UNIVERSITY OF CALIFORNIA COMMISSION ON THE FUTURE

FINAL REPORT

NOVEMBER 2010

December 1, 2010

LETTER TO THE REGENTS

We are pleased to transmit this report on behalf of the members of the UC Commission on the Future. It reflects a great deal of thought and debate over the past several months, not only by the commissioners, but also by the senior staff in the Office of the President who supported them, and the members of five Working Groups that developed proposals for the Commission. To a person, we brought to this effort an abiding conviction that the mission of this University is vitally important to California and to the nation, and that this responsibility demands imagination and determination in light of drastically altered circumstances. In the face of growing competition for scarce public dollars, political and financial support for the University — though in many respects strong and certainly welcome — has waned in comparison with past decades. At the same time, the need for world-leading excellence in teaching and research grows more important and urgent. This is true from any number of perspectives, including global economic competitiveness, the habitability of our biosphere, the prosperity of our communities, and our very progress as a society.

So we must secure and advance our mission. We have found, however, that ideas and consensus come more readily when the question is how to move forward — how to extend our accomplishments and enhance our excellence. Thus, it takes some discipline to focus on what is required to secure and safeguard what we have: budgetary discipline to make sure we have the resources to support our ambitions; and analytical discipline to explore controversial options and uncomfortable contingencies. And as we do all of this, we have obligations of transparency, shared governance and accountability — all of which we believe can be sources of strength as we design and build the future of the University.

The 20 recommendations included in this report provide an important step forward and a framework for the UC of the future as we take on challenges both new and old.

Sincerely,

Russell S. Gould
Chairman of the Board of Regents and Co-Chair of the Commission

Mark G. Yudof
President of the University and Co-Chair of the Commission

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INTRODUCTION

The University of California has come to a crossroads moment in its history. A host of converging forces — fiscal, demographic, cultural and political — demand that the University take a hard, thorough and careful look at how best to brace itself for systematic and enduring changes. The future cannot be avoided. It must be met head on with fresh thinking and firm resolve to change what can be changed for the better and to preserve the standards, practices and values that constitute the core strands of the University's genetic code. The challenge will be to strike an unerring balance between what to recalibrate or even discard, and what to protect. The goal must be for the University to emerge on the other side of crises fit and ready to serve California as well and as far into the future as it has in the past. The work in this report represents the beginning of an urgent effort to think through this complex but pressing conundrum.

It is a work taken up with no illusions about ease of effort. To say that the University of California faces its most difficult fiscal circumstances since World War II understates the case. Yet economic crises come and go, and California and the public research university that has been its constant companion in progress have come through many, always for the better. In this instance, however, the forces are deeper, more enduring, more vexing than economic downturn. And the stakes are higher. Paradoxically, the University finds itself caught in a vise of rising costs and drastically reduced resources at the very moment California needs it more than ever to carry the state through its own tumult of transformation. How to teach more students with less State-provided resources? How to reach out and connect with rising immigrant and minority populations, the faces of a new California? How to ease the pressure of unrelenting population growth on the environment? How to continue, through cutting-edge research and a highly educated work force, to create and attract new industries and jobs for the state? In the end, what's at stake in this work is not the sustainability of a 10-campus public university system. Rather, it is the future viability of the nation's most populous and diverse state. If California is to remain a beacon of hope and opportunity for the world, then the University of California must be able, as it has from nearly the birth of statehood, to provide the energy to light the path forward.

RECOMMENDATIONS

This report covers recommendations approved by the Commission — and a few that were discussed but not supported at this time. All of these recommendations were informed substantially by five Working Groups composed of faculty, students, staff, alumni, and administrators from all 10 UC campuses, as well as Regents and business leaders in the state. (See Appendix B.)

The Commission has compared our goals for enrollment and transfer with the projected fiscal circumstances. We have been mindful of our unique success at the mission of fusing access and excellence in a world-class research institution.

We conclude that much must be done, notwithstanding difficulties and disagreements, if the University of California is to play a role in the next 30 years comparable to the role it has played in the past 150.

The Commission's purpose, however, is limited. Principally, we offer ideas for responding to the near- to mid-term challenges while preserving critical components of quality and access. These ideas are not the ultimate solutions, but move us forward and provide the framework for the ongoing focus of UC leadership.

It should be noted that, even if the University implemented all the ideas proposed in this report, should the fiscal crisis worsen, there are other measures that were not adopted — those which the Commission views as "contingency recommendations" (see Other Recommendations Considered by the Commission) — that may be necessary to pursue in order to preserve the mission and goals of the University. These measures include strategies to further increase revenues, such as increasing tuition, increasing nonresident enrollment and charging differential tuition by campus, and those that further decrease costs, such as limiting student enrollment, downsizing the faculty and staff work force, and foregoing new capital and building projects.

The future of California, fueling an innovation-based economy with new jobs and a social fabric influenced by our students and faculty, demand that we take action. Our 20 recommendations, a few of which we preview here, fall into five somewhat overlapping categories.

Teaching and Curriculum, considering things from the front-line perspective of students and faculty, includes attention to improving time-to-degree by removing obstacles to completion in four years, and creating pathways for graduation in three years. This will reduce the cost of a degree for some students, and will enable the University to produce more bachelor's degree graduates with about the same level of financial resources. Another major recommendation is for a pilot program to explore the quality and feasibility issues regarding fully online courses for UC degree credit. Specifically, we hope to develop information to support decisions about whether a major expansion of online education can help increase access to a UC quality education, and perhaps reduce instructional expenditures.

Undergraduate Enrollment and Access includes recommendations that recommit us to the California Master Plan for Higher Education goals for freshman and transfer students, strengthen previous statements regarding financial accessibility for California's families, streamline and align major requirements for students transferring from California Community Colleges to UC campuses, and increase and cap nonresident undergraduate enrollment. Nonresident enrollment would be over and above the number of State-funded Californians enrolled. Nonresident students pay a higher tuition to ensure their enrollment is not subsidized by state taxpayers.

Research and Graduate Education are central to our distinctiveness and mission. The Commission recommends a sustained effort to meet the graduate student enrollment goals established in support of UC's research mission, especially the campus-specific goals for doctoral students. We also believe that greater emphasis on multi-campus research and training will be cost-effective while actually creating some academically richer opportunities for the participants.

Fiscal Discipline and Administrative Reform includes a substantial added emphasis on private fundraising and further efforts to derive additional income from self-supporting programs. We also support the implementation of the Regents' and President's initiative on systemwide administrative efficiencies and redoubling our efforts to win corrections in the Federal government's indirect costing formulas that determine the amount of overhead

the University is paid for any work under federal grant or contract. These two recommendations alone, if successful, would bring several hundred million dollars annually to UC.

Advocacy and Other Measures are needed to influence the external climate of budget and political choices that threaten the University. The expansion of public education and advocacy over the past few years should be continued, as well as greater investments of time and resources in communicating UC's purposes, accomplishments, value and needs. We should lead efforts to persuade the Federal government to provide special institutional support for research universities with exceptional demonstrated success at serving students from low-income families.

The Commission's work and the execution of its recommendations are informed by and inextricably linked with our vital traditions of shared governance. Political and fiscal accountability to the people of California is assigned to the Board of Regents.

The faculty, however, is routinely invited to play a role in virtually every facet of the University's work. The core of the faculty's governance responsibilities concerns the academic realms of instruction, curriculum, academic personnel, and research. This is the core of any university, and, therefore, the faculty role must be the central part of formulating and executing any strategy to sustain and enhance our mission. It follows, therefore, that in almost every case, the Commission's recommendations cannot become fully effective without the active engagement of the Academic Council, Divisional Senates and faculty committees. So, too, our talented staff is the repository of enormous expertise and they must be involved in the process at every point along the way. In many areas, of course, the Board of Regents is the deliberative body charged with setting policy or delegating responsibility to the faculty, Chancellors, President or others.

BRIEF OUTLINE OF THIS REPORT

This report proceeds as follows: First, we identify some critical dimensions of the context to which we are responding, including budget and enrollment projections, and the likely consequences for our mission. Second, we present the recommendations adopted by the Commission in five categories: (a) Preserving and enhancing excellence in teaching and curriculum; (b) Undergraduate enrollment and access; (c) Sustaining research and graduate education; (d) Management: fiscal discipline and administrative reform; and, (e) Advocacy and other measures. The presentations are relatively succinct, and additional information is provided on the Commission's website.[1]

Finally we present several ideas that the Commission either failed to endorse or believes are worthy of additional study, but need not be advanced at this time; future developments may require that some of these ideas be brought forward for action.

[1] http://ucfuture.universityofcalifornia.edu/welcome.html

CONTEXT — WHAT WE ARE FACING

FISCAL CONTEXT

The work of the Commission occurs in a fiscal context marked by looming financial challenges over the next decade and a long-term disinvestment in the University by the State. The University faces a range of challenges that will add nearly $5 billion in expenditures to the University's core operating budget over the next decade, including:

- normal inflationary cost increases for faculty and staff salaries, employee health benefits, equipment and library materials, utilities, and other non-salary items;
- growing unfunded liabilities for retiree pension and health benefits;
- the need to close competitive faculty and staff salary gaps;
- the desire to improve the student-faculty ratio and restore instructional budgets;
- a critical need to increase the number of graduate students and enhance graduate student support packages; and
- investments in essential academic, technological and facilities infrastructure.

The challenge for the University is securing the revenue to cover these costs, particularly given the downward trend in State support, and finding ways to reduce costs.

State support for UC has fluctuated over time, coincident with the state's economy. UC's share of the total State budget, however, has declined markedly over the long term. In the late 1980s, more than 5 percent of the State General Fund was dedicated to UC. By 2009-10, the UC share had declined to 3.1 percent.

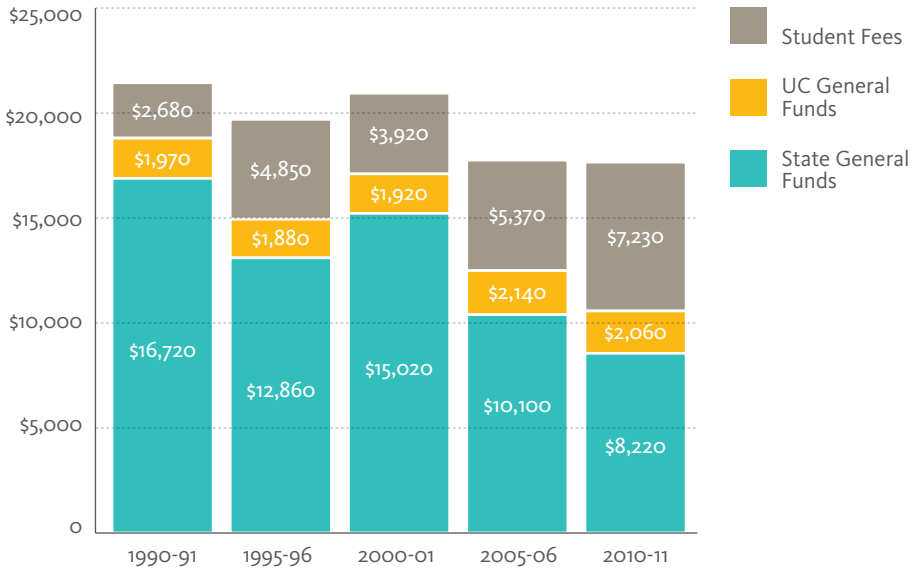
More significantly, State funding has not kept pace with inflation and enrollment growth, particularly over the last decade. Since 1990-91, average inflation-adjusted State support for educating UC students declined 54 percent. Student fee increases have addressed only about two-fifths (40 percent) of this decrease. Other actions to reduce costs have resulted in reduction in staff and instructional offerings, faculty and staff salary lags and reductions in funding for instructional equipment, library materials, and facilities maintenance. As a result, overall inflation-adjusted spending per student from core funds has declined by 25 percent over 20 years.

ENROLLMENT AND TRANSFER PROJECTIONS

California's Master Plan for Higher Education provides that all California residents in the top one-eighth of the high school graduating class be offered a place somewhere in UC. It also requires UC to admit and find a place for all eligible California Community College transfer students who apply. Despite the shortfall in State funding, UC continues to meet its Master Plan obligations by offering all eligible California resident freshman and transfer applicants a place in the system, although fewer are receiving offers from campuses of their first choice. This has resulted in ever-increasing UC enrollments that parallel the largest-ever California high school graduating classes.

