES, EXPENSES, AND CHANGES IN NET POSITION
As of for the year then ended June 30, 2020 and 2019 *(in thousands of dollars)*

	UC Merced		Foundation	
	2020	2019	2020	2019
OPERATING REVENUES				
Student tuition and fees, net	$ 84,639	$ 84,783		
Grants and contracts, net				
Federal	26,663	22,100		
State	5,999	3,785		
Private and local	4,799	4,465		
Auxiliary enterprises, net	33,236	36,973		
Campus foundation private gifts			$ 2,043	$ 2,078
Other operating revenues, net	10,374	11,170	8	124
Total operating revenues	165,710	163,276	2,051	2,202
OPERATING EXPENSES				
Salaries and wages	170,872	156,619		
UCRP benefits	51,139	41,180		
Retiree health benefits	15,914	11,390		
Other employee benefits	43,121	37,436		
Supplies and materials	44,588	24,258		
Depreciation and amortization	45,504	35,985		
Scholarships and fellowships	26,197	15,967		
Utilities	6,197	5,108		
Campus foundation grants			2,883	2,111
Other operating expenses	54,179	53,267	26	29
Total operating expenses	457,711	381,210	2,909	2,140
Total operating loss	(292,001)	(217,934)	(858)	62
NONOPERATING REVENUES (EXPENSES)				
State educational appropriations	206,801	166,837		
State financing appropriations	12,463	-		
Federal financing appropriations	1,562	1,555		
Federal pell grants	28,430	27,383		
Private gifts, net	3,816	3,039		
Investment income:				
Short Term Investment Pool and other, net	2,293	3,354		
Endowment, net	2,156	1,989		
Campus foundations			59	70
Net appreciation (depreciation) in fair value of investments			609	931
Interest expense	(44,747)	(41,478)		
Loss on disposal of capital assets	(556)	(1,867)		
Other nonoperating (expenses) revenues, net	(97)	(57)		
Net nonoperating revenues	212,121	160,755	668	1,001
Loss before other changes in net position	(79,880)	(57,179)	(190)	1,063
OTHER CHANGES IN NET POSITION				
State capital appropriations				
Capital gifts and grants, net	308	(220)		
Permanent endowments			3,826	1,309
Contributions from the University for the building program	18,692	99,713		
Other transfers	24,575	43,130		
Increase (decrease) in net position	(36,305)	85,444	3,636	2,372
NET POSITION				
Beginning of year, as previously reported	58,534	(26,910)	15,357	12,985
Cumulative effect of accounting change				
Begining of year, as restated	58,534	(26,910)	15,357	12,985
End of Year	$ 22,229	$ 58,534	$ 18,993	$ 15,357

See Accompanying Notes to Financial Statements

20

University of California, Merced
STATEMENTS OF CASH FLOWS
As of for the year then ended June 30, 2020 and 2019 *(in thousands of dollars)*

	UC Merced		Foundation	
	2020	**2019**	**2020**	**2019**
CASH FLOWS FROM OPERATING ACTIVITIES				
Student tuition and fees	$ 84,937	$ 84,172		
Grants and contracts	37,076	27,208		
Auxiliary enterprises	33,132	36,929		
Campus foundation private gifts			$ 2,237	$ 2,043
Payments to employees	(167,656)	(152,389)		
Payments to suppliers and utilities	(103,870)	(101,717)		
Payments to UCRP	(978)	(597)		
Payments for retiree health benefits	-	-		
Payments for other employee benefits	(67,944)	(60,953)		
Payments for scholarships and fellowships	(26,197)	(15,967)		
Loans issued to students	(646)	(667)		
Payments to campuses and beneficiaries			(2,882)	(2,111)
Other receipts (payments), net	23,464	(11,223)	(21)	97
Net cash used by operating activities	(188,682)	(195,204)	(666)	29
CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES				
State educational appropriations	196,291	156,490		
Federal pell grants	28,454	27,382		
Gifts received for other than capital purposes:				
Private gifts for endowment purposes			3,826	1,309
Other private gifts	4,015	3,287		
Student direct lending receipts	28,088	28,261		
Student direct lending payments	(28,088)	(28,261)		
Scheduled principal paid on debt	-	-		
Interest paid on debt	-	-		
Other receipts (payments), net	13,186	471		
Net cash provided by noncapital financing activities	241,946	187,630	3,826	1,309
CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES				
State capital appropriations		-		
Federal financing appropriations	1,561	1,555		
Proceeds from debt issuance	3,872	3,900		
Proceeds from the Sale of Capital Assets	103	-		
Purchases of capital assets	(139,819)	(236,587)		
Scheduled principal paid on debt & capital leases	(26,516)	(14,934)		
Interest paid on debt and capital leases	(33,231)	(37,652)		
Commercial paper financing:				
Proceeds from Issuance	86,184	219		
Payments of Principal	(266)	(1,941)		
Interest Paid	-	-		
Other receipts (payments), net	73,738	258,327		
Net cash used by capital and related financing activities	(34,374)	(27,113)	-	-
Cash Flows from Investing Activities				
Proceeds from sale & maturities of investments	3,104	-	2,472	1,345
Purchase of investments			(5,696)	(2,753)
Investment income, net of investment expenses	4,449	5,343	59	70
Net cash provided by investing activities	7,553	5,343	(3,165)	(1,338)
Net increase (decrease) in cash and cash equivalents	26,443	(29,344)	(5)	-
Cash and cash equivalents, beginning of year	33,545	62,889	5	5
Cash and cash equivalents, end of year	$ 59,988	$ 33,545	$ -	$ 5

See Accompanying Notes to Financial Statements

21

Organization

The University of California ("the University") was founded in 1868 as a public, state-supported institution. The California State Constitution provides that the University shall be a public trust administered by the corporation, "The Regents of the University of California," which is vested with full powers of organization and government, subject only to such legislative control necessary to ensure the security of its funds and compliance with certain statutory and administrative requirements. The majority of the 26-member independent governing board (The Regents) are appointed by the governor and approved by the state Senate. Various University programs and capital outlay projects are funded through appropriations from the state's annual Budget Act. The University's financial statements are discretely presented in the state's general purpose financial statements as a component unit.

Financial Reporting Entity

The University of California, Merced (UC Merced) campus is the tenth and newest of the University of California's campuses, established in 2005. The financial statements included in this annual report present the activities of the Merced campus. The University of California System is subject to an annual audit of the consolidated statements, of which UC Merced is a part. The financial statements for the Merced campus have not been individually audited.

The UC Merced Foundation (the Foundation) is a 501(c)(3) organization established for the purpose of encouraging voluntary private gifts, trusts, and bequests for the benefit of UC Merced. The economic resources received or held by the Foundation are entirely for the benefit of UC Merced. The financial activities of the separately incorporated Foundation are not reflected in the campus' records until such time as gifts are transferred from the Foundation to the campus.

Because of the nature and significance of its relationship with UC Merced, including their ongoing financial support, the Foundation is reported under Governmental Accounting Standards Board (GASB) requirements as a discretely presented component unit of UC Merced. In accordance with the statements of GASB, Foundation activity is disclosed on UC Merced's financial statements in a separate column.

Significant Accounting Policies

The financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America, using the economic resources measurement focus and the accrual basis of accounting. The University follows accounting principles issued by the GASB.

In June 2018, the GASB issued Statement No. 89, Accounting for Interest Cost Incurred before the End of a Construction Period. The Statement requires that interest cost incurred before the end of a construction period be recognized as an expense in the period in which the cost is incurred. As a result,

interest costs would no longer be capitalized as part of the asset's historical cost upon implementation of this new standard. The University implemented this standard as of July 1, 2019.

In August 2018, the GASB issued Statement No. 90, Majority Equity Interests — An Amendment of GASB Statements No. 14 and No. 61 and this change was implemented as of July 1, 2019. The Statement defines a majority equity interest in a legally separate organization and clarifies the accounting and financial reporting for majority equity interests, classified as either investments or component units, in the financial statements. Implementation of Statement No. 90 had no impact on the financial statements.

In March 2020, the GASB issued Statement No. 93, Replacement of Interbank Offered Rates, and this standard was implemented by the University as of July 1, 2018. The Statement establishes reporting requirements related to the replacement of Interbank Offered Rates. Under this standard, the University is permitted to continued hedge accounting for interest rate swaps when the terms of the swaps are modified to replace the London Interbank Offered Rate (LIBOR) as the reference rate as long as certain criteria are met. Implementation of Statement No. 93 had no impact on the 2019 financial statements.

The significant accounting policies of UC Merced are as follows:

Cash and cash equivalents. UC Merced and the Foundation considers all balances in demand deposit accounts to be cash.

Investments. Investments are measured and recorded at fair value. Investments consist of investments in the UC Regents Total Return Investment Pool (TRIP) and General Endowment Pool (GEP), University-managed investment pools which the Campus considers to be external investment pools. UC Merced's investment in external investment pools are reported at net asset value and excluded from the fair value level hierarchy. The basis of determining the fair value of pooled funds or mutual funds is determined as the number of units held in the pool multiplied by the price per unit share.

The net change in the fair value of investments represents both realized and unrealized gains and losses on investments. Realized gains or losses are computed based on specific identification of investments sold or units held in pooled funds. Any gains or losses recognized on the sale of investments are included with investment income.

Endowment funds are invested in accordance with the Endowment Investment Spending Policies and Guidelines, adopted by the Board of Trustees (the Board) and the Uniform Prudent Management of Institutional Funds Act (UPMIFA). Investment decisions are based on a long-term investment strategy, with an objective of maximizing the endowment portfolio's long-term total return (yield plus appreciation). The Campus and Foundation currently invests with the UC Regents and follows the UC Regents' asset allocation policy for the General Endowment Pool (GEP). The allowable range for the portfolio as of June 30, 2020 is 25.6% to 58.1% public equity, 1.9% to 19.4% liquidity (income), 2.1% to 24.6% private equity, 11.8% to 28.8% absolute return and 2.7% to 15.5% real assets. It is the goal of the Foundation that the total return from endowment investments should be adequate to meet the following objectives:

23

- Preserve investment capital and its purchasing power.
- Generate sufficient resources to meet spending needs (payout).
- Attain reasonable capital appreciation through prudent acceptance of risk to enhance the future purchasing power of the investment capital.

Investments held by trustees. Investments held by trustees includes unspent debt proceeds held by the University on behalf of the Campus. Amounts held are primarily for capital related projects. As the Campus incurs related expenses for approved projects, the University reimburses the Campus.

Beneficial interests in irrevocable split-interest agreements. The beneficial interests in irrevocable split-interest agreements represent the Foundation's right to the portion of the benefits from the irrevocable split-interest agreements that are administered by third parties and are recognized as an asset and deferred inflows of resources. These are measured at fair value and are reported as other noncurrent assets in the statements of net position. Changes in the fair value of the beneficial interest asset are recognized as an increase or decrease in the related deferred inflows of resources. At the termination of the agreement, net assets received from the beneficial interests are recognized as revenues.

