December 20, 2012

To: CAS Department Heads and Program Directors

From: Scott Coltrane, Dean

Re: Five-Year Academic Plans and Resource Requests

The College of Arts and Sciences is preparing a five-year academic plan as part of a campus-wide strategic and financial planning effort. In support of this effort, we are asking each department and program within CAS to provide a short vision statement (5-7 pages) outlining its plans for achieving and maintaining excellence in key strategic areas over the next five years. These five-year academic plans and resource requests from departments and programs (labeled *Department Academic Plans*) will be used in establishing CAS’s overall academic plan and annual budget. The due date for these Department Academic Plans is March 18, 2013.

Your Department Academic Plan must include proposals for any new or replacement faculty searches to be conducted during the 2013/14 academic year, along with related FY13/14 budget requests for any academic personnel [Tenure-Related Faculty (TRF), Non-Tenure-Track Faculty (NTTF), or Graduate Fellows (GTF/GRF)]. The Department Academic Plan should describe goals for achieving academic excellence and strategic advantage, including your current thinking regarding anticipated TRF hiring over the five-year planning period. These plans will be updated annually as part of our normal CAS resource allocation process.

CAS’s general fund budget is determined by the Oregon Budget Model, which provides financial resources based on the number of SCH, majors and degrees taught or earned in CAS. The overall amount of resources available to the Budget Model is, in turn, substantially dependent on enrollment and tuition levels and, to a lesser extent, on state appropriations to the UO as a whole. In recent years, the UO, and CAS’s general fund budget, have benefitted from favorable trends in enrollment growth and tuition increases, despite a declining trend in state appropriations. For planning purposes, we are, however, forecasting a materially different environment for the next five years, including:

* UO undergraduate student enrollment will stabilize at its current level;
* Tuition increases will be modest for at least the next few years;
* Growth in future state appropriations to UO will, at best, be limited; and
* Inflationary and other pressures on non-academic costs will persist.

In this environment, and further assuming limited changes to either the Oregon Budget Model or to the UO’s or CAS’s cost structures, we anticipate that we will be able to increase the number of TRF in CAS by no more than about 8-10 net new members for each of the next three years, while reducing slightly the number of NTTF and modestly growing the graduate student population in selected programs. Using a moving five-year planning horizon, we will adjust these assumptions on an annual basis.

Within the College of Arts and Sciences, the Associate Deans and I will use the following criteria to evaluate Department Academic Plans and Resource Requests:

1. Builds academic excellence.
2. Creates strategic advantage by promoting select areas of expertise.
3. Enhances distinction in faculty research and recognition of superior scholarship at the regional, national and international levels.
4. Promotes high quality undergraduate instruction and the timely matriculation of all UO students.
5. Improves the quality and capacity of graduate programs and the success of CAS graduate students.
6. Increases the diversity of the faculty and/or student body.
7. Encourages high quality interdisciplinary and cross-field collaborations.
8. Utilizes or leverages existing budgetary resources, including carryforward balances and Foundation funds.
9. Enhances potential for long-term sustainability of the program and the college.

To develop your Departmental Academic Plan, you will need to involve your faculty in serious discussions about the future of your undergraduate and graduate programs, incorporating trends in the discipline and responding to the realities of funding at the UO. Once you develop a set of hiring priorities for your unit, in consultation with your budget manager, you will need to provide sufficient budgetary information to develop a detailed resource request for FY13/14 and a plan for TRF hiring over a five-year period.

Departmental Academic Plans and resource requests will be submitted electronically using a web application accessed from a link on CASweb (not yet active). The application will guide you through the form asking for additional information regarding amount requested, departmental match, rank, salary, OPE and the like. The form can be saved at any point in the process and re-opened for editing until ready for final submission. Either you as department head or your budget manager can enter the information, but for final submission, electronic department head approval will be required. The deadline for submission of the Academic Plan and Resource Requests is 5:00pm, Monday, March 18, 2013.

