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Professor Susan Gillman
Chair, UCSC Division of the Academic Senate
University of California, Santa Cruz
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Dear Susan,

As a part of my Five Year Review as chancellor, Senate Chair Robert Anderson requested that I submit to you a summary of my activities on behalf of the campus since assuming office. I am delighted to provide a brief summary of the current state of the campus, highlight my major accomplishments as the chancellor, and share with you my aspirations for the campus as we approach our 50th anniversary.

Like all of higher education, UCSC has changed considerably over the last five years. While our significantly reduced budget has put a great deal of stress and many constraints on the campus, the dedication of our faculty to teaching and research and our commitment to serving the State has never been greater, as evidenced by the ever increasing popularity of the campus among prospective students.¹ To emphasize the importance of UCSC's role, I recently rewrote the campus Mission Statement, which now reads: *UC Santa Cruz is a leading research university with a tradition of innovation in the education of students – built on values of social and environmental responsibility.*

I was appointed to be the Acting Chancellor² at UCSC in July 2006 following the tragic death of Chancellor Denice Denton.³ It was immediately clear to me that after allowing the campus time to grieve, I had to lead the campus through a healing process. I spent considerable time listening to and talking with faculty, staff, students, community members, and other friends of the university. These conversations reminded me how special a place UC Santa Cruz is, and given how the campus had become internationally recognized for its intellectual depth and impact, I was determined to continue UCSC's upward trajectory.

I served as the Acting Chancellor for about 14 months while a national search was undertaken for the permanent Chancellor position. Then, in September 2007, the UC Board of Regents appointed me to be Chancellor at UCSC.⁴

¹ See http://planning.ucsc.edu/portrait/docs/ucsc_profile.pdf.

² See <http://news.ucsc.edu/2006/07/904.html>.

³ See http://www1.ucsc.edu/administration/denice_denton/.

⁴ See <http://news.ucsc.edu/2007/09/1566.html>.

Since becoming the permanent Chancellor, I have spent a considerable amount of time addressing our significantly reduced budget coupled with the growing challenge of maintaining excellence while continuing to provide student access. The cuts in general fund (state) support over the last four years have totaled \$59 million, or 35% of our general (state) funds. As a result of these cuts, staff positions have been reduced by 20%, we have significantly reduced the rate of faculty hiring, and currently there are 124 faculty positions that are both unfilled and unfunded. Similarly, with regard to student enrollment, there is a significant gap between actual and budgeted (funded) student FTEs as we rely more and more on student tuition to offset budget cuts.⁵ Overall, during the past four years, we have cut the budgets of the academic divisions by 15%, while the cumulative cuts to administrative and academic support units have been 30%.

Despite these challenges, UCSC faculty members continue to be recognized and cited for their research.⁶ In a recent analysis of the world's top universities, UCSC ranked third in research influence, as measured by the average number of times each faculty publication is cited by other academics.⁷ As another measure of the caliber of our faculty, our success rate for faculty proposals is over 85% with about 1,000 proposals submitted each year. Our total external research awards have grown significantly to more than \$125 million per year, and we are continuing that pace during the current academic year.

UCSC continues to thrive in its research and influence. Just recently, our faculty members have discovered new planets, made new advances in our understanding of evolution, and have been noted by the *New Yorker* magazine as being the 'center of the universe' for the work of Charles Dickens. Our faculty includes two of the University of California's honored University Professors, 24 members of the American Academy of Arts and Sciences, 14 members of the National Academy of Sciences, and 33 members of the American Association for the Advancement of Science.⁸ In addition, our faculty members have won many prestigious awards including the Kavli Prize, the National Book Award, two Franklin medals, and the Royal Swedish Academy's Gregori Aminoff Prize.

I will now describe some of my major accomplishments since assuming office.

Future and Growth of the Campus

Immediately after becoming the Acting Chancellor, I faced the challenge of completing our Long Range Development Plan (LRDP),⁹ which was scheduled to go to the Regents for approval in two months. At that time, the plan called for up to 21,000 students on campus by 2020 – an upper envelope for enrollment which the City and County governments strongly opposed. In addition, the campus academic senate, upset by the inadequacy of consultation on the LRDP, had passed a resolution calling on the campus not to bring the LRDP to the

⁵ See <http://planning.ucsc.edu/budget/Reports/profile2011.pdf>.

⁶ See <http://www.ucsc.edu/research/highlights.html>.

