Gayle Binion Is the New Vice Chair of The Statewide Senate

With the start of a new term, the statewide Academic Senate has a new vice chair of its Academic Council and Assembly. She is Gayle Binion, a professor of political science at UC Santa Barbara. Elected last May by the Assembly, Binion began her term as vice chair on September 1. Her election means that next September she will succeed to the posts of chair of the Academic Council and Assembly — the most important offices in the systemwide Academic Senate.

Binion comes to the vice chair’s post directly from her position as chair of the University Committee on Planning and Budget. She brings to her leadership of the Senate an extensive record of Senate and university governance service, both at the systemwide and campus levels. In addition to her years on Planning and Budget, she has been on the systemwide Committee on Educational Policy and served on a variety of systemwide Senate/administrative bodies. Serving as a recent chair of UCSB’s Educational Policy and Academic Planning Committee, Binion also has been a member on a long list of divisional Senate committees. In 1999-2000 she served as Faculty Advisor to UCSB’s Executive Vice Chancellor and was involved in all aspects of campus administration and liaison with UCOP. From 1994 through 1996, Binion was the director of the UCSB Washington Center. Outside the University, she has chaired the committee on Ethics, Rights and Freedom of the American Political Science Association and currently is serving a third three-year term as an ethics (appeals) hearing officer for the American Psychological Association.

Binion joined the UCSB faculty in 1976, just prior to completing her Ph.D. in political science at UCLA. Upon her arrival at the campus, she became chair of its interdisciplinary Law & Society Program, a position she held until 1994. Binion’s research focus is on courts as political institutions. She has published on the role of the judiciary in the definition and protection of civil rights, and on the interplay between the judiciary and administration and liaison with UCOP.

With No Walls to Confine It, The California Digital Library Is Moving in Many Directions

In the mid-1990s at the University of California, a shrinking University budget combined with rapidly developing computer technology to foster an idea about libraries: Why not create a library made of silicon and electrons, rather than of bricks and mortar? Thus was born the California Digital Library, launched organizationally in October 1997 and opened for business on January 20, 1999.

By most accounts, the CDL has been a great success. For UC faculty, staff, and students, CDL currently makes available the full contents of some 5,500 electronic journals. Need an article from Science or Forbes or for that matter from Research in African Literatures? Gone are the days when getting the article meant a trek to the periodical room or to the stacks and then a trip to the copying machine. Through the CDL, the article is delivered right to your desktop, from which it can be read or printed out. Thanks to passwords and “proxy servers,” that desktop can be at your home as well as your UC office. Need a book that your campus does not have in its own stacks, but that another UC library does? Gone are the days when you’d have to trudge to the Interlibrary Loan office at your library, fill out a card and then wait for the results. Now you search for your book online, hit “Request,” fill out a form, and wait for an e-mail that tells you your book is ready to be picked up at your local campus library.

Dear Faculty Colleagues:

The terrible events of September 11 have had both institutional and personal effects. At least three members of the UC community died in these events; doubtless, there were also friends and relatives of UC faculty, staff, and students whose lives were lost. At its first meeting of the year, the Academic Council observed a moment of silence in memory of all the victims of the September 11 attacks — an observance that has been repeated across UC’s campuses and in the Office of the President.

As befits a great institution, UC responded admirably in the days following the attacks. Blood drives were organized on the campuses and faculty and students set up a website for those checking on the fate of loved ones. Most gratifying, perhaps, was the fact that our campuses reported not a single instance of ethnic bigotry connected to the September 11 events.

We have some difficult times ahead. At University meetings and in personal conversations, however, it’s possible to sense that UC is facing these challenges with the same steady resolve as exists in our nation as a whole. The Senate will proceed with its business, as will the larger University. It will not be business as usual, however, but business carried out with an underlying sense that we have more to do than we did previously. I look forward to working with you in this year of remembrance and challenge.

—Chand Viswanathan
Chair, Academic Council

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In Three Years, Three Early Retirement Programs
Looking Back on the VERIPs: Who Took Them, and What Effect Did They Have?

