Academic Planning Working Group

The Academic Planning Working Group (APWG), appointed in AY2019/2020, was charged with developing a proposal to help guide academic planning and resource allocation in the post-2020 Project period enabling the continued fulfillment of a UC-level research mission. Toward this end, the APWG sought to: (1) codify shared campus goals 2) generate criteria and measures to evaluate the campus's efforts in meeting these institutional goals and to assist in guiding predictable and sustainable resource allocations; and (3) develop a process for conducting newly designed multi-year academic resource requests that appropriately involves and empowers existing Senate review structures.

This document contains the APWG's recommendations for these processes. Starting in AY2019-2020, the Provost/EVC will request multi-year plans from the Deans. This will facilitate moving the campus toward a multi-year planning process that facilitates localized decision-making.

The APWG was co-chaired by Gregg Camfield, Executive Vice Chancellor and Provost and Jessica Trounstine, Chair CAPRA.

I.   Membership and APWG Process

In order to complete its work, the APWG divided into three subgroups (members are listed below). The entire committee met four times and the subgroups met two to four times from January through May.

The subgroups were constituted as follows:

Strategy/Town Halls	*Criteria*	*Process*
Jessica Trounstine, (co-chair)	Kurt Schnier, (Chair)	Jeff Gilger, (chair) Dean, School of SSHA
Gregg Camfield, (co-chair)	Susan Amussen, UGC	Marjorie Zatz, VP and Dean, Graduate Education
Asmeret Asefaw Berhe, D&E	Romi Kaur, AVC, Financial Planning and Analysis	Kathleen Hull, CAPRA
Catherine Keske, School Executive Committee Rep	Michael Scheibner, COR	Jessica Trounstine
Kurt Schnier, Chair, Academic Senate	Alisha Kimble, Asst. Dean, Undergraduate Education	Gregg Camfield
Teamrat Ghezzehei, GC	Haipeng Li, University Librarian	

Strategy Group

The strategy sub-group met twice to discuss the overall strategies and priorities that will guide institution level, multi-year resource allocations. The sub-group developed a presentation regarding attaining R1 status in the context of UC Merced's mission and the constraints the campus faces. Members discussed goals to be achieved at the town halls and created a set of questions to be posed to faculty. The strategy sub-group convened four town halls to present this material and gather faculty input. Town halls occurred throughout February at the three schools and with the Joint Vice Chancellor's and Dean's Council. Feedback from the town halls was used to develop institutional goals and definitions of success. Annotated and complete notes from the town halls are included as an appendix to this document. Institutional goals were presented to the full APWG, and then revised in light of the committee's feedback. Revised goals were again presented to the full APWG committee and were ultimately recommended for campus review. These goals are presented in Section II below.

Criteria Group

The criteria subgroup met four times to discuss the criteria to be used to measure the proposed indices of success. Over the course of the three meetings, the subgroup clarified the objectives for the criteria and developed a set of criteria for consideration by the faculty. In the first meeting, the group was divided into subgroups, and each subgroup was charged with proposing a set of criteria for a subset of proposed indices. Indices assignments were made such that each index was assigned to two of the three subgroups. At the second meeting, the group winnowed nearly 50 draft criteria to a subset that was presented to the overall APWG. Following feedback from the APWG, the criteria subgroup considered revised draft criteria at its third meeting. These revised criteria were again discussed by the full APWG membership, and a final set identified for review by the faculty. Following extensive Senate feedback, the criteria subgroup met one final time to incorporate feedback and revise the criteria. These criteria are presented in Section III below.

Process Group

The charge of the process subgroup was to develop a process for conducting multi-year academic resource requests that appropriately involves and empowers existing Senate review structures. The subgroup further refined its main goal of resource planning to the FTE process. Once campus budgeting is better defined, a modified process will be used to include all resources that will end up in schools, divisions, or departments.

The process subgroup met and first discussed their role and desired outcomes. During the discussion it became apparent that the subgroup should consider two main processes:

1. The general flow of work, starting with the Provost's call, to the allocation of resources to schools. We call this the Big Circle/Cycle.

2. The flow of evaluations once proposals are submitted from departments to schools, and from schools to CAPRA and the Provost. This is the Small Circle/Cycle within the Big Circle.

For its initial work, the subgroup focused on process #1. Following campus review and feedback, the schools, senate, and Provost will work toward clarifying process #2. Over the course of two

meetings the process subgroup developed a process that was presented to the full APWG membership. The APWG recommended this process for campus review. This process is presented in Section IV below.

II.   CAMPUS MISSION

The APWG reaffirmed that the campus mission for the University of California, Merced is to ensure that we continue to be a UC quality institution. This is defined by:

- UC Quality Scholarship
- UC Quality Academic Programs
- Diversity

These broad goals will guide multi-year resource allocations to <u>schools</u> as the campus moves away from micro-level (e.g., department-level FTE allocations) toward school-based allocations. Schools will be asked to ensure that their requests address all three of these goals.   Schools are free to indicate strengths, weaknesses, opportunities, and/or threats to success (SWOT) in each area as motivating resource requests.

