

December 22, 2000

CHANCELLOR GREENWOOD
DEANS
VICE CHANCELLORS
UNIVERSITY LIBRARIAN

Dear Colleagues:

Re: Long-Range Planning and New Budget Allocation Process

Several recent developments have combined to create an environment in which the campus can now confidently plan its future. The New Partnership Agreement between the state and the University of California provides predictability regarding the resources campuses are likely to receive from the state. Accompanying this are accountability expectations and a renewed interest in seeing the outcomes of the state's investment in higher education. All campuses, including UCSC, have also received new enrollment targets from the Office of the President. These targets, coupled with a predictable enrollment-driven funding stream, enable us to estimate the annual resources UCSC is likely to receive for our core academic operations.

While this predictability will allow us to plan with confidence, the resources will not be sufficient to do everything that we would like to do. Thus, it is incumbent upon the campus to set goals and to make choices about where and when to invest its resources over the next several years. These goals include managing the enrollment growth necessary to accommodate 5,200 new student FTE between now and 2010, strengthening UCSC's position as a major research university, doubling our graduate enrollments, and increasing our contract and grant support two-fold, all while enhancing overall academic quality at both the undergraduate and graduate levels, promoting innovation, and enhancing access for the diverse population that comprises today's California.

As we enter the next era of campus development, I would like to preserve the collaboration and innovative thinking that was prompted by the budget process of the past two years. I would also like to extend to the divisional level both the resource predictability and accountability expectations we now have at the campus level. To do this, I am committed to the development of a long-range resource allocation plan and a new budget process that will support the implementation of this plan. This process will help the entire campus both to understand the workload needs of each division as well as to identify and understand the directions that units may wish to pursue in the next 5-10 years.

I am writing to initiate the formal call for the long-range plans for your unit. These should build upon, but not be limited to, existing departmental and divisional plans and the new ideas that emerged and were developed through the planning and budgeting process of the past two years. I anticipate that your plans will advertently foster the academic excellence that will be afforded by our growth and the accompanying resources, and will capitalize on unique strengths of the present UC Santa Cruz,

including its location, and the possibilities these allow. At the same time, our planning should not lose the context provided by UC Santa Cruz's unique history and attributes. Your planning should be consistent with the principles described in the Report of the Millennium Committee.

Your plans should outline the programs and strategic direction envisioned for your division by 2005-06 and by 2010-11, looking at a variety of strategies that include traditional fall/winter/spring programs, as well as state-funded programs during the summer, and programs at off-campus sites (e.g., Silicon Valley Center, EAP, MBEST, etc.). They should indicate how existing divisional resources and the new resources proposed for your division will be distributed in support of your plan, as well as the accountability measures you propose using to measure the progress and success of your division's activities.

Divisional plans will be reviewed widely and refined over the next 18 months through an iterative process to yield a comprehensive institutional plan and resource allocation strategy to guide the growth of UCSC to a potential 16,900 students by 2010. The review process will involve appropriate administrative and Academic Senate committees in a manner that reflects the campus's commitment to shared governance and will ensure that plans are judged on their contribution to achieving campus goals in ways consistent with principles articulated in the Millennium Report. The resulting campus plan will provide each division with resource allocation ranges to support new and expanded academic programs and will address the administrative, infrastructure, and academic support requirements required to achieve our academic goals.

To aid you in developing your long-range plans, I have attached a list of planning assumptions and goals, and the proposed process and timetable we will follow. Your submissions to me will consist of a preliminary statement of your plans, to be submitted as an **Executive Summary and Highlights of Divisional Plan** statement, which will be due **March 15, 2001**. Feedback from reviews this spring will then guide you and your colleagues in formulating a final **Comprehensive Divisional Plan**, due **December 3, 2001**. These comprehensive plans will then be reviewed in detail, and a final campus plan will be forthcoming toward the end of the next academic year.

Each major academic as well as vice chancellorial division will be given a target range for planning purposes. Attachment 3 gives ranges in dollars for your planning purposes. The ranges are dimensioned in funding levels, and each division is asked to work within this range to plan for all aspects of its future development. These ranges determine the largest as well as the smallest amount of new enrollment driven resources your unit can expect to receive over the time periods ending in 2005-06 and in 2010-2011. The final allocation amount will be determined by campus review of the quality of the unit's plan, after the iterative review process outlined in Attachment 1. The unit plans will be judged against the principles and criteria described in Attachment 2. Please note that the plans should be all-encompassing for your unit, including, as appropriate, faculty and staff positions, graduate enrollment growth and support, undergraduate expansion, operations support, infrastructure support, and programmatic innovation and excellence—including interdisciplinary efforts. Continuing allocations in future budget periods will depend upon successful contributions to and achievement of unit as well as campus goals.

I expect you to consult widely with your faculty, department chairs, divisional managers, and staff as you develop and refine your plans. In the case of academic plans, faculty must play the key role in developing the plans for their departments that serve as input into division plans. Faculty who wish to develop proposals for multi-divisional activities or activities that fall outside the plans of any single academic division should, in conjunction with the cognizant divisional deans, consult with the Vice Provost for Academic Affairs (VPAA). The VPAA chairs the Academic Planning Committee, which is charged with coordinating the review of academic plans.

While academic plans are the driving force that will determine the shape of the institution, academic support activities are critical to fulfilling our academic mission. Planning for academic support activities will reflect our need to accommodate campus enrollment growth, but each Vice Chancellor must also evaluate how the academic plans will shape the activities their unit must provide. To facilitate this process, discussion of academic plans will commence in March 2001, with these initial discussions serving to guide the detailed planning of academic support activities.