⁷ See <http://www.timeshighereducation.co.uk>.

⁸ See <http://www.ucsc.edu/about/achievements/index.html>.

⁹ See <http://lrpd.ucsc.edu/>.

Regents for approval in September 2006 without the explicit approval of the Senate Executive Committee. In response to the concerns from both external and internal sources, I immediately took several steps:

- I decreased our upper limit for growth from 21,000 to 19,500 students in order to reduce the impacts of growth on the local community.
- I insisted that the administration fully consult with and supply all needed information to the academic senate. Ultimately, I was gratified that at the end of August 2006, the Senate Executive Committee endorsed moving the LRDP forward to the Regents.
- I initiated extensive and continuing discussions with City and County leaders so that we might better understand each other's positions. I also met with several state legislators and with numerous community groups in order to better understand their concerns.

Ultimately, the campus did present the LRDP to the Regents in September 2006, and they approved it unanimously.

As a result of my extensive and continuing discussion and negotiation with government and community leaders, in 2008 we successfully negotiated a Comprehensive Settlement Agreement involving the University, the city, the county, and CLUE (Coalition for Limiting University Expansion). Much to my delight, this has ushered in a new, *unprecedented* era of cooperation in our community. We now collaborate with the city on ticket sales in the region and share with them the same fire chief in order to reduce costs for both entities. I have signed a Regional Climate Compact with the city and county, and our work together has brought forward several programs to lower greenhouse gas emission in the region. This reflects our campus commitment to environmental sustainability as well as our aspiration to be a green campus in a green-minded community. In addition, at the staff level, the city of Santa Cruz and the campus now collaborate in ways never seen before. The settlement agreement and the ensuing era of collaboration remains one of my proudest accomplishments as chancellor.¹⁰

UCSC's relationship with the local communities is clearly enhanced by the public events we sponsor within the community. For example, we sponsor several annual events that provide opportunities for students, faculty and staff to build these relationships, including the Cesar Chavez Memorial Convocation and the Martin Luther King, Jr. Memorial Convocation, which is the largest event UCSC hosts in the City of Santa Cruz. I have personally participated in the annual MLK event for each of the past six years. In addition, I regularly meet with the editorial boards of local newspapers.

Despite many challenges, we have succeeded this year in bringing to completion the McHenry Library project and the biomedical building. These, along with the recently completed digital arts building, encountered substantial financial challenges. For the biomedical building, we had to overcome several lawsuits, an extended tree sit protest, and the decision by the state not to sell already-approved bonds to fund the building. For a while, we had funds from the California Institute for Regenerative Medicine to build the fourth floor, but not money to build the first three. Ultimately, I negotiated a first-of-its-kind deal for the University to fund the building with UC bonds paid for by the state, so the building could proceed. With the completion of the biomedical building, UCSC will have attained state-funded space equivalent to 93% of the old

¹⁰ See <http://lr.dp.ucsc.edu/settlement-agreement.pdf>.

CPEC standard, which is similar to other campuses and represents a significant improvement from our space availability of only 69% back in 2001.

Upon becoming chancellor, I was surprised to discover that all UC campuses *except Santa Cruz* had received funding from the President to upgrade their internet data speed using dark fiber but that no such plan existed for UCSC. Soon thereafter, I obtained a commitment from UC for \$5 million to complete such a project.¹¹ This Fiber to the Future project entailed stringing more than 50 miles of fiber-optic cable from Silicon Valley to the UC Santa Cruz campus, and it was completed in 2010. It has been crucial for many research projects on campus as well as for the continued operation of the genome browser.

Launching the Comprehensive Campaign

UCSC continues to raise more money from philanthropy and gifts. Even in our current economic conditions, gifts for 2011-12 totaled nearly \$22 million as compared to \$20 million 2010-11.¹² Nonetheless, after being appointed chancellor, I quickly realized that UCSC needs to greatly increase our fund raising capability. I instituted several changes to UCSC's signature events, moving our annual Scholarship Benefits dinner to Silicon Valley and initiating our highly successful annual Founders Day Celebration. I also worked with our UCSC Foundation Board to improve its impact on fund raising and to expand the size and commitment of its membership. Nonetheless, our campus endowment of just over \$100 million remains the lowest by far among established campuses, and even after the opening of UC Merced, we continue to be the campus with the fewest endowed chairs.

