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SANTA BARBARA • SANTA CRUZ

OFFICE OF THE EXECUTIVE VICE CHANCELLOR AND PROVOST

UNIVERSITY OF CALIFORNIA, MERCED
5200 N LAKE RD
MERCED, CA 95343
PH: 209-228-4439
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TO: Betsy Dumont, Dean, School of Natural Sciences
Mark Matsumoto, Dean, School of Engineering
Jeff Gilger, Dean, School of Social Sciences, Humanities and Arts
Sarah Frey, Vice Provost and Dean, Undergraduate Education
Chris Kello, Interim Vice Provost and Dean, Graduate Division
Haipeng Li, University Librarian
Paul Maglio, Director, Division of Management and Information

FROM: Gregg Camfield, Executive Vice Chancellor and Provost

A handwritten signature in black ink, appearing to read "Gregg Camfield".

DATE: December 14, 2020

RE: EVC/P and CAPRA's comments on Phase II Academic Planning Submissions

Thank you very much for your Phase II academic plan submissions. With this memo, and per our [academic planning process](#), I write to share CAPRA's (enclosed) and my reviews of [your Phase II plans](#).

To begin, I want to acknowledge the substantial work you and your faculties and staffs have undertaken while grappling with delivering our mission during the very challenging circumstances of the last eight months. Although working under less than ideal conditions, you have made significant and important progress toward the multi-year plans that will focus the efforts of your school or division, and that of academic affairs, over the coming years as we work collectively to advance the objectives established by the Academic Planning Work Group.

At the same time, I have also heard the concerns that have been raised about planning during this time of great demand on faculty and staff. Toward that end, I will be consulting with CAPRA mid-December about how to simplify the final, Phase III deliverables to be submitted March 19. Guidelines outlining the structure and necessary elements of the March submissions will follow.

As you know, academic planning is changing the roles and responsibilities of the schools, CAPRA and the EVC/Provost in the process by which priorities are established and resources are allocated. In this new framework, schools are becoming meaningful planning units, as they outline goals and actions to realize their goals, that clarify their identities and their specific contributions to the institutional objectives established by the APWG. CAPRA and the EVC/Provost, by contrast, are responsible for ensuring that, as a portfolio, the work of the schools and the divisions advance institutional priorities.

With this in mind, I am happy to share that the goals and associated strategies laid out by the schools in this phase of the planning process appear to support the APWG's Criteria and Indices evenly (see

enclosed PPT), suggesting that the portfolio of plans elaborated thus far will help the campus collectively advance all of our academic goals. Some of these goals are much more expensive than others. Given both CAPRA's advice to develop sequencing for your plans, and the financial exigencies COVID-19 has created, I would like you to prioritize efforts that will grow our institutional resources and that will further various measures at relatively low cost.

Toward that end, as you consider the enclosed advice from CAPRA, including to prioritize, I would like to encourage schools and divisions to sequence planning activities in ways that prioritize, in these first several years of academic planning, strategies that will grow undergraduate enrollments, increase grant funding, and support our objectives for diversity. Growth in enrollment and grant winning are tied inextricably to a good number of the APWG Measures as is continued development of the efforts necessary to recruit, retain, and support the success of diverse faculty, staff and students. As such, I anticipate that enrollment, progress in securing extramural funding, and attending to the conditions that will support diverse students, faculty and staff will necessarily advance a core set of APWG priorities over the coming years, including those directly connected to R1, while simultaneously increasing the resources available for future priorities.

To increase enrollment, faculty have important control over student retention, new programming and transfer admissions. Regarding retention, not only is student success a fundamental goal in our planning, every student retained is one fewer we need to recruit. Attention to best pedagogical practices, then, is a multi-win process: it pushes us toward parity with other UC campuses in a primary measure of quality; it serves our efforts to provide equitable and excellent education to all of our students, and it protects our resource base. Regarding new students, significant enrollment of transfer students is currently our best source of new students as we look longer term. Working with the office of the VPDU, programs should be working to ensure that transfer criteria are realistic and workable. In the nearer term, developing new undergraduate programs that build from existing faculty strengths, and that are appealing to new first year and transfer students alike, will be important to growing enrollment.

In terms of campus investment in these first rounds of plans, no new resources will be allocated this spring for AY 2021-22. Forty-six faculty were hired last academic year, most on newly allocated or reserved lines, so that the overall size of the Senate faculty has increased significantly. We have also made substantial investments in research administration. Given this, it is my hope we can make good progress on our shared objectives, while simultaneously attending to the financial challenges created by the pandemic. Planning is also about re-focusing our energies around shared commitments. As such, I encourage schools and divisions to consider how reallocation of time and effort can help advance school and institutional goals independent of any new influx of resources.

I do not expect improvements in state funding per student or for capital investment for at least the next two years as we weather the pandemic. However, funding levels may change depending on the financial health of California, including the potential for additional Federal stimulus. The extent to which our campus remains on course to reach our goal of 15,000 students by 2030 may also depend to some degree on the state's recovery from the pandemic, and what that impact may yet be is completely opaque. As we work through the next several years of limited resources, the plans elaborated by your schools and divisions will be particularly critical to establishing a broadly shared understanding of why and how we choose to invest.

Finally, it cannot be emphasized enough that this is our first attempt at what we intend to be a robust, annual, iterative planning process. As such, the plans you are developing now will remain living

documents to guide the campus into the future. Annually there will be opportunities to amend and update plans to respond to changing conditions. This includes before any future significant resource allocation process. As with any new process, we will inevitably be learning as we go and we will be sure to seek your insights into what is working and what needs to be improved as we shift toward transparent planning and resource allocation processes that are grounded in the work of your units.

Again, thank you, your faculties and your staff for the significant work already completed. I very much look forward to receiving your Phase III submissions in March.