What follows is an adaptation of the chapter “The University of California Voluntary Early Retirement Incentive Programs” by Ellen Switkes, which is part of the book To Retire or Not? Retirement Policy and Practice in Higher Education by Robert Clark and P. Brett Hammond (University of Pennsylvania Press, 2001). Switkes is Assistant Vice President for Academic Advancement in UC’s Office of the President and was with UCOP during the years when retirement was being offered to UC faculty and staff through VERIP.

During the period 1990-1996, state appropriations to the University of California were reduced by more than 20 percent. In response, the University offered, in 1991, the first of what became a series of three Voluntary Early Retirement Incentive Programs (VERIPs). Ultimately, these programs would result in the retirement of more than 10,000 UC staff and nearly 2,000 tenured UC faculty members—the latter group constituting more than 20 percent of all regular UC faculty. The VERIP programs were designed to encourage retirement of staff and faculty in order to reduce UC’s payroll expenditures, thus helping the University to deal with its budget crisis. The financial calculation involved was straightforward: UC payroll costs—by far the University’s largest single expense—were funded through the University’s operating budget. Meanwhile, both the direct and administrative costs of the VERIPs were borne by UC’s retirement system. UC was reducing its payroll costs by offering incentives to retire that were paid for with retirement system funds. Deciding on what the VERIP retirement incentives should be was a difficult task, however. UC’s institutional planners had little experience with such programs and thus could not know how attractive the retirement incentives would be to eligible employees. Nor did they know, as the budget crisis developed, how long it would continue and how severe it would get. The challenge was to provide retirement incentives that were substantial enough to encourage a reduction in workforce and yet that were not so substantial as to decimate UC’s academic programs.

The first VERIP program (VERIP 1) was announced in October 1990. Faculty who wanted to take VERIP were required to make a binding decision regarding retirement by March 31, 1991 and to retire on July 1, 1991. VERIP 2 and 3 were announced in July, 1992 and June, 1993, respectively. Each of these VERIPs was anticipated to be the final program, but three were offered because of a state budget picture that kept weakening.

With each succeeding VERIP, program eligibility requirements were liberalized. To be eligible for VERIP 1, faculty needed to have their age plus years of service at the University total 80 or more. For VERIP 2, the figure was 78, and for VERIP 3 it was 73. (Program eligibility for staff employees was more generous.)

Incentives To Retire

Incentives for the VERIPs were based on two of the three factors used in setting pension benefits for UC employees: years of service credit and a numerical factor based on the age of an employee at retirement. Faculty who accepted the VERIP 1 or 2 offers received five years of service credit. This meant that a professor taking VERIP 1 who had 15 years of actual UC service would receive a pension based on 20 years of service, a change that would result in a 33-percent pension increase.

The incentives to retire were sweetened for VERIP 3, which provided both a service-credit incentive, and an age-factor incentive. Faculty could add up to five years of service credit plus three years of age. Thus, a professor who was 55 with 20 years of service credit could, under VERIP 3, retire with a pension based on 25 years of service and a credited age of 58—a decision that would result in a pension 50-percent higher than this faculty member would have received if he or she had retired at 55 without VERIP.

UC Berkeley offered a slightly less generous set of VERIP 3 incentives than UC’s other campuses because the Berkeley faculty had higher average age and service than the rest of the system. The UCB administration was concerned that a high acceptance rate at Berkeley could create a crisis by jeopardizing important academic programs. As a result, Berkeley faculty could add six years of service credit under VERIP 3, but only two years of age.

Who Took VERIP?

Six hundred seventy-five faculty took VERIP 1, 1,371 took VERIP 2, and 938 took VERIP 3. When measured against the number of faculty eligible for each program, the acceptance rate was 33 percent on the first VERIP 1 who had 15 years of actual UC service credit, 78 percent for VERIP 2, and 73 percent for VERIP 3. (Please See: VERIP, Page 4)

The CDL: A Partner With Faculty in Scholarly Publishing

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The CDL was envisioned as an institution that could help with this situation in two ways. First, through electronic means it would provide UC community members with far broader access to journals at no more cost than UC had been incurring previously. Second, it would become a publishing partner of scholars, helping to provide new forms of scholarly communication, often by working in alliance with other research institutions.

