

FACULTY SENATE MINUTES #114

John Jay College of Criminal Justice

November 15, 1994

4:00 PM

Room 630 T

Present (25): Yahya Affinnih, Orlanda Brugnola, Hecsa Costa, Edward Davenport, Jane Davenport, Robert DeLucia, Janice Dunham, P. J. Gibson, Elisabeth Gitter, Diane Hartmus, Elizabeth Hegeman, Zelma Henriques, Karen Kaplowitz, Richard Xoebler, Leona Lea, Tom Litwack, Barry Luby, James Malone, Peter Manuel, Dan Pinello, Charles Reid, Carmen Solis, Davidson Umeh, Maurice Vodounon, Bessie Wright

Absent (13): Arvind Agarwal, Michael Blitz, Ira Bloomgarden, Peter DeForest, Pat Gary, Arlene Geiger, Lou Guinta, Laurence Holder, Gavin Lewis, Henry Morse, Jill Norgren, Edward Bhaughnessy, Agnes Wieschenberg

Agenda

1. Announcements from the chair
2. Invited Guest: President Gerald W. Lynch

1. Announcements from the chair [Attachments A, B, C, D]

The Senate noted the documents distributed prior to today's meeting: the minutes of the second meeting of the Council of Presidents' Ad Hoc Committee on Base Level Equity [Attachment A] and the Memorandum from Vice Chancellor Richard Freeland to the COPS' Committee on ways to factor in faculty productivity such as doctoral instruction and grant getting into the funding allocation to colleges [Attachment B].

Two letters, one to Baruch President Matthew Goldstein, who is chairing the COPS' Committee on Base Level Equity [Attachment C], and one to Vice Chancellor Freeland [Attachment D], had also been distributed. President Kaplowitz explained that although only her signature appears on the letters, both letters were jointly written by her and Senator Litwack -- the one signature was because of the undesirable delay that would have ensued if they had waited until both could sign the letters. She said that she and Senator Litwack will write the follow-up letters to President Matthew Goldstein and to Vice Chancellor Freeland as soon as they obtain the minutes of the

third COPS Committee meeting: those minutes will be available after they are confirmed at the fourth meeting of the COPS' Committee two days hence on November 17.

2. Invited Guest: President Gerald W. Lynch

President Lynch was welcomed by the Senate and agreed to first answer questions from those Senators who have to leave shortly to teach a graduate course and then to report to the Senate and answer questions. [Ed: The Senate meeting was scheduled for 4 PM because the meeting of the faculty with the third candidate for dean of undergraduate studies was from 3-4:15.]

Senator Litwack noted that he and several other members of the faculty leadership met with President Lynch the previous day to discuss base level equity and he asked President Lynch to summarize to the Senate what he had told the group.

President Lynch said that base funding equity is, of course, fundamental to the vitality of John Jay College in the future. The Chancellor has taken a very firm stand that CUNY cannot be the only major university in the country that has no methodology for redistributing resources as enrollments and other factors change. So CUNY must have a plan. He noted that the plan that was produced by Vice Chancellor Rothbard in July is certainly approved by the Chancellor and is a very good plan. In the first two meetings of the Council of Presidents' Ad Hoc Committee on Base Level Equity, with the strategy of discussing the plan with all the other presidents who are havenots like John Jay, it was decided that they would listen so as to hear the opposition's arguments. The Committee of the Council of Presidents [COPS] is meeting again Friday morning and all will speak up now about how they think this plan has to be put in place. In addition to the November 17 meeting there will be another meeting on December 16. The Committee is to issue its recommendations in the form of a report to the Chancellor by Christmas.

President Lynch explained that a set of criteria of doctoral study and of faculty productivity has been introduced, both of which are very complicated and could take forever to decide, especially the issue of faculty productivity. He explained that the problem is how are the theatrical writings of a P. J. Gibson to be evaluated in comparison to the work in forensic psychology of a Tom Litwack, for example. It is to be hoped that whatever modifications to the plan that others try to make will be made later on and will not keep the process from moving forward. We must have this redistribution of lines, particularly with regard to the Governor-elect's program, which we do not know but do not think will be very favorable to SUNY and CUNY. He said if the COPS Committee report to the Chancellor does not recommend implementation of the base level equity plan or some modification of the plan we will go public.

President Lynch reported that we do have 14 lines at the moment which are being allocated to the academic departments to be filled by September: those 14 lines do not include the 10 additional faculty lines we would get if base level equity is implemented as described in Vice Chancellor Rothbard's [July 7] plan. The push to have the COPS' Committee report by Christmas is because if the lines are, in fact, redistributed, the colleges getting the lines can advertise in the spring and hire by the fall. If we do not get the plan implemented in time (and several presidents want the COPS Committee

report put off until the spring) we will not be able to hire by the fall. President Lynch explained that it is essential that we hire by the fall because we simply have to get more full-time faculty.

Benator Litwack asked President Lynch to describe his sense of Chancellor Reynolds' attitude regarding the redistribution of the non-faculty lines and his political sense of the degree to which President Lynch and the Faculty Senate should push for the equitable redistribution of the non-faculty lines, particularly vacant non-faculty lines,

President Lynch said his sense is that to push for redistribution of non-faculty lines now would stop everything dead in its tracks: it would kill the entire initiative because the COP8 committee would take another year or two to work on that. In the best of all possible worlds a plan should be developed for the fair redistribution of all lines. That that was not done but rather faculty lines were chosen as the primary priority is most important. Those who wish to have nothing changed are pushing for a study of all lines because they know that if the entire budget is analyzed the entire process will stop. The plan to redistribute faculty lines has already been developed and can be implemented in the spring. According to Vice Chancellor Rothbard's plan for the redistribution of faculty lines, John Jay would get 67 additional faculty lines. We are only getting 10 lines the first year. If we get 10 or so redistributed lines every year, in addition to any other lines, we would be in a far better position than we are now.

President Lynch said we should get the plan for redistribution of faculty lines in place and at that point look at the non-faculty lines. He said that if the non-faculty lines were redistributed, we would also do very well in that area. We should not encourage any delay in the implementation because the older senior colleges that are to lose the lines would like to kill the entire plan.

Senator Malone said that the faculty senates in the University play a very important role at the CUNY colleges. He said our Benato could be even more helpful than it has been if we were kept apprised with regularly disseminated information. He noted that the head of the Senate always attended meetings of the President's Cabinet and in that way information flowed from the administration of the College to the faculty through the information provided by the head of the Senate to the Faculty Benato and on to the entire faculty. However, he said, there are no longer Cabinet meetings and he asked whether such meetings will be resumed so that information can be provided to the faculty in a systematic way. President Lynch said he is pleased that the Senate wants to be helpful and he said he appreciates the Senate's interest, which has been so intense, in the base level equity issue.