Accounts receivable, net. Accounts receivable, net of allowance for uncollectible amounts, includes reimbursements due from state and federal sponsors of externally-funded research and other receivables. Other receivables include local government and private grants and contracts, educational activities and amounts due from students, employees and faculty for services.

Pledges receivable, net. Unconditional pledges of private gifts to UC Merced or to the Foundation, net of allowance for uncollectible amounts, are recorded as pledges receivable and revenue in the year promised at the net present value of expected cash flows. Conditional pledges, including pledges of endowments to be received in future periods and intentions to pledge, are recognized as receivables and revenues when the specified conditions are met. Receivables and contribution revenue associated with externally-held investment trusts are not reflected in the accompanying financial statements. UC Merced recognizes contribution revenue and the related pledges receivable when all eligibility requirements have been met.

Notes receivable, net. Loans to students, net of allowance for uncollectible amounts are provided from federal student loan programs and from other University sources.

Inventories. Inventories, consisting primarily of supplies and merchandise for resale, are valued at cost, typically determined using the weighted average method, which is not in excess of net realizable value.

Capital asset, net. Land, infrastructure, buildings and improvements, equipment, libraries and collections, and special collections are recorded at cost at the date of acquisition or estimated fair value at the date of donation in the case of gifts. Estimates of fair value involve assumptions and estimation methods that are uncertain and, therefore, the estimates could differ from actual results. Capital leases are recorded at the present value of future minimum lease payments. Significant additions, replacements, major repairs, and renovations to infrastructure and buildings are generally capitalized if the cost exceeds $35,000 and if they have a useful life of more than one year. Minor renovations are charged to operations. Equipment with cost in excess of $5,000 and a useful life of more than one year is capitalized. All costs of land, library collections and special collections are capitalized.

Depreciation is calculated using the straight-line method over the estimated economic life of the asset. Equipment under capital leases is amortized over the estimated useful life of the equipment. Leasehold improvements are amortized using the straight-line method over the shorter of the life of the applicable lease, or the economic life of the asset.

Estimated economic lives are generally as follows:

	Years
Infrastructure	25
Buildings and improvements	15 - 33
Equipment	2 - 20
Computer software	3 - 7
Intangible assets	2 - indefinite
Library books and collections	15

Capital assets acquired through federal grants and contracts where the federal government retains a reversionary interest are also capitalized and depreciated.

Inexhaustible capital assets such as land or special collections that are protected, preserved and held for public exhibition, education or research, including art, museum, scientific and rare book collections are not depreciated.

Interest on borrowings to finance facilities is capitalized during construction, net of any investment income earned during the temporary investment of project-related borrowings.

Unearned revenue. Unearned revenue primarily includes amounts received from grant and contract sponsors that have not been earned under the terms of the agreement, and other revenue billed in advance of the event, such as student tuition and fees for housing and dining services.

Funds held for others. Funds held for others result from UC Merced acting as an agent or fiduciary on behalf of organizations that are not significant or financially accountable to UC Merced.

Federal refundable loans. Certain loans to students are administered by UC Merced with funding primarily supported by the federal government. UC Merced's statement of net position includes both the notes receivable and the related federal refundable loan liability representing federal capital contributions owed upon termination of the program.

Bond premium. The premium received in the issuance of long-term debt is amortized as a reduction of interest expense over the terms of the related long-term debt.

Self-insurance programs. The University is self-insured or insured through a wholly-owned captive insurance company for medical malpractice, worker's compensation, employee health care and general liability claims. These risks are subject to various claims and aggregate limits, with excess liability coverage provided by an independent insurer. Liabilities are recorded on a systemwide basis when it is probable a loss has occurred and the amount of the loss can be reasonably estimated. These losses include an estimate for claims that have been incurred, but not reported. The estimated liabilities are based upon an independent actuarial determination of the present value of the anticipated future payments. Each campus funds the self-insurance liability through predetermined rates applied to payroll

and other expenses. These amounts are reflected as operating expenses in UC Merced's statement of revenue, expenses, and changes in net position. UC Merced's financial statements do not reflect any liabilities for self-insurance claims, as these estimated liabilities are recorded on a systemwide basis.

Deferred outflows of resources and deferred inflows of resources. Deferred outflows of resources and deferred inflows of resources represent a consumption and acquisition of net position that apply to a future period, respectively. UC Merced classifies gains on retirement of debt as deferred inflows of resources and losses as deferred outflows of resources and amortizes such amounts as a component of interest expense over the shorter of the remaining life of the old or new debt.

The Foundation classifies changes in irrevocable split-interest agreements as deferred inflows of resources.

Changes in net pension liability and net retiree health benefit liability not included in pension expenses and retiree health benefits expense, respectively, are reported as deferred outflows of resources or deferred inflows of resources. Employer contributions subsequent to the measurement date of the net pension and retiree health liabilities are reported as deferred outflows of resources.

Net position. Net position is required to be classified for accounting and reporting purposes into the following categories:

> *Invested in capital assets, net of related debt.* This category includes all of UC Merced's capital assets, net of accumulated depreciation, reduced by outstanding debt attributable to the acquisition, construction or improvement of those assets.

> *Restricted.* UC Merced and the Foundation classify the net position resulting from transactions with purpose restrictions as restricted net position until the specific resources are used for the required purpose, or for as long as the provider requires the resources to remain intact.

>> *Nonexpendable.* The net position subject to externally imposed restrictions that must be retained in perpetuity by UC Merced or the Foundation, is classified as nonexpendable net position. This includes UC Merced and the Foundation permanent endowment funds.

>> *Expendable.* The net position whose use by UC Merced or the Foundation is subject to externally-imposed restrictions that can be fulfilled by actions of UC Merced or the Foundation pursuant to those restrictions or that expire by the passage of time are classified as expendable net position.

> *Unrestricted.* The net position that is neither reserved, restricted nor invested in capital assets, net of related debt, are classified as unrestricted net position. UC Merced's unrestricted net position may be designated for specific purposes by management or The Regents. The Foundation's unrestricted net position may be designated for specific purposes by their Board of Trustees. Substantially all of UC Merced's unrestricted net position is allocated for academic and research initiatives or programs, for capital programs or for other purposes.

Restricted or unrestricted resources are spent based upon a variety of factors, including funding restrictions, consideration of prior and future revenue sources, the type of expenses incurred, UC Merced's budgetary policies surrounding the various revenue sources or whether the expense is a

recurring cost. Unrestricted net position is negative due to UC Merced's proportionate share of University liabilities for pension and retiree health benefits exceeding UC Merced's assets available to pay such obligations.

Revenues and expenses. Operating revenues of UC Merced include receipts from student tuition and fees, grants and contracts for specific operating activities, and sales and services from educational activities and auxiliary enterprises. Operating expenses incurred in conducting the programs and services of UC Merced are presented in the statement of revenues, expenses and changes in net position as operating activities.

Certain significant revenues relied upon and budgeted for fundamental operational support of the core instructional mission of UC Merced are mandated by the GASB to be recorded as nonoperating revenues, including state educational appropriations, certain federal grants for student financial aid, expenses by the Foundation. Private gift or capital gift revenues associated with the Foundation grants to UC Merced are recorded by UC Merced as gifts when the Foundation transfers the gift to UC Merced.

The Foundation was established to financially support UC Merced. Private gifts to the Foundation are recognized as operating revenues since, in contrast to UC Merced, such contributions are fundamental to the core mission of the Foundation. Foundation grants to UC Merced are recognized as operating expenses by the Foundation. Private gift or capital gift revenues associated with the Foundation grants to UC Merced are recorded by UC Merced as gifts when the Foundation transfers the gift to UC Merced.

Nonoperating revenues and expenses include state educational appropriations, state financing appropriations, federal Pell grants, private gifts for other than capital purposes, investment income, net unrealized appreciation or depreciation in the fair value of investments, interest expense, and gain or loss on the disposal of capital assets.

State capital appropriations, capital gifts and grants, and gifts for endowment purposes are classified as other changes in net position.

Student tuition and fees. Substantially all of the student tuition and fees provide for current operations of UC Merced. A small portion of student fees is required for debt service associated with the recreation center.

UC Merced recognizes scholarship allowances as the difference between the stated charge for tuition and fees, housing and dining charges, recreational center fees, and other fees, and the amount that is paid by the student and third parties on behalf of the student. Payments of financial aid made directly to students are classified as scholarship and fellowship expenses.

Scholarship allowances are netted in the statement of revenues, expenses and changes in net position for the years ended June 30, 2020 and 2019 as follows:

(in thousands of dollars)

	2020	2019
Student tuition and fees	$ 43,036	$ 37,844
Auxiliary enterprises	14,931	16,325
Other operating revenues	165	154
Scholarship allowances	**$ 58,132**	**$ 54,323**

State appropriations. The state of California provides appropriations to the University on an annual basis. State educational appropriations are recognized as nonoperating revenue; however, the related expenses for educational operations or other specific operating purposes are reported as operating expenses. State financing appropriations provide for principal and interest payments associated with lease-purchase agreements with the State Public Works Board and are also reported as nonoperating revenue. State appropriations for capital projects are recorded as revenue under other changes in net position when the related expenditures are incurred. A special state appropriation for breast cancer imaging research is reported as grant operating revenue.

Grant and Contract revenue, net. UC Merced receives grant and contract revenue from governmental and private sources. The campus recognizes revenue associated with the direct costs of sponsored programs as the related expenditures are incurred. Recovery of facilities and administrative costs of federally sponsored programs is at an estimated cost reimbursement rate negotiated with UC Merced's federal cognizant agency, the U.S. Department of Health and Human Services. For the year ended June 30, 2020 the facilities and administrative cost recovery totaled $6,853, which consisted of $5,287 from federally sponsored programs, $731 from state sponsored programs and $835 from private sponsors. For the year ended June 30, 2019 the facilities and administrative cost recovery totaled $5,628, which consisted of $4,483 from federally sponsored programs, $489 from state sponsored programs and $656 from private sponsors.

Retiree health benefits and liability. On July 1, 2007, the University of California Retiree Health Benefit Trust ("UCRHBT") was created. The UCRHBT was established to allow certain University locations and affiliates (primarily Campuses, Medical Centers, and Hastings) that share the risks, rewards, and costs of providing for retiree health benefits to fund such benefits on a cost-sharing basis and accumulate funds on a tax-exempt basis under an arrangement segregated from University assets. Currently, the University does not pre-fund retiree health benefits and instead provides for benefits on a pay-as-you-go basis. If pre-funding occurs in the future, the UCRHBT will be used as the vehicle for those assets.