Not only is the University serving greater numbers of students, UC is also unmatched among top-tier U.S. research universities in its ability to enroll a socioeconomically diverse student body. An estimated 39 percent of all UC undergraduates enrolled for the fall 2010 term received federal Pell Grants and come from low-income families, an increase of 8 percentage points from

FIGURE 1: **Per-Student Average Expenditures for Education**



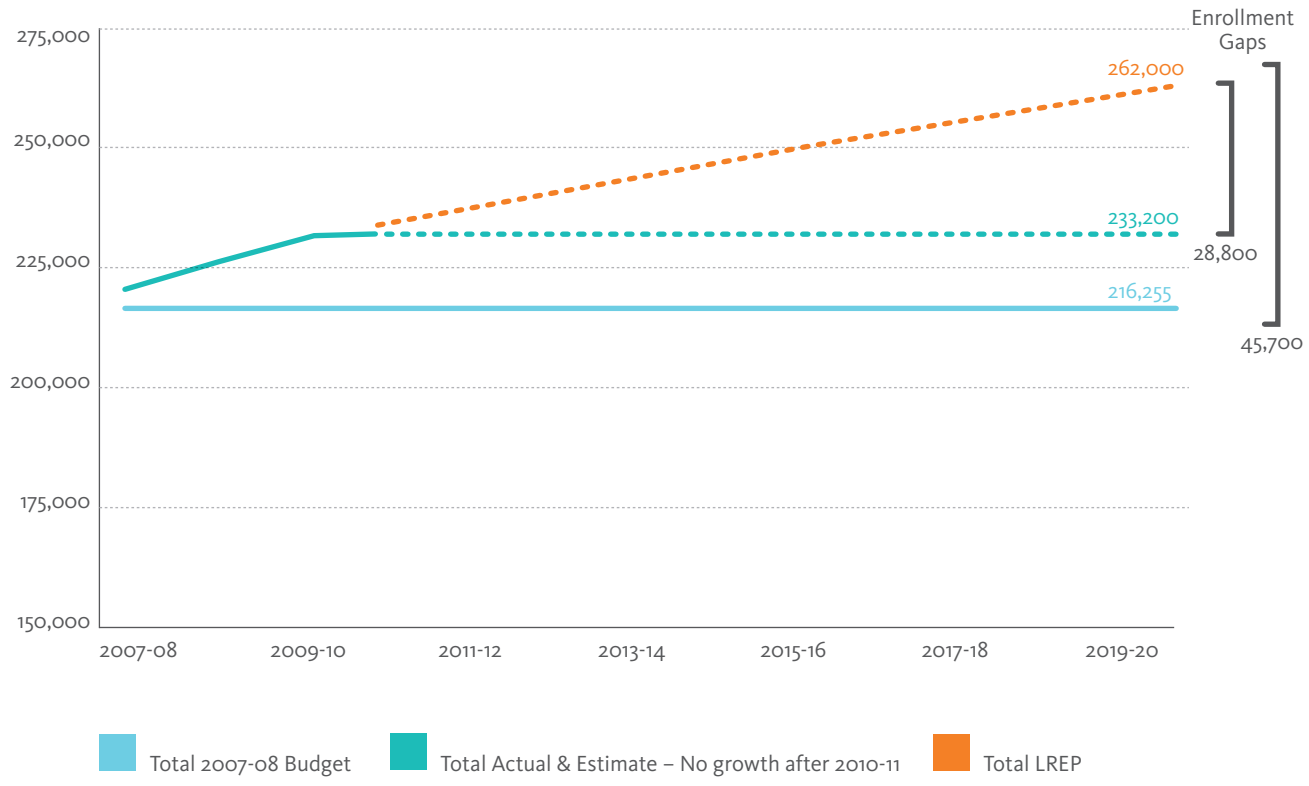
Note: *Student fee amounts are net of financial aid.*
Source: *UCOP Budget and Capital Resources*

two years ago and the largest percentage in the University's history. By comparison, four UC campuses — Los Angeles, Davis, San Diego and Berkeley — each enrolled more Pell Grant recipients in 2008-09 than did the entire Ivy League combined. In addition to the substantial increase in low-income students, for the last two years, the percentages of first-generation college students and underrepresented students admitted to UC have steadily increased, as has the academic quality of the incoming freshman class.

In 2009-10, UC enrolled about 214,000 full-time equivalent resident students, yet State funding has only been provided for nearly 198,500 students at the cost per student previously negotiated with the Legislature and Governor.[2] One alternative, given the shortfall in State funding, is to reduce the size of the student body to the level of available State funds. If UC were to do this, by 2020 it would fall nearly 46,000 students short of the campus enrollment targets designed to fulfill state and national work force needs. These targets are comprehensive and include goals for undergraduate, graduate and professional students, as well as for resident and non-resident enrollment. (See Figure 2.) The consequences for the state would be compounded by parallel difficulties in the California State University system and California's Community Colleges.

[2] Currently that figure is approximately $10,000 per student.

FIGURE 2: **Looming Enrollment Gap**
Campus Long Range Enrollment Plan (LREP) Projections



Notes: *UC full year full time equivalent (including summer); includes resident and non resident undergraduate, graduate, health sciences and other professional students*
Source: *UC Commission on the Future, presentation by the Executive Vice President for Business Operations*

Maintaining a substantial and effective program of enrolling transfer applicants from our state's community colleges is a key part of our opportunity mission. These students are academically successful on our campuses, add valuable dimensions of diversity to our enterprise, and significantly reduce the total cost of an undergraduate degree to families and the State. The transfer function is one of the great strengths of California's higher education system and a foundational element of the Master Plan well worth securing for the future. To that end, President Mark G. Yudof has deepened UC's commitment to transfer, with an increase of 1,000 additional new transfer students (8 percent increase) over two years to a total of 13,915 projected for fall 2010. This came at the same time that the University was forced to reduce enrollments of new California freshmen by 3,800 over two years (11 percent decrease).

The Master Plan prescribes a ratio of 60:40 in upper division to lower division undergraduate students in order to have ample upper division spaces for community college transfer students (UC's ratio in 2009-10 was 66:34 due to freshmen entering with advanced placement and other college credit). The formula is based on assuming an incoming junior class of transfer students that is roughly half the number of first-time freshmen. Currently, the ratio of community college transfers to freshmen is 1:2.4 and continued improvement in the transfer function would be needed to achieve the 1:2 ratio.

Even if resources were sufficient to cover the costs of instruction for 46,000 more students a decade from now, UC does not have the classrooms, offices, laboratories, housing and other physical capacity to accommodate these students. For a host of environmental, planning, and financial reasons, it will be particularly challenging for some campuses to significantly expand their physical facilities.[3] The newest campus, Merced, now enrolls 3,500 students and plans to serve 11,000 in 2020 and 25,000 at build-out, but such expansion will require resources. Even if UC enrollment were to remain flat for the foreseeable future, funding for UC's capital program is greatly needed now to maintain or renew the physical condition of existing facilities — many of which are quite old — and to modernize and retrofit buildings on campuses to meet seismic safety requirements. Given these expected capital facility costs, UC will either need to find significant new revenues to supplement limited State funding or it will need to pursue alternatives to bricks-and-mortar classrooms and labs.

The "Recommendations Adopted by the Commission" section of this report presents more detail on our 20 recommendations; the Commission's website contains several background documents that amplify the purposes and tradeoffs.

[3] See UC's 2008 "Systemwide Enrollment Projections: Undergraduate and Graduate Enrollment Through 2020-21, Phase 1 Report," p. 3, http://www.ucop.edu/acadaff/swap/pdf/LREP080401_2.pdf.

RECOMMENDATIONS ADOPTED BY THE COMMISSION

PRESERVING AND ENHANCING EXCELLENCE IN TEACHING AND CURRICULUM

RECOMMENDATION 1: Adopt Strategies for Reducing Time-to-Degree

By increasing the proportion of students graduating in four years or less, the University can provide more bachelor's degrees with about the same instructional resources and make the degree more affordable by reducing the total for tuition, living expenses, and foregone income. For academic or other reasons, graduation in less than four years is likely to be appropriate and desirable for only a fraction of students. Nevertheless, if only 5-10 percent of UC undergraduate students graduate one quarter/semester earlier, it would free up 2,000 to 4,000 undergraduate spaces per year, and thus improve access to UC. Finally, although most campuses have reduced the number of students affected by impacted courses (i.e., regularly oversubscribed courses that cannot accommodate student demand), this is a continuing problem that goes directly to quality and our responsibility to students.

Specific measures that should be adopted to reduce average time-to-degree are almost exclusively in the domain of the faculty. They include:

- Curricular refinements to improve the undergraduate experience by providing students with a clearer and more well-defined path to achieving their degree objectives.
- Promotion of best practices to identify and eliminate curricular, procedural and policy barriers that impede student progress towards a degree. Such practices include streamlining the curriculum (e.g., UCLA Challenge 45) and improving the scheduling of course offerings so that core and prerequisite offerings enable students to make efficient progress towards their degrees.
- Flexibility in faculty teaching assignments as needed to reduce course impaction and eliminate delays in satisfying course requirements.
- Implementation of formal programs that encourage and facilitate a shorter time-to-degree, such as "packaged" options for three-year degrees with pathways that make full use of advanced placement credits and summer terms. Such pathways could include joint bachelor's/master's degree programs.

The Commission recognizes that there are significant challenges to implementing this recommendation. Re-examining the curriculum to prune and rationalize requirements, especially at the department level, will require an investment of faculty time to establish new policies while preserving quality. Some campuses may need better systems to monitor and allocate classrooms and other resources, so it will be important to share best practices and offer technical assistance. Students have historically been offered only fairly weak incentives to pursue a three-year degree. Some worry about limiting their opportunities to participate in enhanced educational and co-curricular experiences, such as Education Abroad and/or research internships. While higher tuition may have changed the equation, reducing administrative and curricular obstacles should help. Most important, current campus resources are inadequate to meet increased course demand on all campuses and in all fields.

These difficulties vary in importance across UC, but are not sufficient to preclude meaningful progress. The best way to pursue these reforms will vary significantly, so firm commitment on the part of campus leaders, especially in the Divisional Senates, is essential.

RECOMMENDATION:
The Commission recommends that campuses, working through their Divisional Senates, continue to improve undergraduate students' ability to graduate in four years or less by:

(a) re-examining curriculum requirements and policies to ensure that they are not overly burdensome;

(b) improving term-to-term course scheduling and faculty assignments to ensure that students can make satisfactory progress towards a degree; and

(c) creating an optional pathway for undergraduate students to complete degrees in selected majors in three years, including the creation of more joint bachelor's/master's degree programs to accomplish this objective.

Progress regarding these strategies will be reported annually to the Regents with the first report due in September 2011.

RECOMMENDATION 2: Create Lower-Division Transfer "Pathways" to Assist Community College Students Planning their Academic Programs

Work by the Academic and Divisional Senates to reduce transfer barriers has made steady progress in recent years; however, legislation signed into law by the Governor on Sept. 29, 2010, AB 2302, requests the University "to continue its examination of articulation of lower-division major prerequisites in high-demand transfer majors." This bill further requests that UC "[designate] a series of community college courses that provide sufficient lower-division preparation for a designated University of California major and that will be accepted by the University."

While the Transfer Preparation Paths initiative identifies common requirements that currently exist across UC campuses for the top 20 transfer majors, there remains considerable diversity among campuses regarding lower-division major preparation and some of the pathways have only a few common major courses across the UC campuses.

Greater consistency in lower-division major preparation requirements across campuses in key majors can smooth and expedite the transfer process for students. Streamlining transfer also has the potential to minimize the number of excess units taken by students, thereby improving time-to-degree and freeing up more spaces for additional students. Building on the existing transfer streamlining efforts, disciplinary faculty in high-demand majors at UC should be brought together to reach agreement on transfer pathways with a greater degree of commonality and uniformity across all nine undergraduate campuses.

RECOMMENDATION:
The Commission recommends that the Academic Senate expand efforts to streamline the process for students transferring from California Community Colleges to UC campuses by adopting consistent lower-division major requirements, and thereby eliminating unnecessary distinctions in high-demand majors on all nine undergraduate campuses. This effort will expedite the transfer process and has the potential to minimize the number of excess units taken by these students. This recommendation builds on efforts by the Intersegmental Committee of the Academic Senates regarding lower division curriculum in selected undergraduate majors. The Academic Senate will submit a plan and timeline to the President, by Jan. 31, 2011, to develop consistent lower-division major requirements.

RECOMMENDATION 3: Enhance the ASSIST Website to Improve the Student Transfer Function

The Articulation System Stimulating Interinstitutional Student Transfer (ASSIST) website is the official repository of course articulation — how course credits earned at

one college or university can be applied towards a degree after transferring to another — between California's public colleges and universities. ASSIST stores articulation information from the California Community College (CCC), California State University (CSU) and UC systems, and provides an online information tool for community college students interested in transfer and the counselors who advise them.

ASSIST was built in 1985 and updated in the early 1990s. As described in the Community College Transfer Task Force Interim Report (September 2009), the system is outdated and cumbersome. Improvements have been made to shore up the current system, but the ASSIST management is now embarking on a redesign of the system to make the site more facile, up-to-date, and user-friendly. The new ASSIST, dubbed ASSIST: The Next Generation, will be modernized in two phases. The first phase involves the creation of an extensible, robust database that will link to other data systems across the state. The second phase will develop a student-friendly Web interface and, potentially, counseling tools. Such tools have already become the norm in many facets of students' lives, and it is essential that we provide this information to students in an easily accessible way.

RECOMMENDATION:
The Commission endorses the goal to strengthen the student transfer function and therefore recommends that the Provost and the Vice President for Student Affairs accelerate the implementation of the improvements to the ASSIST website and develop alternatives for funding these improvements by March 2011.