CC: Fatima Paul, Executive Director, Academic Senate
Academic Senate Office
Patti LiWang, Chair, CAPRA
Kurt Schiner, Interim Chief Financial Officer, Associate EVC/Provost for Academic Planning and Budget
Laura Martin, Assistant EVC/P, Academic Planning and Institutional Assessment
Rich Shintaku, Senior Advisor and Chief of Staff to the Provost
April Graves, Executive Assistant to the Provost

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ACADEMIC SENATE, MERCED DIVISION
COMMITTEE ON ACADEMIC PLANNING AND RESOURCE ALLOCATION

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95343

November 25, 2020

To: School and Division Leads

From: AY 20-21 Senate Committee on Academic Planning and Resource Allocation (CAPRA)

Re: Academic Planning – Phase II

CAPRA would like to reiterate its appreciation for the hard work that everyone did in the latest phase of Academic Planning. The Academic Planning process is important for developing an institution-wide framework for planning in which Senate involvement is a critical element. However, we realize that these are exceptional times, with many other pressures and unknowns. You may have felt that the demands of Academic Planning were not clear enough and that the outcome was not certain. We would like to assure you that we are working with the administration to continuously clarify what is requested and how the information can most efficiently be used in the planning process. Further, any comments or critiques we make of your plans are not intended to be critical, but rather to help us in the future have a consistent set of documents that can be more easily compared for planning purposes.

Again, please know that your colleagues on CAPRA appreciate your efforts and are grateful to the time you have dedicated to the Academic Planning process.

cc: Robin DeLugan, Senate Chair
LeRoy Westerling, Senate Vice Chair and AY 20-21 CAPRA member
Kurt Schnier, Associate EVC/Provost, Academic Planning and Budget
Laura Martin, Assistant EVC/Provost, Academic Planning and Institutional Assessment
Senate Office



ACADEMIC SENATE, MERCED DIVISION
COMMITTEE ON ACADEMIC PLANNING AND RESOURCE ALLOCATION
PATTI LIWANG, CHAIR
pliwang@ucmerced.edu

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95343

November 13, 2020

To: Kurt Schnier, Associate Provost for Academic Planning and Budget

From: Patricia LiWang, Chair, Committee on Academic Planning and Resource Allocation (CAPRA)

A handwritten signature in blue ink, reading "Patricia LiWang".

Re: Recommendations on Academic Planning Phase II – Draft Academic Plans

CAPRA has evaluated the [draft academic plans](#) from Schools and Divisions that were formulated in accordance with Phase II of the campus academic planning process.

Specific comments about each draft plan are appended to this document. In addition, CAPRA recommends that you convey the following critical recommendations to each School and Division:

- From its consultations with members of the administration, CAPRA believes two priorities for the university moving forward are likely to involve increased undergraduate enrollment and an increase in research dollars to stabilize our campus budget. We hope that conveying this information now, even as the administration's Strategic Planning is still unfolding, will assist the Schools and Divisions in prioritizing their goals and strategies over the near and long term.
- Goals should be prioritized.
- Goals should be measurable, and strategies should be action-oriented and specific. This is especially important given that strategies are where Schools and Divisions will be investing their resources. The strategies must also articulate the associated costs, should include an explanation of the activities that Schools and Divisions expect to undertake to execute the strategies, and should be clear about who is carrying out the strategy, e.g. department, dean's office, faculty committee, etc.
- Any growth is an opportunity to improve diversity, equity, and inclusion. CAPRA recommends an articulation of what processes each School and Division will conduct to achieve desired outcomes in diversity, equity, and inclusion.

Finally, CAPRA recommends that there be uniformity across Schools and Divisions in the definition¹ and usage of *goal* (a broad, general statement of intended outcomes or results) and *strategy* (a plan of action created to

¹ Per the glossary in the Phase II Submission Guide under the Planning Resources header at <https://apb.ucmerced.edu/academic-planning>

achieve a goal or a vision or to address a strategic issue) in the revised academic plans for Phase III of academic planning.

Thank you for this opportunity to review. CAPRA looks forward to evaluating the revised plans in Phase III in spring 2021.

cc: Senate Office
Laura Martin, Assistant EVC/Provost for Academic Planning and Institutional Assessment

Encl: 1

CAPRA Recommendations on School and Division Academic Plans
Phase II of Academic Planning
November 13, 2020

School of Social Sciences, Humanities, and Arts

- CAPRA appreciates that SSHA is advancing all three indices of success.
- Each priority in the narrative appears to be a goal and it is unclear whether these goals are listed by priority. The spreadsheet includes what are presumably priorities, but they are not the same priorities as listed in the narrative. CAPRA recommends that SSHA articulate specific and measurable goals and explain how the School intends to achieve those goals.
- CAPRA encourages SSHA to identify short and long-range targets using the measures¹ that were established by the APWG.
- CAPRA appreciates that SSHA wants to grow the number of majors and minors but recommends they provide an explanation of how they will grow in relation to the cost of delivering these additional majors and minors as well as how they will increase enrollment.
- SSHA's goal under Priority 1 reads "The task force (s) will function to guide the school on new programs, research foci, etc. ..." While CAPRA acknowledges the need for a task force, this statement is not written as a goal but rather as a declarative statement about the task force. The goal should be a statement of why this task force needs to be empaneled.

School of Engineering

- CAPRA appreciated that SoE's goals are both specific and measurable.
- CAPRA was pleased to review SoE's statement of where they are now and how they wish to grow. We recommend all other Schools and Divisions incorporate such a statement in their revised, Phase III plans.
- The strategies need to better align with the goals and be more action oriented. For example, one strategy is "Focus on improving criteria metrics that are associated with the U.S. News and World Report graduate engineering school ranking methodology." That appears to just be a restatement of the accompanying goal "Rank within the top 100 graduate engineering schools by the U.S. News & World Report."
- CAPRA suggests that SoE consider an additional strategy to achieve its goals: identify effective actions that will encourage faculty members to apply for more extramural grants.
- CAPRA understands the rationale for limiting enrollment growth of the CSE B.S. program. However, as stated in our cover memo, increased campus enrollment is one of the two top priorities of the university and is critical to achieving our institutional goals.