Net retiree health benefits liability includes UC Merced's proportionate share of the University's net retiree health benefits liability. UC Merced's share of net retiree health benefits liability, deferred inflows of resources, deferred outflows of resources and retiree health benefits expense have been determined based upon their proportionate share of the University of California Retirement Plan's ("UCRP") covered compensation for the fiscal year.

Net pension liability. UCRP provides retirement benefits to UC Merced retired employees. UC Merced is required to contribute to UCRP at a rate set by The Regents. Net pension liability includes UC Merced's

share of the University's net pension liability for UCRP. UC Merced's share of net pension liability, deferred inflows of resources, deferred outflows of resources and pension expense have been determined based upon their proportionate share of covered compensation for the fiscal year. The fiduciary net position and changes in the fiduciary net position of UCRP have been measured consistent with the accounting policies used by the Plan. For purposes of measuring UCRP's fiduciary net position, investments are reported at fair value and benefit payments are recognized when due and payable in accordance with the benefit terms.

Pension expense is recognized for benefits earned during the period, interest on the unfunded liability and changes in benefit terms. The differences between expected and actual experience and changes in assumptions about future economic or demographic factors are reported as deferred inflows or outflows and are recognized over the average expected remaining service period for employees eligible for pension benefits. The differences between expected and actual returns are reported as deferred inflows or outflows and are recognized over five years.

Compensated absences. UC Merced accrues annual leave, including employer-related costs for employees at rates based upon length of service, job classification and compensatory time based upon job classification and hours worked.

Endowment spending. Under provisions of California law, the Uniform Prudent Management of Institutional Funds Act allows for investment income, as well as a portion of realized and unrealized gains, to be expended for the operational requirements of University programs.

Tax exemption. The University, which includes UC Merced and the Foundation, is recognized as a tax-exempt organization under the provisions of Section 501(c)(3) of the Internal Revenue Code and is exempt from federal and state income taxes on related income. Because the University is a state institution, related income received by the Campus is also exempt from federal tax under IRC Section 115(a). In addition, the University is exempt from state income taxes imposed under the California Revenue and Taxation Code.

Use of estimates. The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amount of assets and liabilities and the disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenditures during the reporting period. Although management believes the estimates and assumptions are reasonable, they are based upon information available at the time the estimates and judgment is made and actual amounts could differ from those estimates.

New Accounting Pronouncements. In January 2017, the GASB issued Statement No. 84, Fiduciary Activities, effective for the University's fiscal year beginning July 1, 2020. This Statement establishes criteria for identifying fiduciary activities of all state and local governments. Governments with activities meeting the criteria should present a statement of fiduciary net position and a statement of changes in fiduciary net position. This Statement describes four fiduciary funds that should be reported, if applicable: (1) pension (and other employee benefit) trust funds, (2) investment trust funds, (3) private-purpose trust funds and (4) custodial funds. Custodial funds generally should report fiduciary activities that are not held in a trust or an equivalent arrangement that meets specific criteria. The University is evaluating the effect Statement No. 84 will have on its financial statements.

In June 2017, the GASB issued Statement No. 87, Leases, effective for the University's fiscal year beginning July 1, 2021. This Statement establishes a single approach to accounting for and reporting leases based on the principle that leases are financings of the right to use an underlying asset. Under this Statement, a lessee is required to recognize a lease liability and an intangible right-to-use lease asset, and a lessor is required to recognize a lease receivable and a deferred inflow of resources. Limited exceptions to the single-approach guidance are provided for short-term leases, defined as lasting a maximum of twelve months at inception, including any options to extend, financed purchases, leases of assets that are investments and certain regulated leases. The University is evaluating the effect Statement No. 87 will have on its financial statements.

In May 2019, the GASB issued Statement No. 91, Conduit Debt Obligations, effective for the University's fiscal year beginning July 1, 2022. The Statement defines a conduit debt obligation and clarifies the accounting and financial reporting for conduit debt obligations with additional or voluntary commitments by issuers. The University is evaluating the effect that Statement No. 91 will have on its financial statements.

In January 2020, the GASB issued Statement No. 92, Omnibus 2020, effective for the University's fiscal year beginning July 1, 2021. The Statement enhances comparability in accounting and financial reporting and improves the consistency of authoritative literature by addressing practice issues that have been identified during implementation and application of certain GASB Statements. The University is evaluating the effect that Statement No. 92 will have on its financial statements.

In March 2020, the GASB issued Statement No. 94, Public-Private and Public-Public Partnerships and Availability Payment Arrangements, effective for the University's fiscal year beginning July 1, 2022. The Statement provides guidance for financial reporting for public-private and public-public partnership arrangements and availability payment arrangements. The University is evaluating the effect that Statement No. 94 will have on its financial statements.

In May 2020, the GASB issued Statement No. 96, Subscription-Based Information Technology Arrangements, effective for the University's fiscal year beginning July 1, 2023. The Statement requires for these arrangements to be recorded as a right-to-use intangible asset and a corresponding subscription liability. The University is evaluating the effect that Statement No. 96 will have on its financial statements.

1. Cash and Cash Equivalents

Cash and cash equivalents consist of balances in bank demand deposits and funds held with the University. UC Merced invests surplus cash balances in the University of California's Short Term Investment Pool (STIP) as managed by the Chief Investment Officer of the University. Substantially all of UC Merced's cash is deposited into STIP. Deposits into STIP are considered demand deposits. Unrealized gains and losses associated with the fluctuation in the fair value of the investment included in STIP are not recorded by UC Merced but are absorbed by the University as manager of the pool.

Cash and cash equivalents at June 30, 2020, and 2019, consist of the following:

(in thousands of dollars)

	UC Merced				UC Merced Foundation			
	2020		2019		2020		2019	
Checking accounts	$	489	$	141	$	-	$	5
University of California Managed Short Term Investment Pool (STIP)		59,499		33,404		-		-
Total cash and cash equivalents	**$**	**59,988**	**$**	**33,545**	**$**	**-**	**$**	**5**

The checking accounts at June 30, 2020 and 2019 were insured by federal depository insurance. UC Merced minimizes cash balances held in checking accounts by sweeping available balances into investment accounts on a regular basis. To mitigate the risk of custodial credit risk, UC Merced's cash and investments have been placed with high quality counter parties.

The University of California's STIP primarily invests in high quality, liquid, short duration US dollar-denominated bills, notes and cash equivalents. UC Merced earns income based on its average investment in the pool and such income is reported as investment income in the statement of revenue, expenses, and changes in net position.

2. Investments

The Regents, as the governing Board, is responsible for the oversight of the University's investments and establishes investment policy, which is carried out by the Chief Investment Officer. These investments are associated with the Short Term Investment Pool (STIP), Total Return Investment Pool (TRIP), and General Endowment Pool (GEP) managed by the Chief Investment Officer or is separately invested. Pursuant to The Regents' policies on campus foundations, the UC Merced Foundation Board of Trustees has determined that all of its investments will be managed by the Chief Investment Officer. The composition of investments at June 30, is as follows:

(in thousands of dollars)

	UC Merced				UC Merced Foundation			
	2020		2019		2020		2019	
Under management of The Regents of University of California (not subject to categorization)								
General endowment pool (GEP)	$	47,807	$	41,780	$	14,288	$	13,694
Total Return Investment Pool (TRIP)		71,412		71,614		-		-
Total investments	**$**	**119,219**	**$**	**113,394**	**$**	**14,288**	**$**	**13,694**

The University-managed commingled funds (UC pooled funds) serve as the core investment vehicle for the Campus. A description of the funds used is as follows:

TRIP. The Total Return Investment Pool (TRIP) allows participants the opportunity to maximize the return on their long-term working capital by taking advantage of the economies of scale of investing in a large pool across a broad range of asset classes. TRIP supplements STIP by investing in an intermediate-term, higher-risk portfolio allocated across equities, fixed-income and liquid alternative strategies, and allows participants to maximize the return on their long-term capital. The objective of TRIP is to

generate a rate of return above the policy benchmark, after all costs and fees, consistent with liquidity, cash flow requirements and the risk. TRIP is considered to be an external investment pool from UC Merced's perspective.

GEP. The General Endowment Pool (GEP) is an investment pool in which a large number of individual endowments participate in order to benefit from diversification and economies of scales. GEP is a balanced portfolio of equities, fixed-income securities and alternative investments. The primary goal is to maximize long-term total return, growth of principal and a growing payout stream to ensure that future funding for endowment-supported activities can be maintained. Where donor agreements place constraints on allowable investments, assets associated with endowments are invested in accordance with the terms of the agreements. GEP is considered to be an external investment pool from UC Merced and the Foundation's perspective.

Investment risk factors
There are many factors that can affect the value of investments. Some, such as custodial credit risk, concentration of credit risk and foreign currency risk, may affect both equity and fixed-income securities. Equity securities respond to such factors as economic conditions, individual company earnings performance and market liquidity, while fixed-income securities are particularly sensitive to credit risks and changes in interest rates. Alternative investment strategies and their underlying assets and rights are subject to an array of economic and market vagaries that can limit or erode value. The University and the Foundation have established investment policies to provide the basis for the management of a prudent investment program appropriate to the particular fund type.

Credit risk
Fixed-income securities are subject to credit risk, which is the chance that a bond issuer will fail to pay interest or principal in a timely manner, or that negative perceptions of the issuer's ability to make these payments will cause security prices to decline. These circumstances may arise due to a variety of factors such as financial weakness, bankruptcy, litigation and/or adverse political developments.

A bond's credit quality is an assessment of the issuer's ability to pay interest on the bond and, ultimately, to pay the principal. Credit quality is evaluated by one of the independent bond rating agencies, for example Moody's Investors Service (Moody's) or Standard and Poor's (S&P). The lower the rating, the greater the chance, in the rating agency's opinion, that the bond issuer will default, or fail to meet its payment obligations. Generally, the lower a bond's credit rating, the higher its yield should be to compensate for the additional risk.

Certain fixed-income securities, primarily obligations of the U.S. government or those explicitly guaranteed by the U.S. government, are considered to have minimal credit risk.

Asset-backed securities are debt obligations that represent claims to the cash flows from pools of commercial, mortgage, credit card or student loans. Mortgage-backed securities issued by Ginnie Mae are backed by the full faith and credit of the U.S. government.

The University recognizes that credit risk is appropriate in balanced investment pools such as TRIP and GEP by virtue of the benchmarks chosen for the fixed-income portion of those pools.

The core fixed-income benchmark for GEP and TRIP is the Barclays Capital U.S. Aggregate Bond Index, comprised of 25.1 percent corporate bonds and 29.7 percent mortgage/asset-backed bonds, all of which carry some degree of credit risk. The remaining 45.2 percent is government issued bonds.