RECOMMENDATION 4: Strengthen the Campus Academic Program Review Process by Identifying Best Practices for Consolidating or Reformulating Programs to Reflect Academic and Budget Priorities and Strategy of Each Campus

State fiscal circumstances require that campuses evaluate more rigorously than ever each new program proposal in light of the resources available. There must be change, to reflect innovation, new fields and shifting student demand; this is the curricular concomitant of knowledge creation in our research mission. Adding new programs in a zero-sum environment requires eliminating or reducing program investments elsewhere based on some assessment of their relative value. This is a difficult undertaking, perhaps especially so in an environment of widespread excellence.

Many campus leaders — both faculty and administrators — insist that rigorous and effective review is now the norm. Strong program review processes are indispensible to renewing and extending excellence. Nonetheless, it remains a challenge to close programs and there has been only episodic pressure to do so, coinciding with budget cuts in previous economic downturns. But short-term budget pressures may carry perverse incentives, like focusing on actions that save immediate cash, while shelving academically preferable actions that will produce savings over a longer time frame.

Too often, decisions to establish new programs have been made in isolation without a full understanding of the larger context of competing priorities and without an accurate sense of future resource needs and commitments. Although it is important that each campus be able to pursue its academic priorities and fulfill its full potential, a period of contracting resources requires rigorous review of new programs that is fiscally informed by an awareness of both future expenses and opportunity costs.

Campus reviews should also include consideration of multi-campus and cross-campus collaborations, especially given the rapidly evolving technologies. Partnerships and strategic alliances across departments and programs in the system may allow campuses to maintain key instructional areas with limited resources while also allowing students to experience the full breadth of the UC system. The Office of the President and the Academic Senate have a special responsibility to press campuses to explore these possibilities and facilitate them.

A great deal depends on the quality and independence of the program reviews undertaken by the campus, and on a willingness to make difficult and perhaps controversial choices. Nevertheless, stewardship of scarce resources, whether their source is public or private, requires just such choices in order to enhance excellence over time.

RECOMMENDATION:
The Commission recommends that the Provost and Executive Vice President work with the campuses to identify best practices in academic program reviews. Chancellors should work with the campus Divisional Senates to incorporate budget information into these reviews, with a particular focus on resource tradeoffs, future expenses, and opportunity costs. Each Chancellor and Chair of the Divisional Senate should report to the President on the progress in this area during their annual budget meetings.

UNDERGRADUATE ENROLLMENT AND ACCESS STRATEGY

RECOMMENDATION 5: Reaffirm the University's Commitment to Achieving Master Plan Targets for Freshman and Transfer Students

This recommendation recommits the University to certain provisions of the California Master Plan for Higher Education, which specifies, among other things, that (1) the pool of students from which the University of California draws its freshmen should represent the top one-eighth of California public high school graduates; and (2) to ensure a robust community college transfer path, the University should admit sufficient numbers of upper-division transfers to maintain at least a 60:40 ratio between upper- and lower-division students. The Master Plan was later amended to provide a guarantee of admission to students who met the University's eligibility requirements. At the same time, the Master Plan commits the State by statute to provide adequate resources to ensure that UC can accommodate all eligible students.

In recent years UC has not received adequate State funding to support growth in undergraduate enrollment. If funding is not forthcoming, it will be impossible to fulfill our access mission unless some dramatic alteration in the way we deliver instruction can be instituted, consistent with our equally important mission of excellence. By underscoring the continuing importance of the Master Plan enrollment principles, the Commission hopes to add still more urgency to the search for new resources and for the exploration of new approaches to teaching and instruction.

As for transfers, this is more than a mechanical fidelity to a 50-year old scheme. The transfer path makes the bachelor's degree more affordable, provides a different environment and structure (including part-time enrollment) that is preferable to many students, and eases some of the pressure on campus capacity and UC resources.

Admittedly, the education of upper-division students is more expensive because of smaller classes and necessary specialization and facilities. As implemented, the resource consequences must be monitored. From an aggregate perspective, however, transfer students require only two years of UC resources in order to graduate with a UC bachelor's degree. Serving transfer students increases the number of degrees the UC can confer with any given level of instructional resources.

RECOMMENDATION:
The Commission recommends that the President develop a resolution by January 2011, for the Regents' approval, that reaffirms the University's commitment to the Master Plan's targets for the number and proportion of students who enter at the freshman and transfer levels, to the extent that resources are available, such that:

- UC will continue to guarantee admission to at least one UC campus to the "top one-eighth" of California public high school graduates; and

- UC will continue to enroll sufficient numbers of transfer students to maintain an upper-lower division ratio of at least 60:40 on all campuses (ratio in 2009-10 was 66:34 due to freshmen entering with advanced placement and other college credit). Resources permitting, it also will seek to ensure that one California resident community college student is enrolled for every two California resident freshmen (ratio in 2009-10 was 1:2.4).

RECOMMENDATION 6: Continue Timely Exploration of Fully Online Instruction for Undergraduates, as well as for Self-Supporting Programs and in University Extension

Online education is a rapidly maturing phenomenon increasingly important within undergraduate, graduate, and extension curricula at UC and peer institutions. In 2009-10, for example, UC Extension programs offered 1,250 fully online courses, over 90 percent of which carried either "transfer credits" or, in 78 instances, regular "UC" credits; there were over 55,000 students enrolled, which if converted to the equivalent of full-time students, represents about twice the current size of UC Merced. Through UC Extension, we are already delivering a great deal of online instruction, although little of it formally or automatically carries credit towards a UC degree or major.

If questions related to quality, cost, and workload can be satisfactorily answered — a hotly debated issue among the UC faculty — online delivery of instruction would offer several benefits. (The Commission, like the Academic Senate and the Office of the President, is for these purposes focused on blended online courses that would include intensive use of social networking and a variety of technological tools and pedagogical strategies that would permit extensive interaction among students and faculty.) Within the general realm of our current on-campus programs, and in the near to mid term, increased online instruction may:

- Reduce course impaction, reduce scheduling conflicts and increase summer session enrollments by enabling students to earn credits without being on campus, thus reducing students' average time-to-degree;

- Create some new and distinctive opportunities with respect to course content, social networking applications, assessments (testing), and the differing learning opportunities or needs among students;

- Facilitate multi-campus course offerings, cross-enrollments and collaborative teaching, which would enhance the undergraduate learning experience by allowing students to take courses from experts across the UC system; and

- Encourage electronic publication of textbooks and course materials, reducing costs for students.

In the more speculative, longer term, subject to Academic Senate approval, campuses may develop and expand online programs of instruction of sufficient quality to be termed a "UC education." Then online instruction may make an important contribution to our access mission. This would be especially important in light of the serious capacity and funding obstacles on the horizon.

Moreover, to the extent that tuition-paying students other than those enrolled in the traditional on-campus program are instead served through online courses delivered by University Extension, online courses and programs may:

- Extend UC's reach in academic preparation of university-bound high school and community college students (e.g., through dual-enrollment);

- Address unmet needs for post-baccalaureate degrees and certificates in high-demand fields; and

- Generate revenues and create workload efficiencies that support the University's core, on-campus teaching and research missions.

The Commission believes that the Pilot Project currently being coordinated by the Office of the President, with the endorsement and participation of the Academic Senate, may clarify the desirability of substantially increasing the use of fully online instruction for degree credit, beginning with lower division and UC Extension courses.[4]

STATUS REPORT:
A status report was provided in a July 14, 2010 presentation to the Regents who encouraged moving forward with this Pilot Program. The expectation is that decisions about any further development of online instruction will be made by the Academic Senate and Administration in a timely way, commensurate with its potential — admittedly speculative — to advance UC's mission.

RECOMMENDATION 7: Reaffirm Commitments to Undergraduate Financial Aid and Affordability

The University of California Financial Aid Policy, adopted by the Regents in 1994, states that the University's commitment to enroll a diverse student body requires that financial considerations must not be an insurmountable obstacle to students' decisions to seek and complete a UC degree. Three key implications of this commitment are:

- Students at every income level must be able to finance their total cost of attendance — not just tuition — through a combination of (a) manageable contributions from parents and students, and (b) grant assistance from University, federal, and state aid programs;

- All aspects of a University of California education — including special educational programs (e.g., Education Abroad) and experiential opportunities (e.g., living on campus) — should be available to all students regardless of their financial resources; and

- Aid programs should emphasize a student's financial need rather than scholastic achievement or other criteria.

To date, with one of public higher education's most progressive financial aid programs in the country, UC has been largely successful in remaining financially accessible to students at every income level, as demonstrated by the percentage of low-income students we enroll, the stability of the income profile of UC students over time, student graduation rates, and levels of student employment and borrowing.

Unfortunately, some needy undocumented students, AB 540 students, currently are not eligible for federal, State or UC financial aid. UC has supported various State and federal legislative attempts to allow institutional aid eligibility for undocumented students; however, recent action by the Governor and current federal law prohibit the reestablishment of financial aid eligibility for these students.

A reaffirmation of the University's commitment to financial accessibility will help counter the misperception that a UC education is out of reach and clarify that financial aid must remain among the University's top budgetary priorities. Of course, without adequate State funding, including the Cal Grant program, these policies are unsustainable. Even with that funding, however, financial aid must be a priority for UC's fundraising, advocacy, and internal budgeting. In particular, the Commission endorses the President's commitment to develop a clear, effective strategy for assisting middle-income students.

RECOMMENDATION:
The Commission recommends that the President develop a resolution by March 2011, for the Regents' approval, reaffirming the 1994 University of California Financial Aid

[4] The Academic Senate's support is predicated on the Administration's decision not to divert internal funds for this purpose.

Policy, which states that financial considerations must not be an insurmountable obstacle to students' decisions to seek and complete a UC degree. The resolution should also pledge that financial aid remains one of the University's top budgetary priorities.

RECOMMENDATION 8: Increase and Cap Nonresident Undergraduate Enrollment

By increasing the number and proportion of undergraduate nonresident students, the University of California campuses can enhance the educational experience, broaden geographical diversity of the student body, prepare students for a global society, and generate additional resources to sustain current instructional capacity and quality educational offerings for all undergraduates. UC is committed to the enrollment mission set out in the Master Plan and, therefore, the admission of nonresident undergraduates should not displace funded California residents who are eligible for admission to the University.

Just as other forms of diversity enhance the educational experiences of students, California's dependence on an increasingly global society and economy requires geographic diversity among the student body. Since students often remain in and contribute to the states where they are educated, increasing the numbers of highly qualified nonresident students can contribute to California's future work-force and social, cultural, and economic development.

UC has very low proportions of nonresident undergraduate students (approximately 6 percent) compared to other major research universities, both public and private. Notably, all four of UC's public comparison institutions enroll a greater proportion of nonresident students: Both the University of Michigan and the University of Virginia have more than 30 percent nonresident undergraduate students.

This recommendation can generate needed revenue to enhance the educational experience of all students without unwanted displacement of resident students. Currently, there are approximately 7,600 undergraduate students who pay nonresident tuition. During 2010-11, each nonresident undergraduate pays tuition and fees that are about $22,900 higher than the fees paid by California resident undergraduates. Also in 2010-11, the State is providing enrollment growth funding of about $10,000 for each California resident student to help cover instructional costs. Thus, each nonresident undergraduate contributes about $12,900 in resources above the level of funding generated through student fees and State support for California resident students. Each 1-percent increase in nonresident students would generate almost $1 million.

RECOMMENDATION:
The Commission recommends that the University allow campuses to increase the number and proportion of undergraduate nonresident students to enhance undergraduate students' educational experience, broaden geographical diversity of the student body, prepare students for a global society and generate additional resources to sustain current instructional capacity and quality. Issues to consider in developing the implementation plan for this recommendation should include defining the minimum admissions qualifications for nonresident students, creating a systemwide referral pool for nonresident students and, on a campus-by-campus basis, determining appropriate areas to which to dedicate new revenues from nonresident students.

The Commission further requests that campuses establish targets for nonresident enrollments that do not displace funded California residents and that the President monitor enrollment to ensure that these students are fairly apportioned among the campuses. The President will also monitor the systemwide enrollment of nonresident undergraduate students so that their proportion does not exceed 10 percent. The President will report annually to the Regents on the systemwide proportion of nonresident undergraduate students.

SUSTAINING RESEARCH AND GRADUATE EDUCATION

RECOMMENDATION 9: Redouble Efforts to Obtain Full Cost Recovery from All Sponsored Research, with a Goal of $300 Million Annually

Externally funded research in the University of California is conducted under the accounting principle of total cost recovery, including indirect costs. Indirect cost reimbursement covers the facilities and administrative expenses attributable to research and shared among many projects. At present, Indirect Cost Recovery (ICR) rates on federally funded research, assigned to UC campuses by the Department of Cost Accounting, are inadequate to cover the shared costs of research. UC's rates lag 5-10 percentage points behind some of our comparator institutions and are as much as 25 percent short of full recovery. Additionally, sponsors of many non-federally funded research projects — those projects funded by the State of California, foundations, gifts, and corporations — often have policies that preclude payment of even the federally assigned rates. These policies place an even greater burden on the University's limited resources.

The Commission recommends that UC, working in conjunction with other major research institutions, employ more aggressive strategies to recover a greater share of the indirect costs of research sponsored by outside agencies. The potential fiscal implications of these changes in indirect cost recovery are large. The current gap between the rates UC calculates and the final negotiated rate with the federal government is between 5 and 18 percentage points, amounting to several hundred million dollars per year systemwide. A lesser amount may be achievable through improved management of waivers for the State, foundations, corporations and private donors, but this must be pursued with sensitivity to the important differences in grant-making practices in different fields. Rigid application of cost-recovery rules used for federal science funding would have dire consequences for grants in the humanities and social sciences from most private donors and most foundations.