For each of the three components of our campus' mission, we have identified a set of indices of success. These indices arise from a combination of Carnegie's classifications of research activity (e.g., how they quantify R1 status), campus visioning, and school town halls. The following lists each of the three components of our campus mission and their associated indices of success. Indices with asterisk are from the Carnegie classifications.

UC Quality Scholarship

-UC Quality Scholarly and Creative Activity

-Research and Development Expenditures*

-Research Staff*

UC Quality Academic Programs

-UC Quality Education

-Doctoral Conferrals*

-Student Success

Diversity

-Breadth in Research and Teaching Programs

-Diversity of Faculty and Staff

III.   Criteria

Criteria will be used by the institution (i.e. the Committee on Academic Planning and Resource Allocation (CAPRA) and the EVC/Provost) to evaluate and help guide resource allocation. Using these criteria, school-based resource requests will be made that are based on multi-year strategic plans to be developed by each school. Within this framework, the Academic Planning Working Group developed measures for each criterion in light of the outcome it is intended to incentivize (with respect to the relevant index of success), and paid careful attention to undesirable, unintended consequences (i.e., perverse incentives). In drafting the measures, the subgroup also considered the following three objectives for the measures; they must enable (1) the institution to evaluate each school's existing or potential contributions to the campus's achievement of the indices of success; (2) schools to predict the impact of funding requests; and (3) schools and the institution to evaluate the extent to which schools met the goals of prior allocations.

The criteria subgroup also identified two types of measures that meet the criteria objectives. Type one measures address the school's gross contribution (e.g., total research and development expenditures), and type two address growth in the type one measure over time. Type one allows schools to assess their absolute contributions to the indices, while type two addresses changes in the school's contribution over time. To simplify evaluation, only type one measures are provided in this document. However, in practice each measure will also be presented as progress over time.

Institutional Research and Decision Support (IRDS) will generate and provide a summary of the school measures to all three schools annually (beginning of academic year) with the collection of these measures overseen by the EVC/Provost and CAPRA. In addition to its own data, each school will receive the measures for the other schools. The intention is to promote campus-wide transparency and enable each school to understand and articulate its contributions to the campus' achievement of the indices of success. Schools will be expected to describe their school's relative contributions to the indices of success using the measures. The development and interpretation of qualitative measures will be the responsibility of the school. Schools are free to present additional data (beyond the measures outlined here) if they so choose.

Each school will contextualize their criteria, as supported by measures, relative to their school's goals as well as the institution's indices of success. Each school may choose criteria it wishes to emphasize that will highlight its contribution. However, each school is also expected to contribute toward each of the three broadly defined campus indices of success as a collective whole. It is the combination of the criteria and the school's contextualization of the criteria, and their subsequent measures, that will constitute the multi-year plans to be reviewed by the EVC/Provost and CAPRA. These plans will include the proposed resources schools will need to support their multi-year plans and a description of how these resources will advance the school's contribution to the institution's indices of success, as captured by the criteria and evaluated using the measures. Schools can use the measures to support their proposed resource requests if they are either below or above a measure; however, schools must be explicit about the goal to be achieved with the resource request and the anticipated impact it will have on the measures.

The criteria and measures are organized below by the associated index of success (in bold) and the broader campus mission. The number associated with each measure is only provided to enable discussion, it does *not* imply prioritization. Where needed, clarifying notes are provided. As per the feedback received from the faculty, some of these measures require targets to more accurately define their measurement. Measures needing targets are indicated in the document using a (ϕ) symbol. School Deans, Department Chairs, Graduate Group Chairs and Executive Committees will be consulted to determine the appropriate targets for these measures. Some of the measures may be difficult to evaluate in the first few years of the planning process, but they have been retained as aspirational measures that will be included in future planning processes as this continues to shape the campus' planning efforts. The EVC/Provost and CAPRA will also revisit the value of the measures in assessing the criteria over time, consulting the campus in the process, to ensure that the measures can flexibly evolve to best measure the criteria under the institution's indices of success. An additional goal will be to gather similar measures from peer institutions in order to evaluate UC Merced's progress.

Listed below are the criteria (in italics) organized by indices of success (in bold, highest level of organization) and the subsequent measures used to evaluate the criteria. An asterisk (*) placed next to the measure indicates that UCM currently collects data that will allow faculty and administration to easily evaluate the measure. We denote Carnegie metrics with (R1).