President Lynch explained that the fact is he has been having administrative meetings regularly. He said he has found it helpful to have meetings at which the administrators can discuss their problems and concerns just as the Senate meets to discuss its problems and concerns, and the students meet to discuss theirs. But, he said, that does not preclude meetings such as today between him and the Senate and meetings with faculty leaders such as took place the previous day about base level equity and he said he will engage in such meetings any time. But a situation developed whereby frank discussions could not take place at Cabinet meetings. Students and faculty were there and frank discussions, therefore, were not possible. Senator Malone asked whether President Lynch would welcome regular and frequent meetings between him and the Senate's Executive

Committee and President Lynah agreed to such meetings on a more regular and frequent basis.

President Kaplowitz said she looks forward to establishing regular meetings of the Senate's executive committee with the President but said that unless one has systematic information to base discussions on such meetings are not as fruitful as they would otherwise be. She noted that the weekly Cabinet meetings involved approximately 25 people [all administrators except herself and, for the first time last year, the president of the student government] sitting around a table reporting on their area of responsibility and answering questions and so there were weekly sources of information about enrollment, budget developments, and so forth. She said that now she has to call each administrator regularly to get information and others have to do the same thing and this is not a very efficient system especially since one does not know about information about which to ask. She said, for example, in preparing for a meeting at 80th Street she realized she did not know the percentage of sections taught by adjunct faculty at John Jay this semester and that was the kind of information that was regularly reported at the Cabinet.

President Kaplowitz suggested that an alternative to Cabinet meetings could be a weekly sheet of administrative announcements issued by the administration that would, in effect, be a summary of the information that was previously given in the form of oral reports. She said that at meetings both within and outside the College her participation and the participation of other faculty would be more effective if the faculty were informed in a regular and systematic way. She cited as an example of meetings outside the College the meetings that the UFS Executive Committee, of which she is a member, has with the chancellor and with the various Vice Chancellors for which she needs to be informed. She asked that the President consider ways to provide such information, which the Senate and the faculty should and need to have.

President Lynch said he has thought about this and will continue to think about it but that he is ambivalent about resuming such meetings. In his judgment the issue is that discussions about Puerto Rico took place all last year at the Cabinet and yet there were those, including Professor Kaplowitz, who said they had never heard about the Puerto Rico program before it was announced. He said he does not believe in having meetings at which he discusses things openly and notes are taken and everyone else at the Cabinet discussed Puerto Rico all the time and yet when it was announced that we were going to have the program there was an assertion that nothing had ever been discussed about Puerto Rico. So if we are going to have meetings at which we discuss the issues then memories have to be jogged as to what went on. Otherwise, he said, he does not know why he should have people at meetings at which very important issues are discussed. If anyone was against Puerto Rico that is their right but the idea that no one could remember that it was discussed at length is another issue. And that is the basic reason, he said, why he does not want to continue the Cabinet meetings. If people are going to be at the Cabinet and report back they should say they heard about something and do not like what is planned or have objections or concerns but to do otherwise is not to have a fair dialogue.

President Kaplowitz said she agrees. She said that President Lynch has raised an important issue. She offered to provide all her notebooks from the past several years in which she has notes of all meetings she has attended, including all the Cabinet meetings, and said that those notebooks will show that there was no mention of Puerto Rico whatsoever at any Cabinet meeting prior to the

announcement to the College. She said there was general talk at the Cabinet about training that John Jay could provide to law enforcement agencies in New York and Rockland and elsewhere but there was never talk about credit-bearing courses to be offered in Puerto Rico or of a degree program to be offered in Puerto Rico. She said such discussions may have taken place at administrative meetings, to which she was not invited and therefore was not present, but such discussions did not take place at any Cabinet meeting that she attended and that, in fact, no such plans were even reported much less discussed.

President Kaplowitz suggested looking beyond last year and proposed that a way to resolve the issue that President Lynch has raised is to have minutes taken of Cabinet meetings. President Lynch rejected the suggestion saying that if minutes are taken it would not be possible to have frank and open discussions. He said this issue is the core of his concern about having Cabinet meetings. He said the question was asked of him as to why he has stopped having Cabinet meetings and, therefore, he is answering it. President Kaplowitz said she is glad he did answer the question.

Senator Malone said that the President can conduct his meetings any way he chooses and he supports that but he is also concerned that by not sharing information with the faculty we are not in sync as an institution. He said we have to be on the same team for the good of the institution and the institution will improve only if we all work together cooperatively. President Lynch said he agrees but that he had been stung by the fact that he was told that he did not discuss Puerto Rico openly with the College. He said it was a difficult time and that we went through more storm and drang than we needed to.

President Lynch reported that the Gurabo branch campus has turned out very well. The results of the Middle States site visit report are excellent. The faculty there are very highly motivated and the students are wonderful. It has been a great success. He said he does understand what Professor Malone and Professor Kaplowitz are saying and said that the Faculty Senate knows him well enough to know that he likes to be cooperative and he likes to have happy campers.

President Kaplowitz said that the faculty would be happy campers and she knows President Lynch would also be a happy camper if we were to be successful in our efforts to get Phase II. She asked what his political sense is of our chances for Phase II given the election results. President Lynch said that is a good question. He said that we do have a crack at Phase II although we would have had a better crack at it if Governor Cuomo had been reelected. Assembly Speaker Sheldon Silver will be at the College Thursday morning at 9:30 AM and he will be taken through North Hall to see how crowded the building is. The funding request for planning and designing Phase II is in the Chancellor's budget request to the State. We are putting on a full-press at Albany. Assemblyman Larry Seabrook [a John Jay alumnus] is doing a wonderful job on our behalf. He explained that it is Assemblyman Seabrook who deserves credit for arranging to have the Speaker come to John Jay Thursday morning.

President Lynch reported that we now have our first alumnus in the United States Congress: Frederick Heineman [M.A.'75] won his seat in Maryland. And, he added, we obviously will be having a reception for him. And so we now have one United States Congressman, two New York State Assemblymen, and a member of the City Council, who are John Jay graduates. The two New York State Assemblymen are Larry Seabrook [B.A.'74] and Scott Stringer [B.A.'86] and Councilman

Antonio Pagan [M.A. '86] .