Go to the “eScholarship” pages at CDL (http://escholarship.cdlib.org/) and you can see the first-stage fruits of this commitment. One of the selections in eScholarship is a scientific publication, the Dermatology Online Journal, which exists only online, and is available only through the CDL servers. It is a refereed journal that comes out once or twice per year. Its publisher is Arthur Huntley, a UC Davis physician, and its managing editor is another Davis physician, Barbara Burrall. What CDL has provided is hyperset space for this publication, some technical assistance, and a commitment to keeping it available.

In another effort, CDL has mounted a “digital repository” for works in a scholarly field known as international and area studies. Here the idea is to make available presentations that have been given in this field at conferences, seminars, and lectures sponsored by the University of California. Scholars can register with the site and thereafter deposit scholarly works to it; these works can then be accessed online by anyone. The idea is to provide a kind of informational home for works of a particular type produced by a particular scholarly community.

John Ober, CDL’s director of education and strategic innovation, notes that all of CDL’s eSCholar initiatives are “scholar-led.” One or more faculty propose a scholarly publishing project to the CDL and the library considers whether it can help by “providing infrastructure.” (The Dermatology Online Journal is unusual in that it predated CDL, having been initiated in 1995.) The CDL gets lots more inquiries than it can accommodate. As such, it is assembling an advisory board, comprised primarily of faculty, to

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California Digital Library: Nothing Comparable in the Nation

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$600,000 grant for the work.

Its public access component notwithstanding, much of the CDL collection is available only to UC faculty, staff, and students. This is notably the case with online journals. To get licensing agreements for these journals at a reasonable cost, the CDL must limit access to most of them, and this means giving access only to UC community members.

Born in a Budget Crisis

The CDL was the product of a particular moment in time: UC’s terrible budget years of the mid-1990s. With no end in sight to the budget cuts, and with library print collections being decimated because of the imbalance between the costs of them and the funding for them, President Atkinson announced a Library Planning and Action Initiative in 1996 and the formation of a task force to oversee it. Chaired by Charles Kennel, then executive vice chancellor at UCLA, the task force was charged with charting a course for UC’s libraries in both the near- and long-term. One of the group’s recommendations was the establishment of the CDL. The library was conceived of by Richard Lucier, then the university librarian at UC San Francisco, with his basic concept being refined by the task force and the groups it received input from.

All parties are agreed, however, that a crucial element in making the CDL a reality was support wherever it counted — from President Atkinson, who enthusiastically endorsed the proposal. Even so, there was significant resistance to the idea initially, notably from UC Berkeley, whose faculty were worried that funding for the CDL stood to decimate campus print collections even further. A little over a year after the Library Planning and Action Initiative was announced, however, the CDL was launched, with Lucier as its first university librarian. He remained with the project until last February, when he left to become the librarian of Dartmouth College. Vermeij also says she and her fellow university librarians have seen no evidence that funding for the CDL — about $14 million this year — has resulted in a decrease in funding for campus print collections. CDL has estimated that, in its first two years, it made content available to the campuses that would have cost UC more than $4 million in additional funds, had the campuses purchased the material separately. It’s not clear how meaningful this figure is, however, since it’s uncertain how much of this material the campuses would have purchased on their own had CDL not been providing it.

Criticism of Some Functions

Though it’s difficult to find anyone who is critical of the CDL as an enterprise, there are some criticisms of a few of its functions. Geerat Vermeij, chair of the Academic Senate’s University Committee on Library, notes that through its eScholarship initiative, CDL has joined the movement — pioneered by the physics online archive now at Cornell University — that supports “pre-print” archives, meaning the posting of scholarly papers that have not yet been peer-reviewed. “Our credibility is enforced through peer review,” Vermeij says. “The question is, can we trust what we see?” Vermeij also says she and her fellow university librarians have seen no evidence that funding for the CDL — about $14 million this year — has resulted in a decrease in funding for campus print collections. CDL has estimated that, in its first two years, it made content available to the campuses that would have cost UC more than $4 million in additional funds, had the campuses purchased the material separately. It’s not clear how meaningful this figure is, however, since it’s uncertain how much of this material the campuses would have purchased on their own had CDL not been providing it.