Credit risk in TRIP and GEP is managed primarily by diversifying across issuers. The University monitors and reviews their exposures on an ongoing basis and will maintain a high quality portfolio within the investment guidelines set forth by the Office of the Chief Investment Officer.

The Campus and Foundation's commingled funds (including GEP and TRIP) are not rated.

Custodial credit risk
Custodial credit risk is the risk that in the event of the failure of the custodian, the investments may not be returned.

Substantially all of the University's and campus foundations' securities are registered in the University's name by the custodial bank as an agent for the University. Other types of investments represent ownership interests that do not exist in physical or book-entry form. As a result, custodial credit risk for such investments is remote.

Concentration of Credit Risk
Concentration of credit risk is the risk associated with a lack of diversification, such as having substantial investments in a few individual issuers, thereby exposing the organization to greater risks resulting from adverse economic, political, regulatory, geographic or credit developments.

The U.S. and non-U.S. equity portions of the University portfolios may be managed either passively or actively. For the portions managed passively, the concentration of individual securities is similar to their concentration in the benchmark. While some securities have a larger representation in the benchmark than others, the University considers passive management results in an absence of concentration of credit risk. For the portions managed actively, asset class guidelines do not specifically address concentration risk, but do state that the equity asset class, in the aggregate, will be appropriately diversified to control overall risk and will exhibit portfolio characteristics similar to the asset class benchmark (including concentration of credit risk). Concentration risk for individual portfolios is monitored relative to their individual benchmarks and agreed-upon risk parameters in their guidelines.

At June 30, 2020 and 2019, no single issuer comprised more than five percent of investments held by the University.

Interest rate risk
Interest rate risk is the risk that the value of fixed-income securities will decline because of changing interest rates. The prices of fixed income securities with a longer time to maturity, measured by effective duration, tend to be more sensitive to changes in interest rates and, therefore, more volatile than those with shorter durations. Effective duration is the approximate change in price of a security resulting from a 100-basis-point (1-percentage-point) change in the level of interest rates. It is not a measure of time.

Interest rate risk for STIP is managed by constraining the maturity of all individual securities to be less than five and one-half years. There is no restriction on weighted average maturity of the portfolio as it is managed relative to the liquidity demands of the investors. The nature and maturity of individual

securities in STIP allow for the use of weighted average maturity as an effective risk management tool, rather than the more complex measure, effective duration.

The portfolio guidelines constrain the potential price movement due to interest rate changes of the portfolio being similar to that of the benchmark. There are similar restrictions for the high-yield and emerging market debt portfolios relative to their benchmarks.

The University considers the effective durations for commercial paper, mortgage loans, insurance contracts and money market funds to be zero. The terms of the mortgage loans include variable interest rates. Insurance contracts can be liquidated without loss of principal and money market funds consist of underlying securities that are of a short-term, liquid nature.

Investments also include various mortgage-backed securities, collateralized mortgage obligations, structured notes, variable-rate securities and callable bonds that may be considered to be highly sensitive to changes in interest rates due to the existence of prepayment or conversion features. The effective durations of these securities, however, may be low.

Foreign currency risk
The University's strategic asset allocation policy for TRIP and GEP includes allocations to non-U.S. equities and non-dollar denominated bonds. The benchmarks for these investments are not hedged; therefore foreign currency risk is part of the investment strategy. Portfolio guidelines for U.S. investment-grade fixed-income securities also allow exposure to non-U.S. dollar-denominated bonds up to 10 percent of the total portfolio market value. Exposure to foreign currency risk from these securities is permitted and it may be fully or partially hedged using forward foreign currency exchange contracts. Under the University's investment policies, such instruments are not permitted for speculative use or to create leverage. Similar limits on foreign exchange exposure apply to the high-yield debt and emerging market debt portfolios.

More detail about the University of California's investments can be found in the 2019–2020 annual report of the University.

3. Investments Held by Trustees

The University has entered into agreements with trustees to maintain trusts for the University's self-insurance programs, long-term debt requirements, capital projects, and certain other requirements. In addition, the state of California retains on deposit, certain proceeds from the sale of lease-revenue bonds to be used for capital projects. For both June 30, 2020 and 2019, the investments and deposits held by trustees were held by the University on behalf of UC Merced for capital related projects.

4. Accounts Receivable

Accounts receivable and the allowances for uncollectible amounts at June 30, 2020 and 2019 are as follows:

(in thousands of dollars)

	UC Merced					UC Merced Foundation
	State and Federal Government		Other		Total	
At June 30, 2020						
Accounts receivable	$	12,051	$	5,883	$	17,934	$	-
Allowance for uncollectible amounts		(280)		(512)		(792)		-
Accounts receivable, net	**$**	**11,771**	**$**	**5,371**	**$**	**17,142**	**$**	**-**
At June 30, 2019						
Accounts receivable	$	11,068	$	5,142	$	16,210	$	-
Allowance for uncollectible amounts		(334)		(366)		(700)		-
Accounts receivable, net	**$**	**10,734**	**$**	**4,776**	**$**	**15,510**	**$**	**-**

UC Merced's other accounts receivable are primarily related to private grants and contracts, tuition and fees, and auxiliary enterprises.

5. Pledges Receivable

The composition of pledges receivable at June 30, 2020 and 2019 is summarized as follows:

(in thousands of dollars)

	UC Merced				UC Merced Foundation			
	2020		2019		2020		2019	
Total pledges receivable outstanding	$	315	$	515	$	341	$	540
Less: Unamortized discount to present value		-		(1)		(1)		(3)
Allowance for uncollectible pledges		(315)		(315)		(196)		(196)
Total pledges receivable, net		**-**		**199**		**144**		**341**
Less: Current portion of pledges receivable		-		(150)		(127)		(254)
Noncurrent portion of pledges receivable	**$**	**-**	**$**	**49**	**$**	**17**	**$**	**87**

Payments of pledges receivable for the fiscal years subsequent to June 30, 2020 and thereafter are as follows:

(in thousands of dollars)

Year Ending June 30	UC Merced	UC Merced Foundation
2021	315	324
2022		12
2023		5
2024		
2025		
2026-2028		
Total payments on pledges receivable	**$ 315**	**$ 341**

6. Capital Assets

The campus' capital asset activity for the years ended June 30, 2020 and 2019 is as follows:

(in thousands of dollars)

	2018	Additions	Disposals	2019	Additions	Disposals	2020
Original Cost							
Land	$ 40,076			$ 40,076		$ (275)	$ 39,801
Infrastructure	37,414	51,273		88,687	32,944		121,631
Buildings and improvements	700,259	401,228		1,101,487	828,044		1,929,531
Equipment, software and intangibles	75,861	7,286	$ (7,149)	75,998	7,090	$ (2,744)	80,344
Libraries and collections	22,237	1,470		23,707	1,785		25,492
Special collections	132			132	235		367
Construction in progress	601,891	27,400		629,291	(598,540)		30,751
Capital assets, at original cost	**$ 1,477,870**	**$ 488,657**	**$ (7,149)**	**$ 1,959,378**	**$ 271,558**	**$ (3,019)**	**$ 2,227,917**

	2018	Depreciation and Amortization	Disposals	2019	Depreciation and Amortization	Disposals	2020
Accumulated depreciation and amortization							
Infrastructure	$ 15,746	$ 2,326		$ 18,072	$ 3,535		$ 21,607
Buildings and improvements	198,854	25,589	(137)	224,306	34,612		258,918
Equipment, software and intangibles	44,910	6,588	$ (5,144)	46,354	5,776	$ (2,337)	49,793
Libraries and collections	9,254	1,482		10,736	1,580		12,316
Accumulated depreciation and amortization	**$ 268,764**	**$ 35,985**	**$ (5,281)**	**$ 299,468**	**$ 45,503**	**$ (2,337)**	**$ 342,634**
Capital assets, net	**$ 1,209,106**			**$ 1,659,910**			**$ 1,885,283**

7. Long-term Debt

The Regents of the University of California may finance the construction, renovation, and acquisition of certain facilities and equipment for UC Merced and other UC campuses through the issuance of debt obligations. Long-term financing includes revenue bonds, mortgages, capital lease obligations, and other borrowings that have been issued on behalf of UC Merced in the name of The Regents. UC Merced's outstanding debt at June 30, 2020 and 2019 is as follows:

(in thousands of dollars)

	2020	2019
Interim Financing:		
Commercial paper	$ 86,876	$ 958
Long-term Financing:		
University of California General Revenue Bonds	1,035,684	1,050,704
Note payables to UCOP	5,507	5,949
Other borrowings	658,978	545,579
Total outstanding debt	**1,787,045**	**1,603,190**
Less: Commercial paper	(86,876)	(958)
Current portion of outstanding debt	(134,855)	(101,191)
Noncurrent portion of outstanding debt	**$ 1,565,314**	**$ 1,501,041**

Other UC Merced borrowings consist of contractual obligations resulting from the construction of buildings, infrastructure and other certain facilities.

Additional information on the University of California's debt can be found in the 2019–2020 annual report of the University.

8. Endowments and Foundation Gifts

Endowments and gifts are held and administered either by the University or by UC Merced's Foundation. The value of endowments and gifts held and administered by the University at June 30, 2020 and 2019 are as follows:

(in thousands of dollars)

	UC Merced		UC Merced Foundation	
	2020	2019	2020	2019
Restricted				
Endowments and gifts	$ 16,881	$ 16,869	$ 13,453	$ 9,703
Nonexpendable	16,881	16,869	13,453	9,703
Endowments	20,246	19,706	4,348	4,078
Funds functioning as endowments	9,287	9,202	-	-
Gifts	8,427	7,370	949	1,497
Expendable	37,960	36,278	5,297	5,575
Unrestricted	8,575	2,918	243	79
University endowments and gifts	**$ 63,416**	**$ 56,065**	**$ 18,993**	**$ 15,357**

The endowments held by the University are administered on a system-wide basis. The University's endowment income distribution policies are designed to preserve the value of the endowment in real terms (after inflation), and to generate a predictable stream of spendable income. Endowment investments are managed to achieve the maximum long-term total return. As a result of this emphasis on total return, the proportion of the annual income distribution provided by dividend, interest income, and capital gains may vary significantly from year to year. The University's policy is to retain the realized and unrealized appreciation with the endowment, after the annual income distribution has been made to UC Merced.

The portion of investment returns earned on endowments held by the University and distributed at the end of each year to support current operations for the following year is based upon a rate that is approved by The Regents. The annual income distribution transferred to UC Merced from endowments held by the University was $1,849 and $1,683 for the years ended June 30, 2020 and 2019, respectively.

