UNIVERSITY OF CALIFORNIA

April 21, 2005

TO MEMBERS OF THE ASSEMBLY OF THE ACADEMIC SENATE:

Professor Shawn Kantor, chair of the UCM proto-division of the Academic Senate, has submitted a petition requesting that the Academic Assembly approve the establishment of a Merced Division of the Academic Senate. This UCM formal request is appended to this letter.

In support of this request, Professor Kantor addresses the four key elements needed to become a division:

- **Bylaws** – The UCM Task Force has drafted a full set of divisional bylaws, which were vetted by the entire UCM faculty. These bylaws are currently being reviewed by UCR&J.

- **Resources** – At its March meeting, the Academic Council approved a letter to UCM Chancellor Carol Tomlinson-Keasey setting forth the minimum support requirements for Council to agree to the establishment of a division. This letter is included in the packet. At this time, I would note that EVC Ashley and Chancellor Tomlinson-Keasey have been engaged in good faith discussions with Professor Kantor and me regarding an acceptable funding plan for a Merced division, and I am optimistic that these discussions will be successfully concluded. In any event, Council has taken the position that Assembly approval of a Merced division should not be effective until Council determines that there is adequate funding for the division to operate effectively and professionally.

- **Divisional Membership** -- As of July 1, Merced will have at least 51 Senate members, of which 39 are faculty members without an administrative appointment. In addition, Professor Kantor notes that there are 11 offers in the process of going out as well as 15 other active recruitments in various stages of completion. Of the current non-administrative faculty, 18 are tenured, and this number of tenured faculty is expected to grow at the rate of 2-4 per year over the next few years.

- **Capacity to Operate as a Division** – Professor Kantor points out that except for the CAP function, the proto-division at Merced has essentially operated this year as a division of the Senate, with authority delegated to it from the UCM Task Force. In support of that assertion, Professor Kantor has supplied the agendas and minutes of all proto-divisional committee meetings. The UCM CAP, which is a Special Committee of the Academic Council, membership is roughly half from Merced and half from other UC campuses, and Professor Geoffrey Mason (UCSC) chairs it. The UCM CAP has begun the practice of allowing several "listeners" from the full professoriate at UCM to attend their meetings, and I understand from the chair of the UCM CAP that every single full professor (other than administrators) at UCM has volunteered to serve as a "listener". The proposed Merced bylaws allow for external members of CAP, and Professor Kantor points out in his letter that it is

his expectation that if the UCM division is approved, then CAP would continue to have significant membership from other UC campuses. While it would certainly be possible for the Academic Council to retain control of the CAP function for some defined period of time after the Merced division begins, it is possible that UCM divisional control of CAP might produce more regular oversight and reporting on the CAP outcomes.

The action being requested of the Academic Assembly is to approve the following change in the Bylaws of the Academic Senate:

Amended language—new language in bold and underlined. Language to be eliminated reflected in bold strikeout

Title I. Membership and Authority

305. Divisions

The Academic Senate has ~~**nine**~~ **ten** Divisions: Berkeley, Davis, Irvine, Los Angeles, **Merced,** Riverside, San Diego, San Francisco, Santa Barbara, and Santa Cruz.

The recommendation to the Assembly is that this bylaw amendment would take effect only when the Academic Council certifies that there is an agreement in place to provide sufficient funding for the UCM division to operate effectively and professionally, consistent with the April 11, 2005 letter to Chancellor Tomlinson-Keasey.

As I understand it, this is the essence of the proposal we have received.

Sincerely yours,

George Blumenthal
Chair, Academic Council

UNIVERSITY OF CALIFORNIA, MERCED

ACADEMIC SENATE

P.O. Box 2039
Merced, California 95341
(209) 724-2956

Shawn Kantor, Chair
David Ojcius, Vice Chair
Anne Myers Kelley, Secretary

April 18, 2005

GEORGE BLUMENTHAL, Chair
Academic Senate

Re: Petition for UC Merced's Transition to Divisional Status

Dear George:

On behalf of the UC Merced faculty, I am honored to present UC Merced's petition to become a division of the Academic Senate of the University of California. This petition has the unanimous support of the Merced Proto-Divisional Council. The UC Merced Task Force will be meeting by teleconference on Monday April 25, 2005, and a discussion of this Petition will be a main agenda item. I anticipate being able to report on the Task Force's position on UC Merced's transition to divisional status at the Academic Council meeting on April 27, 2005.

In his May 2003 report to the Academic Assembly, former UC Merced Task Force Chair Peter Berck concluded that "As senior faculty are hired, substantial authority will be delegated to bodies made up mostly or even entirely of UCM faculty. Where the previous years of Task Force existence have been dedicated to serving as a Senate, its role will shift to building an enduring UCM Division that will carry on the proud UC tradition of meaningful shared governance." I am proud to report that the Task Force's expectations have largely been realized during the 2004-2005 academic year. UC Merced faculty have independently taken on the duties associated with elevating the Merced faculty's prominence in the shared governance process both locally and system-wide and have taken on the critical senate roles of approving courses and curricula and consulting the administration on resource allocation issues. At this time CAP activities are still handled mostly by external members, though Merced has four senior faculty on the committee and three additional senior faculty have been appointed to act as 'observers' so that they may become acculturated to the CAP process. The Merced faculty are eager to take on the added responsibility of CAP and to assume a more prominent role in the administration of the committee.

Given the Merced faculty's increasing independence and experience with Academic Senate work, we feel well prepared to transition to divisional status. Attaining division status will elevate the prominence of the Academic Senate on the Merced campus and will have the motivational effect of signaling to Merced faculty that they are peers in the University of California system.

Based on our prior conversations I understand that at least three essential elements are needed for our transition to a full division: approved bylaws; dedicated resources that will ensure the professional operation of the Merced senate office; and an appropriate number of Academic Senate members. I would add another criterion to the portfolio – capacity to independently carry out the work of the senate.

Bylaws
A set of bylaws was drafted by the Task Force in early 2004, slightly revised by the Rules Committee appointed by the Merced Committee on Committees in late 2004, was vetted by all Merced faculty in December 2004, and then approved by the Proto-Divisional Council in early 2005. On January 13, 2005, I transmitted the proposed Bylaws of the Merced Division to your office. Once we receive comments back from UCR&J, we will proceed with putting the proposed Bylaws to a vote of the Merced faculty. As the Merced faculty had the opportunity to comment on the proposed bylaws late last year, I foresee no major issue in obtaining final faculty approval.

Resources
The disposition of our senate office resources is still under negotiation with EVC David Ashley. While I do not have concrete information to provide at this time, I am optimistic that my communications with the EVC will result in a set of resources that will provide a propitious start for the Merced division and that will be consistent with the resource parameters established by the Academic Council. I hope to be able to convey a memorandum of understanding between the Merced senate and EVC Ashley within the month.