A Library for both the Public and UC

Many of the CDL holdings — the Online Archive of California and UC’s Melvyl catalogue, for example — are available to the public. This is so because, from its inception, the CDL was envisioned as a resource for all Californians. (Thus, the CDL is the California Digital Library, not the “University of California Digital Library.”) Of the million-plus searches performed on Melvyl each month, some 40 percent are from patrons not affiliated with UC. This public access component gives the CDL an affiliative capability that does not exist for most academic libraries. The Online Archive of California is being mounted with $1.5 million in funding supplied from three federal sources, one of them the Library of Congress, which has provided a

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VERIP: Takers Varied with Age, Rank, and Discipline

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gram, these figures meant that 33 percent of all eligible faculty took VERIP 1, 18 percent took VERIP 2, and 34 percent took VERIP 3. These numbers underestimate the attractiveness of the program, however, as many faculty were eligible for more than one of the VERIPs, but each faculty member could only accept one VERIP offer. When these duplications are eliminated, the numbers reveal that 40 percent of all faculty eligible for VERIP took one of the VERIP offers and retired — 1,984 faculty out of 5,004 who were eligible. When the first VERIP election took place in April 1991, the University had 9,802 regular faculty; by July 1994, more than 20 percent of these faculty were gone as a result of VERIP.

The average age of faculty who retired under VERIP 1 was 66 — about the normal retirement age for UC faculty — but the average age of VERIP 3 retirees was 62, in line with the age-factor incentive offered under this program. Age also figured in VERIP decisions in a more general way. The average age of those who retired under any of the VERIPs was 63.5, but the average age of those who chose not to retire under the programs was 60. Eligible faculty who were 70 or older had the highest “take-rate” of any age cohort: of 145 eligible faculty in this group, 110 took VERIP. This left 24 percent of the faculty in this age-group, however, who did not retire under the program, even though their decision would mean working as much as eight more years to earn a pension as great as that being offered to them under VERIP 3. In general, campuses with older faculties had higher take-rates. Berkeley’s take-rate was the highest of any campus at 27 percent, while San Francisco’s rate was lowest in the system at 13 percent.

Variations by Discipline

Early retirement incentive programs were available to all faculty who met the eligibility criteria. Newer programs such as molecular biology or ethnic studies tended to have younger faculty than stable, long-established programs such as engineering and physics. Reports after VERIP 1 were that engineering and physics programs were seriously impacted. However, after all three VERIP programs were completed, there were only small variations in take-rate by discipline across all UC’s campuses. However, this systemwide uniformity masks some significant disciplinary variations on individual campuses. It’s interesting to note that disciplines in which faculty might be expected to have other employment opportunities — computer science, biological sciences, health science — had lower take-rates than other disciplines, while humanities had the highest take rate of all.

Academic Rank and VERIP

It is difficult to characterize the academic strengths of those who took the retirement incentives. The figure below shows the correlation of take rate with salary step. UC faculty who make normal progress are advanced to a higher step at a higher salary every three years, making salary step a rough indicator of academic progress. Professor Step 5 is a “barrier” step — only faculty with a high level of scholarly output are likely to advance beyond it. Two things are apparent in the numbers that underlie the figure. First, faculty with higher salaries tended to be older and in general did have a higher take-rate. Second, faculty at step 5 had a higher take-rate than those at steps 6 and 7, even though those at the higher steps might be substantially older. In line with this, a study of all UCLA faculty who were eligible for VERIP 3 examined publication output and found that the faculty with the most recent publications tended to retire at a slightly lower rate than faculty with fewer recent publications.

Immediately after the VERIP programs ended, an informal count identified very few faculty who retired under VERIP and who then went on to take regular full time employment at other universities. One conclusion that can be drawn from this is that the most outstanding faculty — who would be likely to be those other employment possibilities — tended not to retire as readily as other faculty, but these correlations were modest.

After Retirement

Prior to 1991, campuses recalled small numbers of emeritus faculty to active service, mainly to teach specific courses. With VERIP, the number of recall appointments increased and it continues to remain high to meet the needs of instructional programs. The UCLA study showed that most faculty who retired under VERIP remained active on campus, at least for the period that immediately followed their retirement. Eighty percent were recalled to active service. A few of these faculty were on contract and grant funds, but most were recalled to teach one or more courses. Emeritus faculty remained engaged in research, and this prompted the UC to create a special title for faculty who had retired but wanted to apply for research grants and continue to have active research programs. Immediately following retirement, some faculty took other full or part time work such as consulting, while only a small number retired completely from professional life.