¹ Please visit <https://apb.ucmerced.edu/academic-planning> and click on "Academic Planning Working Group Report" under the Planning Resources header

School of Natural Sciences

- CAPRA appreciates that SNS and SoE have achieved synergy in their plans, such as proposing new ORUs.
- CAPRA was impressed by the strategy “Identify ‘signature skill sets’ essential to success in STEM fields and incorporate them into our existing majors through cross-disciplinary courses” (although CAPRA read that as a goal rather than a strategy). We recommend that all other Schools incorporate this goal into their revised, Phase III plans.
- Many of the strategies read as goals. For example, one of the strategies is to “Improve our doctoral programs to achieve R1 size and research productivity”. How does SNS plan to measure that? CAPRA recommends that all “strategies” in the Phase III plans describe specific actions rather than how things will be improved after successful action which we suggest should be called “goals”.
- Overall, CAPRA found that SNS’s plan was well-written, concise, and action oriented. However, moving forward, when the School is requesting dollar amounts, CAPRA recommends they make their strategies clearer with bullet points rather than prose. The School should also include the costs associated with each strategy.

Future Ernest & Julio Gallo School of Management

- CAPRA understands that Phase II of academic planning did not require indications of the cost of goals and strategies and where growth in revenue will originate from. However, given that the lead faculty recently submitted a pre-proposal for establishment, CAPRA believes they are in a good position to be able to add dollar amounts for each goal and strategy and we recommend they do so in their revised plans.
- The goals read more as vision statements rather than measurable, achievable goals. CAPRA recommends the plan’s authors include better articulated strategies on how they will achieve those goals.

Graduate Division

- CAPRA appreciated the well-written plan, clear goals, and the focus on both the funding and well-being of graduate students.
- CAPRA recommends the Graduate Division incorporate a strategy that assists graduate students into becoming more integrated into the campus community. Specifically, the strategy should include ways to communicate to graduate students the opportunity to serve on various campus committees.
- The plan did not include an articulation of how the Graduate Division will achieve their funding strategies. CAPRA recommends they develop action-oriented strategies.

Undergraduate Education

- The numbered “strategic priorities” in the narrative are really “goals” and the lettered items are strategies. These lettered strategies should be listed in the Excel spreadsheet.
- CAPRA suggests a more developed articulation of how Undergraduate Education can help the Schools create new majors.
- CAPRA appreciated that Undergraduate Education aligned their goals with that of the Schools.

Library

- CAPRA appreciated the clear, color-coded delineation of which Library functions support and do not support each measure.
- CAPRA recommends that all strategies should be action oriented.
- CAPRA suggests the Library add a strategy regarding sharing resources among other UC libraries and utilizing more digital resources rather than relying heavily on physical collections.
- CAPRA recommends a more developed articulation of the strategy “Provide diversified collections in support of both disciplinary and inter/cross disciplinary fields as well as community of cultures.” Will these be digital or physical resources? How will this be achieved?
- CAPRA recommends that the following strategies be reworded as an action-oriented format rather than a statement:
 - “Access to information resources is fast and convenient regardless of whether or not those resources are held locally.”
 - “Information discovery is as easy and intuitive as it can possibly be.”

Overview

The slides that follow summarize support for the Indices of Success and Criteria by the schools, and the proposed Gallo School, as indicated by the Phase II plans.

The data for these figures are provided in the Excel sheet titled *School Goal APWG Indices & Criteria Alignment 10.11.2020 Analysis*. These data are a compilation of the data provided in the individual school Phase II submissions. Please see the individual unit plans for their strategies, and how those strategies support the unit's goals and the APWG Measures, Criteria and Indices.

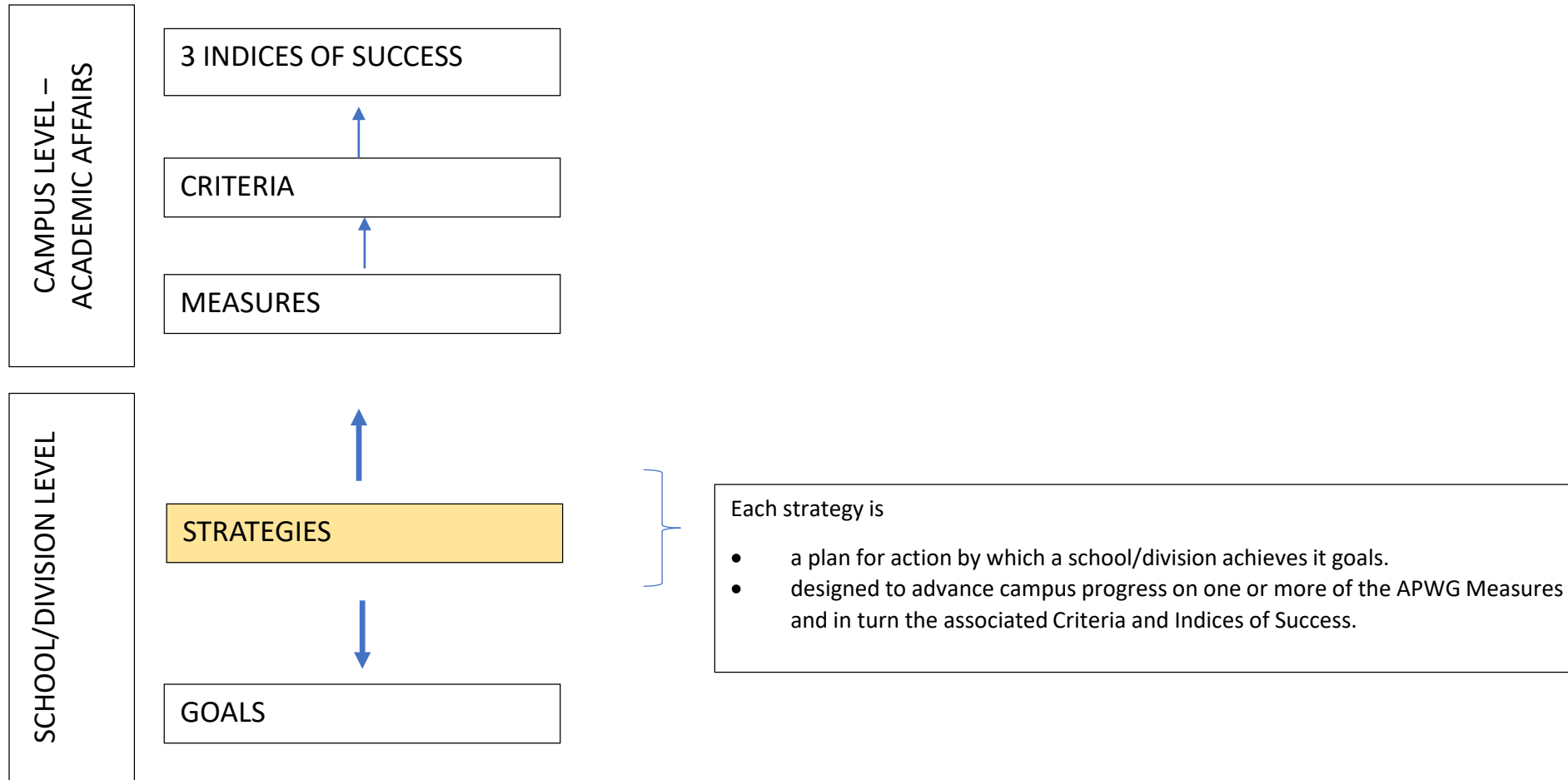
A school is considered to support institutional achievement a given Index, when a school indicates that a strategy proposed to meet one or more of its goals will also positively affect one or more APWG measures. (See next slide for a schematic.)