Membership

Appendix I contains a listing of the Academic Senate members who are currently in residence at Merced or whose appointments begin July 1, 2005. By July the Merced Academic Senate will have a minimum membership of 51, of which 12 members hold administrative appointments. The tabulation below provides detail on the nature of the membership:

Faculty	39
Professor	16
Associate Professor	2
Assistant Professor	20
Lecturer (PSOE)	1
Administration	12

I have every expectation that we will have many more than 51 senate members by July 1, with the additional members being non-administrative faculty. For example, the School of Engineering has five cases that are before CAP, Natural Sciences has two cases through CAP review with offers outstanding, and Social Sciences/Humanities/Arts has four cases in front of CAP. Moreover, there are approximately 15 active recruitments going on between Engineering, Natural Sciences, and Social Sciences/Humanities/Arts, all varying in terms of completion. I am confident that by the start of the Fall 2005 semester Merced will have an adequate number of faculty to operate as an effective and vibrant division of the Academic Senate.

Capacity

As mentioned above, the Merced faculty have largely taken on the administration of their own senate committees this academic year. Operating under a proposed set of bylaws, in September 2004 the Merced faculty elected a Committee on Committees that has appointed a chair of the proto-division, a vice chair, a secretary/parliamentarian, and chairs and members of the Committee on Academic Planning and Resource

Allocation, Undergraduate Council, and the Graduate and Research Council.[1] The Proto-Divisional Council consists of the chair, vice chair, and secretary of the proto-division, the chairs of the CoC, CAPRA, UGC, and GRC, as well as one senate member who was elected at-large. The UC Merced CAP is an independent committee of the Academic Council, chaired by Professor Geoffrey Mason (Santa Cruz). Merced has four senior faculty on the committee and is adding three "observers" so that more Merced faculty can become acculturated to CAP's important functions and processes. While the Merced senate looks forward to taking on the additional obligation of CAP, I should note that our proposed bylaws allow for outside UC faculty to serve on the Merced CAP. Given the size of our faculty on opening day, I anticipate that the Merced division would exercise the option of including external UC faculty on CAP.

In terms of system-wide participation, the relatively small UC Merced senior faculty means that our participation will initially be greatest for UCOC, as well as for the major committees represented on the Academic Council: BOARS, CCGA, UCAP, UCEP, UCFW, UCORP, and UCPB. We understand that of the 18 Assembly standing committees, these committees in particular will play a key role in the development of the Merced campus. Further, historian Gregg Herken is an active member of the Academic Council's Special Committee on the National Labs. Finally, the chair of the proto-division also attends, as a guest, the monthly Academic Council meetings, which the UC Merced divisional chair would attend as a full voting member.

To follow is a brief synopsis of the activities of Merced's Proto-Divisional Council and major committees. Minutes from their meetings have been submitted to the Academic Senate and are available for inspection.

Proto-Divisional Council (Chair, Shawn Kantor)

The Council has devoted the year to elevating the role of shared governance on the Merced campus and in creating and formalizing the institutions that will facilitate faculty input into the governance of the university. At the start of the academic year various aspects of faculty shared governance at the campus-wide level were in their infancy. Equally disturbing, the institutions that foster shared governance and "collegial governance" were virtually absent in the three schools. The Council has worked to remedy these shortcomings as swiftly as possible.

The Chair meets with the Chancellor once monthly and with the EVC/Provost about every 1.5 weeks. Both the Chancellor and EVC have been favorably responsive to the Council's goal of formalizing the faculty's input on major decisions that would affect the university's academic mission or resource allocation. With the Council's encouragement, the Chancellor and EVC have held at least three all-faculty meetings to discuss issues that are of broad interest to the faculty, namely facilities and information technology. Moreover, the Council has been invited to comment on various policy proposals, and in fact we are moving to a situation where the senate is being asked to submit a nominee for the committee formulating policy proposals. Finally, the senate has quickly established standard operating procedure that any hiring of important staff personnel that impacts student or faculty welfare requires faculty participation in the search and/or interview process.

In the absence of the numerous senate committees that other campuses might have, Council members have taken on ad hoc work that does not necessarily fall within the domain of the three main standing

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[1] A Privilege and Tenure Committee was appointed but its services were never utilized.

committees. Thus, Council has dealt with issues relating to faculty welfare, diversity of the faculty, evaluation of instruction, and ongoing program review.

Mechanisms for shared governance within the three Schools and College One were completely lacking at the start of the year. The starting point was a situation in which the Deans acted as interested faculty members, administrative chairs, and deans all at the same time. There were no formal structures that delineated faculty participation in the shared governance of their Schools. As a result, the Council has moved forward with establishing proto-faculty governments in each School which has entailed writing bylaws for the governments and electing chairs and executive committees. Once Merced becomes a division, we will move forward in formalizing these Faculty Governments, as required by Academic Senate Bylaw 50. Within the month, the faculty in all the three Schools will have representatives who can communicate directly with the Deans and begin to formalize shared governance institutions at the School-level.

The Council also observed governance deficiencies in the normal administrative operations of the Schools. Capacity constraints and conflicts of interests are natural outcomes of a situation in which the deans were delegated, de facto, APM 240 and 245 duties. The Council passed a resolution that petitioned the Chancellor and EVC to assign in writing, after faculty consultation, APM 245 duties to the appropriate member or members of the Academic Senate and charged the Council itself to educate the faculty on the governance issues involved within the Schools. On behalf of the Council, Professor J. Arthur Woodward, who has over 25 years of experience at UCLA and who was the chair of the psychology department there for over a decade, wrote a document for the EVC and the faculty detailing the reasons for introducing administrative chairs at this stage in UC Merced's development. The document is included here as Appendix II. As a result of the Council's resolution, EVC Ashley will soon send the question of how the administrative chair's duties described in APM 245 will be distributed within each School. The deans, after consulting with their own faculty, will submit proposals to the EVC. At a minimum each School will appoint an administrative chair to handle personnel matters.

Committee on Academic Planning and Resource Allocation (Chair, Christopher Viney)

CAPRA accepted a charge from the EVC to play a significant role in the planning process for FTE allocation at UC Merced. CAPRA defined clear Guiding Criteria for Evaluating Schools' 5-year Strategic Plans and 1-year Academic Resource Plans (see Appendix III). The criteria draw attention to the type of information that CAPRA (and the EVC) can usefully take into account in making informed recommendations and decisions. It is expected that the Schools' planning documents will address realistic resources needed to attract and accommodate new FTEs and the future growth of their activities. CAPRA is in the process of evaluating and making recommendations on the current revised planning documents submitted by Schools.

CAPRA has expressed strong concern that the structure of the annual planning cycle as implemented this year (involving inputs from just the three major-granting Schools, submitted individually) does not optimize faculty input, is not adequately representative of all the impacted stakeholders (which should include College One, the Institutes, and the Graduate Groups), and does not adequately promote interdisciplinarity. CAPRA has engaged in dialog with the EVC with regard to implementing revised, more inclusive procedures in subsequent years, and is confident that improvements will be made.

As a continuing project, CAPRA is developing guidelines that address the optimization of space allocation from the perspective of faculty whose performance depends on the suitability and adequacy of space available for their research and teaching. Given the likely space limitations that UC Merced will face as its faculty grows rapidly, CAPRA is currently taking the lead role in recommending viable alternatives to the impending space shortage.