A. UC Quality Scholarship

    a. *UC Quality Scholarly and Creative Activity*

        i. Measure #1: Scholarly and creative excellence, as defined by faculty, and in line with international standards for disciplinary and interdisciplinary achievement. (ϕ)

        Notes: These aspirational scholarship/creative goals should stem beyond measures required for tenure and promotion (those captured in our merit review process). These should be focused on what will make programs in the school distinctive (i.e., niche/specialty areas, distinctive programs, interdisciplinary programs, etc.). These measures can also be flexibly defined to incorporate measures important to the faculty within the school (i.e., presentations, awards, books, top-tier publications, prestigious book presses, publication rates, interdisciplinary publications, citations, impact factors, etc.). These measures can be both quantitatively and qualitatively defined by the faculty within the school. The fundamental purpose of this measure is to evaluate a school's progress in achieving its localized mission to serve the institution.

    b. *Research and Development Expenditures*

        i. Measure #1: Total research and development expenditures within the school* (R1)

ii. Measure #2: Three-year running average of the percentage of faculty with grant money from sources external to the campus and/or UC system*

iii. Measure #3: Ratio of grants submitted to pre-award staff (includes both school-based and Office of Research and Economic Development (ORED) staff support)*

iv. Measure #4: Ratio of grants received to post-award staff (includes both school-based and ORED staff support)*

v. Measure #5: Ratio of five-year lagged summation of research and development expenditures within the school to the sum of the increases in budget allocations provided to the school over the preceding five years

Notes: For Measure #3 and #4 these are targeted at identifying potential difficulties that may arise within each school in meeting grant funding objectives. This may be used to help guide potential staffing needs to support faculty at the institutional level. Measure #5 will be gathered such that all grant money received by faculty appointed in the school is included regardless of whether the Principal Investigators (including CO-PIs) have appointments in more than one school. Therefore, the calculation will allow for "double counting" across schools and treats single investigator funding the same as multi-investigator funding.

c. *Research Staff*

i. Measure #1: Number of research/technical support staff with a doctorate per faculty member (R1)

Notes: Research staff that span across multiple schools will be included in each school's measure. Double counting will be allowed to make sure we do not disincentivize cross-school collaborations (i.e., interdisciplinary research programs).

B. UC Quality Academic Programs

a. *Capacity to Provide UC Quality Education*

i. Measure #1: Sufficient access to courses

1. Undergraduate – percentage of courses with an active waiting list broken down by required and elective courses

2. Graduate – question 6 on existing graduate student survey that asks respondents to rate the "availability of courses to complete your graduate program"*

ii. 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*

iii. Measure #3: Ratio of declared undergraduate majors within the school to the number of professional advisors serving them*

iv. Measure #4: Student (declared majors)-to-Senate faculty ratio at the school level*

v. Measure #5: School share of total student credit hours for campus*

Notes: For Measure #1 we currently do not have waiting lists for our courses. The APWG will be recommending that waiting lists be established for the campus. For Measure #4 in the case of interdisciplinary undergraduate programs that span across schools, faculty members and majors will be fractionally assigned to the schools based on the instructional workload of the faculty member teaching the undergraduate courses. For interdisciplinary graduate programs the fractional assignment will be determined based on the composition of the Graduate Group. For Measure #5 the credit hours will be determined based on the school within which a faculty's primary department resides (e.g. the department through which their merit reviews are conducted).

b. *UC Quality Education (evaluated at both undergraduate and graduate levels)*

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 (ϕ)

ii. Measure #2: Expenditures on Research Experiences for Undergraduates (REUs) and training grants (i.e., UROC, NRT) within the school

iii. Measure #3: Percentage of undergraduates within the school that participate in research

iv. Measure #4: School's contribution to General Education and campus service courses measured as total number of courses taught and student credit hours generated*

Notes: Measure #3 should include research within courses as well as participation in faculty research (i.e., independent study, undergraduate research credit, lab assistants, research assistants, UROC, etc..).

c. *Doctoral Conferrals*

i. Measure #1: Rolling 5-year average of doctoral degrees conferred (R1)*

    ii. Measure #2: School's average rolling 5-year number of doctoral degrees conferred per faculty relative to program-specific goals (ϕ)

    iii. Measure #3: Number of graduate students (broken down by Masters and PhD students) enrolled per a faculty member*

    Notes: For Measure #1, this calculation captures the total number of students who finish within the prior 5-year interval (regardless of how many years they were enrolled in a program). For Measure #2, this calculation will be expressed as the sum of squared deviations from the program-specific targets, weighted by the size of the graduate program in the school, to obtain a school-level measure. In the case of cross-school graduate programs this measure will be fractionally weighted based on the composition of the Graduate Group and calculated first at the program level and then aggregated up to the school level.