To assist you in your planning process, attached to this memo are a spreadsheet tool entitled “Faculty Hiring Matrix 2012-2013” and a fillable table entitled “Five-Year TRF Hiring Plan.”

The former enumerates anticipated loss and replacement of faculty over the planning period linked to standardized estimates of impact on GTF and NTTF levels, and the later asks you to identify the specific subfields in which you plan to search. At the end of your planning process, both of these documents should be submitted via CASweb as part of your overall Departmental Academic Plan.

**Department Academic Plan Outline**

1. **Introduce Key Academic Strengths:** (Not more than 1 page)

In very broad terms, briefly describe both teaching and research contributions of the department with reference to appropriate evaluation metrics[[1]](#footnote-1) and criteria in your field(s) of study. Describe specific subfields or areas of expertise covered by faculty (not just individual accomplishments) in relation to relevant comparators.

1. **Evaluate Enrollment Trends:** (Not more than 1 page)

With reference to internal data1, summarize and evaluate recent trends in UG SCH, majors, and degrees. Use available data on graduate programs1 to evaluate recent trends in graduate enrollments and matriculation invoking disciplinary standards and norms as appropriate. With reference to national trends in your discipline, make predictions about UG and graduate enrollments over the next five years (we understand this will be speculative, but we need your expert advice).

1. **Identify Areas of Strategic Advantage:** (Not more than 1 page)

In what subfields do you excel and in which areas do you expect to improve in the next five years? This analysis should include both anticipated replacement hiring and potential hiring into newly created positions. How will existing strengths be augmented or replaced by new faculty hires and how will the department gain strategic advantage within the field (e.g., in research profile, faculty honors, citations, reputational ratings, grants, gifts, graduate program profile, undergraduate student quality, diversity, creativity, instructional innovation, placement of graduates, etc.)?

1. **One-Year Academic Hiring Plan:** (Not more than 1 page)

Do you anticipate searching for faculty in FY13/14? Evaluate current in-progress searches as well as any proposals for new searches (both TRF and NTTF). Include proposals to search for replacement faculty (i.e., requests for return of an existing position when someone retires or departs) as well as proposals to search for a new position (i.e., create a new faculty line). Justify such requests with reference to the material presented in items I-III above. Include related FY13/14 budget requests for GTFs and graduate program support. Prioritize by assigning a rank order to each request.

1. **Five-Year TRF Hiring Plan:** (matrix, table and supporting text )

Focusing just on TRF, list faculty hires your unit would like to make over the five-year planning period by filling out the attached matrix and table. On “Projected Faculty Hiring Activity” list the number of TRF faculty you expect to lose, replace or create new positions for. On the “Five-Year Hiring Plan” table, describe anticipated subfield specialties with appropriate justification tied to the material presented in items I-III above. Indicate whether the positions are intended to be new or replacement positions or a bridge to future retirement. (We realize that it is not possible to predict exactly who will leave UO employment, or when, so these designations will necessarily be estimates).

As in recent years, we assume that TRF hires will be made at the assistant professor level unless otherwise indicated and amply justified. We will continue the practice of returning funding for tenure related faculty positions at the level of 105% of discipline specific average salaries for assistant professors. Also following past practice, we assume that departments will engage in cost-sharing to support new positions and senior premiums, typically at the level of 50%. Supporting text can be listed below the table and should be keyed to position entries in the matrix, and explain special circumstances, discuss unique needs, describe funding options, or otherwise elaborate the information in the spreadsheet.

1. **Assess Potential for Long-Term Success:** (Not more than 1 page)

How will the hiring plan outlined above get you where you want to be? How will building to the strengths noted above allow the department to sustain itself over the long term? How should the department be evaluated in terms of student success or research productivity? Are there internal or external resources that the department might draw on in the future?

1. Metrics include CAS Enrollment Trends, Graduate Climate Survey, data from the UO Office of Institutional Research, Academic Analytics, supplemental information from department records, discipline-specific averages or standards, or other reliable indicators that are directly relevant. Links to UO data will be available on CASweb. [↑](#footnote-ref-1)