These relationships are indicated in the Excel files submitted by the schools as part of the Phase II plans. Specifically, for each submission,

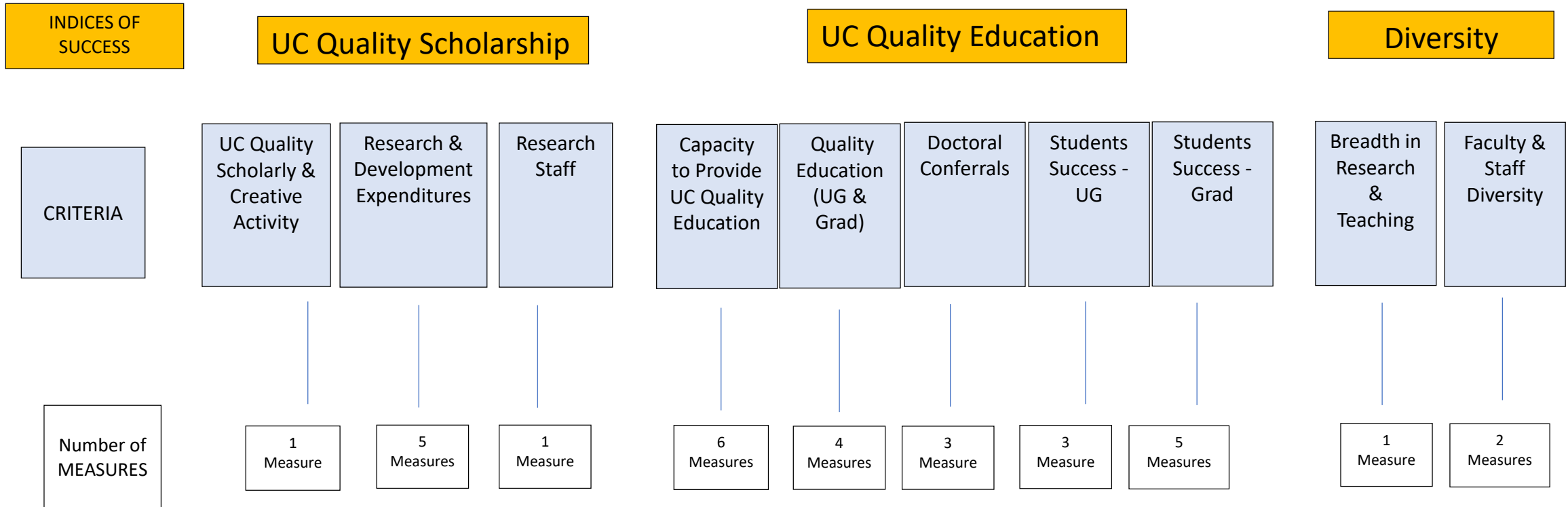
- The worksheet titled “Unit's Strategies & Goals” illustrates the strategies the school has identified to advance its goals.
- The worksheet titled “Impact on APWG Measures” illustrates the relationship between a given strategy and one or more APWG measures (and, in turn, Criteria and Indices).

When a strategy supports both a school goal and a Measure, then the school goal is considered to support the Measure as well. It's this alignment of school goals to the Measures, Criteria and Indices that is the basis for the figures that follow.