9. Operating Expenses by Function

Operating expenses, by functional classification, for fiscal years ended June 30, 2020 and 2019, are as follows:

(in thousands of dollars)	2020	2019
Instruction	$ 94,875	$ 84,365
Research	38,142	36,591
Public service	9,421	8,170
Academic support	32,051	29,115
Student services	33,619	33,644
Institutional support	79,198	69,035
Operation and maintenance of plant	28,457	22,652
Student financial aid	26,202	15,967
Auxiliary enterprises	39,599	40,648
Depreciation and amortization	45,504	35,985
Other	30,643	5,038
Total	**$ 457,711**	**$ 381,210**

10. Deferred Outflows and Inflows of Resources

The composition of deferred outflows of resources at June 30 is summarized as follows:

(in thousands of dollars)

	Net Pension Liability		Net Retiree Health Benefits Liability		Debt Refunding		Total	
At June 30, 2020								
Deferred outflows of resources	$	65,259	$	75,052	$	16,781	$	157,092
Deferred inflows of resources		3,269		67,124				70,393
At June 30, 2019								
Deferred outflows of resources	$	60,682	$	44,763	$	18,929	$	124,374
Deferred inflows of resources		2,278		64,390				66,668

11. Retiree Health Plans

The University administers single-employer health and welfare plans to provide health and welfare benefits, primarily medical, dental and vision, to eligible retirees (and their eligible family members) of the University of California and its affiliates through UCRHBT. The Regents has the authority to establish and amend the plan. Additional information on the retiree health plans can be obtained from the 2019-2020 annual reports of the University of California.

The contribution requirements of the eligible retirees and the participating University locations, such as UC Merced, are established and may be amended by the University. Membership in UCRP is required to become eligible for retiree health benefits. Contributions toward benefits are shared with the retiree. The University determines the employer's contribution. Retirees are required to pay the difference between the employer's contribution and the full cost of the health insurance. Retirees who are employed by the University after July 1, 2013, and retire at the age of 56 or older, become eligible for a percentage of the University's contribution based on age and years of service. Retirees are eligible for the maximum University contribution at age 65 with 20 or more years of service. Retirees employed by the University prior to 1990 and not rehired after that date are eligible for the University's maximum contribution if they retire before age 55 and have at least 10 years of service, or if they retire at age 55 or later and have at least 5 years of service. Retirees employed by the University after 1989 are subject to graduated eligibility provisions that generally require 10 years of service before becoming eligible for 50 percent of the maximum University contribution, increasing to 100 percent after 20 years of service.

Contributions
UC Merced contributions toward retiree health benefits, at rates determined by the University, are made to UCRHBT. The University receives retiree health contributions from retirees that are deducted from their UCRP benefit payments. The University also remits these retiree contributions to UCRHBT. The University acts as a third-party administrator on behalf of UCRHBT and pays health care insurers and administrators amounts currently due under the University's retiree health benefit plans for retirees who previously worked at a campus or Medical Center. UCRHBT reimburses the University for these amounts.

Participating University locations, such as UC Merced, are required to contribute at a rate assessed each year by the University. The contribution requirements are based upon projected pay-as-you-go financing requirements. For the fiscal year 2019-2020, the assessed rate per $100 of retirement covered payroll is $2.60 (decreased from $2.70 for FY 2018-2019).

Net Retiree Health Benefits Liability
UC Merced's proportionate share of the net retiree benefits liability as of June 30 is as follows:

(in thousands of dollars)	2020	2019
Proportion of the net obligation	0.92%	0.90%
Proportionate share of the net obligation	$ 212,020	$ 172,620

UC Merced's net retiree health benefits liability was measured as of June 30, 2020 and 2019 and was calculated in accordance with the guidelines set forth in GASB No. 74 and GASB No. 75. Actuarial valuations represent a long-term perspective and involve estimates of the value of reported benefits and assumptions about the probability of occurrence of events far into the future. Significant actuarial methods and assumptions used to calculate UC Merced's net retiree health benefits liability were:

	2020	2019
Discount Rate	2.2%	3.5%
Inflation	2.5%	2.5%
Investment rate of return	2.5%	2.5%
Health care cost trend rates	Initially ranges from 2.7 to 9.0 decreasing to an ultimate rate of 4.04 for 2076 and later years	Initially ranges from 4.4 to 9.4 decreasing to an ultimate rate of 4.04 for 2077 and later years

Actuarial assumptions are subject to periodic revisions as actual results are compared with past expectations and new estimates are made about the future. The actuarial assumptions for the June 30, 2020 actuarial report are based upon the results of an experience study for the four-year period ending June 30, 2018.

For pre-retirement mortality rates, the Pub-2010 Teacher Employee Headcount-Weighted Above-Median Mortality Table, projected generationally with the two-dimensional mortality improvement scale MP-2018 was used.

For post-retirement, healthy mortality rates are based on the Pub-2010 Healthy Teacher Retiree Headcount-Weighted Above- Median Mortality Table, projected generationally with the two-dimensional mortality improvement scale MP-2018. Base Mortality Tables are adjusted as follows. Faculty: 90% for Males and Females. Staff and Safety: 115% for Males and 110% for Females.

For Spouses/Domestic Partners, rates are based on the Pub-2010 Contingent Survivor Headcount-Weighted Above- Median Mortality Table, projected generationally with the two-dimensional mortality improvement scale MP-2018.

For disabled members, rates are based on the Pub-2010 Non-Safety Disabled Retiree Headcount-Weighted Mortality Table, projected generationally with the two-dimensional mortality improvement scale MP-2018.

Sensitivity of Net Retiree Health Benefits Liability to the Health Care Cost Trend Rate

The following presents the June 30, 2020 net retiree health benefits liability of UC Merced calculated using the June 30, 2020 health care cost trend rate assumption with initial trend ranging from 2.7 percent to 9.00 percent grading down to an ultimate trend of 4.04 percent over 57 years, as well as what the net retiree health benefits liability would be if it were calculated using a health care cost trend rate different than the current assumption:

(in thousands of dollars)

	1% Decrease (1.7% to 8.0% Decreasing to 3.04%)	Current Discount (2.7% to 9.0% Decreasing to 4.04%)	1% Increase (3.7% - 10.0% Decreasing to 5.04%)
UC Merced	$ 171,783	$ 212,020	$ 266,384

Discount Rate

The discount rate used to estimate the net retiree health benefits liability as of June 30, 2020 and 2019 was 2.21 percent and 3.50 percent, respectively. Since the University's retiree health benefits are effectively funded on a pay-as-you-go cash cost basis, plan assets at the beginning of each year will always be insufficient to meet the projected benefit payments. As prescribed by GASB No. 75, the discount rate will be based on the index rate for 20-year tax-exempt general obligation municipal bond index rate with an average rating of AA/Aa or higher as of the measurement date. The University of California elected to determine the discount rate using the Bond Buyer 20-Bond General Obligation Index.

Sensitivity of Net Retiree Health Benefits Liability to the Discount Rate Assumption

The following presents the June 30, 2020 net retiree health benefits liability of UC Merced calculated using the June 30, 2020 discount rate assumption of 2.21 percent, as well as what the net retiree health benefits liability would be if it were calculated using a discount rate different than the current assumption:

(in thousands of dollars)

	1% Decrease (1.21%)	Current Discount (2.21%)	1% Increase (3.21%)
UC Merced	$ 256,969	$ 212,020	$ 177,065

Deferred Outflows of Resources and Deferred Inflows of Resources

Deferred outflows of resources and deferred inflows of resources for retiree health benefits were related to the following sources as of the years ended June 30:

(in thousands of dollars)	2020	2019
Deferred Outflows of Resources		
Changes between expected and actual experience	$ 497	$ 579
Changes of assumptions or other inputs	62,104	33,577
Net difference between projected and actual earnings on plan investments	29	29
Change in proportion and differences between employer contributions and proportionate share	12,422	10,578
Total	**$ 75,052**	**$ 44,763**
Deferred Inflows of Resources		
Difference between expected and actual experience	$ 34,674	$ 26,635
Changes of assumptions or other inputs	21,410	24,929
Net difference between projected and actual earnings on pension plan investments	11,040	12,826
Total	**$ 67,124**	**$ 64,390**

The net amount of deferred outflows of resources and deferred inflows of resources related to retiree health benefits that will be recognized in retiree health benefit expense during the years ending June 30 is as follows:

(in thousands of dollars)	
2021	$ 1,283
2022	1,280
2023	1,276
2024	192
2025	(1,395)
Thereafter	5,292
Total	**$ 7,928**

12. Retirement Plans

Substantially all full-time employees of UC Merced participate in the University of California Retirement System ("UCRS") that is administered by the University. The UCRS consists of The University of California Retirement Plan ("UCRP"), a single-employer defined benefit plan, and the University of California Retirement Savings Program ("UCRSP") that includes four defined contribution plans with several investment portfolios generally funded with employee non-elective and elective contributions. The Regents have the authority to establish and amend the benefit plans. Additional information on the

retirement plans can be obtained from the 2018-2019 annual reports of the University of California Retirement System.

The UCRP provides lifetime retirement income, disability protection, death benefits, and post-retirement and pre-retirement survivor benefits to eligible employees of the University. Membership is required in UCRP for all employees appointed to work at least 50 percent time for one year or more, or for an indefinite period or for a definite period of a year or more. An employee may also become eligible by completing 1,000 hours within a 12-month period. Generally, five years of service are required for entitlement to plan benefits. The amount of pension benefit is determined under the basic formula of covered compensation times age factor times years of service credit. The maximum monthly benefit cannot exceed 100 percent of the employee's highest average plan compensation over a 36-month period, subject to certain limits imposed under the Internal Revenue Code. Annual cost-of-living adjustments (COLAs) are made to monthly benefits according to a specified formula based on the Consumer Price Index. Ad hoc COLAs may be granted subject to funding availability.

Contributions. Contributions to the UCRP may be made by UC Merced and the employees. The rates for contributions as a percentage of payroll are determined annually pursuant to The Regents' funding policy, and based upon recommendations of the consulting actuary. The Regents determine the portion of the total contribution to be made by UC Merced and by the employees. Employee contributions by represented employees are subject to collective bargaining agreements. Effective July 1, 2015, employee member contributions range from 7.0 percent to 9.0 percent. For the year ended June 30, 2020, the University paid a contribution rate of 18.72 percent of covered payroll on behalf of all UCRP members.

Employee contributions to UCRP are accounted for separately and currently accrue interest annually. Upon termination, members may elect a refund of their contributions, plus accumulated interest; vested terminated members who are eligible to retire, may also elect monthly retirement income or a lump sum equal to the present value of their accrued benefits.