The long-range planning process will not be completed until 2001-02. In recognition of the timing of this process, I will be sparing in approving allocations of new campus resources, except for those needed to meet existing commitments or to address critical workload issues. I will issue a separate call for 2001-02 requests during the winter quarter. The allocations that are made before the completion of the planning process will be viewed as representing forward funding against future permanent allocations, and they must be consistent with the divisional plans as they evolve this year.

I look forward to the development of a comprehensive long-range resource plan for UCSC that will provide a meaningful linkage between our shared campus goals, divisional and program plans, and our budget process.

Sincerely,

John B. Simpson
Campus Provost and
Executive Vice Chancellor

Attachments

cc: Academic Senate Chair Anderson
Interim Vice Provost Brown
Associate Vice Chancellor Michaels
Committee on Planning and Budget
Faculty

Attachment I Time Table and Submissions Schedule¹

- Discussions with Deans and Vice Chancellors regarding process, goals and tentative allocation ranges. **(September-October 2000)**.
- Campus Provost issues preliminary allocation ranges and call for long-term plans, priorities, and accountability expectations **(December 2000)**.
- Deans and Vice Chancellors direct departmental and divisional planning (including programs planned for the Silicon Valley Center and an expanded state-supported summer quarter), based on consultation and discussion with department chairs, divisional faculty, unit managers, and divisional staff.
 - Executive Summaries of Divisional Plans available for campus discussion **(March 15, 2001)**.
 - Discussion and review of divisional plans and further refinement of divisional resource allocation ranges with feedback to divisions by Campus Provost, APC, CPB, and other committees, as appropriate **(March-June 2001)**
- Departmental and divisional plans finalized by **December 3, 2001**.
- A comprehensive long-range academic and academic support plan for the campus will be refined, compiled, and circulated for discussion with Campus Provost, APC, CPB, and other committees, as appropriate **(December 2001–April 2002)**.
- Institutional Long-Range Academic and Academic Support plan finalized and accompanying resource allocation strategy and accountability goals approved by Campus Provost **(Spring 2002)**.

¹ Interim allocations for 2001-02 (January 2001 call) will be provided based on requests reflecting programmatic priorities and requirements **(May-June 2001)**.

Attachment II Campus Planning Assumptions and Goals

1. The plan will predict the relative size of each division once the campus reaches its enrollment targets. This prediction will be based on: programmatic considerations; local conditions; strengths and opportunities at UCSC; anticipated workload; as well as comparisons with other campuses. Divisional plans should predict the size of departments and programs within the divisions as well.
2. A comprehensive institutional academic plan and resource allocation strategy will be developed from divisional academic and academic support plans and will guide the growth of the campus to a total potential enrollment of 16,900 students by 2010-11. This will be done through an iterative process, in consultation with the faculty, Deans, Vice Chancellors, the Academic Senate, and others.
3. The plan will support annual enrollment targets provided by Office of the President and will balance, in an appropriate manner, traditional (fall, winter, and spring) on-campus activities, a state-supported summer session, and off-campus (e.g., Silicon Valley Regional Center, EAP, UCDC, etc.) growth.
4. The resource allocation strategy will support the campus's long-range academic plan which will, in turn, guide academic support plans, capital plans, space allocation, technology needs, and related infrastructure development. The plan will be comprehensive and inclusive of all of the campus's major anticipated revenue streams, including our major self-supporting enterprises and the academic programs proposed for the Silicon Valley Center.
5. Plans for the Silicon Valley Center and a state-supported summer quarter will be integrated into the overall institutional plan, but academic programs planned for these new venues will be separately identifiable to facilitate discussion of their overall academic program.
6. The plan will initially hold roughly 20% of new enrollment derived resources centrally, to address campus-wide responsibilities, new activities, initiatives, essential infrastructure, and unforeseen expenses and opportunities.

Divisional Planning Assumptions and Goals

1. Academic Plans will be formulated and reviewed based on goals of:
 - a) Strengthening research and scholarly accomplishment and distinction;
 - b) Markedly increasing graduate programs and enrollments;
 - c) Developing interdisciplinary programs at all academic levels;
 - d) Markedly increasing external support, from grant/contract as well as private fundraising;
 - e) Creativity in combining present resources with new resources;
 - f) Innovative programming in non-traditional areas, including the Silicon Valley Center, state-funded summer session, and other off-campus enterprises (e.g., distance learning, EAP, UCDC, others);
 - g) Enhancing faculty, staff and student diversity; and
 - h) Proposing accountability measures

2. Academic Support Plans will be formulated and reviewed based on goals of:
 - a) Enhancing overall institutional excellence
 - b) Providing the administrative and physical infrastructure needed to achieve the academic goals;
 - c) Accommodating campus growth, for expanded academic as well as academic support enterprises;
 - d) Increasing efficiency and effectiveness in campus activities;
 - e) Creativity in combining present resources with new resources;
 - f) Innovative academic support programming in non-traditional areas, including the Silicon Valley Center, state-funded summer session, and other off-campus enterprises (e.g., distance learning, EAP, UCDC, others);
 - g) Enhancing campus diversity; and
 - h) Proposing accountability measures

3. Each unit will propose accountability expectations. These will address the goals outlined above and be consistent with the general principles provided in the accompanying planning template. Units should also indicate the measures they expect to be used to evaluate their success at achieving their goals.

4. Annual allocations to the divisions will be contingent upon achievement of the workload/accountability goals included in the resource plan, and these will be reviewed and discussed annually. Continuing allocations may not be forthcoming if workload or other agreed upon expectations are not being met.