Undergraduate Council (Roger Bales, Chair)

This academic year the UC Merced Undergraduate Council (UGC) has met eight times and has another four meetings planned. The UGC handles all undergraduate issues, including admissions, course and curriculum approval, undergraduate student welfare, scholarships, and other issues that come up. Having a single council handling undergraduate affairs is necessary owing to the limited number of senior faculty at UC Merced presently. There are currently nine regular UGC members, two from each UC Merced School, plus three from other UC campuses. Disciplinary representation includes two faculty from engineering, three from the sciences, one from social science, two from the humanities, and one from the arts. There are also four ex-officio members of UGC.

Much of the UGC's effort has gone to reviewing curriculum and catalog changes, as new majors ramp up and as UC Merced prepares for its first class of undergraduate students this fall. UGC has approved new tracks or changes in tracks in five of the nine majors currently offered, plus about 70 new or revised course proposals. An equal number of course proposals are awaiting action. This relatively heavy load of course and curriculum changes came about because many new faculty have come on board since the inaugural catalog was prepared. UGC has also set policies for scholarships and a subcommittee reviewed applications for the awarding of Regents Scholarships. A number of other policy issues were addressed by UGC. Still remaining on the agenda for this academic year are proposals for six new majors, plus some policy issues that will require thoughtful and thorough deliberation.

Graduate and Research Council (Thomas Harmon, Chair)

Over the past year the GRC has been overseeing the development of UC Merced's academic programs for graduate studies and creating policies that will foster UC Merced's research mission. With respect to academic programs, GRC has completed the review of policy and bylaw documents for five graduate groups: Environmental Systems, Quantitative and Systems Biology, Molecular Science and Engineering, Social, Behavioral and Cognitive Sciences, and World Cultures and History. These graduate groups are not being shepherded through the system-wide approval process yet, but are at various stages of completing their proposals to the Coordinating Council on Graduate Affairs (CCGA). Roughly 15 graduate students are in residence at UC Merced and the GRC, in collaboration with Dean of Graduate Studies Keith Alley, met twice with the graduate students in open forums to discuss the state of graduate education at the university. These students elected two representatives who have been attending the monthly GRC meetings.

With respect to UC Merced's research mission, GRC has been collecting information and is in the process of drafting criteria for the creation of core research facilities. When a satisfactory draft has been created, GRC will make it available for review by the Merced faculty. Other major topics currently being discussed are royalty income and indirect cost return. Again, GRC will be drafting policies and possibly algorithms

for insuring prudent use of these funds in the spirit of supporting research and graduate education at UC Merced.

Concluding Remarks

The UC Merced faculty are eager to take on the responsibilities associated with becoming a division of the University of California's Academic Senate. The faculty are moving rapidly toward establishing the institutions that will foster effective shared governance on the Merced campus. By becoming a full division of the Academic Senate, the faculty are enthusiastic about participating in the shared governance of the University as well.

Thank you very much for considering our petition to become a division of the Academic Senate.

Respectfully,

Shawn Kantor
Chair, UC Merced Task Force and Merced Proto-Division

cc: Cliff Brunk, Vice Chair
        María Bertero-Barceló, Executive Director
        UC Merced Proto-Divisional Council

Appendix I

List of UC Merced Academic Senate Members

Faculty	School	Rank/Admin	Date of Hire
Bales, Roger	Eng	Professor	6/1/2003
Barlow, Miriam	NS	Assistant Professor	7/1/2005
Choi, Jinah	NS	Assistant Professor	4/1/2005
Colvin, Michael	NS	Professor	7/1/2003
Conklin, Martha	Eng	Professor	6/1/2003
Forman, Henry	NS	Professor	7/1/2003
Goggins, Jan	SSHA	Assistant Professor	5/1/2005
Green, Jessica	NS	Assistant Professor	7/1/2004
Harmon, Thomas	Eng	Associate Professor	7/1/2003
Herken, Gregg	SSHA	Professor	7/1/2003
Kantor, Shawn	SSHA	Professor	7/1/2004
Kelley, Anne	NS	Professor	7/1/2003
Kelley, David	NS	Professor	7/1/2003
Kim, Arnold	NS	Assistant Professor	7/1/2004
Leppert, Valerie	Eng	Assistant Professor	7/1/2003
Malloy, Sean	SSHA	Assistant Professor	7/1/2005
Manilay, Jennifer	NS	Assistant Professor	7/1/2005
Martin-Rodriguez, Manuel	SSHA	Professor	9/1/2004
Matlock, Teenie	SSHA	Assistant Professor	7/1/2004
Medina, Monica	NS	Assistant Professor	7/1/2005
Meyer, Matthew	NS	Assistant Professor	1/1/2005
Mitchell, Kevin	NS	Assistant Professor	7/1/2004
Mostern, Ruth	SSHA	Assistant Professor	7/1/2004
Newsam, Shawn	Eng	Assistant Professor	7/1/2005
Ochsner, Robert	SSHA	Lecturer/Writing Program Director	7/1/2005
O'Day, Peggy	NS	Associate Professor	7/1/2003
Ojcius, David	NS	Professor	7/1/2004
Ortiz, Rudy	NS	Assistant Professor	1/1/2005
Ramicova, Dunya	SSHA	Professor	7/1/2004
Reyes, Belinda	SSHA	Assistant Professor	7/1/2004
Ricci, Cristian	SSHA	Assistant Professor	7/1/2004
Shadish, William	SSHA	Professor	7/1/2003
Tokman, Mayya	NS	Assistant Professor	7/1/2005
Traina, Sam	NS	Professor/Director, SNRI	7/1/2002
Viney, Christopher	Eng	Professor	7/1/2003
Winder, Katie	SSHA	Assistant Professor	7/1/2005
Winston, Roland	Eng/NS	Professor	7/1/2003
Woodward, J. Arthur	SSHA	Professor	7/1/2004
Yoshimi, Jeffrey	SSHA	Assistant Professor	7/1/2004

Administration

Tomlinson-Keasey, Carol	Admin	Chancellor
Ashley, David	Admin	EVC/Provost
Desrochers, Lindsey	Admin	VC for Admin
Alley, Keith	Admin	VC for Research
Lawrence, Jane	Admin	VC for Student Affairs
(candidate pending)	Admin	VC for Univ Relations
Wright, Jeff	Eng	Dean
Pallavicini, Maria	NS	Dean
Hakuta, Kenji	SSHA	Dean
Miller, Bruce	Admin	Librarian
Ruiz, Encarnacion	Admin	Admissions officer
Kuo, Kent	Admin	Registrar

Appendix II[1]

**The Administration, Academic Senate, and Faculty:
Shared Governance and Collegial Governance
in the University of California[2]**

J. Arthur Woodward
March 16, 2005

1) Introduction

In the University of California, *shared governance* between faculty and administrators is achieved through the Academic Senate, acting under the authority of the relevant Standing Orders of the Board of Regents (http://www.universityofcalifornia.edu/regents/bylaws/so1052.html).

Collegial governance is achieved through delegation of certain responsibilities and duties to an appointed faculty administrative chair or equivalent officer. The administrative chair is important because it is only one of two positions in the University of California that has dual obligations to both the faculty and to the administration. The other position is the President, who is simultaneously president of the Academic Senate and Chief Administrative Officer of the University. The duties of the faculty administrative chair are detailed in the Academic Personnel Manual 245 (http://www.ucop.edu/acadadv/acadpers/apm/apm-245.pdf).