While the competition for funding will dictate the need for continued flexibility in how UC accepts research funding, improving the recovery of the total costs of research by even a fraction would be an enormous benefit to the University's budget and bring it closer to parity with peer institutions, particularly the private universities.

RECOMMENDATION:
The Commission recommends that UC, working in conjunction with other major research institutions, employ more aggressive strategies to recover a greater share of the indirect costs of research sponsored by outside agencies.

The President and the Vice President for Research and Graduate Studies will present information on indirect cost recovery efforts to the Regents in November 2010.

RECOMMENDATION 10: Facilitate Multi-Campus Research and Doctoral/Post-Doctoral Training

One of UC's greatest strengths — that which makes it one of the most successful research enterprises in the world and allows it to attract top students and faculty in a wide variety of disciplines — is its multi-campus structure. Coordinated, collaborative research programs offer opportunities to share large-scale resources beyond the reach of an individual campus (e.g., supercomputers, large ground-based telescopes). When these resources are shared systemwide, they bridge gaps between campuses and increase the stature of all campuses. This provides a collective expertise and strength in research that is unparalleled in the world, allowing much grander projects than a single, unconnected university could support, while attracting and retaining faculty and students.

Coordination of multi-campus research would also enhance the training of graduate and professional students. For example, multi-location teaching would allow students to take advanced and specialty courses from experts across the UC system.

UC has some very successful multi-campus research programs, but procedural barriers and investment gaps leave much room for improvement. Additional facilities are required in some settings to increase the availability and ease of multi-location teaching and research. It is entirely possible to reshape incentives and remove impediments to multi-campus research and training, but doing so will challenge existing practices and culture in important respects — both on the campuses and at the Office of the President.

RECOMMENDATION:
The Commission recommends that the President and Chancellors support the current efforts of the Office of the President to identify barriers and disincentives that currently exist for multi-campus research and training, and to mitigate those impediments through improvements in policies, processes, technology and facilities. The Vice President for Research and Graduate Studies should report his findings on policy impediments and plans to improve multi-campus effort to the President and Academic Senate within six months of the adoption of this recommendation.

RECOMMENDATION 11: Collaborate with External Partners to Expand Sponsored Internships, Fellowships and Visiting Faculty

Most UC students find careers in the private or non-profit sector using their training in engineering, science, the professions, or the arts and humanities. There is an enormous potential to find support for our students through enhanced use of internships, fellowships, and exposure to their future mentors outside the University through cooperation with the private sector.

Internships that provide students with work for outside organizations during their undergraduate or graduate careers could reimburse a large fraction of their educational costs. Additional benefits to students include exposure to career options outside of academe, experiences that clarify career goals and additional career development opportunities. The University would benefit through receipt of funds from these outside organizations to sponsor and facilitate the internship program, while the outside organizations would benefit through recruitment and training opportunities for potential future employees.[5]

Similarly, researchers at the national laboratories and other organizations would welcome the opportunity to become regular members of the UC community as visiting professors. Those whose jobs at their parent organizations would benefit from the UC connection can establish regular contact with students through teaching, thereby reducing the overall student/faculty ratio without increasing the University's costs.

RECOMMENDATION:
The Commission recommends that each UC campus gain sponsors for new internships, fellowships, and visiting professorships as part of its development effort. These programs should be designed to provide new sources of student support, reduce the overall cost of education and bring in experienced leaders in industry and other external organizations to augment the expertise of the teaching faculty, giving students contact with workplace leaders who provide jobs outside of the academy.

The Chancellors will report to the President on the progress of these programs on a yearly basis for the next five years during their annual budget meetings.

[5] Of course all relationships between the University and outside parties, especially in relation to the academic mission, must conform to ethical and conflict of interest requirements. Campuses must manage contractual risks carefully.

RECOMMENDATION 12: Increase Graduate Student Enrollment to Meet Long Range Planning Goals and Research Mission Prescribed in the Master Plan

The education of graduate students is critical to UC's teaching, research and service mission, and to the economic and cultural development of the state. Our graduate academic and professional school programs are a magnet for many of the most highly qualified, talented and diverse students worldwide, who then work with faculty to generate research and teach undergraduates. To be excellent in national and global terms, however, the proportion of graduate enrollments relative to undergraduate enrollment must be adequate to support the research and instructional mission. A critical mass of graduate students also is crucial for attracting top faculty, who are typically quite focused on having doctoral students with whom to work. As UC has vastly expanded undergraduate enrollment over the past 50 years, graduate enrollment has not kept pace; graduate students have slipped from one-third to one-fifth of total enrollment.

The education of graduate students is more expensive than undergraduate students, both in instructional costs and student financial support. Therefore, under current and baseline fiscal projections, funding for graduate enrollment growth would require that campuses reduce undergraduate enrollment — an unacceptable result in light of our access mission and commitment to the Master Plan enrollment goals.

The Commission's conclusion is that sustaining and strengthening graduate education is a critical element of UC's mission within the Master Plan and a sine qua non of excellence in any research university. UC's leaders must develop a revised strategy, not merely an aspiration, to accomplish an orderly transition which prioritizes and reasserts our research mission.

RECOMMENDATION:
Recognizing UC's role in the Master Plan as the state's primary research and doctoral-granting institution, the Commission recommends that the University increase the proportion of graduate enrollments from 22 percent of total enrollments to 26 percent by 2020-21[6], with individual targets set by each campus.

The Commission further recommends that the campuses, under the guidance of the President, develop alternative plans that will achieve these enrollment targets based on various funding scenarios. The plans should be presented to the President by Aug. 1, 2011, so they may inform the establishment of enrollment targets for 2012-13 and the November Regents' Budget.

MANAGEMENT: FISCAL DISCIPLINE AND ADMINISTRATIVE REFORM

RECOMMENDATION 13: Improve Transparency by Referring to "Tuition" in Place of "Fees"

Consistent with language in the Organic Act (1868) and the California Master Plan for Higher Education (1960) that calls upon the University to be "tuition free" for Californians, UC has not labeled any of its in-state student charges as "tuition." However, despite the labeling, since the early 1990s the Education Fee and the Professional Degree Fees have been equivalent to tuition as the term is typically understood. These two fees provide critical revenue for core instructional expenses. In contrast, the Student Services Fee provides revenue for non-instructional student programs and services, and is appropriately labeled a "fee."

Labeling student charges used for instruction as "fees" instead of "tuition" is inconsistent with the understanding of those terms by the general public, the federal government and other entities to which the University reports its student charges. Colleges and universities report their

[6] Target based on UC's 2008 "Systemwide Enrollment Projections: Undergraduate and Graduate Enrollment Through 2020-21, Phase 1 Report," http://www.ucop.edu/acadaff/swap/pdf/LREP080401_2.pdf.

institutional charges to the federal government and other entities in a variety of contexts. For example, schools participate in both voluntary and mandatory surveys of institutional costs (IPEDS, U.S. News & World Report, etc.), and disbursement amounts from various programs are often tied to institutional charges (e.g., veterans educational benefits, fellowship programs). In all of these contexts, audiences outside of UC expect the term "tuition" to represent the primary educational charge for instructional expenses. Occasionally, UC's divergence from this standard practice has real consequences. For example, GI Bill payments to California veterans attending private schools were delayed because payments are statutorily tied to the level of "tuition" charged by a public college to in-state residents — which, in California, is technically zero.

RECOMMENDATION:
The Commission recommends renaming the Education Fee and the Professional Degree Fees (but not the Student Services Fee) as "tuition." Labeling these student charges used for instruction as "tuition" instead of "fees" is consistent with the understanding of those terms by the general public, the federal government and other entities to which the University needs to report its student charges.

The Commission recommends that the President, after consultation with the Academic Senate and appropriate State agencies, develop the necessary policy revisions, for the Regents' approval in November 2010, to rename the Education Fee and Professional Degree Fees as "tuition."

RECOMMENDATION 14: Expedite Implementation of UC's Initiative on Systemwide Administrative Reforms, with the Goal of $500 Million in Annual Savings

Administrative reforms have been an ongoing focus of the President and Regents for several years. Significant faculty and staff effort is required to manage academic departments, research units, libraries, student service activities, operation and maintenance of plant, campus-wide and systemwide administration, fiscal operations, logistical services and community relations. Costs not directly related to research and teaching (herein termed administrative costs) are estimated to represent 25-30 percent of the UC core funds budget. While recent actions have been taken to reduce these costs, the costs remain substantial.

To the extent that administrative costs can be reduced and operations improved, implementing a system to identify, promote, and adopt the best administrative practices within the UC system can direct more resources to academic and research functions. Although the Office of the President and the campuses have already implemented extensive efficiency measures, the Commission also believes that efficiency measures must be continually advanced, executed, and expanded to enable the University to build a sustainable financial model. Through successful implementation of this initiative, in five years the University could redirect at least $500 million annually to support core academic and research activities and other unfunded costs from a combination of cost savings, cost avoidance and revenue generation.

STATUS REPORT:
On July 14, 2010, the Regents adopted a resolution regarding administrative efficiencies. The resolution directs the President, in consultation with a small committee of campus representatives, to, where appropriate, design and implement common best-practice administrative systems, including but not limited to student information systems, financial systems, human resources systems, payroll systems, and their underlying technology support systems.[7]

The Commission recommends that a progress report on these administrative efficiency efforts be presented at least annually to the Regents.

[7] See http://www.universityofcalifornia.edu/regents/regmeet/ju10/f2.pdf.

RECOMMENDATION 15: Accelerate Development of Self-Supporting Programs and Increase to $250 Million per Year in Five Years the Income Derived from these Programs

Self-supporting programs have the potential to generate significant revenue for departments, particularly if departments leverage existing infrastructure (e.g., with other departments or UC Extension) to offer and manage the program. Offering UC courses to non-UC students, whether through Extension public programs or concurrent enrollment, would bring new dollars to the University. Current UC self-supporting programs generate about $100 million annually, about $25 million per year above program costs. However, most of that revenue comes from the high-cost, self-supporting executive MBA programs. To date, most other self-supporting programs are relatively small and generate modest amounts above programs costs.

Growing these existing programs and developing new self-supporting programs could generate revenue for the University and expand access to UC courses. For example, creating bachelor's degree completion programs, which are in high demand nationally and serve current work force development needs, could result in additional revenue streams for UC while also providing another avenue to a UC education for qualified students. Similarly, using self-supporting programs to provide access to UC courses to high school and community college students prior to their matriculation at UC could potentially improve time-to-degree by reducing the credits these students would be required to take once they enter UC.

Impediments to expanding self-supporting programs include inconsistent and outdated policies (for example, policies that restrict enrolling self-supporting and State supported students in the same courses) as well as limited infrastructure and support services for creating new programs. An initiative to expand self-supporting programs at UC should address both sets of impediments by:

(1) developing a clearer policy framework for offering and operating self-supporting programs that provides campus and department flexibility in exchange for accountability mechanisms that would ensure that no State resources are being used in these programs; and

(2) investigating common infrastructure and support services that campuses and departments could call upon to assist in expanding self-supporting offerings.

RECOMMENDATION:
The Commission supports timely exploration of the expansion of UC self-supporting programs, and recommends that the Provost and the Vice Provost for Academic Planning work with the Academic Senate to further develop the self-supporting degrees expansion proposal, addressing both policy and operational impediments. Progress on this effort will be reported to the President in September 2011.

RECOMMENDATION 16: Raise UC-Wide Ambitions for Private Fundraising

The University has achieved tremendous success in private fundraising over the past 20 years. In the past decade, UC campuses have collectively raised over $1 billion annually, cresting at over $1.6 billion in FY 2007-08. The University's history of fundraising, however, is marked by a high level of restriction on the funds raised. Approximately 95 percent of UC's overall endowment payout is restricted, contrasted with 80 percent for most public institutions and 55 percent for private institutions. Only 2 percent of all gift support in recent years is unrestricted, even less for endowment. To put this in context, of the $1.3 billion in funds raised in FY 2008-09, just over $25 million could be characterized as unrestricted.

Increasing overall fundraising and developing new models to steer these funds to unrestricted or more flexible uses could generate needed revenue to support UC's core funding needs: faculty excellence, graduate student support

and undergraduate access. Options include broadening fundraising for capital projects to support the overall initiative, directing more fundraising to term endowments and focusing on fundraising that yields higher percentages of unrestricted dollars (annual funds, class gifts and parents' support).

The Commission recognizes that increasing unrestricted gifts is an extremely challenging undertaking that will require considerable donor education and advocacy, as well as a commitment to increased investment in staffing fundraising efforts; however, the potential revenue opportunities from this recommendation are significant. Every $100 million raised in unrestricted gifts can generate $5 million or more annually that can be used to support core operations.

RECOMMENDATION:
The Commission recommends that campuses, working with the Office of the President, develop new models and direct additional effort toward increasing the amount of unrestricted fundraising that can be used to support core operations such as faculty excellence, graduate student support and undergraduate access.