He also reported that we are going ahead with three new appraisals: one of North Hall to ascertain how much it is worth (last time it was appraised at \$80 million and although it dipped in worth during the last five or six years it is probably again worth \$80 million); another appraisal is of the property behind T Building, of the first 300 feet and a180 of the next 500 feet, to ascertain how much that is worth. We have \$10 million in the bank from last year to buy the property. We are going ahead with a master plan request and the Chancellor has agreed to it because the current master plan projected that we would have 7400 students in 1994 but we have 9600 students. The Puerto Rico branch campus program, which has 700 students, generates 1000 FTEs because the students take 18 credits and 21 credits a semester and so if we talk in terms of FTE's we are very far ahead of where we were. And even though we have adjunct faculty and our faculty in Puerto Rico, we are short of support staff here at the main campus. So we think we have a very strong position in that our enrollment is so strong that we need to move out of North Hall. And so, he said, he has hopes with regard to Phase II.

President Lynch said he does not, of course, know where Governor-elect Pataki stands. He said he does not know him but was introduced to him at the Alfred E. Smith dinner and one positive fact emerged: Pataki said his mother's maiden name was Lynch and it turns out that she was from the same county in Ireland as President Lynch's family.

The good hope, he said, is that the Assembly is solidly Democratic. He recalled that prior to the election, Councilman Antonio Pagan suggested he call Pataki's campaign manager and he did so and told the Pataki campaign manager that he had offered the Democrats a forum at John Jay and, as a public institution it is always available for a debate or a forum, and offered the same to the Pataki campaign.

President Lynch noted that Senator Roy Goodman was at John Jay the other night and then there was a reception for Carlo Boccia of the DEA. He said that all these receptions are really working parties. They are a way of making contact and, he said, what is amazing to him is that few faculty ever come to these receptions. He noted that although he invites the faculty none ever comes. He said that Professor Kaplowitz does come to all the receptions and he wants to give her credit for this. But no one else from the faculty comes and this is very frustrating because these are important people from the Police Department, from the DEA, from the FBI, they include people such as Judge Mollen, and elected and appointed officials.

He said he knows faculty are busy but he wishes more faculty, in addition to Professor Kaplowitz, would come because a lot of the debate within the criminal justice system and within city politics happens in these informal settings. One can have a chance to talk, for example, with Roy Goodman. He noted that the students came to meet Roy Goodman and had their pictures taken with him. He said that Roger Witherspoon told him that when the students subsequently saw him on television they were very excited when they realized who he is. Roy Goodman is going to be the most important city Republican for us and, he said, he would have liked to have introduced the faculty as well.

President Kaplowitz recalled that at the reception two years ago for newly elected State Assemblyman Scott Stringer she had not recalled that he had once been her student but he had remembered her.

Fortunately, she said, he told her with pride that he had received an 'A' from her in a literature course and was very thrilled that she had come to the reception in his honor. President Lynch said alumni are particularly thrilled to see faculty at the alumni events and invariably ask him about their former professors and ask whether their professors are still teaching here and he says yes but unfortunately has to add that they are not here at the alumni reception. He said even a visit of 15 or 20 minutes would be very meaningful to the guests.

President Kaplowitz agreed that it is important that faculty receive the message that their presence is valued and that they are truly welcome and she said that the Senate would discuss ways to communicate this to the faculty. Senator Gitter said when she sees an announcement of a reception she always wonders why a police commissioner would want to meet a professor of English. President Lynch said that the person being honored is not the only one who comes: everybody from the criminal justice system comes, many of whom are John Jay graduates, such as John Timoney who is the NYPD's chief of department. It is such an interactive network that the faculty can easily participate because so many guests are our graduates who like to come back to John Jay. He said an awful lot gets done and an awful lot gets moving at these receptions.

President Kaplowitz said that the people being honored come with an entourage and these are people who are often looking to talk to people who they are not always talking to at work. And the other criminal justice people come and are interested in hearing about the College and talking about books they have read or cases that have just been adjudicated. Also, she said, they tend to be very respectful of college professors and seem genuinely honored to have faculty come to talk with them. She said she thinks the Senate could help in informing faculty about this and in encouraging faculty to attend. President Lynch said that would be very good and he would appreciate it.

Senator Malone said that often the staff members are more important than the politicians themselves. He agreed that it is extremely important that faculty come to the receptions and talk to the staff of the politicians even if they do not talk directly to the politicians. It is the staff, he explained, who are the people who develop the legislation and because faculty can generate ideas extremely well they love talking to faculty. President Lynch said that he tells his own staff that at receptions he does not want to see them talking to each others the reception is for talking to the politicians, or to the people from the FBI, the DEA, the NYPD, etc. Also, he said, one can advance one's own agenda about projects that one is interested in and about issues that one is concerned about. No one is more open to listening than politicians.

Senator Jane Davenport referred to President Lynch's mention of a new master plan that is being generated for Phase II and she noted that the Senate and Chairs conducted a survey of faculty last spring about what faculty are interested in seeing in Phase II. She said she believes the HEOs are thinking of doing a similar survey and perhaps also the students. She said she thinks it would be good if everyone at the College could have input in developing the master plan and in designing Phase II. She asked what are the opportunities for that. President Lynch explained that he is hoping that Sheila Chassin, who works for Vice Chancellor Emma Macari, the vice chancellor for facilities and construction, will do John Jay's master plan because she is very able and has the confidence of the Chancellor. President Kaplowitz noted that Ms. Chassin just

completed an excellent **master plan** for Kingsborough Community College and President Lynch **agreed**. He explained that Ms. Chassin would come to the College and would interview all **groups** and would discuss enrollment projections and so forth.

The master plan, he explained, would be a projection through the year 2005. (The last John Jay master plan was done in 1984 and was a projection through 1994.) There would be full input from everybody. He added that we have a plan that was developed in 1984 through 1986 of all the departments. He said we had hoped at that time to have one big plan for one building to replace both South Hall and North Hall: we went to Albany with a request for \$355 million and on April 1, 1986, he received a call from Fred Orenstein who said to come up to see Warren Anderson who said that John Jay would not get \$355 million. But Stanley Fink and Warren Anderson agreed to give us \$250 million for Phase I, and the following year Phase II was to have been funded. But the next year the State had a big budget problem and we never got Phase II. But there has been a promise to give us Phase II.