Shared governance and collegial governance are important but distinct ways that faculty and administrators contribute jointly to the programs and activities of the university. But since the inception of the UC Merced campus, the roles of the Dean and the faculty administrative Chair have been conflated in a single individual within each school; namely, the Dean of the School. A recent resolution of the Merced Proto-Divisional Council requested that faculty be informed about the issues involved in this conflation of duties and that this delegation be revisited prior to the opening of the campus. In a recent letter to Executive Vice Chancellor David Ashley, the Chair of the Council stated:

 "The Council remains seriously concerned about conflating all of the duties of dean and administrative chair, as set forth in APM 240 and APM 245, into one person. As a result, at the March 15, 2005, Council meeting it was unanimously resolved to:

- Educate the faculty about the duties of the dean and administrative chair (or equivalent officer), as specified in APM 240 and APM 245, respectively;
- Petition the Chancellor and Executive Vice Chancellor to:
  - Assign, in writing and after faculty consultation, the duties specified in APM 245 to the appropriate member or members of the Academic Senate; and
  - Periodically revisit the assignment of duties specified in APM 245 as the complexity and workload of the Schools change."

The purpose of this document is to provide information to faculty about the duties of the Academic Senate, deans, and faculty administrative chairs. It is hoped that the recent resolution of the Council, and the information provided in this document, will contribute to an informed consultation between faculty and university administrators and lead to a greater degree of shared governance and more effective collegial governance on the Merced campus.

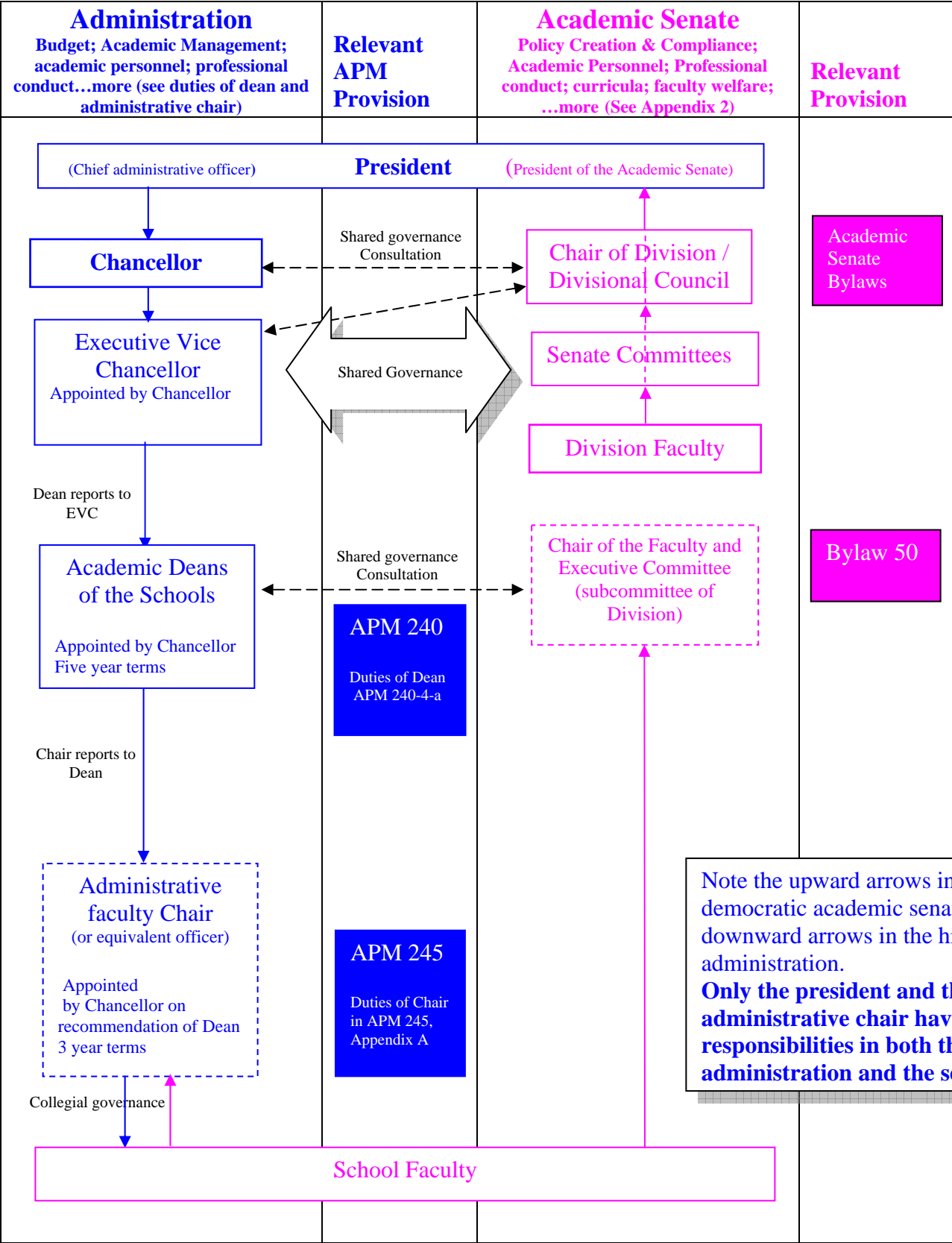# 2) Overview of Shared Governance and Collegial Governance

One of the distinctive features of the University of California is the degree of collaboration between administration and faculty in university governance. Administrators and faculty collaborate at several levels in creating and managing the programs and activities of the university.

The formal partnership that exists between the administration and the Academic Senate is called *shared governance* – it involves consultation between the administration and the Academic Senate through its elected officials and appointed committees. In many situations this consultation is required and neither the administration nor the faculty can act without the other. The rules and regulations governing the Academic Senate of the University of California are quite explicit and grant numerous rights and privileges to senate members. The Bylaws of the Academic Senate are voluminous (http://www.universityofcalifornia.edu/senate/manual/bltoc.html), but Part I; Titles IV and V are directly relevant to faculty's everyday rights and privileges within the university and certainly are worth noting. UC Merced currently is applying to become a Division of the Academic Senate and part of that process involves creating our own set of bylaws to govern how we will conduct our local senate business. The bylaws that have been proposed for UC Merced and currently awaiting system-wide approval are attached to this memo in **Appendix 1**.

Another form of collaboration between administrators and faculty is called *collegial governance* -- it consists of those activities of an administrative chair or equivalent officer involving formal obligations to both a dean and to the faculty, and/or to standing committees within a school or department. The specific responsibilities delegated to deans and faculty administrative chairs are contained in APM 240 (deans; http://www.ucop.edu/acadadv/acadpers/apm/rev-apm-240.pdf) and APM 245 (chairs; http://www.ucop.edu/acadadv/acadpers/apm/apm-245.pdf), respectively, and are discussed in Section 4.

The following diagram illustrates the division of responsibilities, the flow of authority, and the schematic nodes of communication, shared governance, and collegial governance. Dotted boxes indicate entities that do not yet exist on the UC Merced campus. Both of the entities that do not currently exist are central to the concept of shared governance as well as to that of collegial governance. Shared governance is represented by horizontal arrows linking the administration and the elected and appointed officers and committees of the Academic Senate. Collegial governance is represented with bi-directional arrows relating an administrative chair to the faculty.