d. *Student Success – Undergraduate students*

    i. Measure #1: 4-year and 6-year graduation rates*, calculated as an absolute measure and sum of squared deviations (at school level) from institutional targets (ϕ)

    ii. Measure #2: 1st and 2nd year retention rates*, calculated as an absolute measure and sum of squared deviations (at school level) from institutional targets (ϕ)

    iii. 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)*

    Notes: Both Measure #1 and #2 will be calculated for all students in general and for all students who do and do not change majors during the course of their studies. Squared deviations will only be calculated when below the institutional targets. Measure #3 is assessed using the institution's existing reporting process (see Faculty Perceptions of Student Learning) which was established by PROC in response to a WSCUC requirement. For each PLO report, program conclusions regarding student learning outcomes are aligned to a Likert scale of very pleased, pleased, somewhat pleased, somewhat displeased, displeased, very displeased. The pleased scale was developed based on language used by faculty in PLO reports. Measure #3 can also be used to clarify where/when departments are unable to deliver their intended curriculum and whether efforts to improve graduation rates are impacting student learning outcomes.

e. *Student Success – Graduate students*

    i. Measure #1: Completion rate over a 7-year time interval (those who start and complete within that time window)

    ii. Measure #2: Timely degree completion based on program-specific targets(ϕ)

    iii. Measure #3: Percentage of graduates employed one year after graduation (UCOP survey – this will include students serving as post-docs)*

    iv. Measure #4: Percentage of graduate students supported by GSRs, TAships and Fellowships within the school (this data is currently reported to NSF and NIH)*

    v. Measure #5: Three-year rolling average of the percentage of programs pleased with student learning outcomes

    Notes: Measure #5 is assessed using the same mechanism as Measure #3 under *Student Success – Undergraduate students*.

C. *Diversity*

a. *Breadth in Research and Teaching Programs*

    i. Measure #1: Herfindahl Index of majors (sum of the squared proportions, see notes below)

    Notes: The Herfindahl Index is a measure of concentration and will be calculated separately for undergraduate and graduate programs. It is calculated by first determining the percentage of students enrolled in each of the school's programs, squaring this percentage and then adding them up across all the programs within the school. The closer the number is to one (indicating all students are enrolled in one program), the higher the student concentration and, therefore, the less breadth that exists in the school's teaching programs.

b. *Diversity of Faculty and Students*

    i. Measure #1: Percentage of under-represented minorities and women faculty by rank relative to gender and racial diversity in respective fields (ϕ)

    ii. Measure #2: Sum of squared deviations from a school's demographic/diversity faculty targets for under-represented groups (i.e., national graduation rates that may serve as targets) (applied only when below target) (ϕ)

      iii. Measure #3: Career stage of Senate faculty (i.e., Assistant, Associate, Full, beyond Full VI) by demographic/diversity group

      iv. Measure #4: Student (undergraduate and graduate) diversity within the school

Notes: For Measure #2 demographic/diversity targets for underrepresented groups are minimums established as affirmative action "utilization" goals according to Federal regulations. Departments and schools may set additional targets for state protected groups (such as LGBTQ+ faculty) or may set higher targets. The targets will be used to define the overall percentage of the faculty within the defined demographic/diversity group. Each school will determine the percentage of their faculty within these groups, broken down by department, and then calculate their deviation from the target. This deviation will be squared and added up across all of the demographic/diversity targets. However, the calculation will only apply when they are below the desired target for underrepresented groups. This will ensure that if a school exceeds the targets it does not impact the measure. The closer the sum of squared deviations is to zero, the closer the school is to their targets.

IV. Planning Process

In the near term, the planning process is focused on the allocation of faculty FTE and temporary academic staffing. Over the next several years the process will be broadened to include other targets of budget allocation. The majority of faculty lines, which are ultimately housed in departments, will be allocated to School Deans. The Provost will reserve FTE for the promotion of interdisciplinarity, targets of opportunity, and spousal accommodations.

The Office of Research and Economic Development is not integrated into the current plan as the process is focused on faculty FTE. In future iterations, as the process is broadened to include other targets of budget allocation, the Vice Chancellor of Research will participate in the process as a Dean and ORUs will participate in the budget call through this avenue. It remains to be determined how other campus entities such as the library, IT, and Space Planning will be included.

