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November 11, 1994

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Karl Pister
Chancellor
University of California, Santa Cruz
1156 High Street
Santa Cruz, CA 95064

Dear *Karl* Chancellor Pister:

At its November 3, 1994 meeting, the Commission considered the report of the most recent visiting team to the University and the self study prepared by the University in anticipation of that visit. Your participation, along with Michael Tanner and Mark Traugott, in the Commission's discussion was most helpful. For the record, let me note that you were not present for the Commission discussion or vote on the action with respect to your campus.

The Commission compliments both the campus and the visiting team for the exemplary manner in which both carried out their roles in the accreditation process. In consultation with Commission staff, the campus chose, in its self study, to provide both evidence of its adherence to all Commission Standards and in-depth analysis of issues affecting undergraduate education, graduate education, diversity and research and creative activity. With respect to each area of special focus, the campus produced comprehensive and thoughtful statements that were of great value to the visiting team, the Commission, and, we hope, the University.

The Santa Cruz campus plays a special and valued role both within American higher education and the University of California system. As the visiting team reported:

The distinctive qualities of UC Santa Cruz are . . . a singular attention to undergraduate education at a campus already renowned for certain of its doctoral offerings and its research achievements; a College system which (despite growth and budget-induced attenuation) still offers a unique chance for faculty and students to interact and collaborate; a special emphasis on teaching at all levels; and an extraordinarily attractive setting within which to study, teach and learn.

Over the three decades of campus history, a variety of pressures have been brought to bear against Santa Cruz's distinctive character. Most recently and notably, has been a series of budget reductions which have cut Santa Cruz with particular trauma, as compared with other University of California campuses, because of the campus's dependence on public funding. But it is also true that the distinctive academic values at Santa Cruz have long existed in tension with the tendencies of the research university system of which you are a member and the natural changes that occur as new people come to the campus and replace those who were an active part of establishing and nurturing the original mission of Santa Cruz. It is both remarkable and encouraging that the team found high morale on campus, a continuing commitment to the educational principles of Santa Cruz, and sound administrative direction of the institution in especially turbulent times.

The team notes that several central features of the Santa Cruz experience such as the college system and narrative evaluations of student performance have been repeatedly subjected to reappraisal over the years. It is not surprising that when resources become tighter, these innovative aspects of the Santa Cruz experience should come under repeated scrutiny. The team notes that both the college system and the narrative evaluation system as they exist today might be different from the vision of the campus founders. Nonetheless, each plays an important role, in the diverse ways identified both in the self study and team report, and each still has the vigorous support of many constituencies on campus.

The team offers 37 recommendations in its concluding section. The Commission will not comment on them individually but hopes that each will receive thorough consideration. The Commission does wish to comment on two themes highlighted by the team.

The first is the centrality of the concept of community both to the theory and practice of the Santa Cruz campus. More than at many other institutions of higher education, members of the Santa Cruz campus bring passion, diverse perspectives, and a thirst for participation in democratic forms of decision-making. Budget reductions substantially complicate the building of a sense of community since workloads increase, the variety of special services and programs is constrained, time for building human relationships is compressed, and uncertainty about the future grows. The Commission believes the team's report performs a service by reminding the campus of the critical importance of the ways in which new arrivals need to be inducted and incorporated into the campus.

The second theme is that of a possible disjuncture between relatively centralized budget authority, from the level of the deans and up, and strong forms of extremely decentralized authority about the character of academic and co-curricular programs. While recognizing the scarcity of resources, the team recommends for consideration that the authority over resources might become more decentralized. There is much to recommend such consideration. At the same time, it may be true that maintaining a comparatively centralized control of resources is the sole tool left to the administration to temper the natural centrifugal forces of a campus.