It is important to emphasize that the Academic Senate is a democratic organization. The authority that elects or appoints officers or committee members ultimately rests with the members of the Academic Senate. As represented in the diagram, the democratic nature of the Academic Senate is depicted as lines of authority pointing upward on the right hand side of the diagram. An upward pointing arrow also links the faculty of a school or department to the administrative chair on the lower left of the diagram. The hierarchical nature of the administration is depicted by downward arrows, with each administrator reporting to the next higher position in the hierarchy.

Administration Budget; Academic Management; academic personnel; professional conduct…more (see duties of dean and administrative chair)	**Relevant APM Provision**	**Academic Senate** Policy Creation & Compliance; Academic Personnel; Professional conduct; curricula; faculty welfare; …more (See Appendix 2)	**Relevant Provision**
(Chief administrative officer) **President** (President of the Academic Senate)			

Chancellor ⟵ Shared governance Consultation ⟶ **Chair of Division / Divisional Council** — Academic Senate Bylaws

Executive Vice Chancellor
Appointed by Chancellor

Shared Governance

Senate Committees

Division Faculty

Dean reports to EVC

Academic Deans of the Schools

Appointed by Chancellor
Five year terms

⟵ Shared governance Consultation ⟶ **Chair of the Faculty and Executive Committee (subcommittee of Division)** — Bylaw 50

APM 240

Duties of Dean
APM 240-4-a

Chair reports to Dean

Administrative faculty Chair
(or equivalent officer)

Appointed
by Chancellor on recommendation of Dean
3 year terms

APM 245

Duties of Chair
in APM 245,
Appendix A

Note the upward arrows in the democratic academic senate and the downward arrows in the hierarchical administration.
Only the president and the administrative chair have dual responsibilities in both the administration and the senate

Collegial governance

School Faculty

Example of Collegial Governance. A dean informs an administrative chair that only three of four faculty positions in their strategic plan can be funded in the following year, and that the total amount of setup funds available is now less than half of the tentatively-agreed-to amount. Three of the four proposed positions can proceed with the reduced setup funds, but a fourth is too costly. The chair, as administrator who reports to the dean, informs the department faculty and asks the affected areas to distribute written statements that will be discussed at a faculty meeting, followed by a vote on which three appointments should be perused at this time. Then the chair, who simultaneously is a representative agent of the faculty, informs the dean that the school has decided to recommend three appointments, including the position that requires a larger setup cost. But even after conveying the importance of these appointments to the research and teaching missions of the school, the dean will not, or cannot, agree to restore the setup funds to a level sufficient for these three appointments. The school faculty then vote to use certain unrestricted funds that were donated to the school, in order to augment the setup funds if that turns out to be critical. After reaching an agreement about how the recruitment costs will be shared by the dean's office and the donated funds, the chair then implements these plans called for by the faculty, and after faculty consultation, appoints search committees. The chair and school staff members are involved on a day-to-day basis as the recruitments proceed. Numerous steps are involved, including coordination of campus visits, selection of external letter writers, report writing, faculty meeting and vote, creation of a dossier for each candidate, and chair's transmittal letter to the dean summarizing the reasons for the school's recommendation about the chosen candidates.

After the faculty vote on each candidate, the chair requests that all communications with candidates must go through the chair's office to minimize conflicting or confusing information during the negotiation phase -- thus the chair and faculty work closely together during this phase. During negotiations with the winning candidates, several faculty who are experts in each field assist the chair in sorting through the setup requests as the chair negotiates with the candidates. As space needs are clarified, the school space committee is asked to locate space for each candidate, in order to guarantee that suitable space will be available. Following verification of the space, offer letters and required setup funds are approved by the dean's office and the candidates accept the offers, conditional upon the administration approving the appointments. With three searches going on in the school, the administrative chair is involved constantly in consultation and collaboration with school faculty during the recruitment season. In the end, the school faculty, administrative chair, dean, and executive vice chancellor all enthusiastically support the appointments, but the appointment process cannot proceed without the step of *shared governance*, which involves formal consultation with the Academic Senate.

Example of Shared Governance. Before the appointments in the preceding example can be approved by the administration, a committee of the Academic Senate committee known as the Committee on Academic Personnel (CAP) must review the cases and make a recommendation to the Executive Vice Chancellor. The members of CAP are appointed by the Academic Senate's only elected committee, the Committee on Committees. CAP is composed of tenured faculty (usually faculty at the rank of full professor) from every area of the university. Because the proposed appointments involve tenured faculty members CAP may decide to recommend to the Executive Vice Chancellor the appointment of a new ad hoc committees (called review committees) of university faculty to do independent bottom-to-top reviews of each case. It requires about one month for the review committee members to be recruited and for the committees to review the cases. Following this, CAP reviews the dossiers prepared by the school, including the chair's transmittal letter presenting evidence that the research and teaching are excellent, and explaining why these appointments are important for the research and teaching programs of the school. CAP also considers the dean's independent evaluations of the quality of evidence in each case and the importance of

the appointments to the overall mission of the school, as well as the reports of CAP's independent review committees. The recommendations of CAP are sent to the executive vice chancellor for final action. In a particular case, if both the administration (dean and executive vice chancellor) and the CAP are in agreement, then the final decision will be acted on immediately. If the administration and the academic senate committee are in disagreement, for example, if the department, dean, and executive vice chancellor all support the appointment, but CAP recommends against, then on some campuses a number of additional steps must occur before the executive vice chancellor can make the final decision. As an example, on some campuses a disagreement between CAP and the administration requires the dean to write a new evaluation, and the dean and administrative chair may make a presentation to CAP to argue for the case, and to provide new evidence that would articulate the quality of the research and teaching of the candidate. On smaller campuses, or on a new campus, a disagreement usually is simply resolved by the executive vice chancellor, who can overrule a recommendation by CAP.

On some campuses problems have arisen when collegial governance is confused or mistakenly substituted for shared governance. As an example, it could lead to a problem if a dean asked an administrative chair to consult with several school faculty members on a matter, and then felt justified in proceeding with some controversial action because s/he mistakenly felt this constituted shared governance. This could be a problem because shared governance consists of consultation with elected officers or appointed committees of the academic senate who are empowered to speak on behalf of the faculty.

A problem also can arise when the academic senate tries to become involved in every step of collegial governance. As an example, it would be highly inefficient, although within the rules of the Academic Senate, for the senate to demand a full Faculty vote each time a promotion ad hoc committee was appointed or each time external reviewers were selected in a certain promotion case.

Thus, effective collaboration between administrators and faculty requires an intelligent balance between those activities that constitute *shared governance* and those that constitute *collegial governance*.

3) Academic Senate

On an established campus, there are <u>elected</u> officers from schools or departments and one university-wide elected committee (the Committee on Committees) that appoints members to the various other committees of the Academic Senate. Typically the Academic Senate committees are focused on five major aspects of the university: Senate Governance; Academic Programs and Policies; University Community; Academic Personnel; and Educational Resources. Of course there can be differences across campuses and it is unlikely that the UC Merced Academic Senate will be identical to the Senate of another campus. In fact, creating a unique structure for the Academic Senate at UC Merced is an important task for our faculty in the coming years.