The recommended process is illustrated in Diagram A. A rough timeline is included for each step of the process, and example tasks/summaries of duties at each step also appear in the diagram. Note that throughout the timeline, there is ample opportunity for iterative consultation along the way. The entire cycle is roughly 1 year, start to finish. An expanded timeline follows below the diagram.
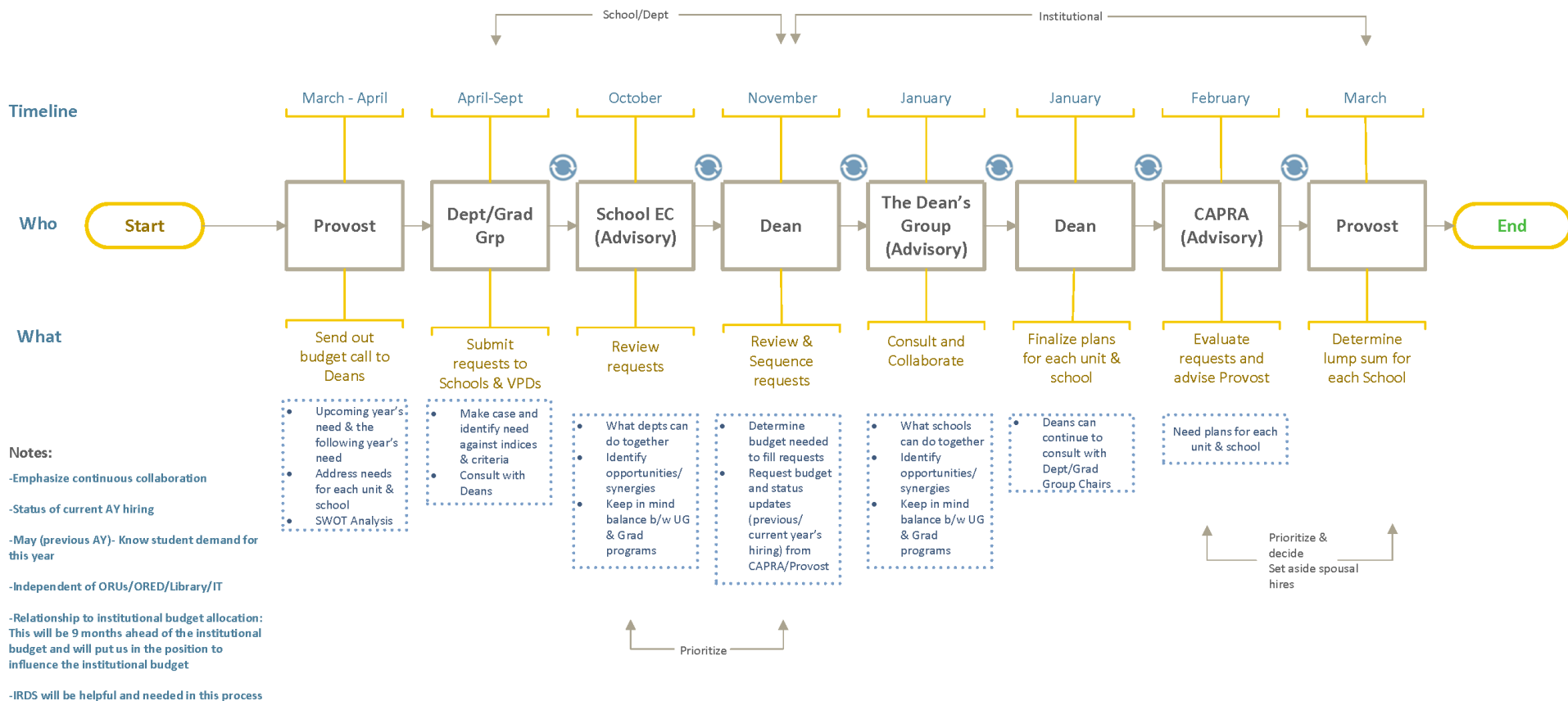
Notes on the process:

1. Provost sends out a call for multi-year resource requests. The form and requirements for responses to this call will be devised by the Provost in collaboration with the senate and leadership. The call goes to schools, graduate division, and undergraduate division.

2. The flow chart shows when/where the departments, divisions, schools, executive committees, deans, CAPRA and the Provost engage in the process.

3. The blue circles identify some key points along the flow where the process can be iterative. For example, between the Dept/Grad Group step, the EC step, and the Dean step, there are opportunities for consultation and modifications of plans and requests, then the modified proposals can be sent forward.

4. The Dean's Group box represents an important step, where the school and division deans will consult on resource requests, perhaps finding synergies, efficiencies, and/or collaborative themes. If warranted, proposals can be modified further then sent forward.

Diagram A:

Draft Resource Proposal & Allocation Process (High-level)

	School/Dept			Institutional			

Timeline

March - April	April-Sept	October	November	January	January	February	March

Who

Start → Provost → Dept/Grad Grp → School EC (Advisory) → Dean → The Dean's Group (Advisory) → Dean → CAPRA (Advisory) → Provost → End

What

Send out budget call to Deans	Submit requests to Schools & VPDs	Review requests	Review & Sequence requests	Consult and Collaborate	Finalize plans for each unit & school	Evaluate requests and advise Provost	Determine lump sum for each School

- Upcoming year's need & the following year's need
- Address needs for each unit & school
- SWOT Analysis