The Commission acted to:

1. Reaffirm the accreditation of the University and schedule the next comprehensive visit for the spring of 2002. The draft of the self study will be due October 15, 2001. In light of the Commission's decision to cluster other visits to campuses of the University of California in 1998 and 1999, the timing for the next visit to Santa Cruz may need further discussion.
2. Request four copies of a fourth-year report on the major recommendations of the visiting team by November 1, 1998. The format for that report is attached.

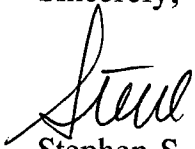
I hope it will be possible to carry through on our plan to have a retrospective discussion with you, Robert O'Neil, and Senior Vice President Walter Massey about the lessons we have learned from the most recent accreditation process at Santa Cruz that would be useful for our future work at other University of California campuses. My office will be in contact with you to arrange that meeting.

Chancellor Pister
November 11, 1994
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In accordance with Commission policy, we request that you send a copy of this letter to President Jack Peltason.

Please call me if you have comments or questions.

Sincerely,

A handwritten signature in cursive script, appearing to read "Steve", written in black ink.

Stephen S. Weiner
Executive Director

SSW:dma

Enclosure

cc: Donald R. Gerth
Mark Traugott
Members of the Team

FORMAT FOR FOURTH YEAR REPORTS

WASC 9/90

As the Commission has moved to establish an eight year cycle of comprehensive visits, it has also eliminated Fifth Year Visits and instituted instead a fourth year report requirement. The Commission will review Fourth Year Reports carefully in order to determine if there is need to accelerate the next visit or proceed with the previously scheduled comprehensive visit. Thus, the Commission takes quite seriously its responsibility to review Fourth Year Reports. As a consequence, it expects Fourth Year Reports to be substantive and analytical. In the past, there had been some confusion on the part of the institutions as how to prepare Fifth Year Reports and some dissatisfaction about the quality of information. This memo is designed to identify the kinds of information we expect to be included in a Fourth Year Report. This memorandum, therefore, will supersede the model identified in the *Handbook* for Fifth Year Reports and Visits.

The contents of the Fourth Year Report should be as follows:

1. *Cover Sheet.* The cover sheet should include the date of submission, the name and address of the institution, and a notation that this is a Fourth Year Report.
2. *Table of Contents.*
3. *Statement on Report Preparation.* The institution should describe in narrative form the process of report preparation and name those who were involved in it. As a Fourth Year Report, the widespread and comprehensive involvement of various institutional constituencies is not required. Faculty, administrative staff and others should be involved as appropriate to the topic being addressed in the preparation of the institutional response. Appropriate constituencies, especially faculty leadership, should review the complete report before it is submitted to WASC.
4. *Description, Background, and History.* The purpose of this section is to give a concise and factual description of the institution which includes the founding date, year first accredited, geographic location, etc.
5. *Institutional Summary Data Form (Page 192).*
6. *Response to Request of Commission for Information and Analysis.* This section of the report should go beyond what is described in the *Handbook*. Each subject identified in the Commission's action letter as a focus for the Fourth Year Report should be identified and a full description *and analysis* provided. In addition, the report should include what steps the institution has taken to respond to the major recommendations of the previous evaluation team and analyze their impact. (The institution may, but is not required, to respond to other recommendations found throughout the body of the report.) This section of the report should include not only a description of the responses undertaken by the institution, *but of equal importance*, an

assessment of the impact of these changes. Have they been successful in resolving the problem? What further problems or issues remain? How will they be addressed, by whom, and under what time table?

7. *Identification of Other Changes or Issues Currently Confronting the Institution.* This brief section should identify any other significant changes that have occurred at the institution (e.g., changes in key personnel, major new programs, modifications in the governance structure, or significant financial results) that are not otherwise described or identified in the preceding section. This will help the Commission gain a clearer sense of the current status of the institution and understand the context in which the responses of the institution discussed under #6 above have taken place.