As an example, the structure of the UCLA Academic Senate is shown in **Appendix 2**. At UCLA there are more than 20 standing committees of the Academic Senate. There are even more at Berkeley and fewer on the newer UC campuses. One can get an understanding of what faculty do as participants in the Academic Senate by looking at the description of the senate committees at UCLA. These committees are listed in Appendix 2 along with links to more detailed available information.

The Academic Senate at UC Merced

As mentioned in Section 2, UC Merced is not yet a Division of the University of California Academic Senate, but our senate's operations have nonetheless been functioning under the authority of the system-wide Academic Senate. We have an elected Committee on Committees that has appointed a chair of

the Proto-Division (Shawn Kantor) and has appointed members to major committees, such as the Committee on Academic Planning and Resource Allocation, the Undergraduate Council, and the Graduate and Research Council. When we achieve Division status we will have full authority over our own Committee on Academic Personnel as well. Very soon we will be electing chairs and executive committees of our four Faculties (Engineering; Natural Science; Social Sciences, Humanities and Arts; and College One).

The major duties of the appointed senate chair of the Division and the elected senate chair of each school (known as a Faculty) at UC Merced are outlined below:

Duties of the Chair of the Division
1) Presides at meetings of the Division and of the Divisional Council.
2) The Chair is responsible for the flow of information between separate agencies of the Division and between those agencies and the Division at large. To this end, the Chair may attend the meetings and participate in the deliberations of any Faculty or any special or standing committee of the Division or any subcommittee appointed by one of those agencies, but without power to vote unless he or she is a member of such faculty, committee, or subcommittee. The chair shall present in person or in writing any matters which he or she believes should be brought before a particular committee, and shall call to its attention materials in the office that may be useful to it.
3) Serves, ex officio, as a member of the Assembly of the Academic Senate and of the Academic Council, and as Chair of the Divisional Committee on Assembly Representation.
4) Refers matters to the officers or agencies of the Division and of the Administration, as appropriate.
5) The Chair shall annually submit to the Chancellor a budget request for the work of the Division, its committees, and the office. The Chair shall supervise the expenditure of any appropriation made in response to a budget request, maintaining due regard for the responsibilities of the office to the officers of the Division.
6) The Chair shall exercise general supervision of the Office.
7) To present an annual report to the Division on the work of the office and on any other matter of common concern.

Duties of the Chair of the Faculty (School)

1) To represent the Faculty in all appropriate aspects of the School
2) To advise the Dean in the administration of the School.
3) To establish and maintain liaison with other Faculties of the Merced Division

Roles of Five main Committees of the UC Merced Proto-Division

1) Committee on Committees is the only elected committee of the Academic Senate and it appoints the Chair, Vice Chair and all non-*ex officio* members of each standing committee of the Merced Proto-Division. It also appoints members to Merced's divisional task forces and as well special committees and representatives to system-wide Academic Senate Committees. The Committee also nominates faculty to participate in various administrative committees.

2) Undergraduate Council establishes policy for undergraduate education; new degree programs; authorizes, supervises and regulates all undergraduate courses and programs of instruction and preparatory education; periodically reviews and evaluates all undergraduate programs in coordination with the Graduate Council; and sets standards for honors and procedures for scholarship awards. At

Merced, the Undergraduate Council has final approval authority on undergraduate courses and curricula.

3) <u>Graduate and Research Council </u>establishes policy for graduate education, new graduate degree programs and periodically reviews and evaluates all graduate programs of study. At Merced, the Graduate Council holds approval authority for graduate courses and curricula, but final authority rests with the systemwide Coordinating Committee on Graduate Affairs.

4) <u>Committee on Academic Planning and Resource Allocation</u> advises the administration on matters of resource allocation and budget. It participates with the administration on long-range academic planning and physical development for the campus.

5) <u>Committee on Academic Personnel </u>confers with the Chancellor about academic personnel policy and makes recommendations concerning appointments, promotions, advancements, and related matters.

4) University Administration

In the university administration, which is illustrated on the left side of Figure 1, there are a number of <u>appointed</u> officers of the university. These are defined in the Academic Personnel Manual and include the chancellor, the executive vice chancellor, the academic deans, and faculty administrative chairs (or equivalent officers), among others. The duties of a dean (APM 240) and faculty administrative chair (APM 245) are summarized below. The full text describing these duties as well as the method of appointment, evaluation and review, and authority can be found in the APM at the provided URL. On a campus, note that the chain of command on the administrative side of diagram on page 3 flows downward from the chancellor. The faculty administrative chair holds a key position, because the administrative chair has obligations both to the dean <u>and</u> to the faculty of the school or department. For this reason the administrative chair plays an important role in collegial governance and thus is an indispensable role player in academic personnel, the planning of curricula, courses, and teaching, and other functions of the university such as strategic planning at the level of the school or department.

Summary of Responsibilities of the Dean (for full text, see APM 240
http://www.ucop.edu/acadadv/acadpers/apm/rev-apm-240.pdf**)**

The Dean has administrative responsibility for the school, including
1) Fiscal responsibility
2) Maintaining a divisional affirmative action program for faculty and staff recruitment and retention consistent with University affirmative action policies;
3) Responsibility for ensuring that system wide and local policies, including Academic Senate regulations, are observed.

Most job descriptions for deans describe both external and internal activities in carrying out the above responsibilities.

 Summary of Duties of the Administrative Chair (for full text, see APM 245-Appendix A
http://www.ucop.edu/acadadv/acadpers/apm/apm-245.pdf)
As leader
1) The appointee is in charge of planning the programs of the department in teaching, research, and other functions.
2) The appointee is responsible for recruitment, selection, and evaluation of both faculty and the staff personnel of the department. In consultation with colleagues, the chair recommends appointments, promotions, merit advances, and terminations. The appointee is expected to make sure that faculty members are aware of the criteria prescribed for appointments and advancement, and to make appraisals and recommendations in accordance with procedures and principles stated in the President's Instructions to Appointment and Promotion Committees.
3) The appointee should be receptive to questions, complaints, and suggestions from members of the department, both faculty and staff personnel, and from students, and should take appropriate action.

As administrator, the chair's responsibilities are:
5) To make teaching assignments, and other assignments of duty to members of departmental staff
6) To prepare the schedule of courses and of times and places for class meetings
7) To establish and supervise procedures for compliance with University regulations on the use of guest lecturers
8) To make arrangements and assignments of duties for the counseling of students, and for the training and supervision of Teaching Assistants and other student teachers and teacher aids
9) To prepare the budget and administer the financial affairs of the department
10) To schedule and recommend to the Chancellor sabbatical leaves and other leaves of absence
11) To report promptly the resignation or death of any member of the department
12) To be responsible for the custody and authorize use of University property charged to the department, and for assigning departmental space and facilities to authorized activities
13) To be responsible for the departmental observance of proper health and safety regulations
14) To maintain records and prepare reports
15) To report any failure of a faculty or staff member

Comments about the Faculty Administrative Chair

1) In APM 245 the term department chair (or equivalent officer) is used. But the administrative chair position is not limited to a department. Schools (such as the Anderson School of Management at UCLA) also have an appointed administrative chair that performs some or all of the duties specified in APM 245.