- Make case and identify need against indices & criteria
- Consult with Deans

- What depts can do together
- Identify opportunities/ synergies
- Keep in mind balance b/w UG & Grad programs

- Determine budget needed to fill requests
- Request budget and status updates (previous/ current year's hiring) from CAPRA/Provost

- What schools can do together
- Identify opportunities/ synergies
- Keep in mind balance b/w UG & Grad programs

- Deans can continue to consult with Dept/Grad Group Chairs

Need plans for each unit & school

Prioritize & decide
Set aside spousal hires

Prioritize

Notes:

-Emphasize continuous collaboration

-Status of current AY hiring

-May (previous AY)- Know student demand for this year

-Independent of ORUs/ORED/Library/IT

-Relationship to institutional budget allocation: This will be 9 months ahead of the institutional budget and will put us in the position to influence the institutional budget

-IRDS will be helpful and needed in this process

Process Timeline

Call for Proposals

Mid-August – requests are forwarded to the School Deans

Mid-September – School Deans forward EVC/Provost and CAPRA's request for plans to Department Chairs

School Level Planning

Mid-August-Mid-September – Schools begin SCHOOL level planning

Mid-September – October: Department Chairs work with faculty to develop plans

November 1st – Department Chairs submit three/five year hiring plans to Dean and school EC

December 1st – Deans and school EC provide feedback to Department Chairs

Mid-January – Department Chairs submit final three/five year hiring plans to Dean and School EC

Mid-January – early February – Deans and school ECs meet to review and finalize school plans

Allocation

1st week of February – submission of school three/five year hiring plans to CAPRA

February –CAPRA reviews school-level three/five-year strategic hiring plans

Mid-February –CAPRA provide schools with clarifying questions/ requested revisions

March 1st – Schools provide responses to clarifying questions/ requested revisions to CAPRA

Mid-March – CAPRA forwards recommendations to EVC/Provost

1st week of April – EVC/Provost announces allocations to the schools

Appendix A:

Annotated Town Hall Notes (used to develop campus goals and indicators of success)

DEFINITIONS OF INSTITUTIONAL VALUES (INDICES OF SUCCESS)

Using the comments from the town halls we can begin to illustrate the faculty perspective for each of the institutional values captured by the indices of success. To illustrate this, each index of success is listed and comments from the town halls are added as they fit into the index. Not all of the responses have been added because they were either difficult to determine where they fit or they did not fit into the indices directly. Many of the responses entail strategies for goal attainment. The responses are color coded as follows:

School of Engineering

School of Natural Science

School of Social Sciences Humanities and Arts

Emailed/other feedback

Indices of Success:

Pursuit of UC Quality Scholarship

UC Quality Publications

Define faculty focused roles – teaching versus research

Need to identify our strengths and focus on those strengths

Identify pockets of excellence

Increase incentives for post-tenure faculty

Support Jr. faculty early

Relieve burden on faculty

Numbers of publications (reference to ORUs)

Invest resources in programs of excellence

Focus on publications and scholarly products (Quantity and Quality)

Proxy for publications: promotion rates, may add more requests for acceleration

Enhance opportunities to support publications- service affects publication productivity

We don't want to give up our research areas to chase grant dollars

Increase conferences: hosting and attending

Avoid creating a two-tiered or two-class system where scholarship is equated with research dollars

We are already a UC quality research institution

Resist increasing faculty teaching workload, research productivity will suffer

More effective staff support across units that affect research

Create incubation grants to encourage high risk/high reward research

Build on existing core areas of strength

Create research centers

R&D Expenditures

Need proposal writers for grants

Increase number of patents

More funding

Need robust support for research

Campus needs to incentivize grant writing

Metric: Return on faculty investment (Overhead generating grant dollars- expect more from people who cost more in terms of start-up. This also measures contribution back to the campus.)

More funding

Research productivity (include tracking pre-proposals)

Collaborate with other universities and share their grant dollars

Better accounting and tracking

ORUs, core facilitates – need to be measuring their contributions to research productivity

Improve Grant support process and allocation of resources in SSHA

ORED needs to improve

Recruit senior faculty with high profile research

More effective staff support across units that affect research

Support faculty who can bring in large nationally competitive grants

Restructure ORED

More generous return on IDC policy

Research Staff

Improvement of administrative support (i.e., Staff attitude adjustment from regulatory to supportive, Increasing capability of staff)

Hire research professionals to support research

Have a culture of supporting Post Docs

Support for research institutes and ORUs

Number of core facilities & number of technical support staff

# of post-docs

Staff support for broadening use of agency funding

Better core research facilities

Hiring PhD-level scientists

UC Quality Academic Programs

UC Quality Education

We need to be diligent with development to increase support for our graduate students

We need to be cognizant of stress on faculty (balancing between Instruction v. research)