The President, Executive Vice President — Business Operations, and Executive Vice President — Chief Financial Officer will report every November on the progress of these efforts in their annual report to the Regents on private support.

RECOMMENDATION 17: Review and Revise the Current Systemwide Funding Formulas for Campuses

The present system by which the campuses are centrally funded is complex and often misunderstood. The Office of the President, in consultation with the campuses, should review and revise the current systemwide funding formulas in an open and transparent way that will enable the California public, the Legislature, the media and the University as a whole to fully understand the critical choices we all face. This project has been highly collaborative, involving leadership from the 10 campuses in its development.

In reviewing and refining these funding formulas, the Commission recommends that the University consider the following:

- maintaining the current model of distribution of undergraduate financial aid, which allocates financial aid based on student need and seeks to achieve the same self-help level for student aid across campuses;
- funding the Office of the President from a broad-based flat assessment on all fund sources; and
- allowing campuses to retain all fee, indirect cost recovery and patent revenue generated.

RECOMMENDATION:
The Commission endorses the systemwide funding streams project which is currently underway and being led by the Vice President for Budget. This project will fund the Office of the President from a broad-based flat assessment on all fund sources and will allow fees, indirect cost and other revenue to be retained on the campuses, rather than being reallocated.

ADVOCACY AND OTHER MEASURES

RECOMMENDATION 18: Develop a Multi-Year Advocacy Campaign to Foster Public and Political Support for the University

Public institutions must have the backing of those who pay taxes to support them. In an era when term limits provide only a short period of time for the state's elected officials to understand and react to changing economic circumstances, it is critical to maintain a public base of support that will

persist for more than the limited terms of State office-holders. UC must better communicate its value to all Californians and derive more public support from those who benefit from its services.

UC provides a vital and lasting contribution to the state's economy and the quality of life of its citizens. Because of the core support provided by State funds, UC is able to train the work force and provide the knowledge and research California needs to stay on the cutting edge of discovery and innovation. This, in turn, helps stimulate job growth and has a direct impact on the state's economic recovery. But UC's contributions to the state are far broader. They include development of a health care system that provides research and care for those with the hardest illnesses to treat, assistance to K-12 schools to help improve the quality of instruction and expand educational opportunities, producing nearly a quarter of California's public university faculty at both UC and CSU, and discoveries and best practices for the agriculture industry, among others. If the public gains a greater understanding of the important role UC plays in everyday life and is able to signal their support for UC, the State's disinvestment in UC could be reversed.

The Commission acknowledges the efforts undertaken recently by the Office of the President and the campuses to greatly enhance the University's advocacy network. Many programs are already under way — e-mail and letter-writing campaigns, visits of UC-supportive delegations to Sacramento, increased use of social media, joint forums with legislators on policy issues important to the state, and more. The Commission recommends UC continue its development of a multiyear advocacy campaign to foster public and political support for the University as a major priority for State funding.

RECOMMENDATION:
The Commission recommends UC develop a multiyear advocacy campaign to foster public and political support for the University as a major priority for State funding.

The President and the Senior Vice President—External Relations will present information to the Regents in January 2011 on UC's advocacy efforts.

RECOMMENDATION 19: Endorse Pell PLUS Proposal to Enhance Federal Scholarship Aid at Research Universities

The University will press the federal government to expand its role in higher education by providing core operating funds to universities that serve the neediest students as a substantial fraction of their graduating classes. The federal government would provide "Pell PLUS" augmentations directly to the universities, associated with their Pell Grant enrollees.

This approach to targeted aid reflecting the higher costs of educating students with higher needs is familiar under Title I of the federal Elementary and Secondary Education Act. In postsecondary education, Historically Black Colleges and Universities (HBCUs), Tribal Colleges and Universities, and more recently, some Hispanic-Serving Institutions (HSIs) have benefited from federal support for core operations, in recognition of the special role they serve with respect to low-income students. However, four-year public institutions that serve large populations of low-income students are enrolling and graduating more disadvantaged students than the HBCUs, Tribal Colleges and HSIs combined. This demonstrated commitment to opportunity and access is facing new pressure because states are steadily withdrawing their financial support for higher education.

The federal government's supplemental support of core operations will help keep access to quality public institutions available to Pell Grant recipients. A high level of student access becomes irrelevant if the University no longer has the capacity to ensure a quality education. Federal support for core operations will allow the University to hire professors, equip laboratories, expand physical plant, and carry out the other day-to-day activities that improve the quality of education.

It will of course be difficult to win such a substantial sea change in federal role, and federal spending will be tightly constrained for years to come. Nevertheless, the Commission believes that this is an important effort worth pursuing, with the leading public research university leading the way.

RECOMMENDATION:
The Commission recommends that the President, in collaboration with other institutional partners, develop a strategy to advocate for federal support for core operations, via a Pell Grant augmentation program, recognizing the special role that four-year public institutions serve with respect to low-income student access and success.

A status report will be provided to the Regents annually on this and other advocacy efforts. Interim status reports will be made if/when new significant milestones are met.

RECOMMENDATION 20: Research Advocacy: Pursue Stronger State and Federal Support for Research, Revitalizing Support for Land Grant Mission

Part of the social-contract obligation of UC, descended from its heritage as a public land grant institution, is our dedication to the principle of "linking knowledge with action." Opportunities to link knowledge with action through engagement with the people of California span the full range of UC research activities. An advocacy campaign could draw on extensive examples of UC research with a powerful public impact. The Commission believes that such advocacy efforts will help engage the public with the research mission of the University and build support for increased investment in UC research.

It is also critical that federal support for research be sustained or even increased given that the federal government underwrites so much of the basic research conducted at U.S. research universities, laboratories and research organizations. Although the President's budget calls for a steady increase in the financing of research, due to pressure to reduce federal budgets, Congress may look for short-term monetary gains and neglect basic research and its long-term impact on economic health. While this challenge is certainly not a problem unique to California, it has serious potential consequences for California and the UC system. The Commission believes it is crucial that UC take leadership in working with America's research universities and partners in industry and government to demonstrate the benefit of research, and to advocate and ensure that federal funding of university research increases.

RECOMMENDATION:
The Commission recommends that the University, in collaboration with other university and non-governmental organization partners, increase its investment in outreach and advocacy for the research mission of the University. The advocacy objectives are to engage the public and build support for increased investment in research.

A status report will be provided to the Regents annually on this and other advocacy efforts. Interim status reports will be made if/when new significant milestones are met.

OTHER RECOMMENDATIONS CONSIDERED BY THE COMMISSION

In addition to the 20 recommendations endorsed, the Commission also deliberated several ideas that they do not endorse at this time but that are worthy of additional study, and some that may need to be advanced as contingency measures should the fiscal situation worsen.

RECOMMENDATIONS NOT ENDORSED BY THE COMMISSION

RECOMMENDATION A: Adopt a Multi-Year Tuition Schedule

In order to preserve a quality education for UC students, the University has had to generate new tuition revenue to partially backfill the severe State budget cuts that have occurred. The tuition increases have been problematic for students and their families because of both their size and their unpredictability. To avoid the pain and frustration produced by large, unexpected tuition increases that occur mid-education, UC could adopt a multi-year tuition schedule for incoming cohorts of under-graduates which would cover a specified number of years — e.g., the typical time-to-degree of between four and five years for entering freshmen and two to three years for transfer students.

Adopting a multi-year tuition schedule would, however, reduce flexibility in tuition revenue and require the University to make contingency plans. Since continuing students would be assured a fixed tuition increase rate, any revenue required beyond that amount — due to a sudden decline in State funding, for example — would have to be generated by the 30 percent of students who would be subject to the "new" student rate. In addition, application of the multi-year tuition schedule should be contingent on a maintenance of effort by the State. In the case of significant and abrupt State budget cuts, the University might need to adopt an emergency tuition increase outside of the scheduled amount.

For these reasons, the Commission does not recommend the University adopt a multi-year tuition schedule for undergraduate students at this time.

RECOMMENDATION B: Charge Differential Tuition by Campus

Campuses vary in their selectivity and competitiveness for students. Although tuition cannot singlehandedly solve UC's budgetary challenges, it is a key component of any funding strategy and one of the only revenue sources that UC can effect to replace other funding shortfalls. It appears that substantial headroom may still exist on each campus for across-the-board tuition increases without having an impact on enrollments.

Allowing tuition to vary by campus is based on the premise that student demand for different campuses varies. Differential tuition could both protect against losses of student enrollments at campuses beginning to experience demand elasticity, and allow tuition to increase at campuses where demand remains relatively inelastic. Allowing differences in tuition levels would also expand the University's total revenue and provide a funding stream that could be distributed in a way to benefit all campuses. Yet there are many challenges associated with charging differential tuition, including: controversy over perceived or actual tiering of campuses for tuition-setting purposes; potential negative impact on the perceived reputation or academic quality of some campuses; and the complexities and potential controversy in developing a distribution model that benefits all campuses.

The Commission generally believes that UC has not yet exhausted other avenues of revenue generation and is not prepared to endorse this recommendation at this time. However, the Commission further recommends that the

President develop options for the successful implementation of campus differential tuition rates should this be necessary to preserve UC quality and access in the future.

CONTINGENCY RECOMMENDATIONS

Should the fiscal crisis deepen and State and other funding sources continue to decline to a point where the University can no longer sustain its longstanding commitment to academic quality and increasing access, the Regents, President, Chancellors and Academic Senate may need to consider some or all of the following contingency measures:

- Curtail student enrollment, potentially falling short of achieving the Master Plan ratios recommended by the Commission (see Recommendation 5) and restricting access at both the undergraduate (freshmen and transfers) and graduate levels.

- Re-examine UC's financial aid strategies, also recommended by the Commission (see Recommendation 7), including reducing the portion of new undergraduate tuition revenue that is set aside (currently 33 percent) to fund financial aid for needy students.

- Raise or eliminate the systemwide limit on the proportion of nonresident undergraduate students admitted and enrolled (the Commission recommends a 10 percent systemwide cap in Recommendation 8).

- Substantially increase tuition and fees, including charging differential tuition by campus (discussed above), as part of a broad-based program to sustain the University.

- Downsize the University's faculty and staff work force, including limiting the replacement of faculty lost due to retirements, terminations and other separations. This recommendation came to the Commission from the Academic Council.

- Forgo new building and capital projects that are not absolutely essential for safety. This recommendation also came from the Academic Council.

The Commission believes that UC has other mechanisms to achieve cost savings and generate revenue that may sustain the University in the near term. However, the contingency measures listed above should be explored now in the event that the fiscal conditions in the state and for UC in particular continue to decline. These measures, individually and together, have serious implications for the future of the University and the State of California.

APPENDIX A. COMMISSION CHARGE AND MEMBERSHIP

July 16, 2009

To the Regents of the University of California:

Fifty years ago, California's vision for higher education was captured in the California Master Plan for Higher Education. The State's investment in higher education has paid great dividends to both the state and nation. At this time in our history, it is critical to revisit that vision and chart a direction for the future of the University of California.

To achieve that goal and in consultation with President Yudof, I am creating the University of California Commission on the Future to consult with the entire University community to help craft the vision to best serve California in the years ahead. President Yudof has agreed to join me in co-chairing the Commission.

The Commission's charge will be to develop a vision for the future of the University that will reaffirm our role in sustaining California's economy and cultural life while recognizing that our limited state resources require us to be creative and strategic in meeting that mission. Key objectives should include consideration of:

- How can UC best meet the needs of California and at the same time maintain access, quality and affordability in a time of diminishing resources?
- What is the appropriate size and shape of the University going forward? Where should we grow, or should we?
- What educational delivery models will both maintain quality and improve efficiency for UC's future?
- How can traditional and alternative revenue streams be maximized in support of UC's mission?

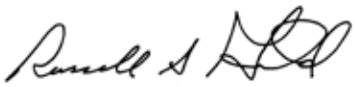
Deliberations of the Commission will be modeled on the successful work of the Study Group on University Diversity. We plan to have separate working groups that will delve more deeply into the areas described above as well as other areas that arise from the Commission's deliberations.

In addition, we plan to look to the entire University community, including the Chancellors, faculty, senior managers, students, alumni and staff, to gather their input in this critically important fundamental review. We also plan to consult with experts in higher education and other relevant fields as well as with members of the various external communities that are affected by the University's services.

Given the current crisis, we hope to coalesce around some recommendations sooner than others, but given the importance of the effort, we hope to hear from the Commission early next year.

I look forward to working with you on this important effort and am optimistic that this group will make recommendations that will strengthen the University and enhance its ability to continue to contribute to California's long-term success and prosperity.