In a follow-up study of VERIP retirees in 1998, Professors Seongsu Kim of Seoul National University and Daniel Feldman of the University of South Carolina surveyed VERIP retirees and found that almost 70 percent of respondents were still working either full or part time, including 40 percent who continued to work on a part-time basis for UC. The VERIP retirees reported a very high degree of satisfaction with their decision to retire and with their current activities.

Academic Programs

Campuses were concerned that the departure of some of the most prestigious
VERIP in Hindsight

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faculty would have an adverse effect on the stature of their departments. However, the effect of VERIP generally was a positive one. Stellar faculty remained active in their departments following retirement, and the wholesale retirement of so many faculty in a short time provided a unique opportunity to examine long-range academic planning and organization. Several campuses made difficult organizational changes in the wake of the VERIP programs. The hiring of new faculty has over time been an overall benefit. In fact, many older faculty cited the need for their departments to hire new faculty as one of the factors that figured in their decision to retire under VERIP.

Was VERIP a Success?

From many points of view, UC’s VERIP programs were clearly successful. They reduced the University’s payroll through voluntary retirement rather than through layoff or termination, which eliminated potential litigation and enormous disruption. Generally, those who retired under these programs felt that they made the right decision. No one was forced to retire. The incentives were generous. The payroll reduction was sufficient to deal with severe cuts in state funding from 1991 to 1996. The University’s retirement system was able to finance all aspects of the incentive programs and sufficient resources remained in the pension fund to guarantee future defined benefits for UC’s remaining employees.

The University of California’s academic program weathered the temporary reduction in faculty and support staff in a variety of ways. A major factor was the willingness of many retired faculty to remain part of the University community, to teach courses on a recall basis at low salaries or as volunteers, and to maintain laboratories and research projects as emeriti while continuing to attract research grants. Remaining faculty coped with additional teaching and service responsibilities and with reduced staff support. In addition, the mass retirement of so many faculty in a short time provided a unique opportunity for campuses to consider major organizational changes in academic programs. Positions vacated are now being refilled with new faculty with fresh perspectives and in emerging areas. The quality of the University of California’s academic programs today seems to be as high or higher than it was at the beginning of the 1990s.

Notes from the Chair: Preserving The Master Plan

Since its adoption in 1960, California’s Master Plan for Higher Education has served as an anchoring force for public higher education in our state. There is a commonsense notion that lies at the core of the Master Plan, which is that California can afford to provide access to all students who desire a higher education only by avoiding costly duplications of function. Thus UC, the California State University, and the California Community Colleges have each been given distinctive missions. Recognizing that doctoral and professional degree programs are expensive to mount, the Master Plan wisely sought to ensure quality in them by limiting the number the state will support: only UC is allowed to independently award doctoral and professional degrees. Cal State can award doctoral degrees in joint programs with UC or with private California universities.

This differentiation of function is now being challenged by Cal State Chancellor Charles Reed, who is mounting a vigorous effort to persuade state lawmakers to pass legislation that would enable CSU to independently award a doctorate in education, the Ed.D. Last winter, President Atkinson made a decision to publicly oppose this initiative, while at the same time taking action to expedite the development of joint doctoral degree programs in education. In arguing against the Cal State proposal, the President has been working on behalf of UC, its faculty, and state higher education as a whole.

What is the harm in CSU independently awarding a doctoral degree? Writing to the legislative committee that is revising the Master Plan, UC President Emeritus Clark Kerr noted that Chancellor Reed has said he wants CSU to award this single doctoral degree, rather than doctoral degrees generally. But as Kerr says:

... once doctoral degree-granting authority is given to CSU in one discipline, the principle of differentiation of missions among California’s three public segments of higher education would be breached. Pressure will inevitably mount to extend this authority to other fields as well. Approval of an independent CSU doctorate would be a major example of “mission creep” — a well-known phenomenon in American higher education in which one segment of higher education redefines its mission to include responsibilities already being performed by another. Once set in motion, mission creep is nearly impossible to reverse. It has cost taxpayers in most states millions of dollars because it has generated unproductive competition, overbuilding, and duplication of effort in public higher education systems around the country.