President Lynch explained that we have to do another master plan because we are only permitted to build for 7300 students because that is the enrollment that the current master plan said we would have in 1994 and so we must revise the master plan in order to get Phase III or a combination of Phase II and III. At that time, ten years ago, all the departments that were moving into T Building engaged in extensive discussions but those that were to move into Phase II also had extensive discussions and a plan was developed for departments that were to move into Phase II, such as the English and Mathematics and Science Departments. So we have something to start with. He proposed that we go back to those departments and ask whether what they asked for is what they still want.

Benator Davenport said she would imagine there would be requests for tremendous changes especially from the technological point of view. President Lynch agreed and added that the Library now needs more space and the departments in T Building need more space and so we have a whole new ballgame. On the other hand, if we can get approval to go ahead with Phase II before we have a revised master plan we will do it because then we can act. The proposal to put the CUNY Central Office [80th Street] in Phase II was fortunately killed again at the last Board of Trustees fiscal committee meeting, which he noted that Professor Kaplowitz attended, because it would have created a terrible delay because the City would have had to pay for that part of the project.

Senator Gitter asked whether renovating the former library space in North Hall would interfere with our getting Phase II. President Lynch said it would not. He added that he has good news: we just today received the money to renovate the former library. [The Benate applauded.] He said it has been so frustrating because we have been in T Building for six years and yet have not been able to get permission to renovate the space vacated by the library when it was relocated in T Building.

President Lynch urged everyone on the Faculty Senate to attend the 30th anniversary celebration of John Jay College. He said that the previous day he visited Sandro Chia's studio and one of the paintings that the artist has donated to the College, which had been in President Lynch's office for the last month, has been totally repainted and it is now really magnificent. The painting is called "Liberty" and it is two women, a man, and a child breaking out of chains. The other painting donated by Sandro Chia is called

"America."

President Lynch added that he would like to clarify something in a recent set of Faculty Senate minutes. All of the travel to and from Puerto Rico is completely paid for by the Pell Grant money and has no relationship whatsoever to the College travel budget, neither the administrative nor faculty travel budget. In fact, he said, nothing in Puerto Rico is paid for from the College budget: indeed, everything is paid for by the Pell Grants.

Senator Wright asked whether the renovation of the former library space will include improvements in the ventilation of North Hall and rewiring of that building. President Lynch said this has been a problem since we moved into North Hall 20 years ago and that the ventilation will not be fixed because of the inherent problems with the entire system but he said he is using that fact as a reason why we must get out of North Hall. He said at the same time he has tried very hard to keep North Hall clean, to repaint it, to remodel it, to not make it the place of the havenots. But it can not be repaired given the limitations. He noted that North Hall is not only worth approximately \$80 million but it is on two acres directly south of Lincoln Center and given the tremendous gentrification of the neighborhood it is a very desirable location. He recalled that when we first moved to North Hall the area was called Hell's Kitchen and then it became known as Chelsea-Clinton and now it is called Midtown West. President Kaplowitz remarked that those of us who are in North Hall still think of it as Hell's Kitchen.

Senator Gibson asked how soon the library space could be renovated. President Lynch said he does not know. The letter today just said the money has been approved. We have to hope the work will begin in the spring.

Senator DeLucia asked if the former library space in North Hall will be turned into classrooms. President Lynch said it will become faculty offices, classrooms, and a student lounge. He said that we are out of classrooms during periods 2, 3, 4, and 8. Senator DeLucia asked about the discussions that have taken place about renting space. President Lynch said we have submitted a proposal to rent space for the coming academic year because we are so crowded in North Hall. The problem with our statistics, he explained, is that we have no classes to speak of on Fridays and so while we are tight from Monday through Thursday, because Friday comes out low we have 20 percent of our capacity open and so we do not look as tight as we actually are.

President Kaplowitz said she has just read the master plan for Kingsborough Community College and the plan shows classroom utilization as tremendously high during the day and evening and also on Fridays and Saturdays and even Sundays. But then when one looks at the charts that break the classroom utilization into more detail one sees that it is only during the day and only on Mondays through Thursdays that the credit-bearing courses are offered. At nights and on Fridays and on weekends adult education courses are offered and the classrooms are extensively utilized as a result. In this way KCC not only provides a wonderful service of adult education courses to the community but at the same time income is generated for the College and the College also gets credit for heavy utilization of the classroom space. She said that perhaps we should look into creating an adult education program, especially since we have the entire West Side of Manhattan as the community we could be serving and at the same time we could address the issue of classroom use. Senator Malone said that the State must approve all such adult education

programs .

President Lynch reported on SPRE [State Post-Secondary Review Entities], the new graduation rates that we must report including the percentage of students who continue attending the College after a certain number of years. These graduation and retention rates never included transfer students. He said he has argued for several years that transfer students should be included in the graduation and retention rates. Now, beginning this year, transfer students have finally been included in determining graduation and retention rates. He noted that our graduation rate, when transfer students are excluded, is not good -- it is about in the middle of the University's rate. But if transfer students are added, and that includes police officers and other in-service students because they are transfer students because they receive credit for police academy studies, then our graduation rate goes up to 52% or 53%. We've graduated probably 10,000 or 12,000 police officers since the beginning of the College but none have been counted in John Jay's graduation rate, which is absolutely ridiculous. The rates until now were only the percentage of students who graduated who entered John Jay as first time full-time freshmen.

The other good news, he said, is that we received permission from CUNY to count all the students in Puerto Rico in our associate degree graduation figures. And, therefore, our associate degree statistics will be vastly improved because of the addition of those 650 graduates. President Kaplowitz asked whether CUNY will permit us to also include the Gurabo students in our FTE figures. President Lynch said he has tried to have the Gurabo students counted among our FTE's but this request has been denied because they are already funded through the Pell Grants.

President Lynch said he wanted to tell the Senate that he is delighted that the branch campus students voted to graduate in caps and gowns and not in their police uniforms. The cadets were told by the police department that they had to pay \$23 each for the cap and gown, and they only earn \$700 a month, and yet they voted again to graduate in caps and gowns. He said he was really touched by that. Sixteen senior colleges in Puerto Rico came to college day and almost all the branch campus students attended and made applications to transfer in order to continue their college education.

President Kaplowitz asked if there is information about the tuition waiver program for in-service students here. Senator Gitter asked if President Lynch would also address the issue of tuition waiver for senior citizens because one of her students is very concerned about this. President Lynch said the University has cut out tuition waiver for everyone: for in-service students, for senior citizens, and for the high school Ascent students. A dramatic effort by the Sergeants Benevolent Association attempted to get Governor Cuomo to put in the deficit budget some money for tuition waiver but it was defeated. At the moment he has had to write to all Ascent students telling them that money is not available after this semester for tuition waiver for them.