2) Appointment of the administrative chair is governed by APM 245. The criteria for appointment are developed by each Chancellor. The appointment process typically works in the following way. The Chancellor appoints the administrative chair after consultation with the dean and after consultation with faculty. APM 245-24-a requires that at least tenured faculty be consulted, but typically *all* faculty are consulted. The Chancellor can, after consultation with the dean or provost and faculty, end the appointment of a chair at will and at any time. In this way, the administrative chair is quite accountable to faculty. The typical appointment criteria and process are designed to appoint a person who will rise above area factions and local politics in a school or department, and succeed in impartially representing the interests of all the faculty. The typical appointment process in the UC system is the following. The dean writes to all school or department faculty to request confidential

written nominations, along with reasons. The letter also invites faculty to name any persons whom they would prefer not to serve as chair, along with the reasons. The dean then recommends to the Chancellor, or her designee, the appointment of a faculty member as chair, and provides the consultative evidence that this person meets the criteria, and is supported by faculty and not opposed with good reason by other faculty. The chancellor or designee then appoints the chair. In this way, the department faculty, dean, and chancellor or designee, work together to find a chair who will be able to represent all the faculty to the greatest extent possible. The process of appointing a chair is a very important step in achieving effective collegial governance, because this is one of the best opportunities faculty have to address affirmatively any imbalances that might arise within a school or department.

3) The specific assignment of duties in APM 245 is not obligatory; however, each chancellor or designee is required to explicitly assign these duties. Regarding the flexibility in the assignment of duties in APM 245, the APM states:

"On some campuses some or all of the duties which are performed by chairs of a department of instruction and research may be performed by other officers. The College Provosts at San Diego perform some but not all of the duties of department chairs. The administrative heads of special academic agencies for curricular innovation are to some extent like department chairs. It is because of such variations from the traditional patterns of academic organization that the phrase "department chairs (or equivalent officers)" occurs in this memorandum and other textual referenced to department chair. Each Chancellor to whom this applies is responsible for making clear to such an "equivalent officer" which of the duties and responsibilities of department chairs are being entrusted. (APM 245, Appendix A, p1)."

4) The administrative chair simultaneously represents the interests of the administration and faculty at the level of the school or department, although importantly, this process does not substitute for, or replace, *shared governance* between the administration and the elected individuals or appointed committees of the Academic Senate. Although collegial governance could be implemented by a dean/administrative chair (where APM 240 and 245 are conflated), there are several critical differences. The dean has funding authority and may have certain academic personnel approval authority, but the administrative chair does not. Thus while not required, the separation of the dean's responsibilities from the administrative chair's responsibilities can create a useful level of independence and "intellectual distance" between the activities of the person managing the creation of various faculty initiated plans and the person who has been delegated the duty to approve and fund them. A dean has considerable external duties and typically cannot be as involved in day-to-day school or department activities, nor is as available as an administrative chair to work day-to-day with other faculty. A dean/chair is not as accountable to other faculty, since decanal review occurs every five years and is different from the normal academic personnel process that governs the promotion of administrative chairs by his peers in the school or department.

5) More on Shared Governance and Collegial Governance

Having reviewed the major functions of the administration and Academic Senate, we now describe how a number of important university functions are <u>shared</u> by the Administration and the Academic Senate. We also review certain university activities where collegial governance is used. It is important to note that the manner and degree of the sharing is frequently a matter of disagreement between administrators and faculty. These disagreements and the resulting tensions are healthy for the university. At Merced,

important tasks lie ahead for administrators and faculty to debate various options and to reach equilibria that have optimal benefits for the institution. Thus, many details differ from campus to campus, but some general examples of shared functions follow:

      Academic personnel. In appointments and promotions, through collegial governance the administrative chair appoints ad hoc committees, obtains written evaluations of peers, and conceptualizes and transmits the results of faculty discussion to the dean's office. The dean writes an independent evaluation. Then through the process of shared governance, the case is considered by an academic senate committee-- the Committee on Academic Personnel (CAP). The administration cannot act alone on matters of academic personnel and must receive recommendation from CAP before proceeding. The ultimate decision rests with the executive vice chancellor, however, who has the prerogative to overrule a recommendation by the CAP.

      Professional Conduct. A grievance by an academic senate member, and in some cases by a non-academic senate member, is considered by members of the administration and by academic senate committees. A charge of misconduct also activates a process where the administration and academic senate share responsibilities. As in academic personnel, a professional conduct case typically first is considered by a process of collegial governance in which the administrative chair and possibly a faculty ad hoc committee at the level of a department or school attempt to resolve the case. If resolution is not achieved, then the dean's office or the ombudsperson's office may be involved. If resolution still is not achieved, then, through shared governance, the case will be considered and adjudicated by a Privilege and Tenure Committee. If sanctions are recommended, the administration formally becomes involved and various campus-specific policies about appeals and imposition of sanctions are followed. In cases of misconduct, neither the administration nor the senate can act alone.

      Budget. While the administration controls the budget, each campus has an academic senate committee on budget and planning. At Merced this committee is called the Committee on Academic Planning and Resource Allocation (CAPRA). This committee is the mechanism through which the academic senate advises the administration on matters of academic planning, resource allocation and budget. It participates with the administration on long-range academic planning and physical development of the campus.

      Course offerings, class schedules, and teaching. There is one class of important functions of the university that largely falls within the realm of collegial governance – scheduling courses and teaching. Important functions are assigned to the administrative chair, and through the chair, to standing committees of a school or department. Specifically, APM 245 items 5,6,7 & 8 entrust the administrative chair:

5) To make teaching assignments, and other assignments of duty to members of departmental staff;
6) To prepare the schedule of courses and of times and places for class meetings;
7) To establish and supervise procedures for compliance with University regulations on the use of guest lecturers;
8) To make arrangements and assignments of duties for the counseling of students, and for the training and supervision of Teaching Assistants and other student teachers and teacher aids.

      In discharging these teaching duties, the administrative chair has obligations to both the dean and to the faculty. Thus, in matters of teaching, collegial governance is achieved by a single individual who has these dual responsibilities. The administration typically is not otherwise directly involved in the creation of curricula, courses, class schedule, or in teaching, although within the shared governance process the administration must approve and provide funding.

Important educational functions of curriculum and course design are assigned to academic senate committees which provide quality control and consistency across all academic units of the university. These committees usually are named the Undergraduate Council and the Graduate Council.

Assignment of duties of the faculty administrative chair (APM 245) on the UC Merced campus

At UC Merced**,** all of the duties of the dean (APM 240) and all of the duties of the faculty administrative chair (APM 245) currently are delegated to the three Deans of the Schools. Thus the role of the dean and the faculty administrative chair are conflated in a single individual on the UC Merced campus. It is important for faculty to be aware that this means all duties relevant to the personnel process (APM 245, item 2) and all duties relevant to instruction (APM 245, items 1, 5, 6, 7 & 8) currently are assigned to the deans. Thus matters that require collegial governance are delegated to the deans at UC Merced.

Some problems that can arise when the duties of the dean and administrative chair are conflated in the same individual

Delegating the duties of the faculty administrative chair to a dean can limit the participation of faculty in collegial governance. It does not increase effective collegial governance to hire staff to assist the deans, or to hire assistant deans because these individuals, like the dean, typically are not as involved with faculty as is an administrative chair. Furthermore, staff members are not qualified to handle many of the duties of APM 245. Delegating all the duties of APM 245 to a dean would concentrate all school funds and all delegated responsibilities in a single office, leaving the faculty without as effective a role in collegial governance because several problems are arise when the duties of the dean and chair are conflated in a single office. These problems include capacity limits, lack of breadth, reduced accountability, and real or perceived conflicts of interest.