Sincerely,



Russell S. Gould, Chairman

Russell S. Gould	Board of Regents Chairman, Co-Chair
Mark G. Yudof	President, Co-Chair
Edward L. Abeyta	Registrar and Director of Academic Services, UC San Diego (Regents Staff Adviser, July 1, 2009-June 30, 2010)
Jesse M. Bernal	Interim Diversity Coordinator, UCOP (Student Regent, July 1, 2009-June 30, 2010)
Gene Block	Chancellor, UCLA
Cynthia Brown	Professor, UC Santa Barbara
Jesse Cheng	Student Regent
Mary Croughan	Executive Director, Research Grants Program Office, UCOP (Academic Senate Chair, Sept. 1, 2008-Aug. 31, 2009)
Anil Deolalikar	Professor, UC Riverside
Michael V. Drake	Chancellor, UC Irvine
Christopher Edley, Jr.	School of Law Dean, UC Berkeley
Yolanda Nunn Gorman	President and CEO, Brilliance Strategies, Inc. and President, Phillips Graduate Institute (Alumni Regent, July 1, 2009-June 30, 2010)
Warren Hellman	Alumnus, UC Berkeley
Sherry L. Lansing	Regent (Commission Member from July 16, 2009-Aug. 11, 2010)
Monica Lozano	Regent
Claudia Magana	President, UC Student Association (Commission Member from Sept. 1, 2010-Dec. 31, 2010)
Henry ("Harry") Powell	Professor, UC San Diego (Academic Senate Chair, Sept. 1, 2009-Aug. 31, 2010)
Art Pulaski	Executive Secretary-Treasurer, California Labor Federation
Victor Sanchez	Vice President, United States Students Association (Commission Member as President, UC Student Association, Sept. 1, 2009-Aug. 31, 2010)
Henry T. Yang	Chancellor, UC Santa Barbara
Allan Zaremberg	President and Chief Executive Officer, California Chamber of Commerce
Steven Beckwith	Vice President for Research and Graduate Studies, ex officio member
Nathan Brostrom	Executive Vice President, ex officio member
Daniel Greenstein	Vice Provost, Academic Planning, Programs and Coordination, ex officio member
Lawrence H. Pitts	Provost and Executive Vice President, ex officio member
Daniel L. Simmons	Academic Senate Chair, ex officio member
Peter Taylor	Executive Vice President and Chief Financial Officer, ex officio member

APPENDIX B. WORKING GROUPS' CHARGE AND MEMBERSHIP

August 4, 2009

Dear Colleagues:

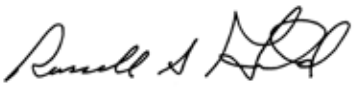
I am anxious to begin the work of the Commission on the Future of the University. A critical element is to engage Regents in Commission deliberations in the broadest way possible. I would like to find out if you are interested in participating in one of the Commission's working groups.

It is in these groups that the hard work of gathering data, reviewing past studies, and listening to subject matter experts will occur. Not all Regents will be able to take on this time commitment in addition to their other assignments for the University, but I would like to ensure that those of you who can do so are afforded that opportunity. Your input will be invaluable to President Yudof and me.

At the present time, five working groups are planned. President Yudof and I have developed a detailed summary of the working groups' roles, which is attached. In order to keep the size of the groups manageable, we won't want to have more than a few Regents — or any other constituency — on each working group. For that reason, it would be very useful if you can be flexible about which group you will serve on.

Please let me or Diane know at your earliest convenience if you would like to participate and, if so, your order of preference for the working groups. If you would like to nominate others in our University community or supporters to serve, please let us know that too. Once we have received input from everyone, we will be back in touch with working group assignments. When the Commission's work is complete, we anticipate that its product will be reported to the Board in a Committee of the Whole — the work of the Commission is simply too central to assign it to one Board committee. President Yudof and I look forward to engaging the entire University community in this ground-breaking endeavor.

Sincerely,



Russell S. Gould, Chairman

UC COMMISSION ON THE FUTURE WORKING GROUPS

The Commission is charged with developing a new vision for the University within the context of the University's mission and budget, while reaffirming our commitment to quality, access and affordability. UC will continue to play a vital role in sustaining California's economy and cultural life, operating strategically and as efficiently as possible within available resources.

UC's long-held governing principles of maintaining access, affordability, and the highest levels of quality in instruction, research, public service and health care have guided the policy decisions of this great University. In today's budgetary climate, these principles are becoming, in essence, what economists call "competing goods": One cannot be altered without affecting the value of others. Even a world-class research institution such as our own does not have the resources to maximize all competing goods simultaneously.

In the past, many policy decisions at UC were made one at a time, often without considering the impact of changing one variable upon the others. Going forward, we must take a competing goods approach: Each solution will affect others to follow. Any increase in support in one area inevitably has opportunity costs for other priorities.

The Commission and working groups will identify multiple positive attributes worthy of promoting, but priorities must be established to balance the budget. Some of these "competing" attributes include:

- Graduation in three or four years — maximum flexibility in degree programs, dual degrees, majors and minors
- Low fees — high financial aid — enhanced student support services
- Access to all qualified California residents (freshman, transfer) — high proportions of graduate and professional enrollment
- Small classes and student mentoring — highest levels of research and scholarship
- Instructional delivery costs — low student faculty ratios — state of the art classrooms and class laboratories
- Competitive positioning for research funding — public service outreach
- Competitive faculty and staff salaries

The overarching task is to define an overall balance among these priorities that is consistent with UC's mission, commitment to quality, and best serves California.

The working groups will be comprised of a wide spectrum of members drawn from the Regents, faculty, students, alumni, administration, staff and other experts not affiliated with UC. Much of the expertise lies with our extraordinary faculty. Because competing goals may span multiple workgroups, the Commission, as a coordinating and deciding body, will expect strong communication and coordination among the working group chairs. Close consultation with the Academic Senate is essential for recommendations pertaining to curriculum and other core faculty responsibilities.

With this background, the working groups are:

1. SIZE AND SHAPE OF UC

What is the appropriate size and shape of the University going forward?

Should the size of graduate programs be rationalized? Should the size of undergraduate programs be reduced, especially for

programs that are not cost effective? Should there be a new model focusing UC on graduate and professional education and undergraduate education that cannot be delivered by other public segments?

- Evaluate the size and breadth of academic program offerings and the distribution of these offerings by campus, with a focus on areas of specialization. The group will consider to what degree the campuses should be similar or different in their educational programs, or in their growth in numbers of undergraduate, graduate and professional students among other potential differences. Faculty research expertise and capacity, proximity to and availability of funding, unique resources (industry partners, targeted sponsorship, physical location, etc.) and other relevant factors will be considered in this process.

- The workgroup will consider and develop recommendations regarding the optimum enrollment mix (freshman, transfer, undergraduate, graduate and professional, resident, non-resident, etc.) by campus and for the system as a whole.

2. EDUCATION AND CURRICULUM

What alternative educational delivery models will both maintain quality and lower educational delivery costs?

- The workgroup will consider and develop recommendations for different models of educational delivery, including: modifications to curriculum and degree programs; modifications on how information is presented and how we interact with students; online and remote instruction; testing out of required courses; reconfiguration of major requirements; limits on the number of units permissible (including Advanced Placement units); year-round instruction; three-year baccalaureate degrees; student: faculty ratios; etc. The pros and cons of each model of educational delivery will be examined, as well as direct and indirect cost considerations.

- Consider how the University works in collaboration with K-12, community colleges, California State University and other partners to achieve the highest quality education possible.

- Consider and examine other models of higher education within the United States and elsewhere, paying particular attention to models that work in research universities, public universities and land grant institutions.

3. ACCESS AND AFFORDABILITY

How can UC best meet the needs of California and at what levels of access and affordability assuming diminishing resources? Should there be greater reliance on California State Universities and California Community Colleges for access?

Should fees be increased?

- The workgroup will undertake a comprehensive evaluation of current and alternative student body size, and fee and financial aid policies and structures, as well as the impact of these alternatives on student access and diversity.

- Consider and examine other fee, aid and access models within the United States and elsewhere, paying particular attention to models that work in research universities, public universities, and land grant institutions.

4. FUNDING STRATEGIES

How can traditional and alternative revenue streams be maximized in support of UC's mission?

- The workgroup will explore and develop recommendations to maximize funding from traditional sources including the state, federal and private sectors, as well as identify alternative revenue streams. New strategies will focus on ways to enhance and manage funding for core operations, instructional innovations, infrastructure and capital projects.

- The workgroup will also develop recommendations for an effective advocacy campaign to enlist the University's supporters in these efforts.

5. RESEARCH STRATEGIES

- The workgroup will consider and develop recommendations for new models for various aspects of the research enterprise, including graduate student support, support services, research funding, indirect cost recovery, collaborations, policies and administration. New models for collaborative research within campuses and across campuses, with industry partners, and the development of hybrid models will be explored.

- Best practices in developing and delivering research experiences to undergraduate, graduate, post-doctoral fellows and professional students will also be identified.

These matters have been studied for many years. The Commission and workgroups will rely on previous and ongoing studies by the Office of the President, Academic Senate, campuses and faculty researchers in their deliberations. Implementation of recommendations will be subject to traditional review by the Academic Senate in the areas for which it has delegated authority. For recommendations in all other areas, the Academic Senate will have full opportunity for consultation and review.

SIZE & SHAPE WORKING GROUP

George Blumenthal, Co-Chair	Chancellor, UC Santa Cruz
Cynthia Brown, Co-Chair	Professor of French, UC Santa Barbara
Norman Abrams	Professor Emeritus, School of Law, UCLA
Keith Alley	Executive Vice Chancellor and Provost, UC Merced
Don Brenneis	Professor of Anthropology, UC Santa Cruz
Philip Bugay	Senior Vice President, Morgan Stanley
Robert Campbell	Former Member, California State Assembly
Miguel Daal	Graduate Student, UC Berkeley
Darek DeFreece	UC Board of Regents (Regent-Designate)
Margaret Ferguson	Professor of English, UC Davis
Mary Firestone	Professor of Environmental Science, Policy, and Management, UC Berkeley
John Gage	Partner, Kleiner, Perkins, Caulfield and Byers
Deborah Greenspan	Professor, School of Dentistry, UC San Francisco
Ken Janda	Professor of Chemistry, UC Irvine
Garth Johnson	Student, UC Santa Barbara
David Marshall	Executive Dean, College of Letters and Science, UC Santa Barbara
Mark Matsumoto	Professor of Environmental Engineering, UC Riverside
David Miller	Deputy Assistant Chancellor, UCLA
Claire Pomeroy	Vice Chancellor, Human Health Sciences and Dean, School of Medicine, UC Davis
James Posakony	Professor of Biology, UC San Diego
John Sandbrook	Former Interim Chief of Staff, UC Office of the President
Denise Segura	Professor of Sociology, UC Santa Barbara
Ronald Stovitz	UC Board of Regents
Steve Thorsett	Dean, Physical and Biological Sciences, UC Santa Cruz
Lawrence Pitts (ex officio)	Provost and Executive Vice President, UC Office of the President

EDUCATION & CURRICULUM WORKING GROUP

Christopher Edley, Co-Chair	Dean, School of Law, UC Berkeley
Keith Williams, Co-Chair	Associate Professor of Exercise Biology, UC Davis
Mark Appelbaum	Professor of Psychology, UC San Diego
Kim Barrett	Dean of Graduate Studies, UC San Diego
Cathy Casserly	Senior Partner, Carnegie Foundation for the Advancement of Teaching
Jesse Cheng	UC Board of Regents
Jane Conoley	Dean, Graduate School of Education, UC Santa Barbara
Molly Cooke	Professor, School of Medicine, UC San Francisco
David Kirp	Professor of Public Policy, UC Berkeley
Bill Ladusaw	Vice Provost and Dean, Undergraduate Education, UC Santa Cruz
Jane Lawrence	Vice Chancellor, Student Affairs, UC Merced
William McDonald	Professor of Film, Television, and Digital Media, UCLA
Joel Michaelsen	Professor of Geography, UC Santa Barbara
Peggy O'Day	Professor, School of Natural Sciences, UC Merced
Jane Patton	Chair, California Community Colleges Academic Senate
Cathy Sandeen	Dean of Extension, UCLA
Bruce Schumm	Professor of Physics, UC Santa Cruz
David Simpson	Professor of English, UC Davis
Judith Stepan-Norris	Professor of Sociology, UC Irvine
Charlene Zettel	UC Board of Regents
Dan Greenstein (ex officio)	Vice Provost for Academic Planning, Programs and Coordination, UC Office of the President

ACCESS & AFFORDABILITY WORKING GROUP

Jesse Bernal, Co-Chair	Interim Diversity Coordinator, UCOP (Student Regent, July 1, 2009-June 30, 2010)
Michael Drake, Co-Chair	Chancellor, UC Irvine
Akua Asa-Awuku	Assistant Professor of Chemical and Environmental Engineering, UC Riverside
Michael Brown	Professor, Gervitz Graduate School of Education, UC Santa Barbara
Rita Cepeda	President, Mesa Community College, San Diego
Olivia Diaz	Management Services Officer, Cesar Chavez Department of Chicana and Chicano Studies, UCLA
Derek Dunn-Rankin	Chair, Department of Mechanical and Aerospace Engineering, UC Irvine
Kevin Grumbach	Chair, Department of Family and Community Medicine, UC San Francisco
Braden Hirasawa	Student, UC Merced
Sylvia Hurtado	Professor, Graduate School of Education and Information Studies, UCLA
Bob Jacobsen	Professor of Physics, UC Berkeley
Hadi Makarechian	UC Board of Regents
Bennie Osburn	Dean, School of Veterinary Medicine, UC Davis
Akos Rona-Tas	Associate Professor of Sociology, UC San Diego
Penny Rue	Vice Chancellor for Student Affairs, UC San Diego
Fred Ruiz	UC Board of Regents
Susan Strome	Professor of Molecular, Cell, and Developmental Biology, UC Santa Cruz
Nathan Brostrom (ex officio)	Executive Vice President for Business Operations, UC Office of the President