While alumni and friends of UCSC have been generous with their support for many years,¹³ I decided that UCSC must begin its first comprehensive fund raising campaign. Under my direct leadership, this campaign will bring focus, visibility, and recognition to our work, along with new donors and new friends who will add momentum to our progress. The decline of state funding makes this campaign even more critical, as we seek to diversify our resources and chart our own destiny.

The campaign plays on our strengths and seeks to build investment and momentum in areas where we can truly lead with distinction. This campaign has three key overarching themes:

- (1) An extraordinary student experience,
- (2) High impact research, and
- (3) Social and environmental responsibility.

In addition, this campaign has four signature initiatives -- large scale projects worthy of major investment -- perhaps as much as \$50 million each, enough to be "game changers" for our university. Officially, the silent phase of the campaign began in July 2009, and I plan to go public with the campaign sometime after the fall of 2013 with a campaign goal of \$300 million. As of April 2012, we have officially raised \$85 million in gifts and pledges.

¹¹ <http://news.ucsc.edu/2010/04/3669.html>

¹² The 2009-10 amount was the highest ever because of a large one-time gift and a technical adjustment.

¹³ See <http://news.ucsc.edu/2012/02/scholarship-benefit-gala-2012.html>.

Advocacy and Leadership within UC and Beyond

As Chancellor, I regularly meet with students, faculty, and staff to hear their concerns and ideas on how to advance UCSC. I also regularly meet with regional, state-wide, and national political leaders to talk about issues of higher education that benefit not just UCSC but all of UC.^{14 15} I frequently travel to Sacramento for such meetings and I have also hosted legislative forums on the campus. These interactions remind our elected leaders about the importance of higher education, particularly as they make difficult budget decisions.^{16 17} Such interactions are especially effective when they include students, faculty, staff, and community leaders. I was particularly pleased to work with students as we successfully lobbied for passage of both bills encompassing the California Dream Act.

In addition to lobbying state legislators, I have regularly visited Washington DC to meet with elected representatives from California and to work with other university leaders on issues of common concern. I have worked to maintain funding for Pell grants, to enact the federal Dream Act, and to reform certain practices regarding federal overhead on contracts and grants.

I have given invited talks on higher education to leaders in higher education in other parts of the world, including Beijing and London. In addition, last year I was awarded an honorary doctorate in academic leadership and astrophysics by the University of Wisconsin-Milwaukee.

Within UC, I have been an outspoken leader on changing and rationalizing the methodology used to allocate funds to the campuses.

- Upon assuming office, I was genuinely shocked to learn that student tuition was not returned to the campuses from which it was collected. For UCSC, exclusive of return-to-aid, our campus was getting back only 67 cents for every dollar of tuition our students paid, the rest being redistributed to other UC campuses. Not surprisingly, I objected vigorously to this practice and made the case that students who pay fees should derive the benefits from those payments. Within a year, I persuaded the President to raise our return to 80 cents, and finally last year, with the adoption of the “Funding Streams” methodology, UC agreed to return all tuition to the campus where students pay the fees.
- I was also astonished to learn that the UC Office of the President refused to make public the budgets of the various campuses or even supply that information to the chancellors. Our campus has for years placed our full budget on our web site. I soon persuaded UCOP to provide all campuses with budget information about all other campuses.
- I was then able to show that there are substantial differences among the campuses with regard to state funding per student (excluding health sciences). Not surprisingly, UCSC had one of the lowest funding levels within UC by that metric, and the funding methodology UC had used for at least 15 years guaranteed that this disparity would either remain constant or grow. After several years of effort, in 2011 I persuaded the

¹⁴ See <http://news.ucsc.edu/2011/09/Sammy-official-banana-slug-day.html>.

¹⁵ See <http://news.ucsc.edu/2011/06/chancellor-spring-message.html>.

¹⁶ See <http://chancellor.ucsc.edu/archives/speeches/blumenthal-commencement.html>.

¹⁷ See <http://news.ucsc.edu/2010/06/3898.html>.

President to reexamine UC's campus funding approach, an effort known as "Rebenching." A systemwide task force, including Senate Chair Gillman and myself as members, worked on this through the fall and winter of 2011-12, and I believe that a final set of recommendations for change will emerge shortly. When rebenching is finally phased in, hopefully starting next year, it will significantly improve our share of UC's state funding.

I have also served on several regental groups examining policy within UC. I was a member of the Long Range Guidance Team even before being named Acting Chancellor. Later, I served on the Regents Study Group on Diversity, where I chaired the subcommittee on graduate and professional school diversity. More recently, I co-chaired the working group on Size and Shape for the Commission on the Future.