Collegial governance is an important feature of many university activities, but no where is it more important than in the areas of the faculty personnel process and in the planning of curricula, courses, and teaching. Although a few professional schools such as law schools, may combine the duties of dean and chair, this is rarely, if ever, done in a non-professional school setting. The disadvantages, mentioned above, of conflating the dean and administrative chair duties as discussed below.

a) Capacity limits. There is too much detail for a single individual to reasonably handle when simultaneously serving as dean and administrative chair. Having a single person carry out all of the above duties may have been necessary when there were insufficient faculty. But as the number of faculty increases and the campus opens, there will come a point in time when no single person can effectively manage all of the work detailed in APM 240 and 245. When all, or most, of the duties in APM 240 and 245 are delegated to a single person, it constitutes a kind of unwitting micro-management of faculty who expect to manage certain affairs in accordance with APM 245 and the principle of collegial governance. Finally, having one individual trying to handle this large volume of detail can create a serial processing bottle neck, in which only a few things can be handled at a time, leaving others unattended and "waiting in line" for the attention of the serial processor. Since delegation must by necessity occur, it is hard to identify reasons that such delegation should not be entrusted to a normative position such as the administrative chair.

b) Lack of breadth. Having a dean carrying out all or most of the duties of APM 240 and 245 concentrates too much of the thinking, planning, and final decision-making in a single individual, or among like-minded assistants who are not subordinate, in part, to the faculty. Unless there is no alternative, it is difficult to think of institutional benefits of focusing so exclusively on the perspectives and preferences of one individual. The university actively seeks and benefits from various forms of diversity, including ethnic,

gender, and intellectual. Channeling through a single individual in this way can deter or diminish the benefits of diversity.

        c) <u>Reduced accountability</u>. The conflated dean/chair is less accountable to faculty than the administrative chair. The administrative chair is reviewed by school peers every three years within the same academic personnel process and with the same standards for research and teaching as other faculty promotions. In contrast, the dean, who is in an administrative series with an eleven month salary, is reviewed by a special decanal review process every five years as specified in APM 240. Furthermore, the dean has final decision making authority in many areas, including budget and on some campuses, certain aspects of academic personnel. The administrative chair does not have such authority and thus must lead through consensus building.

        d) <u>Real or perceived conflict of interest</u>. Conflating the role of planning/proposing with the role of approving/funding in the same individual can create the reality or perception of conflict of interest. Delegating APM 245 duties to a dean requires that the dean provide substantial input into the very plans and proposals for which s/he has approval and funding authority.

ENDNOTES

[1] The Appendices referenced herein have been excluded from this Petition. The unedited version of Professor Woodward's document is available from Shawn Kantor upon request.

[2] Thanks to Dan Simmons, Professor of Law, UC Davis, Chair of the Davis Division of the Academic Senate, and former Chair of the system-wide Academic Senate, for comments on an earlier draft. The author accepts full responsibility for any inaccuracies.

Appendix III

UC Merced CAPRA:
Guiding Criteria for Evaluating Schools' 5-year Strategic Plans and 1-year Academic Resource Plans

Background

1. CAPRA has welcomed the charge from EVC Ashley (memo to CAPRA Chair dated 15 November 2004; attached) that it should perform two reviews during the annual planning cycle:
   • a review of individual School plans, with feedback given to Schools as to how the plans might be optimized;
   • a review of the revised plans, with comments and recommendations provided to the EVC.

2. It is anticipated that, each year, the first of these reviews will commence in mid-January, when Schools provide current versions of their planning documents to CAPRA.

3. CAPRA and EVC would like Schools (Faculty and Deans) to be aware of CAPRA's significant evaluation criteria.

4. CAPRA considered the (very limited) information about evaluation criteria that apply on other UC Campuses, as well as experience about practices elsewhere. CAPRA also recognizes that unique circumstances pertain to UC Merced as a new campus, and the need for the evaluation criteria to evolve together with the campus. It is expected that in future years, CAPRA will refine and revisit the ideas set forth here, and that this will be done with input from the full Faculty, including the Deans and Provost.

5. CAPRA anticipates that UC Merced's Institutes, ORUs, Graduate School and General Education Colleges (e.g. College One) will annually prepare 5-year Strategic Plans and 1-year Academic Resource Plans according to the same schedule and routing as the plans from Schools that offer undergraduate majors.

Guiding Criteria

Each School should be free to format its plans in whatever style is best suited to communicating its particular needs and vision. However, it is anticipated that persuasive Strategic Plans and Academic Resource Plans will be characterized by many of the attributes in the list that follows. Not all attributes will apply to all cases, and those that assume an analysis of track record cannot, of course, apply immediately. However, *Schools are encouraged to proceed now on the basis that track record may count in the future*.

CAPRA's primary concern is for the effective allocation of FTEs and space across the campus. It is expected that Schools' planning documents will address realistic resources needed to attract and accommodate new FTEs and the future growth of their activities, including:
   • likely cost of cash and/or in-kind startup package
   • likely laboratory space requirements
   • likely office space needs of associated research staff and graduate students

- likely special infrastructure needs (classroom space, library holdings, IT, specialized software for teaching, central facilities, animal room, clean room, fume hoods, heating/cooling, electrical service, shielding, regulatory compliance staff….)
- plans for mentoring new junior Faculty.

In addition, a persuasive plan will address and/or demonstrate the following:

1. Likely postgraduate and/or undergraduate student demand for the affected programs, and the employability of students after graduation.

2. A clear sense of purpose and direction with respect to academic and research goals, along with an indication of how the School might respond to sudden changes in circumstance (e.g. windfalls, cuts, or special initiatives).
    With the volatility of circumstance in mind, CAPRA urges the EVC to retain an ability to respond to opportunities and needs outside the regular schedule of the planning cycle.

3. How the plan complements (and explicitly doesn't duplicate) the use of resources proposed by other Schools. It will consider trans-disciplinary research and teaching that expands the horizons of graduate groups, majors and/or Schools. Opportunities for FTEs shared between schools will be explored.

4. Both proactive (creating opportunity) and reactive (responding to opportunity) elements.

5. Elements of both program nucleation and program growth. For both elements, the plan will demonstrate how the affected programs will be encouraged to achieve international excellence.

6. (In time) references to external reviews / standards (e.g. WASC / professional accreditation) in arguing its case.

7. (In time) consistency with previous plans. If it is not consistent, an explanation for the divergence will be provided. Plans will include a realistic timeline for bringing new FTEs on board.

8. Desiderata concerning the diversity of UC Merced's faculty, and the route to achieving them. If the proposing School has not made significant efforts to optimize its diversity in the past, what evidence is there that the effort will be made with the new FTE(s)?

9. Workload balancing, including the likely extent of reliance on adjunct appointments.

10. An assessment of the most likely obstacles to the plan's success.

11. Explicit strategies for evaluating the plan's success when implemented.

12. The extent to which the plan reflects consensus / buy-in from the School's faculty.