Contributions for fiscal years ended June 30, 2020 and 2019 are as follows:

(in thousands of dollars)	2020	2019
UC Merced	$ 17,020	$ 15,543
Employees	8,795	8,157
Total	**$ 25,815**	**$ 23,700**

Net Pension Liability. UC Merced's proportionate share of the net pension liability for UCRP as of June 30, 2020 and 2019 is as follows:

(in thousands of dollars)	2020	2019
Proportion of the net pension liability	0.9%	0.9%
Proportionate share of net pension liability	$ 192,069	$ 159,075

UC Merced's net pension liability was measured as of June 30, 2020. Plan fiduciary net position (plan assets) was valued as of the measurement date while the total pension liability was determined based on a roll forward from the July 1, 2019 actuarial valuation. Following the results of the July 1, 2019 actuarial valuation, the University provided revised payroll information for the actuarial evaluation as

well as some additional records to be included as active members as of July 1, 2019. This revised data has been reflected in this GASB 67 and 68 valuation along with adjustments made for a small group of continuing active multi-tier members who had an unexpected decrease in service. Actuarial valuations represent a long-term perspective and involve estimates of the value of reported benefits and assumptions about the probability of occurrence of events far into the future. UC Merced's net pension liability was calculated using the following methods and assumptions:

	2020	2019
Inflation	2.5%	2.5%
Investment rate of return	6.75%	6.75%
Projected salary increases	3.65 - 5.95%	3.65 - 5.95%
Cost-of-living-adjustments	2.0%	2.0%

Actuarial assumptions are subject to periodic revisions as actual results are compared with past expectations and new estimates are made about the future. Pension liability as of June 30, 2020 was measured by an actuarial valuation as of July 1, 2019 using the same actuarial assumptions as those used in the July 1, 2020 funding valuation. They are based on the results of an experience study for the period July 1, 2014 through June 30, 2018, with the exception of the investment return assumption, inflation assumption, and various salary assumptions which were approved by the Regents. For active and inactive members, mortality rates are based on the Pub-2010 Teacher Employee Amount-Weighted Above-Median Mortality Table, projected generationally with the two-dimensional mortality improvement scale MP-2018. For healthy Faculty retirees, mortality rates are based on the Pub-2010 Healthy Teacher Amount-Weighted Above-Median Mortality Table multiplied by 90% for males and 95% for females, projected generationally with the two-dimensional mortality improvement scale MP-2018. For healthy Staff & Safety retirees, mortality rates are based on the Pub-2010 Healthy Teacher Amount-Weighted Above-Median Mortality Table multiplied by 100% for males and 110% for females, projected generationally with the two-dimensional mortality improvement scale MP-2018.

The long-term expected investment rate of return for UCRP was determined using a building-block method in which expected future real rates of return (expected returns, net of inflation) are developed for each major asset class. These returns are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage, adding expected inflation and subtracting expected investment expenses and a risk margin.

The target allocation and projected arithmetic real rates of return for each major asset class, after deducting inflation, but before deducting investment expenses, used in the derivation of the long-term expected investment rate of return assumption as of June 30, 2020 are summarized in the following table:

	Target Allocation	Long-Term Expected Real Rate of Return
Asset Class		
U.S. Equity	27.6%	5.60%
Developed International Equity	16.8%	6.53%
Emerging Market Equity	5.6%	8.62%
Core Bonds	13.0%	1.46%
High Yield Bonds	2.5%	3.65%
TIPS	2.0%	1.18%
Emerging Market Debt	2.5%	3.91%
Private Equity	10.0%	9.17%
Private Real Estate	7.0%	6.60%
Absolute Return	10.0%	3.30%
Real Assets	3.0%	5.60%
Total	**100.0%**	**5.4%**

Discount Rate. The discount rate used to measure the pension liability was 6.75% as of June 30, 2020. The projection of cash flows used to determine the discount rate assumes that member and employer contributions will be made at rates equal to those approved by the Regents as detailed on pages 81 and 82 of the July 1, 2019 UCRP Actuarial Valuation Report. For future members eligible for the UCRP 2016 Tier, 65% are assumed to elect UCRP's 2016 Tier with the remaining 35% assumed to elect the defined contribution plan. Employer contributions towards UCRP's UAAL on behalf of future members that elect the defined contribution plan have also been included. For purposes of the projection, only employee and employer contributions that are intended to fund benefits for current plan members and their beneficiaries are included. Projected employer contributions that are intended to fund the service costs for future plan members and their beneficiaries, as well as projected contributions from future plan members, are not included. The projections also include STIP transfers of $600 million in 2020-21 and $700 million in 2021-22. Based on those assumptions, the plan fiduciary net position was projected to be available to make all projected future benefit payments for current plan members. Therefore, the long-term expected rate of return on pension plan investments of 6.75% was applied to all periods of projected benefit payments to determine the pension liability as of June 30, 2020.

Sensitivity of the Net Pension Liability to the Discount Rate Assumption. The following presents the
June 30, 2020 net pension liability of UC Merced calculated using the June 30, 2020 discount rate
assumption of 6.75 percent, as well as what the net pension liability would be if it were calculated using
a discount rate different than the current assumption:

(in thousands of dollars)

	1% Decrease (5.75%)	Current Discount (6.75%)	1% Increase (7.75%)
UC Merced	$ 299,793	$ 192,069	$ 103,434

Deferred Outflows of Resources and Deferred Inflows of Resources. Deferred outflows of resources and
deferred inflows of resources for pensions were related to the following sources for the year ended June
30:

(in thousands of dollars)	2020	2019
Deferred Outflows of Resources		
Changes in proportion and differences between location's contributions and proportionate share of contributions	$ 3,222	$ 2,978
Changes of assumptions or other inputs	39,447	53,532
Net difference between projected and actual earnings on pension plan investments	19,673	-
Difference between expected and actual experience in the Total Pension Liability	2,917	4,172
Total	**$ 65,259**	**$ 60,682**
Deferred Inflows of Resources		
Changes in proportion and differences between location's contributions and proportionate share of contributions	$ 1,101	$ 1,180
Changes of assumptions or other inputs	-	-
Net difference between projected and actual earnings on pension plan investments	-	1,028
Difference between expected and actual experience in the Total Pension Liability	2,168	70
Total	**$ 3,269**	**$ 2,278**

Deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense during the year ending June 30, 2020 as follows:

(in thousands of dollars)

2021	$ 15,365
2022	21,556
2023	19,475
2024	5,594
Total	**$ 61,990**

The UCRS plans (DC Plan, Supplemental DC Plan, 403(b) Plan and 457(b) Plan) provide savings incentives and additional retirement security for all eligible employees. The DC Plan accepts both pre-tax and after-tax employee contributions. The Supplemental DC Plan accepts employer contributions on behalf of certain qualifying employees. The 403(b) and 457(b) plans accept pre-tax employee contributions and the Medical Centers may also make contributions on behalf of certain members of management. Benefits from the plans are based on participants' mandatory and voluntary contributions, plus earnings, and are immediately vested.

13. Commitments and Contingencies

Contractual Commitments
Amounts committed but unexpended for construction projects totaled $23,888 and $17,220 at June 30, 2020 and 2019, respectively.

UC Merced leases buildings and equipment under agreements recorded as operating leases. The terms of operating leases extend through June 2024. Operating lease expenses, net of income from subleases, for the years ended June 30, 2020 and 2019 were $1.54 million and $(.68) million, respectively.

Future minimum payments on operating leases with initial or remaining non-cancelable terms in excess of one year are as follows:

(in thousands of dollars)

	Minimum Annual Lease Payments
Year Ending June 30	
2021	$ 6,358
2022	6,634
2023	6,923
2024	7,100
Total	**$ 27,015**

Contingencies
Substantial amounts are received and expended by UC Merced under federal and states programs and are subject to audit by cognizant governmental agencies. This funding relates to research, student aid, and other programs. UC Merced management believes that any liabilities arising from such audits will not have a material effect on UC Merced's financial position.

UC Merced is contingently liable in connection with certain other claims and contracts, including those currently in litigation, arising in the normal course of its activities. Although there are inherent uncertainties in any litigation, UC Merced management and general counsel are of the opinion that the outcome of such matters will not have a material effect on UC Merced's financial position.

Risks and Uncertainties

The outbreak of COVID-19, a respiratory disease caused by a new strain of coronavirus, has been declared a pandemic by the World Health Organization. The outbreak of the disease has affected travel, commerce and financial markets globally, in the United States and California, including cities and counties throughout the state. On March 4, 2020, the Governor declared a state of emergency to help the state prepare and respond to COVID-19, and on March 19, 2020, the Governor issued a statewide order, Executive Order N-33-20, directing all residents to heed current state public health directives to stay home or at their place of residence except as needed to maintain continuity of operations of critical infrastructure sectors during the COVID-19 response. Such orders and restrictions have resulted in business closures, work stoppages, slowdowns and delays, work-from-home policies, travel restrictions and cancellations of events.

While there has been and will continue to be material financial impacts to the University due to COVID-19 that will affect financial results for 2021 and potentially beyond, we believe we have sufficient liquidity to meet our operating and financial needs. However, given the difficulty in predicting the duration and severity of the coronavirus on the University, the economy and the financial markets, the ultimate impact may be material.

REQUIRED SUPPLEMENTARY INFORMATION

The schedule of UC Merced's proportionate share of UCRP's net pension liability is presented below:

(in thousands of dollars)

As of June 30	Proportion of the net pension liability	Proportionate share of net pension liability	Covered-employee payroll	Proportionate share of the net pension liability as a percentage of its covered-employee payroll	Plan fiduciary net position as a percentage of the total pension liability
2020	0.9%	$ 192,069	$ 119,989	160.1%	76.6%
2019	0.9%	$ 159,075	$ 109,576	145.2%	79.5%
2018	0.9%	$ 84,548	$ 104,029	81.3%	87.2%

The schedule of the Medical Centers' proportionate share of UCRHBT's net retiree health benefits liability is presented below:

(in thousands of dollars)

As of June 30	Proportion of the retiree healthcare liability	Proportionate share of retiree healthcare liability	Covered-employee payroll	Proportionate share of the retiree healthcare liability as a percentage of its covered-employee payroll	Plan fiduciary net position as a percentage of the total retiree healthcare liability
2020	0.9%	$ 212,020	$ 120,000	176.7%	0.7%
2019	0.9%	$ 172,620	$ 111,037	155.5%	0.8%
2018	1.0%	$ 176,521	$ 116,821	151.1%	0.7%

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Example Activities Underway to Support Enrollment Growth

Fall 2021

Enhancing Recruitment Approaches:

- Using Search Engine Optimization for academic major websites
- Adding Burning Glass labor market data to academic major websites and marketing materials
- Using targeted recruitment for specific majors with growth potential (list buys, digital marketing, events, etc.)
- Rebranding marketing materials and generating differentiated messaging about UC Merced opportunities
- Expanding the pre-admit program to Fresno and Los Angeles high schools
- Signing international student recruitment partnerships with UCI, UCSD and UC Berkeley
- Using the enrollment coach program to support the anti-melt phase of recruitment
- Developing more academic faculty engagement with students at the yield phase of recruitment
- Creating a new honors program
- Developing new high-demand majors
- Offering more Living Learning Communities

Strengthening Transfer Pathways:

- Creating pre-articulated four-year degree pathways for all Central Valley community colleges
- Develop marketing materials specifically for transfer students
- Launching a community college student summer research experience on campus
- Offering dual enrollment for select community colleges
- Launching new degree completion program
- Creating admissions guarantees for some community college partners

Increasing Retention:

- Offering more Living Learning Communities and adding academic coursework to existing communities
- Launching a new Learning Assistant program in our high enrollment lower division foundational courses
- Leveraging an early alert system to identify less engaged students for intervention
- Creating new "parachute" courses that start mid-semester to provide option for students who need to drop a class
- Improving academic advising through new Academic Advising Council
- Streamlining the General Education requirements and assessing the efficacy of those courses
- Increasing faculty development opportunities, focused on evidence-based instructional practices, inclusive teaching and effectively leveraging digital education tools
- Re-structuring policies related to first year student experience to add flexibility for early exploration and room for recovery after early struggles
- Creating new mid-semester academic support through the tutoring centers for struggling lower division students

2020-2021 Assessment Synopsis: Remote Instruction and Student Success

Annual surveys, ad-hoc surveys and standard institutional data provided the campus insights into the student of remote instruction and their success.