8. *Institutional Responses to Diversity and Assessment Issues.* Two of the more significant changes under the new *Handbook of Accreditation* are the Commission's emphasis on Diversity and Effectiveness issues. In this spirit, the institution should report briefly its major activities to promote student, faculty, and staff diversity (Standards 1.B, 5.B, and 5.D) and to address in the curriculum an appreciation of cultural diversity (Standard 4.B). With respect to institutional effectiveness (Standard 2.C), the report should include a description of current and planned approaches to utilize assessment techniques to assure program and institutional effectiveness. These sections should give a broad description of how the institution is approaching these issues, its successes thus far, and plans for the future.

9. *Major Issues for the future.* In this section, the institution should identify those three or four major issues the institution is currently confronting that are of primary importance to the quality and development of the institution, especially those issues the institution intends to address. A description of these issues and how the institution is responding to them will enable the evaluation team to give some feedback and counsel to the institution about these issues.

10. *Required Documents.*

- current catalog(s) and other appropriate documents;
- vital statistics on enrollment for each year since the last on-site evaluation visit, and other basic data the institution believes to be significant. Total enrollments should be reported separately for the undergraduate and graduate level, and include racial and ethnic breakdowns for undergraduate and graduate students during the same time period;
- current Annual Report to the Commission;
- budget for current year, and reports on historical operating data (Table 1, attached) and summary operating data (Table 2, attached);
- most recent financial statement and audit by an independent professional agency or, if a public institution, by the appropriate state agency; management letters, if any; and

- organization charts or tables, both administrative and academic, highlighting any changes since the last visit.

In addition, attachments should be provided that are relevant to the issues and concerns of the Commission or the previous evaluation team that help inform the team of the character of the institution's response.

It is not our intention to make this Fourth Year Report comparable in size, depth of analysis, or comprehensiveness to a self study. Rather, within the framework of a fourth year format, the report should help the Commission to understand the current status of the institution and major issues confronting it.

Please let us know if you have any questions about this report format.

TABLE 1

Recap of Assets and Liabilities
 Current and Preceding Two Years
 (Current Unrestricted Fund Only)

	<u>Current Year</u> 19__/19__	19__/19__	19__/19__
Assets:			
Cash and Cash Equivalents	\$ _____	\$ _____	\$ _____
Marketable Securities	_____	_____	_____
Accounts Receivable	_____	_____	_____
Inventories	_____	_____	_____
Land and Fixed Assets	_____	_____	_____
Other Assets	_____	_____	_____
Total Assets	\$ _____	\$ _____	\$ _____
	=====	=====	=====
Liabilities:			
Accounts Payable	\$ _____	\$ _____	\$ _____
Accrued Liabilities	_____	_____	_____
Due to Other Funds	_____	_____	_____
Short-Term Notes	_____	_____	_____
Long-Term Debt	_____	_____	_____
Deferred Income	_____	_____	_____
Other Liabilities	_____	_____	_____
Total Liabilities	_____	_____	_____
Fund Balance:			
Allocated	_____	_____	_____
Unallocated	_____	_____	_____
Total Liabilities and Fund			
Balance	\$ _____	\$ _____	\$ _____
	=====	=====	=====

*Any unusual items or marked changes should be explained.

Table 2
Summary Operating Statement Report
 Current and Preceding Two Years

	<u>Current Year</u> 19_/19_	19_/19_	19_/19_
<u>Education and General:</u>			
Education and General Revenues	\$ _____	\$ _____	\$ _____
Expenditures	_____	_____	_____
Transfers	_____	_____	_____
Mandatory	_____	_____	_____
Non-Mandatory	_____	_____	_____
<u>Net Excess (Deficit)</u>	_____	_____	_____
<u>Auxiliary Enterprises:</u>			
Revenues	_____	_____	_____
Expenditures	_____	_____	_____
Transfers	_____	_____	_____
Mandatory	_____	_____	_____
Non-Mandatory	_____	_____	_____
<u>Net Excess (Deficit)</u>	_____	_____	_____
<u>Net Operational Excess (Deficit)</u>	\$ _____ =====	\$ _____ =====	\$ _____ =====