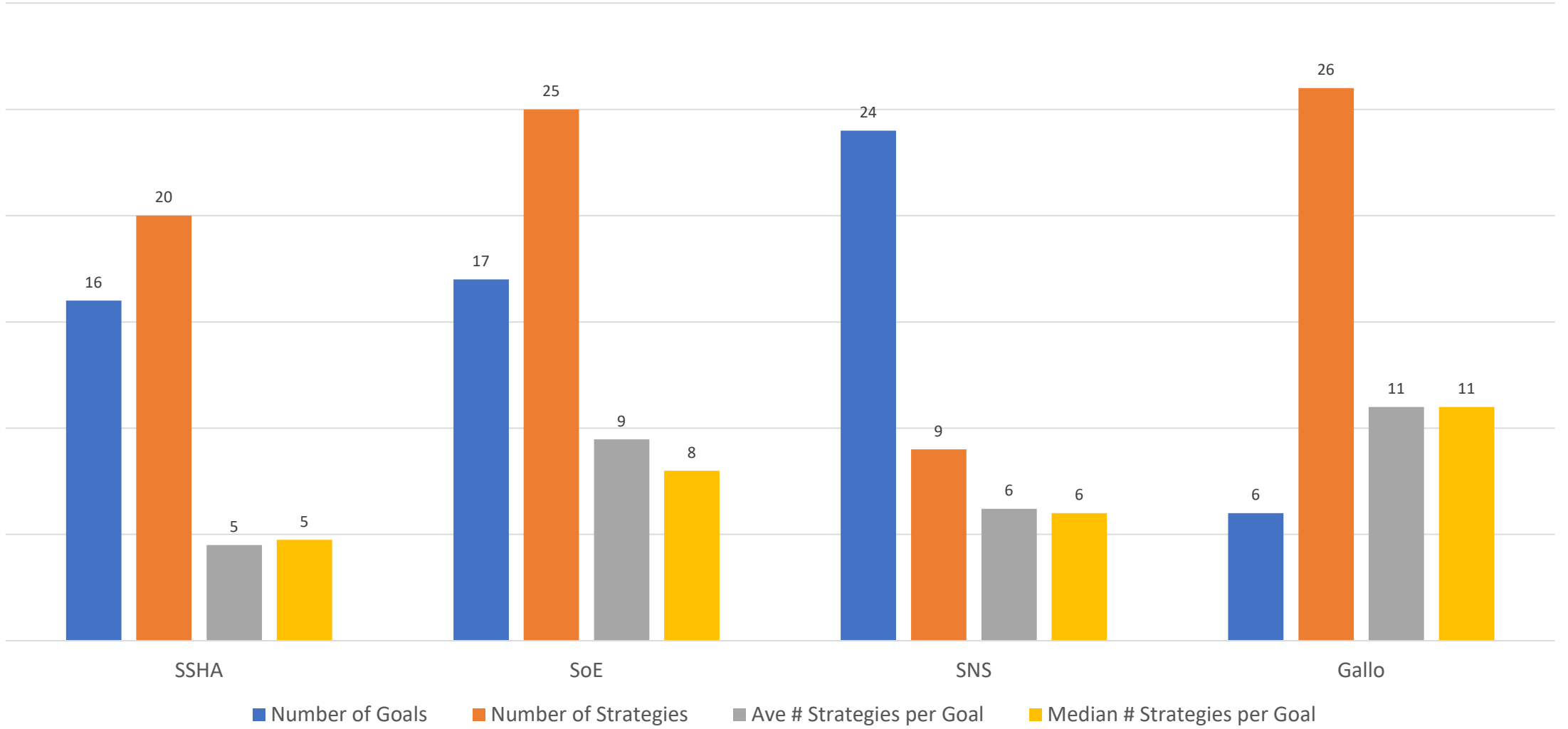
Operational Relationship of Academic Planning Components