To mount quality doctoral programs, CSU presumably would have to duplicate factors already in place at UC — a quality-control mechanism for doctoral education, per-student funding that takes into account expensive doctoral programs, and access to doctoral-level instruction in numerous disciplines. If Clark Kerr is right about mission creep, it is not hard to imagine a scenario, years hence, in which the distinction between UC and CSU has become blurred, the result being an annual competition in Sacramento for dollars to mount the same kinds of programs. The losers in this battle would be UC, the state’s taxpayers, and the quality of higher education in California.

President Atkinson has acknowledged that UC needs to do more to meet state educational leadership needs in K-12 and the Community Colleges. Indeed, he has announced an ambitious initiative that includes increasing the number of joint educational doctoral programs UC mounts with Cal State and increasing enrollments in the programs that already exist. He plans on doubling educational doctorates at UC over the next 10 years (both the Ed.D. and the Ph.D.), and he intends to establish a UC Institute for Educational Leadership. Future issues of Notice will carry details on the President’s initiative. In the meantime, the President deserves the thanks of the UC faculty for undertaking the difficult task of trying to preserve an institutional separation of missions that has benefited California enormously.

—Chand Viswanathan
Chair, Academic Council
CDL: No Uniform Set of Offerings across UC

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full-time-equivalent staff in Oakland and another half-dozen or so staff on various percent-time appointments on the campuses. It regards itself as a partner institution to all of UC’s libraries, thus adhering to the UC tradition of “one University, one library.” Its top-level advisory board is a group called the Systemwide Library and Scholarly Information Advisory Committee (SLASIAC), composed of faculty, librarians and administrators from throughout UC, a number of them computer professionals.

The nature of the CDL-licensed journal collection is rather like politics in that it’s an exercise in the art of what is possible. A given set of journals is available from a vendor. How many UC campuses are interested in sharing in both access to it and the costs of it? After finding out, CDL staff will then engage in the work of hammering out an agreement. Such a system means there is not a uniform set of CDL digital offerings available across UC’s campuses; rather, six campuses may have access to this set of journals, while seven have access to another.

Some well-known journals are not, at present, available anywhere in the system through CDL agreements, because the terms demanded by the journals’ vendors are unacceptable to the library. The prestigious journal Nature has conspicuously been missing from the CDL’s list of offerings, for example, though Ober says that an agreement may be reached in the future with the magazine’s publishers. Problems in securing a license are not always a simple matter of the cost of a subscription. On principle, CDL avoids signing an agreement unless all the journal issues it gets in a given period of time are perpetually accessible to its patrons, regardless of whether CDL renews its subscription agreement with the vendor.

CDL’s web address is: http://www.cdlib.org

Senate’s New Vice Chair Is a UCSB Political Scientist

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other institutions of social control. She currently is analyzing the principle of restraint in judicial decision-making and is working on a book entitled Toward a Feminist Re grounding of Constitutional Law, an exploration of the impact of feminist theory on the interpretation of the American Constitution.

Because she believes that a chair of any professional group serves “to reflect and represent the interests, concerns and perspectives of the body,” Binion does not have a fixed agenda that she expects to advance in her Senate post. She adds, however, that she has acquired a perspective, derived from her many years of Senate experience, of several “balances” that need to be maintained or achieved — the delicate balance not only between campus autonomy and systemwide influence, but the critical balance of resource allocation to ensure that all of UC’s academic endeavors receive sufficient support. In the current budgetary climate in California, she feels an especially acute concern about securing the funds necessary to maintain excellence at UC amidst its growth.

Looking forward to her time as an officer of the systemwide Senate, Binion says she is interested in engaging the challenging issues confronting the University, from planning and budget to admissions, graduate education, research, faculty recruitment and retention, and shared governance. Binion views the Academic Council as a “model of discourse, mutual respect and effective decision-making” in the manner in which it meets its responsibility to provide input to the Office of the President and to The Regents.