In addition, on behalf of the campus and/or UC, I serve in a leadership capacity or as a member of various groups. A subset of these groups includes

- American Council on Education (ACE) – I am a member of their Commission on Leadership and was previously a member of their Commission on Diversity & Inclusion.
- California Association for Research in Astronomy (CARA) – I have chaired their Board of Directors for three years after serving as vice chair for two years. This organization operates the two Keck telescopes in Hawaii, until recently the two largest optical telescopes in the world.
- California Council on Science and Technology (CCST) – Member
- Silicon Valley Leadership Group (SVLG) – I was elected to their Board of Directors three years ago.

Commitment to Diversity and Inclusion

UCSC continues to have the highest percentage of female faculty in the UC system and one of the more diverse faculty in terms of under-represented minorities. Among the undergraduates, almost half of our students are of color and at least a third are first generation college students. Among the graduate students, over a quarter are students of color. Since I became chancellor, the percentage of under-represented minorities among our entering frosh has risen from about 24% to 34% last fall.

Recognizing the importance of publicly reiterating my commitment to a diverse and inclusive campus, I developed a public statement about diversity and inclusion at UCSC.¹⁸ To further our goals, I asked two campus leaders to serve as co-Campus Diversity Officers, reporting directly to me in this capacity. Currently, Vice Provost Herbie Lee focuses on faculty and curricula, and Associate Chancellor Ashish Sahni focuses on staff and students. As Campus Diversity Officers, they lead UCSC's initiatives to promote a healthy campus climate to further academic excellence, multicultural understanding, and professional competence.¹⁹

The UCSC Advisory Council on Campus Climate, Culture and Inclusion, which I chair, will continue to assess our campus climate by implementing faculty and staff surveys this year.

¹⁸ See <http://diversity.ucsc.edu/diversity/index.html>.

¹⁹ See <http://diversity.ucsc.edu/index.html>.

The council will also review the results of the undergraduate and graduate student surveys implemented last year and recommend revised programming that will move us towards a healthier campus climate.

I also revived and expanded another annual event that honors people and programs making outstanding contributions to furthering diversity, inclusion and excellence at UCSC—the Chancellor’s Achievement Awards for Diversity. At our awards luncheon, it is gratifying and inspirational to showcase the great work being done by individuals in their day-to-day life as students, staff and faculty.

UCSC’s Diversity and Inclusion Certificate Program for staff employees, which began last year, has become very successful, with forty-one individuals receiving their certificate in spring 2011.²⁰ I received many positive comments about the program from both the participants and their supervisors, leading me to continue the program this year, even with the current budget situation. Starting in 2012-13, the certificate program will also be open to faculty.

Shared Governance and Faculty Relations

Throughout my career, I have served in various capacities within our Division as well as for the system-wide Academic Senate. This service includes chairing our UCSC Division for two years, chairing the UC Systemwide Senate, and serving for two years as the Faculty Representative on the Regents. For this service, in 2010 I was honored to receive the biennial Oliver Johnson Award from the Systemwide Senate.

Now, as a Chancellor, I continue to work closely with the Senate on both short and long term matters. I regularly meet with the Senate Chair and also with the Senate leadership. I am also invited to attend various Senate committee meetings throughout the academic year. The strong partnership here between the senate and the administration helped us move forward in a number of areas including the realignment of Student Affairs,²¹ implementation of our faculty salary plan, implementation of holistic review for student applications, and several initiatives in our undergraduate curricula.

In addition, along with CPEVC Galloway (and earlier with CPEVC Kliger), I have visited all academic departments (one by one) to hear directly from the faculty about their successes, challenges, and suggestions about how we can further advance UCSC. I have visited every department at least once, and we are midway through our second cycle of visits. In addition, I regularly meet with faculty and students in the colleges.

Silicon Valley and Other Regional Initiatives

Despite significant financial constraints over the past few years, the campus has built regional alliances involving the main and marine sciences campuses in Santa Cruz, the Silicon Valley campus, Lick observatory at Mount Hamilton, the MBEST center in Monterey, and other

²⁰ See <http://diversity.ucsc.edu/training/certificate.html>.

²¹ See <http://news.ucsc.edu/2011/08/student-affairs-changes.html>

research locations throughout the Monterey Bay Crescent. These alliances support the campus world-class research portfolio and the educational aspirations of area students.