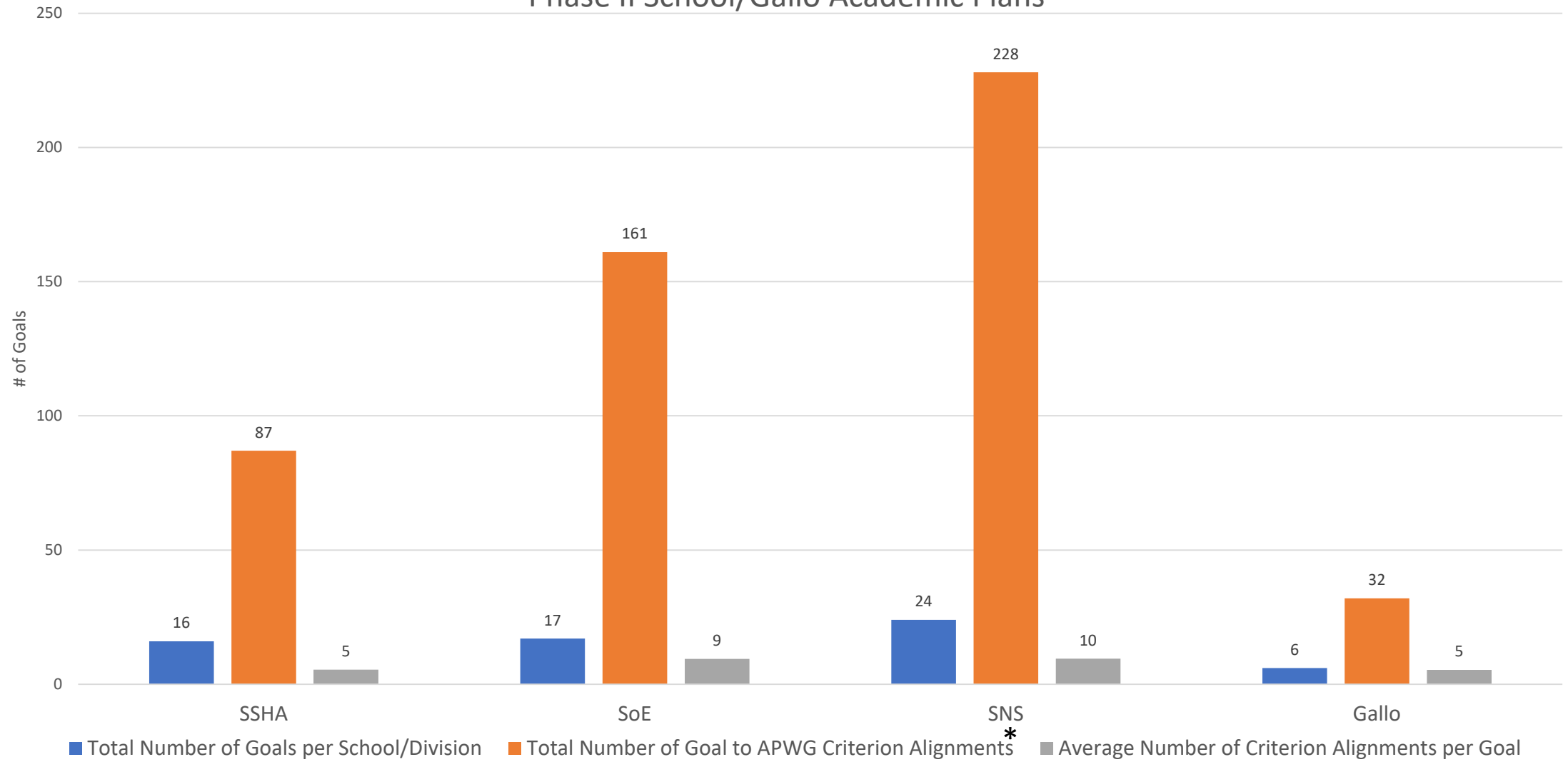
Academic Planning Priority Framework



Phase II School/Gallo Academic Plans



Phase II School/Gallo Academic Plans



* A school goal is considered aligned to an APWG Criterion (i.e. supports that criterion) when a strategy that supports that goal also supports an APWG Measure associated with that Criterion.

**ACADEMIC PLANNING
INDICES OF SUCCESS & CRITERIA**

UC QUALITY SCHOLARSHIP

UC Quality Scholarly and Creative Activity
Research and Development Expenditures
Research Staff

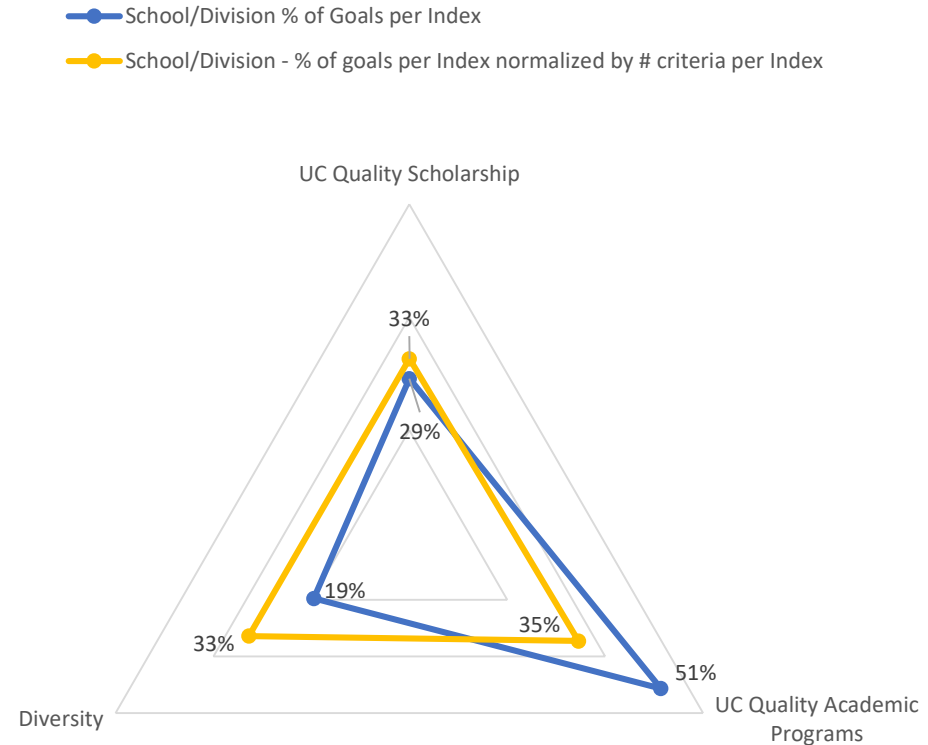
UC QUALITY ACADEMIC PROGRAMS

UC Quality Education
Capacity for UC Quality Education
Doctoral Degree Conferrals
Student Success, Undergraduate
Student Success, Graduate

DIVERSITY

Breadth in Research and Teaching Programs
Diversity of Faculty and Staff

Institutional Support for the Indices: Percentage of the goal-to-criterion alignments per Index (for all three schools and Gallo)



Institutional support for the Indices of Success by the schools and Gallo. Collectively, the Indices are relatively equally supported as indicated by the gold line which shows the proportion of the goals per Index normalized by the number of Criteria per Index.



**ACADEMIC PLANNING
INDICES OF SUCCESS & CRITERIA**

UC QUALITY SCHOLARSHIP

UC Quality Scholarly and Creative Activity
Research and Development Expenditures
Research Staff

UC QUALITY ACADEMIC PROGRAMS

UC Quality Education
Capacity for UC Quality Education
Doctoral Degree Conferrals
Student Success, Undergraduate
Student Success, Graduate

DIVERSITY

Breadth in Research and Teaching Programs
Diversity of Faculty and Staff

School Support for the Indices: % of school/Gallo goal-to-criterion alignments per Index



School and Gallo support for the Indices of Success as the percentage of a school's goal-to-criterion alignments that support a given Index.