President Lynch explained that we were hoping to get a restoration of that but the University was spending \$6.5 million on it and will not continue it. We are still trying to get it restored as is PBA president Phil Caruso and Joe Toal, the president of the Sergeants Benevolent Association, who is a John Jay graduate. We have obtained permission from Vice Chancellor Rothbard to give two courses on a contract basis paid by the Sergeants Benevolent Association. Two John Jay faculty will teach the two courses for 100

sergeants. The courses will meet for three hour sessions on Saturdays for ten weeks. This is to address the fact that there are 490 sergeants, of the 4,000, who had not completed their two-year degree and without the degree they have to be dropped back to police officer status. Joe Toal is very concerned about this and so we are giving two courses. The University does not like giving courses on a contract basis but gave us this exception. We are still struggling to get some of the tuition remission money restored. He noted that he made the decision to spend the entire year's tuition waiver allocation this semester and to fight for restoration of the funding during the semester.

President Kaplowits said that the student member on the Board of Trustees fiscal affairs committee has raised this issue at the BOT committee on behalf of senior citizens. He is fighting to have the University give senior citizens courses under a different heading, not tuition waiver but free tuition. She said she spoke to the student about in-service students and he was not aware of that issue, he was only aware of senior citizens because Queens College (which he attends) has a large number of senior citizens taking courses. He is arguing that senior citizens should not be counted as requiring tuition waiver but as people who fill seats that are empty after registration has been completed and, therefore, they do not cost the University money. President Lynch said that is the best way to approach this because if there are empty seats, as is often the case in elective courses, why not let senior citizens enroll.

President Kaplowits suggested that we explore the possibility of doing the same thing as an option for police officers (and for other in-service students as well), especially since so many officers have accumulated quite a number of college credits and have the prerequisites for electives; she added that this could be an option for police officers and that other officers who need courses that are unlikely to have empty seats (such as core and required courses) would be advised to attend regular registration and that they would have to pay tuition.

President Lynch said that is a possibility worth looking into and added that we have to find something like that, including, he said, Professor Kaplowitz's interest in recruiting in-service students at precincts. She said that there has been a good response to the 'adopt a precinct' program. President Lynch said that is wonderful. He added that a number of the police are here because they are getting that \$200 tuition waiver: they have to drive to Manhattan to attend John Jay, they have to pay for parking, and so forth, and that \$200 makes a difference and without it we will lose more in-service students and so it is even more important now to strive to get more police and firefighters to attend. James Murtagh and Richard Abbott of John Jay's Fire Science Institute are working to get more firefighters to attend the College: firefighters have time to study, they are good students, they read everything on the bibliography, and faculty are always glad when they are enrolled in their courses. Also, Commissioner Bratton has publicly said he wants to increase the police cadet program from 100 to 500 cadets a year and that will be wonderful if it happens.

President Lynch reported that he recently invited the two new members of the CUNY Board of Trustees, Jerome Berg and Herbert Berman, and took them all around North Hall to show them why we need a new building.

Senator Luby said he is very concerned because of the projected \$4 billion deficit in the State budget and said that, being

realistic, he cannot help but wonder how the Governor-elect can not cut funding from CUNY. President Lynch said he is afraid that Professor Luby is right and he is also afraid that tuition will be dramatically increased. He said the tuition, which is \$2500 a year at CUNY, is less than the tuition at many other public universities such as at Vermont (\$7500), Wisconsin (\$4500), and Michigan (\$5500). Although our students are poor, they do get tuition assistance. He said he hopes he is wrong but he predicts a significant tuition increase. Senator Luby asked whether the President anticipates that if there is a tuition increase there will be repercussions such as happened several years ago when tuition was raised. President Lynch said we could experience that but that he does not think it would happen at the moment. Next April and May is when we will see. There are a lot of differences between now and then and, therefore, he does not foresee it.

Asked about the status of the proposed criminal justice high school at John Jay, President Lynch said it is on the back burner now that Dean Ron Berkman went from 80th Street to head the new school of public policy at Baruch. He said Vice President Rothlein is working on this but he has not heard any more about it. He spoke about a study that he, Jeremy Travis, and Allan Shore did for Chancellor Cortines about school safety, Jeremy Travis is now head of the National Institute of Justice: he was sworn in by the Attorney General at a ceremony which President Lynch attended. President Lynch reported that he is meeting with Jeremy Travis next week to talk about possible NIJ funding of John Jay research projects.

President Kaplowitz told President Lynch she is glad he raised the issue of faculty presence at receptions for criminal justice leaders and politicians and alumni. She asked President Lynch what other ways the Senate might be helpful, such as guests that the Senate might invite. She suggested, for example, that the Senate could invite Vice Chancellor for Facilities and Construction Emma Macari to a Senate meeting so that Vice Chancellor Macari can hear the faculty talk about what it is like to teach in North Hall and the obstacles facing our students who take classes in North Hall: she said that when Vice Chancellor Macari first arrived at CUNY she had spoken to her about coming to a Senate meeting and she had said she would be pleased to. President Kaplowitz said that she and the Senate's Executive Committee had felt that Vice Chancellor Macari should first learn about CUNY and that perhaps we should invite her now. She added that it would be similar to our invitation to Vice Chancellor Rothbard who met with the Senate last December. President Lynch praised the idea of inviting Vice Chancellor Macari to the Senate and urged that the Senate do so.

President Kaplowitz said that as President Lynch knows, Vice Chancellor Elsa Nunez-Wormack is coming to the Senate in December. President Lynch recalled that Vice Chancellor Richard Freeland has also met with the Senate and it was explained that he came to John Jay to meet with members of the Senate and of the Chairs who were working together on academic program planning issues. She said we could certainly invite Vice Chancellor Freeland back to meet with the entire Senate in the spring, President Lynch said he would recommend the Senate doing so because the more dialogue the Chancellory can have with us the better because we have such a compelling message in terms of our facilities, our needs, and our mission.

President Lynch said that the Senate's inviting the Vice Chancellors and particularly Vice Chancellor Macari, who clearly has tremendous pressure from all sides to give all the colleges priority status, would be very helpful because the more we can make our case

and get her attention to our plight the better. He said she has been positive toward John Jay but has been pulled in many directions. He said he is also thinking what role the Senate might play in terms of the new government in Albany and that he will continue to think about that and discuss it with Professor Kaplowitz.

President Lynch said he would like to stay longer but has a visitor coming who has undoubtedly already arrived. The Senate thanked President Lynch for coming to meet with the Senate today and he expressed his appreciation to the Senate.