FUNDING STRATEGIES WORKING GROUP

Gene Lucas, Co-Chair	Executive Vice Chancellor, UC Santa Barbara
Steve Olsen, Co-Chair	Vice Chancellor for Finance, Budget and Capital Programs, UCLA
Eric Barba	Student, UCLA
Linda Bisson	Professor of Viticulture and Enology, UC Davis
Henning Bohn	Professor of Economics, UC Santa Barbara
Henry Brady	Dean, Goldman School of Public Policy, UC Berkeley
Daniel G. Burnham III	Former CEO, Raytheon (retired)
Sandra Faber	Chair, Department of Astronomy and Astrophysics, UC Santa Cruz
David Gardner	Professor, Metabolic Research Unit, UC San Francisco
Brian Gresham	Assistant Director — Capital Planning and Space Management, UC Merced
Robert Haas	Trustee, Evelyn and Walter Haas, Jr. Fund
Gary Hansen	Professor of Economics, UCLA
Rex Hime	UC Board of Regents
Peter Krapp	Associate Professor, Film and Media Studies, UC Irvine
Carol Lovatt	Professor of Plant Physiology, UC Riverside
John Meyer	Vice Chancellor for Resource Management, UC Davis
Meredith Michaels	Vice Chancellor for Planning and Budget, UC Irvine
Art Pulaski	Executive Secretary-Treasurer, California Labor Federation
Robert Reich	Professor, Goldman School of Public Policy, UC Berkeley, and former U.S. Secretary of Labor
Maurice Salter	President and CEO, Aladdin Two and Chair-Elect, UCLA Foundation Board of Directors
Leslie Tang-Schilling	UC Board of Regents
Bruce Varner	UC Board of Regents
Peter Taylor (ex officio)	Executive Vice President and Chief Financial Officer, UC Office of the President

RESEARCH STRATEGIES WORKING GROUP

Mary Croughan, Co-Chair	Executive Director, Research Grants Program Office, UC Office of the President (Academic Senate Chair, Sept. 1, 2008-Aug. 31, 2009)
Henry Yang, Co-Chair	Chancellor, UC Santa Barbara
Norm Augustine	Lockheed Martin (retired)
John Birely	Consultant and former Associate Vice President for Laboratory Programs, UC Office of the President
Janet Broughton	Dean of Arts and Humanities, UC Berkeley
Patricia Conrad	Professor, School of Veterinary Medicine, UC Davis
John Crawford	Associate Professor of Dance and Media Arts, UC Irvine
William De La Pena	UC Board of Regents
Andrea Ghez	Professor of Physics and Astronomy, UCLA
Ronald Gronsky	Professor of Materials Science and Engineering, UC Berkeley
Cheryl Hayashi	Professor of Biology, UC Riverside
Gail Hershatter	Professor of History, UC Santa Cruz
Chris Kello	Associate Professor of Cognitive Science, UC Merced
Alan Liu	Professor and Chair, Department of English, UC Santa Barbara
Steve Mayo	Vice Provost for Research, California Institute of Technology
Norm Pattiz	UC Board of Regents
Stanley Prusiner	Professor of Neurology and Biochemistry, UC San Francisco
Patrick Schlesinger	Assistant Vice Chancellor, Research Administration and Compliance, UC Berkeley
Margaret Schoeninger	Professor of Anthropology, UC San Diego
Heidi Schutz	Post-Doctoral Researcher, UC Riverside
Malaika Singleton	Graduate Student and GSA President, UC Davis
Tom Tomich	Professor, Director of Agricultural Sustainability Institute, UC Davis
Sam Traina	Vice Chancellor for Research and Graduate Studies, UC Merced
Michael Witherell	Vice Chancellor for Research, UC Santa Barbara
Steve Beckwith (ex officio)	Vice President for Research and Graduate Studies, UC Office of the President

APPENDIX C. COMMISSION PROCESS AND MEETINGS

CREATION OF UC COMMISSION ON THE FUTURE

UC Regents Chairman Russell Gould formed the UC Commission on the Future in July 2009. The Commission was charged with developing a new vision for the University within the context of the University's mission, while reaffirming our commitment to access, affordability and the highest levels of quality in instruction, research, public service and health care. UC must continue to play a vital role in sustaining California's economy and cultural life, operating strategically and as efficiently as possible within available resources in the midst of the State's dire financial crisis and into the future.

Co-chaired by Regents Chairman Gould and President Yudof, the Commission was composed of members from across UC and outside of the University. Among those appointed to serve on the Commission are: current and former UC Regents Jesse Bernal, Jesse Cheng, Sherry Lansing, Monica Lozano and Yolanda Nunn Gorman; UCLA Chancellor Gene Block; UC Irvine Chancellor Michael Drake; UC Santa Barbara Chancellor Henry Yang; UC Berkeley School of Law Dean Christopher Edley; former Academic Senate Chair Mary Croughan; former Academic Senate Chair Henry Powell; professors Cynthia Brown (UC Santa Barbara) and Anil Deolalikar (UC Riverside); former UC Regents staff adviser Edward Abeyta; Claudia Magana, president of the UC Student Association (a position formerly held by Victor Sanchez); Warren Hellman, an alumnus of UC Berkeley; California Chamber of Commerce President Allan Zaremberg; and Art Pulaski, executive secretary-treasurer of the California Labor Federation, AFL-CIO. Ex officio members from the UC Office of the President are Provost Larry Pitts, Executive Vice President Nathan Brostrom (a position formerly held by Katie Lapp), Executive Vice President Peter Taylor, Vice President Steven Beckwith and Vice Provost Daniel Greenstein.

WORKING GROUPS PROCESS

The UC Commission on the Future was supported by five working groups organized around the broad topic areas of the size and shape of UC, education and curriculum, access and affordability, funding strategies, and research strategies:

- **SIZE AND SHAPE OF UC**, chaired by UC Santa Cruz Chancellor George Blumenthal and UC Santa Barbara professor and commission member Cynthia Brown, explored the appropriate enrollment levels and program offerings for the University going forward, as well as ways to improve and streamline the transfer process for students.

- **EDUCATION AND CURRICULUM**, chaired by UC Berkeley School of Law Dean and commission member Christopher Edley and UC Davis professor Keith Williams, looked at whether there are alternative delivery models that will both maintain quality and lower costs, including strategies to increase the proportion of students who graduate in four years or less.

- **ACCESS AND AFFORDABILITY**, chaired by then-UC Student Regent Jesse Bernal and UC Irvine Chancellor Michael Drake, both commission members, reviewed how UC can best meet the goals of providing an accessible and affordable education to a diverse student population in a climate of diminishing resources.

- **FUNDING STRATEGIES**, chaired by UC Santa Barbara Executive Vice Chancellor Gene Lucas and UCLA Vice Chancellor Steven Olsen, studied how to maximize revenue from traditional and alternative sources, reduce costs through increased administrative efficiencies, and enhance UC's advocacy efforts.

- **RESEARCH STRATEGIES**, chaired by former Academic Senate Chair Mary Croughan and UC Santa Barbara Chancellor Henry Yang, both commission members, looked at how UC can utilize new models for research practices and collaboration, within and outside the system.

The working groups were composed of a wide spectrum of members drawn from the Regents, faculty, students, alumni, administration, staff and other experts not affiliated with UC. Nominations for individuals to serve on the working groups were solicited from representatives of a number of key constituencies, including then-Academic Senate Chair and commission member Henry Powell, then-President of the UC Student Association and commission member Victor Sanchez, then-Chair of the Council of UC Staff Assemblies Lin King, and the campus Chancellors. Each of the co-chairs of the five working groups had the unenviable task of selecting members from several hundred nominees. From the beginning of this process, an overarching goal was to insure that members of the working groups were selected to represent a broad diversity of campuses, disciplines, and perspectives. For these committees to work effectively and efficiently, they had to limit participation and were not able to appoint all qualified nominees.

Since last fall, the five working groups engaged in the critical work of gathering data, reviewing past studies, and consulting with subject matter experts to develop recommendations for the Commission's consideration. The working groups developed recommendations covering a wide range of issues and in March submitted a first round of recommendations to the Commission (http://ucfuture.universityofcalifornia.edu/presentations/cotf_wg_first_recs.pdf). A second and final round of working group recommendations was submitted to the Commission in June (http://ucfuture.universityofcalifornia.edu/presentations/cotf_second_recs.pdf).

The commission also received and considered recommendations from other sources, including the Academic Council, the Council of Vice Chancellors (COVCs) and members of the UC administration.

COMMUNITY INPUT

In developing recommendations for the Commission's consideration, the working groups sought input from across the entire UC community:

- **SUGGESTIONS WEBSITE** — In October 2009, a website where the UC community and public could submit ideas for shaping the discussion of the Commission was launched at http://ucfuture.universityofcalifornia.edu/feedback.html. More than 700 suggestions were received and forwarded to the appropriate working groups for consideration.

- **CAMPUS VISITS** — To ensure that the Commission's working groups were focusing on the right questions and hearing relevant feedback from the campus community, the Commission, working with Chancellors, scheduled a series of 10 meetings, one on each campus. Selected working group co-chairs and members were present at these meetings to answer questions and receive input on the scope of work for their groups from faculty, staff, students and others. Additional information about these campus visits, including archived video is available at http://ucfuture.universityofcalifornia.edu/campusmeetings.html.

- **PUBLIC FORUM** — As part of its deliberations, the Commission held a public forum at the UCSF Mission Bay campus on Dec. 8, 2009, to hear ideas and perspectives from an array of individuals. In addition to soliciting public input, the Commission heard presentations from Daniel L. Simmons, then-vice chair of the Academic Senate (now Chair); Lin King, then-chair of the Council of UC Staff Assemblies; and then-Student Regent-designate Jesse Cheng (now Student Regent).

Individual working group co-chairs and members also engaged in regular meetings with various representatives and organizations within the University, such as Academic Senate committees, to discuss the work of their groups.

RECOMMENDATION REVIEW PROCESS

The Commission provided the Academic Senate, Council of UC Staff Assemblies and UC Student Association with an opportunity to formally review and respond to the recommendations put forth by the five working groups in March and June. The views of these different groups were considered during the Commission's deliberations on the various recommendations, and the formal written responses submitted by the Academic Senate, which included comments solicited from its standing committees and 10 divisional senates, were distributed to commission members and posted on the Commission's website: http://www.universityofcalifornia.edu/senate/reports/HCP2Yudof_FirstRound_Senate_Comment61110.pdf and http://www.universityofcalifornia.edu/senate/reports/Councilresponse_Round2COTF.pdf.

In addition, implementation of the recommendations put forward to the Regents by the UC Commission on the Future will be subject to traditional review by the Academic Senate in the areas for which it has delegated authority. For recommendations in all other areas, the Academic Senate will have full opportunity for consultation and review.

COMMISSION MEETINGS AND DELIBERATIONS

The Commission met seven times to receive public comment and updates from the working groups, hear presentations from noted speakers, and discuss and recommend actions for the proposals put forward to the Commission.

- **SEPT. 8, 2009** — The Commission first met to discuss the charge and process for the group. The Commission also heard from guest speaker Jane V. Wellman, executive director, Delta Project on Postsecondary Education Costs, who described the critical fiscal issues facing UC and other universities across the country.

- **NOV. 12, 2009** — At the November meeting, the Commission received updates from the working groups and heard from an expert panel of speakers: Mark Baldassare, president and CEO, Public Policy Institute of California (PPIC); Robert B. Reich, professor, UC Berkeley, Goldman School of Public Policy, and former U.S. Secretary of Labor; Richard C. Atkinson, president emeritus, University of California; and David Pierpont Gardner, president emeritus, University of California.

- **DEC. 8, 2009** — As part of its deliberations, the Commission held a public forum at the UCSF Mission Bay campus to solicit public input on strategies for sustaining UC's contributions to California in the context of chronic funding shortfalls. The Commission also heard presentations from Daniel L. Simmons, vice chair of the Academic Senate; Lin King, chair of the Council of UC Staff Assemblies; and then-Student Regent-designate Jesse Cheng, who is also a commission member.

- **MARCH 23, 2010** — The Commission received presentations on the first round of recommendations from the five working groups in March. The public comment period during this meeting also included a presentation by University labor representatives.

- **JUNE 14, 2010** — At its meeting in June, the Commission focused its discussion on recommendations from the five working groups that address fiscal and enrollment challenges facing the University. At the meeting, the Commission also heard recommendations developed by the Academic Council.

- **AUG. 31, 2010** — The Commission's August meeting focused on select proposals from the five working groups. In addition, the Commission endorsed actions for the recommendations discussed in depth at both the June and August meetings.

- **OCT. 11, 2010** — A draft report of the Commission was reviewed during its meeting on Oct. 11, 2010.

The agenda and materials for each of these seven Commission meetings are available at http://ucfuture.universityofcalifornia.edu/presentations.