**ACADEMIC PLANNING
INDICES OF SUCCESS & CRITERIA**

UC QUALITY SCHOLARSHIP

- UC Quality Scholarly and Creative Activity
- Research and Development Expenditures
- Research Staff

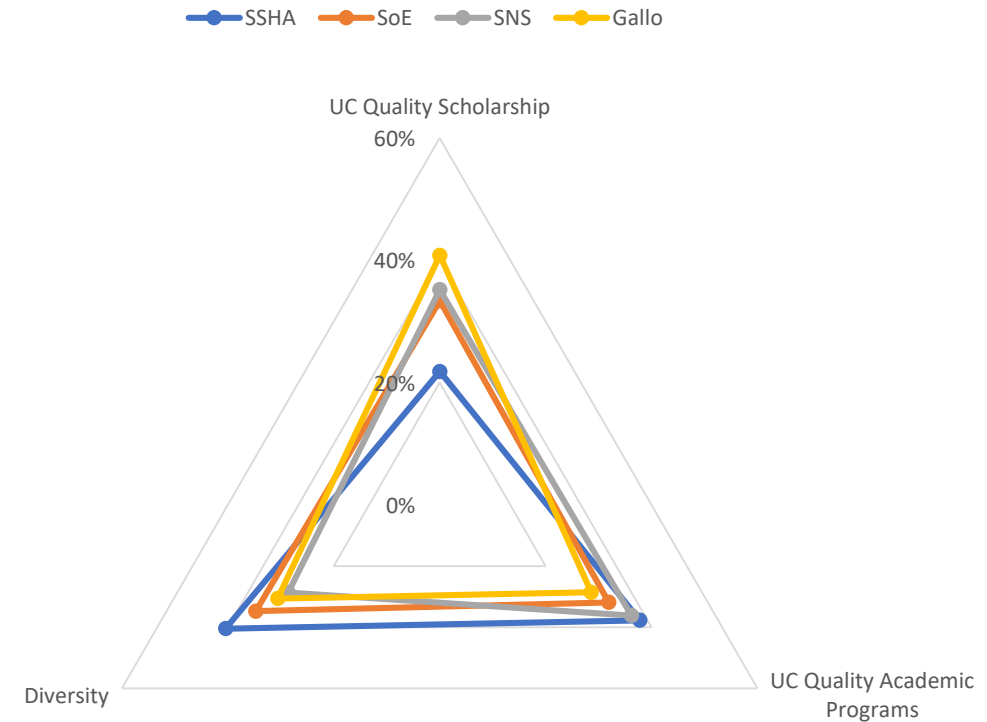
UC QUALITY ACADEMIC PROGRAMS

- UC Quality Education
- Capacity for UC Quality Education
- Doctoral Degree Conferrals
- Student Success, Undergraduate
- Student Success, Graduate

DIVERSITY

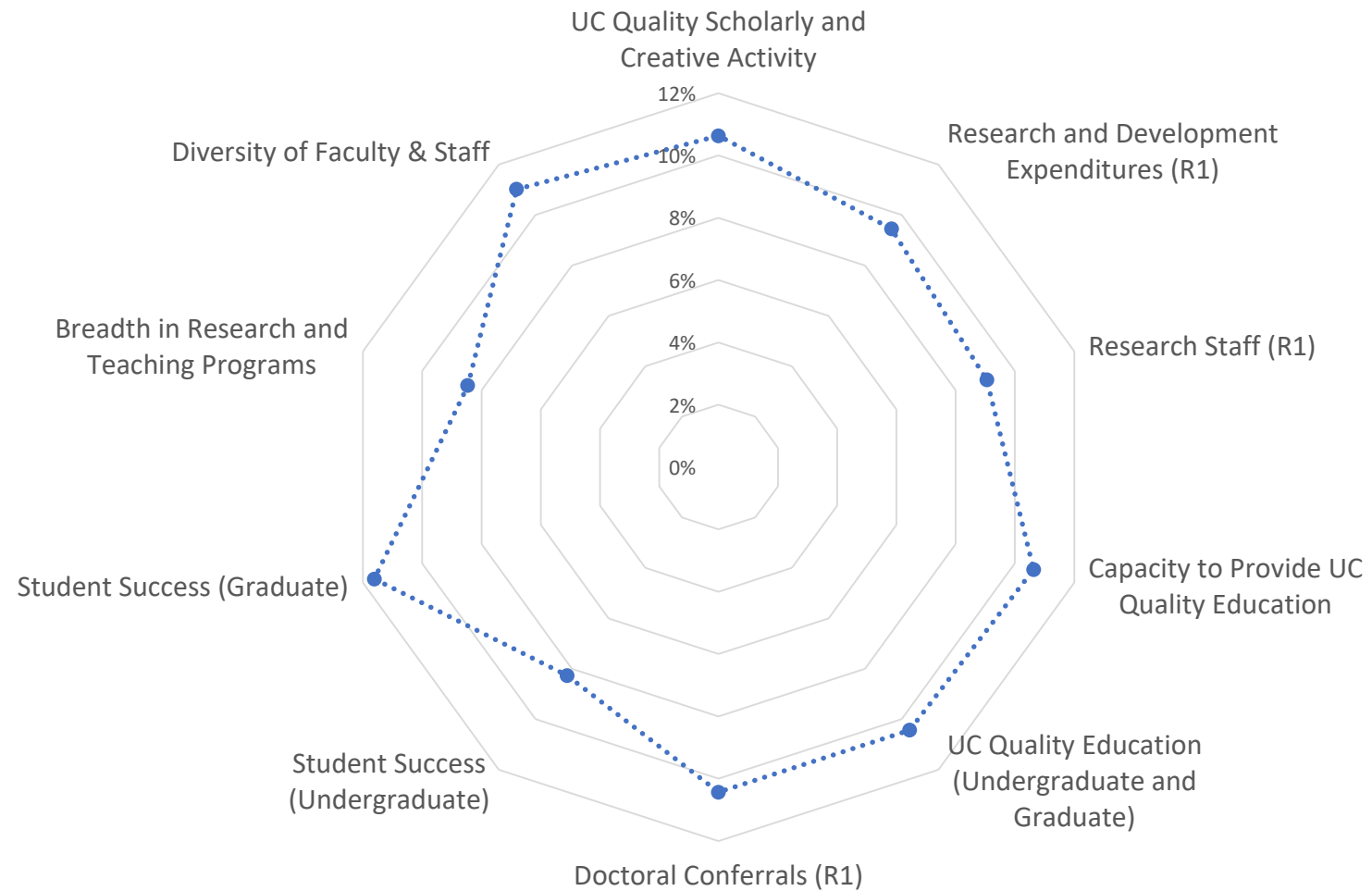
- Breadth in Research and Teaching Programs
- Diversity of Faculty and Staff

School Support for the Indices: % of each school's goal-to-criterion alignments per Index normalized by the number of Criteria per Index



School and Gallo support for the Indices of Success as the percentage of a school's goal-to-criterion alignments that support a given Index normalized by the number of Criteria per Index.