By a motion duly made and seconded, the meeting was adjourned at **5:25 PM.**

Respectfully submitted,

Edward Davenport  
Recording Secretary

ATTACHMENT A

**COUNCIL OF PRESIDENTS  
AD HOC COMMITTEE ON BASE LEVEL EQUITY**

Record of the Meeting Friday, October 14, 1994

**Present**

President Matthew Goldstein (Chairperson)  
**Acting President Stephen M. Curtis**  
**Acting President Blanche Blank**  
President Josephine **Davis**  
President Ricardo **Fernandez**  
President Yolanda T. **Moses**

**University Staff:**

Deputy Chancellor Laurence Mucciolo  
Vice Chancellor Richard M. Freeland  
Vice Chancellor Richard F. Rothbard  
Ms. Sherry Brabham  
Dean Anne L. **Martin**  
Mr. Ernesto Malave

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**Minutes of the meeting of September 23, 1994**

Vice Chancellor Rothbard requested that the minutes be amended to include a comment by President Springer that in the North Carolina system the budget model was reviewed and adjusted on an annual basis in accordance with enrollment changes. The committee accepted the minutes with that addition. Vice Chancellor Rothbard also sought clarification as to the nature and purpose of the record of the committee's proceedings. Members were of the view that a detailed record of the discussion was useful, given that they had undertaken to keep their constituencies informed of the progress of the Committee's deliberations.

**Presentation by Vice Chancellor Richard F. Rothbard**

President Goldstein introduced Vice Chancellor Rothbard's presentation with a few prefatory remarks on actions arising from the inaugural meeting and on his view of the tasks and timeline facing the committee.

He reminded members that they had agreed that it was important to ensure that their constituencies had the opportunity to provide input and to comment on the Committee's recommendations before they went to the Chancellor. He encouraged the Presidents to share information with their campus communities and to bring their colleagues' views back to the committee.

He reported that he had spoken to the Chairs of the University Student Senate and Faculty Senate, both of whom welcomed the invitation to comment. He would be meeting shortly with the Chairs and other members of the Faculty Senate to discuss how best to handle this.

Reminding the committee of its obligation to report by the end of the semester, President Goldstein suggested that members might wish to consider making two types of recommendations. The first might form the basis of a short-term, tactical plan for "smoothing" the existing model and embedding some academic indices into it. The reports of Vice Chancellors Rothbard and Freeland would suggest possible ways of doing this. In

addition, however, the committee might wish to recommend a longer term strategic plan for reviewing the model itself, which he felt needed reconstruction in view of changes since its adoption. Such a review would require more time, technical expertise and attention to detail than the present ad hoc committee could provide, and members might therefore wish to recommend that Vice Chancellor Freeland's office establish a **Working Party** to undertake this **task**.

He noted that Vice Chancellor Freeland would **be** reporting **at** the November 4th and 18th meetings **on** approaches to budgeting both in this country and overseas and that this information, together with the information which Vice Chancellor Rothbard **was** about to present should enable the committee to **begin** to formulate some short-term adjustments to the model at its November 18th meeting. He suggested that, following that meeting, he and the **two** Vice Chancellors and their staff would prepare a **draft** report containing both short and longer **term** recommendations. These could then be brought back to the committee for discussion, after which an agreed **draft** report would be circulated for comment.

Deputy Chancellor Mucciolo noted, and **members** agreed, that it was important that the report, in addition to making short and long term recommendations, **also** address the principles underlying the redistribution exercise. President Goldstein concurred and suggested that this would form an appropriate preamble to the recommendations.

The committee accepted President Goldstein's proposals about both the approach to and process for preparing the report.

Vice Chancellor Rothbard introduced **his** presentation, which was divided into **two** parts. The first dealt with the methodology used for this **year's** redistribution exercise. The second presented some scenarios for **modifying** the ISM to **take** account of changing enrollment patterns.

Budget Director Sherry **Brabham** distributed copies of the 3 tables which had been circulated to Presidents **on July 7, 1994**, presenting an analysis of how faculty lines had been redistributed for 1994-95. She walked the Committee through the tables column by column, and explained **how** the **final** allocations had been derived. In response to questions, she and Vice Chancellor Rothbard noted that:

- o The model took a constant staff-student ratio, not section **numbers**, as its measure of teaching effort, and that it included both full-time and part-time 'teaching power'.
- o When the senior college budgets were transferred **from** the city to the State in 1983, they were not "zero-based, but rather transferred "**as was**". The **basis** for the **ISM** is thus an historical snapshot of the actual staffing position at that time, with variations due to such factors **as** the impact of the redistribution of positions after the early retirement incentive in the **mid-1980s**; the impact of position reduction in the early 1990's; and college choices **as** to how to use their **funds**.
- o The redistribution pool of 50 lines was generated by taxing **all** colleges at a rate **determined** by their proportion of total lines, with the size of the pool arbitrarily chosen because it was thought it would have a reasonable, not **devastating** impact **on** colleges.
- o Everyone contributed to the pool and then, with reference to the target mean, got lines back. Overall, **only** 25 positions were actually reallocated from one

college to another. This cushioning effect had not been widely understood and it was important for campus constituencies to realize that even if the same methodology were reiterated over 5 years, only 125 positions in toto would be redistributed.

- o **The exercise was a zero-sum game** because the overall instructional budget **did not change**. The point of the exercise was not to move colleges to a **target allocation of 70% of the staffing level** generated by the model (only **putting new money into the regulated budget** would achieve this) but rather to smooth the deviations from the actual average (**62.4%**) through an **iterative process**. Thus it addressed what President Blank identified as the "relative unhappiness" of individual colleges with respect to their share of the budget but not their "general unhappiness" with the overall level of resources available.
- o Although colleges lost or gained lines, no one lost or gained significant dollars because they got additional adjunct dollars to compensate for **loss of lines**. Total teaching power at individual colleges was not altered but the **mix** of full-time and adjunct contribution to that teaching power changed (although even this **was** mitigated if lost lines were vacant).
- o Despite perceptions to the contrary, the hiring practices of individual colleges do not appear to advantage or disadvantage them (or others) with respect to this methodology, as it is based on budgeted lines, not filled or unfilled positions, and these are altered only by virtue of allocations, not by college behavior. Additionally, the fact they reiterate the application of the model every year smooths this. The University Budget Office is nevertheless analyzing this at present and also looking at how vacancy rates are determined, as this has been an area of disagreement. College hiring practices do in fact impact costs across the system in the sense that filled positions and vacant positions are then funded differently by the state in subsequent years.