In partnership with the Foothill-deAnza Community College district, we have negotiated a long term lease with NASA for the 75 acre NASA Research Park at Moffet Field.²² With funding from corporate partners, this holds the promise to provide us with developed and free space on which to build our Silicon Valley campus.

In Silicon Valley, the campus has made significant progress toward the renewal of a re-focused NASA University-Affiliated Research Center (UARC) contract. Currently this \$330 million contract is less than two years from expiration. We have created an office of UC/NASA Partnerships to cultivate new partnerships across UC under an innovative approach to contract bid and capture.

Recently, the campus completed the first draft of a possible Silicon Valley academic plan, which is now being reviewed by the Academic Senate. It will soon be released to the campus community for comments, suggestions, and proposed additional initiatives. In the meantime, the campus plans to open our new Technology and Information Management graduate program in Silicon Valley during 2012-13.

Meanwhile, at our MBEST center at Fort Ord, we have recently completed a visioning process in collaboration with the Fort Ord Reuse Authority and educational institutions throughout the Monterey Bay region. Our goal is to establish a meaningful research park at the core of our MBEST property in collaboration with other colleges, while using other lands to foster economic development. Toward that end, I have formed an advisory group including the presidents of the other colleges in Monterey County.

Finally, in 2007, I successfully led the effort to obtain approval of our Long Marine Laboratory's Coastal Long Range Development Plan from the California Coastal Commission.²³ During the preceding eight years, the Coastal Commission had refused to approve our plan on several occasions, and I was most gratified that we were able to bring that long process to a successful conclusion.

Student Focused Initiatives

Under the supervision of CPEVC Alison Galloway, we are launching various student focused initiatives. These efforts include:

- Improve curriculum planning so that students can complete their undergraduate degree in four years *or less*.
- Work with the Academic Senate to streamline major requirements so that students have a rewarding educational experience and earn a meaningful degree that makes our students competitive for graduate school admission as well as for employment.

²² <http://news.ucsc.edu/2009/03/2781.html>

²³ <http://news.ucsc.edu/2007/12/1804.html>

- Improve student retention rates further. Our short-term goal is to improve our first-year retention rates by 2 percent and to drop our upper-division attrition below 10 percent.
- Increase the number of nonresident domestic and international students, which will generate nonresident tuition for the campus. Currently, only about 1.6% of our undergraduates are not California residents.
- Building on our strong record of educating Latino/Latina students, accelerate our progress toward achieving federally granted Hispanic Serving Institution (HSI) status, which we may be able to achieve next fall. HSI status would increase our visibility as a pipeline to college — *and beyond* — for all students from underrepresented groups.

As UCSC approaches its 50th anniversary in 2015, there is much to be proud of and even more to look forward to. When I was inaugurated in June 2008, I talked about “A University for the next Century” and set the campus vision that served us well for several years.²⁴ Under my leadership, the campus now has a new vision statement that will guide our work into the future as we prepare for our 50th anniversary and publicly launch the comprehensive campaign.

Vision Statement: *UCSC will be internationally recognized for our scholars and students who work in and across disciplines to create knowledge and transform paradigms.*

This statement is consistent with my goal of making UCSC a preferred destination for the very best faculty and students. Already, UCSC is recognized for its success and commitment to research, teaching, and public service. Last fall, for example, we received over 40,000 applications for admission, the most ever. More importantly, the applicant pool is also more diverse than ever including applications from 1st generation and low income families.²⁵

On the operational side, in 2002, UCSC embarked on an advanced business and information technology transformation which has provided important efficiencies and cost avoidance that have served us well. Looking forward, the campus will continue to adopt new ways of conducting the University’s business and streamlining the delivery of services in an era of diminished resources. Currently, we are participating as early adopters of a number of UC-wide “working smarter” and inter-campus initiatives, including UC PATH and *AP Recruit*.

Despite ongoing budget challenges, the future for UC Santa Cruz is bright. Our faculty and staff are skilled and dedicated, our alumni are successful and influential, and our students are passionate and smart. This is indeed a winning combination. I look forward to many campus achievements as I lead the campus into the future.

Fiat Lux,



George Blumenthal
Chancellor

²⁴ See <http://chancellor.ucsc.edu/archives/speeches/chancellors-inaugural-june-2008.html>.

²⁵ See <http://news.ucsc.edu/2011/11/chancellor-fall-message.html>.