More productive/talented graduate students

Define faculty focused roles – teaching versus research

Increase PhD programs in STEM fields

Reaching R1 too quickly could drain quality

Joint BS/MS Degree (5 year)

Numbers of courses/students they are supporting (reference to ORUs)

Identify areas and programs of excellence- play to our strengths

We need to play to people and program strengths

Library-additional resources to support our research mission

We should not substantively reduce the quality of education

Avoid increasing teaching loads which can lower teaching quality

Doctoral Conferrals

Increase the number of funded GSRs

Increase the number of externally funded graduate students-External fellowships

Internal support for doctorate students

Firm commitment to student funding

GSRs

Increase the number of extramurally funded GSRs

TA lines

TA lines (i.e, More open to pre-tenure faculty, Less open to Assoc professors)

More resources to support graduate program success

Support graduate programs in various ways that increases student numbers

Student Success

Less teaching load

Analyze Student to Faculty ratio and breadth of offerings

Student Success Metrics (i.e., Job placement, Graduation rates, Median salary 5 years after graduation)

We are not willing to give students a bad experience at the expense of chasing grant dollars.

We don't want to compromise on our undergraduates

Diversity

Breadth in Research and Teaching Programs

We are not a tech school

We need to contribute to the research enterprise across all of campus

Focus on subject matter that touches multiple disciplines

Find strategies to fund majors differently

Remain a comprehensive institution- maintain core aspects of being a UC

We might need to explore alternate methods to support majors/programs & resources if we reach for R1 quickly

Breadth of research funding sources

Breadth of users

Who is using it from outside UC Merced and to what other indicators it supports; (Breadth of those users, including for education outreach) (reference to ORUs)

Interdisciplinary research

SSHA is "broad" and it broadens the campus- we do not want to lose that. We want to have breadth of programs.

SSHA contributes breadth

If our institution truly wants to be interdisciplinary, finding metrics directly counters that goal

We need to measure interdisciplinarity

All of our programs need to be properly resourced to achieve R1 status

Must not compromise commitments to current faculty

Diversify the Faculty and Staff

We want to keep equity in mind

Examine our own definition of diversity

Appendix B:
Annotated APWG Report Feedback Notes (used to revise criteria and process)

UC Quality Scholarship Comments

Adjustments to Proposed Criteria

Research staff counting - do it both ways (person-school connections & actual number of persons)

Criterion #1 rephrase: "Scholarly and creative excellence, as defined by faculty, and in line with international standards for disciplinary and interdisciplinary achievement."

Examples offered for Criteria #1

- Publications in top journals and with top presses
- Positive reviews of published work in top journals

• Presentations—including especially keynotes and plenaries—at high profile, high impact, and/or high attendance academic, industry, and non-profit conferences around the world (e.g. academic societies, TEDTalks, conferences for nurses or theatre producers).

• National and International service to the profession, for example organizing conferences and serving on editorial boards

• Community engagement activities, for example, the number of people who attend the Human Rights Film Festival, Shakespeare in Yosemite, or Science Café.

Double counting should be allowed for all R&D measures

Cross-school research appointments should be counted as a proportion of appointment time

Faculty grant ratios should be calculated only for ladder-rank faculty; will single-investigator count the same as multi-investigator?

Clarity needed regarding who counts as research staff; ratio is also unclear

Criterion #3: Ratio of research and development expenditures in a given year to the sum of incremental budget allocations provided to the school over the past five years – unclear; what are incremental budgets? What is included?

Opposition to Proposed Criteria

Criterion #1 is ambiguous – who are the faculty that get to define this?; should be pegged to similar departments at other institutions; guidance is needed on how to select appropriate goals; some groups may set their standards low; we are already a UC and so this is redundant

Grant dollars should not be weighted more heavily than Criteria #1; these measures disadvantage disciplines and schools that conduct research without grant dollars; Criterion #1 should be separated into constituent parts to reweight

View of UC Quality scholarship is too narrow and not modern

Research is not comparable across fields and so, these metrics are not useful

New Criteria to be Added

Interdisciplinarity – should count scholarly interactions across fields

We should use the standard publication rates/impact that the UC use

Should add ratio of expenditures to new grant money awarded

Ratio of publication measures to research expenditures

Ratio of grants submitted to pre-award staff; ratio of grants received to post-award staff

Ratio of publications in prior year and new grant money to average number of courses taught (is high teaching load a barrier to success?)

UC Quality Academic Programs

Adjustments to Proposed Criteria

Student to faculty ratios should be assessed at major level

How will graduate groups that have cross-school memberships be evaluated at the school level?

Need justification for the quadratic deviation measure; what happens when targets are surpassed?

MS degrees should be listed alongside MA degrees;

Doctoral conferrals incomplete sentence; measure seems overly complicated

Student learning outcomes should be a rolling average to account for variation year to year

Timely degree completion replaced with average time to advancement to candidacy and average time to PhD; relative to program specific targets

What does student to faculty ratio include – majors in the school? Students taking courses offered through the school?