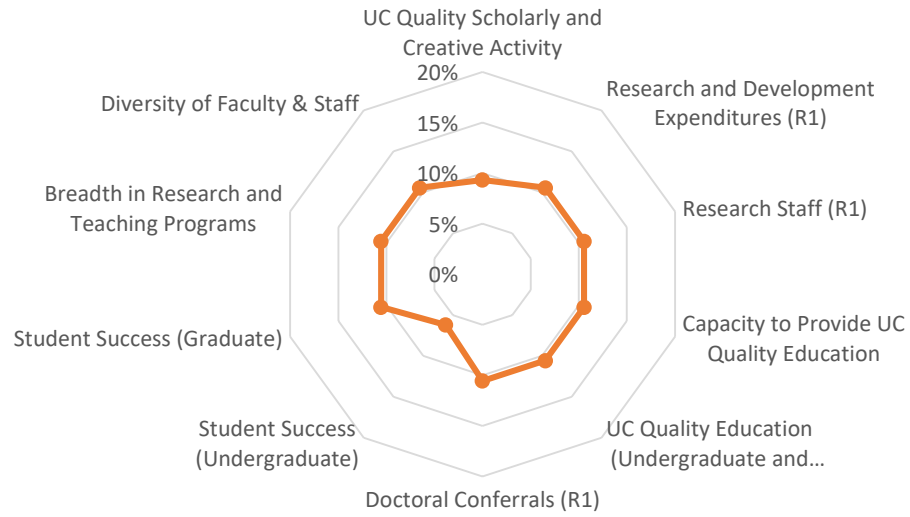
PHASE II - INSTITUTIONAL EMPHASIS: PERCENTAGE OF SCHOOL/GALLO GOAL-TO-CRITERION ALIGNMENTS THAT SUPPORT A GIVEN CRITERION (SCHOOLS AND GALLO ONLY)



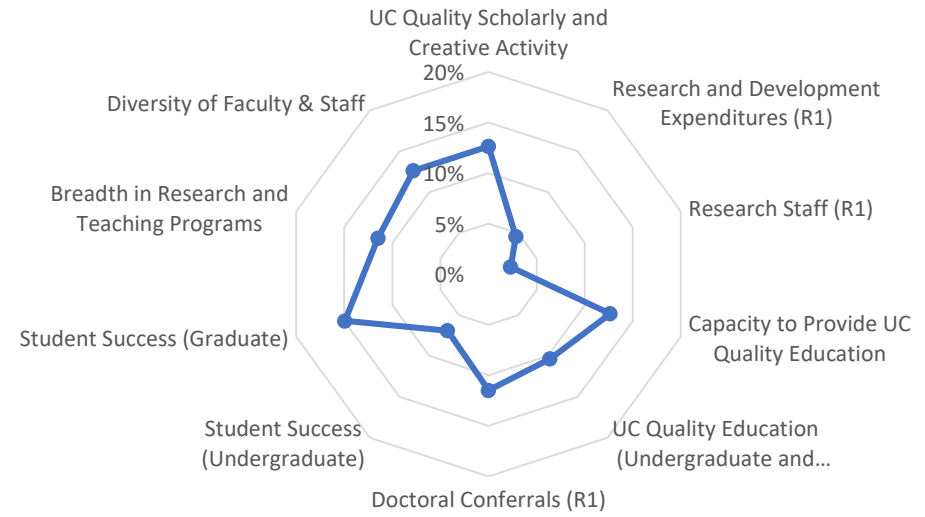


School-level emphases: For each school, the percentage of its total goal alignments per criterion - i.e. the % of a school's total number of goal alignments attributed to a particular criterion

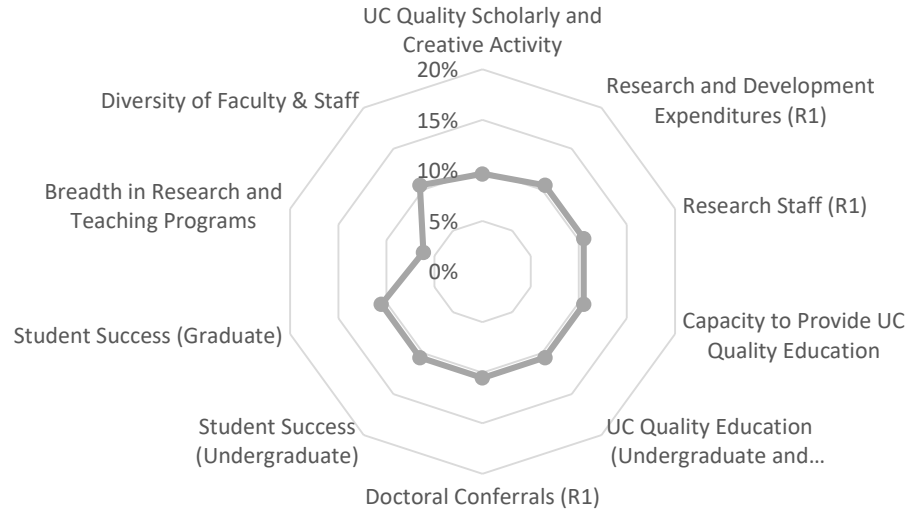
SoE



SSHA



SNS



Gallo