APPENDIX D. STATUS OF RECOMMENDATIONS RECEIVED BY THE UC COMMISSION ON THE FUTURE

Full descriptions of these recommendations can be found at http://ucfuture.universityofcalifornia.edu/

WORKING GROUP: SIZE AND SHAPE

WORKING GROUP	RECOMMENDATION	COMMISSION DISCUSSION DATE	ASSIGNED LEAD	ACTION/NEXT STEPS	ACADEMIC SENATE REVIEW
Size and Shape	Rec 1: Non-resident student enrollment	8/31/2010	Campuses, President	Campuses to establish non-resident enrollment targets. President to monitor systemwide proportion and report annually to Regents. (See also AA 1, FS 6)	Completed 6/11/2010
	Rec 2: Lower-division transfer pathways	6/14/2010	Academic Senate	Academic Senate to submit a plan and timeline to the President by Jan. 31, 2011.	Completed 6/11/2010
	Rec 3: ASSIST website improvements	6/14/2010	Academic Affairs	Provost Pitts and VP Sakaki to further develop the recommendation and cost estimate by March 2011.	Completed 6/11/2010
	Rec 4: Allied health practice doctorates			Not moving forward at this time.	Completed 6/11/2010
	Rec 5: Eliminate administrative redundancies and promote efficiencies	6/14/2010	President	Resolution to Regents in July 2010 directing President to implement common best-practice administrative systems. (See also FS 2, Expanded 9)	Completed 6/11/2010
	Rec 6: Strategic academic planning in systemwide context	8/31/2010, 10/11/10	Campuses; Academic Affairs	Time to Degree: Campuses and Divisional Senates to work to improve time to degree and report progress annually to Regents, with first report due September 2011. (See also SS 8, EC 1, Expanded 2). Academic Programs: Provost work with campuses to identify best practices in academic program reviews. Chancellors and Divisional Senates report to President on progress during annual budget meetings. (See also EC 4, Expanded 1)	Completed 8/13/2010
	Rec 7: Campus funding model	10/11/2010	Budget	Endorse systemwide funding streams project currently underway. (See also AA 7)	Completed 8/13/2010
	Rec 8: Enrollment	8/31/2010	Campuses; President	Time to Degree: Campuses and Divisional Senates to work to improve time to degree and report progress annually to Regents, with first report due September 2011. (See also SS 6, EC 1, Expanded 2). Master Plan Ratios: President to develop resolution by January 2011 for Regents' approval. (See also AA 1) Grad Enrollment: Campuses to develop plans to increase graduate enrollment and present these to the President by August 2011. (See also AA 3)	Completed 8/13/2010

WORKING GROUP: EDUCATION AND CURRICULUM

WORKING GROUP	RECOMMENDATION	COMMISSION DISCUSSION DATE	ASSIGNED LEAD	ACTION/NEXT STEPS	ACADEMIC SENATE REVIEW
Education and Curriculum	Rec 1: Manage educational resources more effectively / Time to degree	8/31/2010	Campuses	Campuses and Divisional Senates to work to improve time to degree and report progress annually to Regents, with first report due September 2011. (See also SS 6, SS 8, Expanded 2)	Completed 6/11/2010
	Rec 2: Online instruction	6/14/2010	Academic Affairs	Dean and Special Advisor Edley to present info item on online pilot program to Regents in July 2010. (See also Expanded 6 and 7)	Completed 6/11/2010
	Rec 3: Expand self-supporting and part-time programs	6/14/2010	Academic Affairs	Provost Pitts and Vice Provost Greenstein to work with Academic Council to further develop the self-supporting degrees expansion proposal. Progress on this effort to be reported to the President in September 2011. (See also Expanded 3)	Completed 6/11/2010
	Rec 4: Systemwide academic planning framework	10/11/2010	Campuses; Academic Affairs	Provost work with campuses to identify best practices in academic program reviews. Chancellors and Divisional Senates report to President on progress during annual budget meetings. (See also SS 6, Expanded 1)	Completed 6/11/2010
	Rec 5: Quality statement and framework			*Not moving forward at this time.*	Completed 8/13/2010
	Rec 6: Improve transfer by publishing lower-division pre-major requirements			*Not moving forward at this time.*	Completed 8/13/2010

WORKING GROUP: ACCESS AND AFFORDABILITY

WORKING GROUP	RECOMMENDATION	COMMISSION DISCUSSION DATE	ASSIGNED LEAD	ACTION/NEXT STEPS	ACADEMIC SENATE REVIEW
Access and Affordability	Rec 1: Reaffirm UC's commitment to access	8/31/2010	Campuses, President	Master Plan Ratios: President to develop resolution by January 2011 for Regents' approval. (see also SS 8) Non-resident: Campuses to establish non-resident enrollment targets. President to monitor systemwide proportion and report annually to Regents. (see also SS 1, FS 6)	Completed 6/11/2010
	Rec 2: Reaffirm UC's commitment to financial accessibility	8/31/2010	President	President to develop a resolution by March 2011 for Regents' approval.	Completed 6/11/2010
	Rec 3: Reaffirm UC's commitment to graduate education	8/31/2010	Campuses, President	Campuses to develop plans to increase graduate enrollment and present these to the President by August 2011. (See also SS 8)	Completed 6/11/2010
	Rec 4: Financial aid eligibility for undocumented students (DREAM Act)			*Not moving forward at this time.*	Completed 6/11/2010
	Rec 5: Multi-year fee schedule	6/14/2010		*Not moving forward at this time. (See also FS 5)*	Completed 6/11/2010
	Rec 6: Rename certain fees as "tuition"	6/14/2010	President	President to develop necessary policy revisions for Regents' approval in November 2010.	Completed 6/11/2010
	Rec 7: Systemwide financial aid funding allocation			*Not moving forward at this time.*	Completed 8/13/2010
	Rec 8: Financial support for middle-income families			*Not moving forward at this time.*	Completed 8/13/2010
	Rec 9: Campus flexibility in fund source for financial accessibility			*Not moving forward at this time.*	Completed 8/13/2010

WORKING GROUP: FUNDING STRATEGIES

WORKING GROUP	RECOMMENDATION	COMMISSION DISCUSSION DATE	ASSIGNED LEAD	ACTION/NEXT STEPS	ACADEMIC SENATE REVIEW
Funding Strategies	Rec 1: Advocacy campaign	6/14/2010	External Relations	President and SVP Dooley to present information to Regents in January 2011 on UC's advocacy efforts.	Completed 6/11/2010
	Rec 2: Systemwide efficiency initiative	6/14/2010	President	Resolution to Regents in July 2010 directing President to implement common best-practice administrative systems. (See also SS 5, Expanded 9)	Completed 6/11/2010
	Rec 3: Indirect Cost Recovery (non-federal funds)	6/14/2010	Office of Research	President and VP Beckwith to present information on ICR efforts to Regents in November 2010. (See also FS 4, RS 1.1)	Completed 6/11/2010
	Rec 4: Indirect Cost Recovery (federal funds)	6/14/2010	Office of Research	President and VP Beckwith to present information on ICR efforts to Regents in November 2010. (See also FS 3, RS 1.1)	Completed 6/11/2010
	Rec 5: Multi-year fee strategy	6/14/2010		*Not moving forward at this time. (See also AA 5)*	Completed 6/11/2010
	Rec 6: Non-resident student enrollment	8/31/2010	Campuses, President	Campuses to establish non-resident enrollment targets. President to monitor systemwide proportion and report annually to Regents. (See also SS 1, AA 1)	Completed 6/11/2010
	Rec 7: Federal "Pell PLUS" program	8/31/2010	President	President to develop a strategy to advocate for Pell PLUS program. A status report will be provided to the Regents annually on this and other advocacy efforts.	Completed 6/11/2010
	Rec 8: Alternate faculty compensation plans			*Not moving forward at this time. (See also Expanded 8)*	Completed 6/11/2010
	Rec 9: Differential tuition by campus	8/31/2010		*Not moving forward at this time.*	Completed 6/11/2010

WORKING GROUP: RESEARCH STRATEGIES

WORKING GROUP	RECOMMENDATION	COMMISSION DISCUSSION DATE	ASSIGNED LEAD	ACTION/NEXT STEPS	ACADEMIC SENATE REVIEW
Research Strategies	Rec 1.1: Indirect Cost Recovery	6/14/2010	Office of Research	President and VP Beckwith to present information on ICR efforts to Regents in November 2010. (See also FS 3, FS 4)	Completed 6/11/2010
	Rec 1.2: Ensure excellence across a broad spectrum of cutting-edge research			*Not moving forward at this time.*	Completed 6/11/2010
	Rec 1.3: "UC Grand Challenge Research Initiatives"			*Not moving forward at this time.*	Completed 6/11/2010
	Rec 1.4: Streamline risk management practices related to research enterprise			*Not moving forward at this time.*	Completed 6/11/2010
	Rec 1.5: Advocate at national level for investment in research	8/31/2010		A status report will be provided to the Regents annually on this and other advocacy efforts.	Completed 6/11/2010
	Rec 2.1: Internships and fellowships for students	8/31/2010	Chancellors	Chancellors to annually report to the President for the next five years during their annual budget meetings on the progress of developing these programs. (See also RS 2.6)	Completed 8/13/2010
	Rec 2.2: Adopt a systemwide research mission statement			*Not moving forward at this time.*	Completed 8/13/2010
	Rec 2.3: Create innovative practices to engage the public with research results	8/31/2010		*Not moving forward at this time.*	Completed 8/13/2010
	Rec 2.4: Maximize UC library system's capacity to support research mission			*Not moving forward at this time.*	Completed 8/13/2010
	Rec 2.5: Enhanced research paradigms/multicampus programs	8/31/2010	Office of Research	VP Beckwith to report on policy impediments and plans to improve multi-campus efforts to the President within six months.	Completed 8/13/2010
	Rec 2.6: Mentoring, career and professional development for graduate/professional students and postdocs	8/31/2010	Chancellors	Chancellors to annually report to the President for the next five years during their annual budget meetings on the progress of developing these programs. (See also RS 2.1)	Completed 8/13/2010

WORKING GROUP: ACADEMIC COUNCIL

WORKING GROUP	RECOMMENDATION	COMMISSION DISCUSSION DATE	ASSIGNED LEAD	ACTION/NEXT STEPS	ACADEMIC SENATE REVIEW
Academic Council	Rec 1: Maintain high quality undergraduate education	6/14/2010		Academic Senate is reviewing and refining the recommendation.	N/A
	Rec 2: Competitive remuneration for faculty and professional staff	6/14/2010		Academic Senate is reviewing and refining the recommendation.	N/A
	Rec 3: In the face of financial shortfalls: increase revenues, downsize, forgo new building and capital projects, and identify stable and appropriate funding for any new academic programs	6/14/2010		Academic Senate is reviewing and refining the recommendation.	N/A

WORKING GROUP: ADMINISTRATIVE/EXPANDED

WORKING GROUP	RECOMMENDATION	COMMISSION DISCUSSION DATE	ASSIGNED LEAD	ACTION/NEXT STEPS	ACADEMIC SENATE REVIEW
Administrative/ Expanded	Rec 1: Effectiveness of comprehensive academic program reviews	10/11/2010	Campuses; Academic Affairs	Provost work with campuses to identify best practices in academic program reviews. Chancellors and Divisional Senates report to President on progress during annual budget meetings. (See SS 6, EC 4)	Completed 8/13/2010
	Rec 2: Promote best practices for streamlining curriculum and ensuring course offerings are provided	8/31/2010	Campuses	Campuses and Divisional Senates to work to improve time to degree and report progress annually to Regents, with first report due September 2011. (See also SS 6, SS 8, EC 1)	Completed 8/13/2010
	Rec 3: Increase income from self-supporting and part-time programs	6/14/2010	Academic Affairs	Provost Pitts and Vice Provost Greenstein to work with Academic Council to further develop the self-supporting degrees expansion proposal. Progress on this effort to be reported to the President in September 2011. (See also EC 3)	Completed 8/13/2010
	Rec 4: Convert to a systemwide semester calendar			*Not moving forward at this time.*	Completed 8/13/2010
	Rec 5: Increase community college transfer to UC	6/14/2010		*Not moving forward at this time.*	Completed 8/13/2010
	Rec 6: Accelerate and broaden the pilot program on online instruction	6/14/2010	Academic Affairs	Dean and Special Adviser Edley to present info item on online pilot program to Regents in July 2010. (See also EC 2, Expanded 7)	Completed 8/13/2010
	Rec 7: Initiate planning for coordinated delivery of online instruction	6/14/2010	Academic Affairs	Dean and Special Adviser Edley to present info item on online pilot program to Regents in July 2010. (See also EC 2, Expanded 6)	Completed 8/13/2010
	Rec 8: Increase faculty salaries from non-state resources			*Not moving forward at this time. (See FS 8)*	Completed 8/13/2010
	Rec 9: Presidential initative to drive systemwide administrative efficiencies	6/14/2010	President	Resolution to Regents in July 2010 directing President to implement common best-practice administrative systems. (See also SS 5, FS 2)	Completed 8/13/2010
	Rec 10: Implement a UC Strategic Investment Program (UCSIP)			*Not moving forward at this time.*	Completed 8/13/2010
	Rec 11: Increase private support	8/31/2010	Business Operations	President, EVP Brostrom, CFO Taylor to report annually to the Regents on the progress of campus efforts to increase private support.	

University of California
Office of the President
1111 Franklin Street
Oakland, California 94607-5200
http://ucfuture.universityofcalifornia.edu