Opposition to Proposed Criteria

5-year averages are problematic when humanities PhDs take 7 years; is this the number who start and finish in that interval? does not apply to MM degree which is only 1 year; is this counted at the school level?

These measures could motivate gaming the system

Program specific targets for graduate programs are inappropriate because graduate group size depends on many factors

Undergraduate student success cannot be measured by retention and graduation rates – these are determined by incoming students' characteristics not anything we do. Instead we should use REU participation rates, research participation during the term, fraction of the US population supported to do research, number of research opportunities

Using PLOs/Assessment outcomes is a terrible idea

Transfer students are ignored

Measures of UC Quality Academic Programs are only measures of size and efficiency; do not address quality of programs at all

New Criteria to be Added

Undergrad research - # paid hours, # contact hours; # students doing UROC and UROC-H; % of students enrolled in research intensive courses; % of students who participate in research while undergrads; ratio of students engaged in research to faculty

Undergraduate research takes place in classes too. Needs better definition

Criterion #2: Availability of required and elective courses

Ability to attract undeclared students/students who change majors

Number of underrepresented students sent to grad school

Credit hours and courses delivered by senate faculty vs. credit hours delivered by temporary instructors – broken down by lower div, upper div, grad

Measure whether school has met expectations in delivering gen ed and graduate courses/credits

Ratio of graduate students admitted to maximum class size for required courses

Survey of students asking if need to work >10 hours per week to pay for school related expenses.

Ratio of undergrads to professional counselors

Proportion of students failing required courses and average # of re-takes to pass major

% of students graduating with a job lined up/graduate program acceptance

Average % of graduate students supported by GSR, TA, fellowship

Diversity Comments

Adjustments to Proposed Criteria

Diversity should include gender, sexuality, first-gen status, class, religion, neurodiversity, and differently abled;

Opposition to Proposed Criteria

Diversity characteristics of faculty should NOT be measured or play a role in resource allocation

Breadth in research foci is undesirable

Concentration of students in majors is not a problem – it should not matter if all students are in a few majors

Prejudicial against Gallo School

Diversity targets can be gamed (set low to look good)

Herfindahl index is a measure used in Economics. It is odd to apply it to diversity.

Sum of squared deviation is no practical value

New Criteria to be Added

Career stage of faculty in school

Student diversity should be measured as well

Breadth of research – diversity of journals

Range of majors offered/distribution of students across majors should be measured

Faculty and staff diversity should be separated

Add promotion rate by demographic category; service load by demographic category

Diversity should be measured as way in which courses are taught/excellence in teaching under-represented students

Process Comments

We need waitlists

Lines should not be allocated to the VPDUE – it will not help produce GE instruction

No lines should be given to graduate dean or VPDUE; not clear how these lines would be used/produce the outcome intended

Enrollment management needs to be part of the planning process

Review by department chairs should be part of the process

Staff input is not included

School contributions to Senate Committees is missing

CAPRA's role will be strengthened, so CAPRA should be more representative

General Comments/Desires

There are no priorities in this document; there is no focus or strategy here

Does not highlight interdisciplinarity, service to the community; campus's preceding priorities

Previous recommendations by were not incorporated into this document; This planning effort is disconnected from previous planning efforts

This document will not aid us in planning; criteria are too broadly stated and will not be able to be used productively

No operational definitions are provided for UC Quality; Criteria do not measure what they purport to measure; there is no calibration to other UC campuses

R1 criteria are not prioritized here; emphasis has been placed on providing a good education and seeing what research excellence bubbles up

This process was designed to allow us to embrace the status quo

We need more of a strong top-down approach instead of this participatory bottom up approach

This is an opportunity to invest in some areas of research and scholarship more so than others

Indices and statistical measures give a false air of exactitude to the process

Link between measures of excellence and distribution of FTEs remains unclear.

Not clear what is seen as *good* or *bad* for several criteria

Unclear if schools/departments will be punished or rewarded

No mechanism to determine if low allocations were the CAUSE of the poor performance

Criteria are useless without baselines; what will be the basis for comparison?

Not clear how to think about areas with more metrics than others; are these metrics equally weighted?

Unclear who sets targets

School-level planning is necessary.

Schools do not yet have multi-year plans. This proposal does not offer a framework for cohesive, long-term planning at the school level. These plans will not emerge from this proposal.

Document does not address staff allocations or resources needed to support faculty at department levels

Other

It is a false dichotomy to suggest that a top-tier research institution cannot provide high quality undergraduate education to a diverse student body

APWG charge was to develop a set of goals. These goals are not included in the document

Document is difficult to navigate

Typos throughout

Document does not take into account our role as an HSI or the regional context in which we work