In the second part of his presentation, Vice Chancellor Rothbard distributed and spoke to a set of tables in which different dollar values had been assigned to a unit of teaching power and then applied over a three year period, yielding different FTE scenarios. While this resulted in different degrees of smoothing the reallocation of lines within the ISM, it was not a zero-sum strategy, as it would require from \$320,000 to \$1.6 million in additional funding, depending on the dollar value assigned to the unit of teaching power. Money to meet the additional costs generated by this approach would have to come either as new money from the State or be reallocated from others parts of the budget. Again, individual colleges' teaching power remains the same but the FT/PT blend alters. As before, colleges are all being equalized towards the mean, but this is taken at different rates. Vice Chancellor Rothbard stressed, however, that his paper was a hypothetical scenario and did not imply that there was additional money available for salaries.

Vice Chancellor Rothbard's hypothetical smoothing approaches led to a more general discussion of the principles underpinning the University's budget strategy and of the exercise in which the present committee was engaged. President Curtis expressed a desire to see campus Vice Presidents for Administration and Finance involved in the discussions, and President Goldstein encouraged members to share Vice Chancellor Rothbard's papers with their Vice Presidents.

President **Curtis** also reiterated his desire, raised at the first meeting, to see the construction of the whole budget and not just a piece of it come under scrutiny. Others noted that at the campus level, the non-teaching portion of college budgets can be and is reallocated, and that perhaps this should also occur with the non-regulated-portion of the University budget, with a view to increasing the number of dollars available for the staffing budget. There was consensus that other parts of the budget, including those withheld to fund central initiatives, should be re-examined. President Davis suggested that the University may need to realign its priorities to ensure that increasing the full-time faculty budget is indeed a top priority and President Moses spoke strongly in support of broadening the scope of the committee's enquiry to include these larger issues.

President Coldstein reminded the committee that it needed to bear in mind the difference between short and long-term recommendations in mind and respond to its charge within the time available to it. An examination of the whole approach to the University budget or a total revision of the model would be beyond the means and expertise of this committee, but it could strongly recommend that this be done. It could, moreover, address more immediate changes, such as the incorporation into the ISM, of new indices like doctoral teaching and supported research. There was some agreement with this, but there remained a strong sense that the larger issues should not be lost in the process, with President **Curtis** reminding the group of the section of the committee's charge which required it to look at ways to enhance the coordination of academic program planning and budgeting. There was a general feeling that the other aspects of the budget, as well as other approaches, need to be better understood.

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The Deputy Chancellor suggested that the committee might also wish to reflect on any policy changes, trade offs or technical devices to encourage the filling of more full-time positions, and the issue of other strategies for redirecting resources at college level (eg. outsourcing of services) was touched on.

President Goldstein closed the meeting with an encouragement to members to share the documents circulated by Vice Chancellor Rothbard and Ms. Brabham with their constituencies, seek input and critiques and report back

Copies to VP's  
JL  
HS  
KK  
BP  
NB

11/4 This memo arrived last night & discussed at the Base Equity Funding meeting today. VC Freedland will explore further the three options on pg 5-7.

Memo to Ad Hoc Committee on Base Level Equity g.

From: Richard M. Freedland  
Date: November 4, 1994  
Subject: Possible Modifications to Instructional Staffing Model

At its first meeting, the Committee asked me to provide information on funding models used in other large public systems and background information on approaches to and trends in budget allocation in this country and overseas. In addition, the Committee asked me to present ideas for developing and embedding in the Instructional Staffing Model (ISM) indices for academic matters not presently covered by the model,

It has proven difficult to obtain sufficiently detailed information on approaches used elsewhere in a timely enough fashion to provide the committee with a sophisticated analysis of alternative approaches that we might wish to pursue. We have, however, learned enough to know that a very great deal is happening around the country with respect to budgeting approaches and models, and Part I of this paper provides a summary of what we have found.<sup>1</sup> Should the University wish to pursue this matter over a longer period than currently allotted to this committee, there are probably a number of modifications of our current approach that we could consider.

With respect to the narrower question of ways in which the current model can be quickly modified to take more nuanced account of academic criteria not captured by enrollment data as currently configured, Part II of this paper offers suggestions of some steps that might be taken.

**Part I: Patterns of Budgeting in Use Among State Systems and Recent Trends in this arena**

[Note: It is important to keep in mind that the budgeting systems used in other states discussed below are used usually by state governing boards in various phases of the appropriation process, and much less frequently as an internal allocation system once the appropriation is made. Although the analogy to CUNY is not exact, given our size and complexity, we operate like a statewide board in many respects.]

**A. General Approaches**

There are three basic ways in which systems develop operating budgets for institutions: historically-referenced, model-referenced and priority-referenced. Most systems appear to be operating on one or the other of the first two, often on a hybrid of both. Some US systems and several overseas systems are moving toward introduction of the latter, generally in combination with a

<sup>1</sup> We have material, some of it detailed, regarding California, Colorado, Florida, Georgia, Illinois, South Carolina, SUNY, Tennessee, Texas and Washington State, as well as material about Australia, France and the United Kingdom. In addition, there were several useful recent review articles and a comprehensive survey by the South Carolina system.

formula-driven base. Because the ISM is a model-referenced system, attention will be focused there, although CUNY uses a mix of all three methods for its total budget.

Historically-referenced approaches are based on the preceding year's allocation incrementally adjusted, depending on available revenue from the state allocation. Annual adjustments may or may not be proportionally distributed across the system depending upon whether the prevailing ethos is one of equity or special **pleading**.<sup>2</sup> Large parts of the "non-regulated" part of the **CUNY** budget are largely historically based.

Model-referenced approaches are based on a mathematical formula driven either by head count enrollments or by student credit hours, generally moderated by a range of qualifiers. These will be discussed in more detail below.