- Responses to the spring 2020 University of California Undergraduate Experience Survey deepened our understanding of the students' study environments during emergency remote instruction.[1] Recognizing that our students were especially likely to be joining class from shared spaces, to have care-taking responsibilities, or to be contributing financially to their families, UC Merced instructors were encouraged to incorporate both synchronous and asynchronous instruction into their courses. Department chairs were also asked to initiate discussions among faculty regarding appropriate ways to be flexible without sacrificing learning quality.
- Special ad-hoc surveys were administered to students in enrolled. For example, a survey conducted during the 2020 summer session found that, relative to survey data from prior in-person terms, similar percentages of students felt their online courses were well organized, their instructors provided useful feedback, and that they were able to ask questions and participate in class discussions.[2]
- The New Student Survey,[3] which is administered to first year and transfer students each fall, indicated that self-reported class attendance rates and students' confidence in their ability to succeed were similar to past years, but that sense of belonging was decreased.[4] To help address this gap, for fall 2021, the ASCEND Experience – which is offered each fall to help students with their academic transition to UC Merced - was expanded to include support and resources to help not just first-year but also our second-year students, whose first year was remote.
- In fall 2020, institutional data was used to monitor for changes in students' mid-semester grades, end-of-semester grades, drop/fail/withdrawal rates, the proportion of students applying to graduate school, and students' evaluation of teaching. All these measures remained steady or were slightly improved relative to past fall semesters. In spring 2021, course evaluations again remained high and showed slight improvements relative to prior spring semesters.

Given the need for quick action, much of the most significant assessment and resulting improvements during remote instruction occurred at the course level.

- Instructors across campus used in-class surveys to better understand and meet the needs of their students. This input was particularly useful for helping instructors choose assignments that would allow students to demonstrate their learning without penalizing students for obstacles related to remote instruction.[5]
- In summer 2020, School of Natural Sciences instructors coordinated across multiple high enrollment lab courses to collect data on the effectiveness of online lab simulations being used in lieu of hands-on labs. The data indicated that students by and large found the simulations effective, and in some cases appreciated being able to repeat labs multiple times or take more

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[1] Narrative Summary and Lessons for Planning for the COVID-19 response, based on the spring 2020 University of California Undergraduate Experience Survey, June 5, 2020
[2] Summer Session Summary, August 31, 2020
[3] https://cie.ucmerced.edu/analytics-hub/surveys/new-student-survey-data
[4] In 2020, 72% of respondents agreed they belonged vs 60% in fall 2019; 57% agreed they felt part of the UC Merced community vs 70% in fall 2019; and 63% reported seeing themselves as part of the community vs 73% in fall 2019.
[5] Faculty interviews, August 27, 2020 – September 30, 2020

risks due to the lack of expensive equipment or dangerous materials. Instructors used the data to improve courses for AY 2020-2021 – for example by revising several online chemistry labs,[6] emphasizing to physics students that developing the skills to keep a lab notebook was the primary purpose for a set of labs and streamlining a peer-review activity that proved difficult to complete remotely.[7]

- UC Merced's Students Assessing Teaching and Learning program was able to adapt its classroom observation tools for online instruction, and conducted observations in spring 2020, summer 2020, fall 2020, and spring 2021. The collected data highlighted the opportunities within the remote format for instructors to use more active learning strategies, such as break-out rooms, chat, and polls.[8] Faculty are currently exploring how to retain these innovations as they return to in-person instruction.[9]

- The Center for Engaged Teaching and Learning emphasized several formative assessment strategies[10] as part of their Teaching Institute and other faculty development efforts. Examples of how faculty implemented this guidance include instituting weekly quizzes (Biology and Cognitive Science) to monitor student progress and inform instructional planning, and distributing grading across benchmark components of a culminating project to provide students with regular feedback (Public Health).[11] Several faculty involved in the interview project for the NSF-funded *Building Capacity: Improving the Undergraduate Chemistry Experience by Green Chemistry, Active-learning, and Peer-led Experiences* grant cited the Center for Engaged Teaching and Learning as helpful to their ability to adapt to remote instruction.[12]

Given the demands of the pandemic, the Periodic Review Oversight Committee made program assessment optional in AY 2020-21. Nevertheless, a good number of programs submitted assessment reports providing insight into the quality of student work during the pandemic.

Of the 31 undergraduate programs listed in the UC Merced AY 2020-21 catalog

- 10 completed an annual learning outcomes assessment report
- five were engaged in program-level learning outcomes assessment, without producing a report
- two (minors) did not engage in program-level learning outcomes assessment due to lack of student enrollment
- seven opted out of program-level learning outcomes assessment to redirect faculty time to transitioning courses into remote formats – for example, the Applied Math program did not

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[6] Private email, Continuing Lecturer Deborah Lair (General Chemistry II) to Director of Academic Planning and Assessment Support Kerry Clifford, August 9, 2021

[7] Private email, Teaching Professor Carrie Menke (Introductory Physics III) to Director of Academic Planning and Assessment Support Kerry Clifford, August 9, 2021

[8] Jourjina Subih Alkhouri, Cristine Donham, Téa S Pusey, Adriana Signorini, Alexander H Stivers, Petra Kranzfelder, Look Who's Talking: Teaching and Discourse Practices across Discipline, Position, Experience, and Class Size in STEM College Classrooms, BioScience, 2021;, biab077, https://doi.org/10.1093/biosci/biab077

[9] Disciplinary-Based Education Research Journal Club, July 29, 2021 meeting

[10] https://teach.ucmerced.edu/pedagogy

[11] Private email, Interim Co-Director for the Center for Engaged Teaching and Learning Cathy Pohan to Director of Academic Planning and Assessment Support Kerry Clifford, August 11, 2021

[12] Private email, Co-PI Erik Menke to Director of Academic Planning and Assessment Support Kerry Clifford, August 11, 2021

engage in program-level outcomes assessment but held biweekly faculty meetings to discuss and share remote instruction strategies.[13]

- seven were in academic program review (including three School of Engineering programs engaged in reaccreditation by ABET)

Those undergraduate programs that did engage in annual learning outcomes assessment found that students were meeting expectations for the program learning outcomes, even during remote instruction. For example:

- In the English major, faculty observed that although some spring 2020 capstone papers were shorter than typical – possibly reflecting the challenges some students experienced finding appropriate study space during the shutdown – the work that students produced clearly demonstrated their ability to effectively use primary texts and clearly state the central themes, concepts, and ideas governing a primary text.[14]
- Public Health assessed term papers from spring 2021 and was pleased with students' ability to use the theories and principles of public health to explain an environmental public health problem.[15]
- School of Engineering's Management Analytics and Decision-making Minor assessed individual and group projects from an upper division course in spring 2021 and found that students performed well applying knowledge of ethical and legal requirements.[16]
- Indirect evidence, in the form of student's self-assessment of their achievement of the program learning outcomes in the campus-wide Graduating Senior Survey, also indicated that the program learning outcomes were being met.[17]

Of the 18 graduate programs listed in the UC Merced AY 2020-21 catalog
- three completed an annual learning outcomes assessment report
- three have an annual learning outcomes assessment in development or nearly complete
- three programs did not work on an assessment report but participated in a pilot for systematically collecting assessment evidence via the annual progress report process as well as collecting assessment evidence as students completed qualifying exams and dissertation defenses. Results will be analyzed for AY 2021-2022.
- three opted out of program-level learning outcomes assessment
- four were in academic program review

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[13] *Building Capacity: Improving the Undergraduate Chemistry Experience by Green Chemistry, Active-learning, and Peer-led Experiences* faculty interviews, shared by Co-PI Erik Menke via private email to Director of Academic Planning and Assessment Support Kerry Clifford, August 12, 2021
[14] AY 2020-2021 Annual Assessment Report, English
[15] AY 2020-2021 Annual Assessment Report, Public Health (not yet submitted to the Periodic Review Oversight Committee)
[16] AY 2020-2021 Annual Assessment Report, Management Analytics and Decision-making
[17] AY 2020-2021 Annual Assessment Reports

Laura Martin

Hi Laura,
Here is some information on the HEERF funds that we have awarded so far. You can also find some additional information on our website here.

For the 2019-20 AY we disbursed HEERF I (CARES ACT) funds totaling $6,518,300
Undergraduates
Spring 2020- 4085 students were awarded a total of $4,722,500
This is 50% of the undergraduate students enrolled in spring and equates to an average award of $1156

Summer 2020- 2178 students were awarded a total of $1,440,750
This is 93% of the undergraduates enrolled in summer and equates to an average award of $662

Graduates
Spring 2020- 242 students were awarded a total of $341,050
This is 35% of the graduate students enrolled in spring and equates to an average award of $1409

Summer 2020- 14 students were awarded a total of $14,000
This is 2% of the graduate students enrolled in summer and equates to an average award of $1000

For the 2020-21 AY we have disbursed HEERF II (CRRSAA) funds totaling $6,169,200
Undergraduates
Fall 2020- 249 student were awarded a total of $200,600
This is 3% of the undergraduates enrolled in fall and equates to an average award of $806

Spring 2021- 5380 students were awarded a total of $4,320,000
This is 65% of the undergraduates enrolled in spring and equates to an average award of $803

Summer 2021- 1743 students were awarded a total of $1,402,100
This is 74% of the undergraduates enrolled in summer and equates to an average award of $804

Graduates
Spring 2021- 238 students were awarded a total of $246,500
This is 33% of the graduate students enrolled in spring and equates to an average award of $1036

Let me know if you have any questions.

Heather

Campus Revenue Simulation Model
(10 years)

Shocks

Assumptions

1st Year Enrollment (Und.)
Inputs: HS students; A-G eligible; For CA residents, non-residents, international and UCM only applicants - UC application rate; % UCM applicants; UCM admit rate; UCM SIR rate; UCM enroll rate; annual growth in applications
Output: Total 1st year enrollment

-Application Growth (on/off)
-Application rate & duration
-Admissions rate & duration

-Application Growth = 50% of annual rate (3.6%)
-Application rates
-Admissions rates
-SIR rates
-Enrollment rates

Undergraduate Tuition
Inputs: Current cohort of students (6 yrs.); 1st year enrollment; additional transfer growth; retention/graduation rates; tuition rate; RTA rate; service/campus fees; fees RTA rates; Cal Vet & EAP; health insurance fees
Output: Total campus enrollment & by cohort; total tuition; tuition RTA; student fees (total service fees &total campus fees); total RTA for fees; health insurance fees

-1st year enrollment & duration
-1st year retention & duration
-2nd year retention & duration
-tuition

-retention/graduation rates
-tuition, fees and RTA rates
-transfer growth rate
-CAL Vet and EAP
-health insurance waiver (40%)

Summer Session
Inputs: Total campus enrollment; percentage of students enrolled in summer; mean number of credits taken during summer; RTA rates; summer fees; cost-per-credit
Output: Summer tuition; summer RTA; summer fees

-summer session enrollment

-enrollment based on % of total undergraduates
-tuition, fees and RTA rates

Auxiliaries
Inputs: 1st and 2nd year students (bed demand); bed occupancy rates; available beds and configurations; meal plan; meal plan utilization rates; base parking revenues; base bookstore revenues; base ECEC revenues; base other revenues
Output: total auxiliary revenues; bed revenues; meal revenues

-bed utilization rates
-meal plan utilization rates
-weighted other revenues

-bed and meal plan utilization a function of 1st and 2nd year demand (1st 90% and 2nd year 82%)
-beds based on expected future conversions
-3% annual growth in bed and mean plans

State Appropriations
Inputs: Current state appropriations; Historical growth per-student; average per-student state app.; MOU level ($6.5M); historical undergraduate enrollment; one-time and base state appropriation funding
Output: total state appropriations to campus

-state appropriations & duration
-flat state appropriations & duration
-remove negative growth
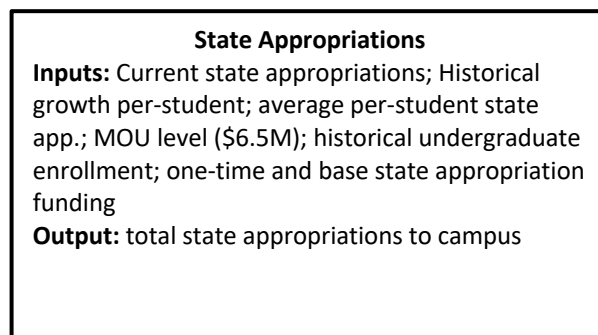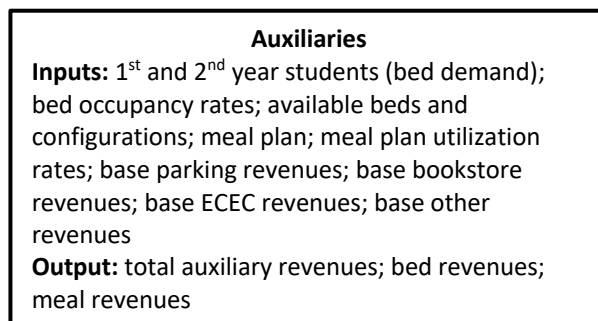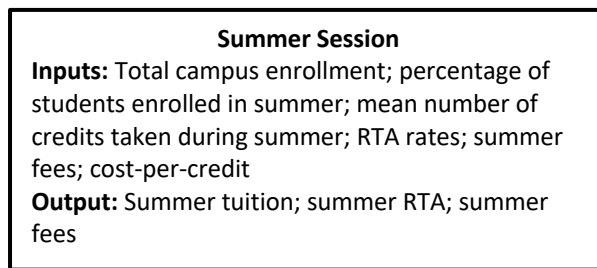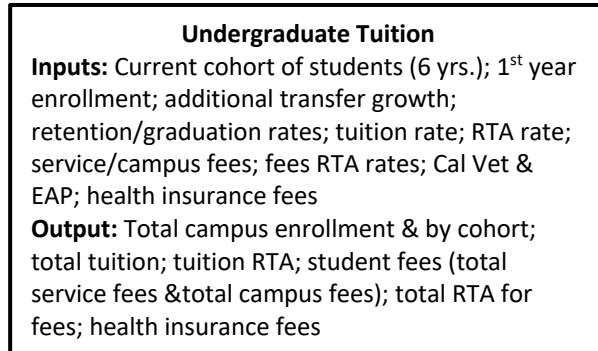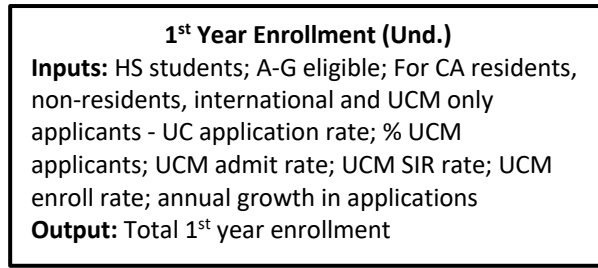-allow state appropriations to restore after shock
-no onetime state funding

-State appropriations based on historical 3-year lagged undergraduate enrollment
-negative growth in per-student state appropriations (-2.1%)
-state appropriations do not restore after a shock (new baseline)

Contract & Grants
Inputs: grant dollars per a faculty member; additional faculty per a year; annual growth in grant dollars per faculty; effective IDC rate; distribution of IDC rates (high, med, low); base level of faculty; indirect cost return rates; sponsored projects allocation; tuition revenue (net of RTA); state appropriations;
Output: total grant support; campus IDCR; total faculty

-growth in grant dollars per faculty
-changes in the effective IDC rate

-Current effective IDC rate is 21.29%
-Drivers of grants are determined by grant dollars-per-faculty and the number of faculty
-growth in faculty is proportional to level of state appropriations and undergraduate tuition net of RTA ($10M growth)

Graduate Student Enrollment
Inputs: Current graduate students; annual growth in graduate student population; current faculty levels; percentage of graduate student who waive health insurance fee
Output: Graduate student tuition, tuition RTA; graduate service fees, graduate campus fees, RTA on fees, health insurance fee

-annual growth in graduate students

-no growth in current tuition and fee rates
-60% of graduate students pay health insurance fees
-enrollment growth is capped at 3 PhD students per a faculty

Other Revenues
(~$3.6M currently)
Inputs: current other revenue levels (e.g., revenue agreements, registrar fees, surplus material sales; grazing rights, recreation programs, etc..(around ~40 sources)); annual growth rate
Output: total "other" revenues

-annual growth rate of 1.5%

Total Campus Revenues

General Notes:
(1) Baseline assumptions utilize historical averages and standard deviations
(2) Campus simulation utilizes a Monte Carlo approach were all parameters are drawn from a distribution
(3) Current number of simulations is 100,000 draws per each parameter in the model

Campus Cost Simulation Model
(10 years)

Shocks

Assumptions

-Changes to payroll growth by representation status (& duration)

-Overall changes to the payroll expenditures (& duration)

-Salaries grow at 3% a year

Salary Expenses
Inputs: individual-level payroll data for fiscal year-to-date (10 months); contains (all payroll inform.): department/division, category (e.g., faculty start-up, TAS, student fees, etc..), employee, representation (e.g., union); fund type; FAU; subcategory (e.g., 00, 01, 02, etc...); FY20 hires (faculty and Alpha Financials)
Output: Total payroll for each budget category (not all have salaries):

1. Total Salaries/Benefits (Faculty/Staff/Admin)
2. Temporary Academic Support
3. Faculty - Start Up
4. Faculty Incidentals & Other
5. Financial Aid
6. Utilities
7. Building/Housing Maintenance
8. IT Global Funding Model
9. Library Collections
10. Equipment and Facilities
11. 2020 Project (Availability)
12. Health Service Expense
13. Admissions Operating Expense
14. Professional/Consulting Services
15. Travel and Transportation
16. Auxiliary
17. Student Service Fee 20000
18. Campus Fee 20280
19. Other Non-Salary

-Change to any of the non-salary components of 19 cost category-specific growth rates (& duration)

-Model assumes a 2% growth rate for non-salary costs

Non-Salary Expenses
Inputs: General ledger data for expenses incurred at the campus level:
Output: Total non-salary costs for each of the 19 categories

Total Campus Expenditures
Inputs: Salary and non-salary data
Output: Total campus costs; costs by each of the 19 categories

-payroll reduction optimizer that determines optimal rate of payroll reduction based on current model parameters (e.g., revenue generating activities utilized)

NET REVENUES/COSTS FOR CAMPUS
Inputs: total campus revenues; total campus expenditures; current cash balance for campus
Output: Net revenues/costs for the campus; current cash balance for the campus

Juan Sánchez Muñoz

Chancellor

Gregg Camfield
Executive Vice Chancellor
and Provost

Luanna Putney
Associate Chancellor &
Senior Advisor to the
Chancellor

Cecil Howard
Interim Chief Diversity
Officer

Stella Ngai
Chief Campus Counsel

Vacant
Associate Provost,
Academic Planning and
Budget

Teenie Matlock
Vice Provost for
Academic Personnel

Chris Kello
Interim Vice Provost and
Dean, Graduate Division

Sarah Frey
Vice Provost and Dean of
Undergraduate Education

Haipeng Li
University Librarian

Paul Maglio
Director, Division of
Management and
Information

Betsy Dumont
Dean, School of Natural
Sciences

Thelma Hurd
Director of Medical
Education

Mark Matsumoto
Dean, School of
Engineering

Ann Kovalchick
Associate Vice Chancellor
and Chief Information
Officer

Jeffrey Gilger
Dean, School of Social
Sciences, Humanities and
Arts

Jill Orcutt
Dean, University
Extension

Patrick Lenz
Interim Vice Chancellor &
Chief Operating Officer,
POPD

Ed Klotzbier
Vice Chancellor & Chief
External Relations Officer

Kurt Schnier
Interim Vice Chancellor &
Chief Financial Officer

Marjorie Zatz
Interim Vice Chancellor,
Research & Economic
Development

Charles Nies
Vice Chancellor, Student
Affairs