Priori@-referenced approaches allocate resources on the basis of specific goals or objectives. Generally the resources allocated to priorities are contained in discreet "pots" and are set alongside some form of base-level allocation related to the operating requirements of the institutions. The resources may be new money or may result from reallocation of existing funds. This is, of course, how the recent APP allocations have been made and how "lump sum" items like the GRI are handled. Increasingly, priority-referenced funding is being coupled with output or performance measures, with the intention that institutions that do not achieve the objectives do not receive continued funding.<sup>3</sup>

#### *B. Model-referenced (Formulaic) Methods*

This is the most widespread method, being used in **33** states **with** considerable variation in the actual models. Although the models can be quite complex, much of that complexity stems from the treatment of other budget areas **than** full-time instructional staff<sup>4</sup> and thus is not currently relevant to us.<sup>5</sup>

Funding models may be directly applied, with funds allocated annually in strict accordance with the formula, or the model may be used as a benchmark, with actual allocations also taking into account other factors. The model is not necessarily used for all institutions within a given system: community colleges, designated research centers and specialized medical colleges are often funded

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<sup>2</sup> The origins of the pattern of distribution are generally reported by such systems as "lost in the mists of time" and there is considerable cynicism within the systems themselves about the use of such an approach because it is difficult to justify the allocation patterns it generates and is thought to encourage back room wheeling and dealing.

<sup>3</sup> Examples of U.S. systems which have replaced a model-referenced with a priority-referenced approach include the University of Illinois system, where the Board of Higher Education has adopted what it calls the "priorities, quality and productivity" approach in order to address productivity improvement issues. Texas, Maryland, Tennessee and Florida both use quality measures in resource allocation, **and** the Australian government has introduced a performance-based "quality audit" into its recurrent allocations and shifted the research portion of universities' recurring budgets towards performance on a range of output indicators.

<sup>4</sup> Typical categories other than Instruction are Research, Public Service, Academic Support, Student Services, Institutional Support and Operation and Maintenance of Plant.

<sup>5</sup> That would, of course, change should CUNY decide to bring other parts of the budget into a broadened model.

differently. Additionally, we should note that funding formulas are used at different stages of the budget process—from initial requests to the legislature to final allocations to institutions—and are much more commonly used in the request stage than the allocation stage.<sup>6</sup>

The models have two principal functions: to determine a level of funding and to achieve some form of between institutions. (Equity, itself, comes in two flavors—horizontal equity, defined as the equal treatment of equals, and vertical equity, defined as the unequal treatment of unequals.)

The instructional allocation formulas can be quite complex in themselves. Most systems differentiate between academic disciplines, levels of enrollment and types of institution, although the way these are defined, grouped and weighted varies from system to system. Anecdotal evidence indicates that doctoral teaching is included in most formulas.

The origin of the various weighting factors is not always clear. Discipline weightings in general are thought to have been arrived at empirically in the first instance, usually from historical patterns in the institution itself, but sometimes with reference to peer colleges. There is no common metric at national level in this country (although these do exist overseas), and local anomalies often produce local solutions.<sup>7</sup> In a number of cases, the enrollment input to the formula is a two- or three-year average.

Some systems review and adjust their models often (annually or biennially), others do not. It was suggested that those that do so often make micro-modifications to account for profile differences and changes among the institutions in the system and risk ending up with extremely complex and ultimately cumbersome and inflexible models. On the other hand, some systems which have reviewed and overhauled their model after a comparatively long interval have run into problems.<sup>8</sup>

### C. Trends

There is considerable ferment and lack of satisfaction in the arena of enrollment-based formula budgeting. Some of it stems from the fact that most of the models were developed in a period of increasing resource availability and were perceived to be useful to help distribute new resources, and even to help respond to declining resources in an even-handed manner. As support for higher education has leveled off and even declined and the budget issue has become one of redistribution or reduction, the use of models has often proved more problematic. Another perceived problem is the linear nature of the models—they generally do not distinguish between average and marginal costs. Finally, there persists a concern about the “leveling” effect on the quality and

<sup>6</sup> Only 13 of the 33 states use the formulas for allocation. (McKeown and Layzell, paper at an October 1992 ASHE conference)

<sup>7</sup> SUNY, for example, defines graduate weightings in terms not of program type (masters or doctoral) but of credit points the student is enrolled for (< or > than 24) because some colleges enroll all graduate students directly into doctoral programs.

<sup>8</sup> For example, the University of Georgia system proposed a new model in 1990 but did not adopt it because it would have cost too much, and thus are continuing to use their 1980 model.

diversity of programs and institutions. These concerns have produced a number of trends:

- Greater complexity of the models to take into account variations between institutions with respect to mission and character<sup>9</sup>,
- Various ways of lessening or “buffering” the effects of enrollment changes, e.g. by averaging enrollments over several years, or by creating a threshold of enrollment changes that do not affect the budget.
- More non-formula components such as categorical grants and incentives for quality improvement.

The situation regarding the use of performance indicators or output measurements is less clear. On one hand, actual use dropped from 20 systems in 1988 to 10 in 1992. On the other, anecdotal evidence suggests developing concern that these will be increasingly imposed by state agencies as part of the budget process.

#### D. Concluding *Observations*

Some avenues that CUNY might explore are beyond the scope of this fairly quick look.

- There are a variety of ways that systems have used to mitigate the effects of large enrollment swings. They include using the model only as a reference point for allocation of new funds (“adjustments on the margin”), creating a window of plus or minus several points around the average as the target (“benchmarking”), enrollment averaging, buffering colleges against enrollment changes by recognizing only a fraction of the actual percentage change in enrollments, and funding marginal changes in enrollment differently **than** average costs.
- We may want to consider whether to extend modeling to other budget areas than instructional staff. The variations nationally here are even greater than in the instructional area and would require considerable analysis. It could have the advantage of increasing one or both of the “flavors” of equity, but may further reduce flexibility.
- A detailed review of the discipline and level weighting factors is also a major task. Questions of the coarseness of the matrix, comparison with peer institutions and whether there are additional factors to be introduced into discipline weightings (e.g., system priorities for small enrollment programs) are among the issues that could improve the formula,<sup>10</sup>

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<sup>9</sup> One aspect of added complexity is the increasingly widespread use of peer analysis data: another is detailed cost analysis: both as means of validating weightings

<sup>10</sup> Of course, a pitfall to be avoided is to make the formula so complex as to lose all credibility!

- Another approach involves increasing the relative proportion of the non-yodeled part of the budget, to be distributed by such methods as ‘challenge grants, competitive grants, etc.’<sup>11</sup>
- Finally, the question of how to introduce measures of faculty cost (e.g. stemming from research or public service) not simply correlated to classroom instruction could be examined. {Several relatively simple method will be discussed in **Part 11**.}

### **Part 11: Possible Short Run Modifications of the Current Budget Formula**

An important difference between CUNY and most other systems examined involves the unique consortial nature of doctoral work in CUNY and the fact that doctoral work plays no part in the ISM model. Although there is a distribution of lines to colleges under the Graduate School’s “allocation model”, it is recognized not to provide the campuses with the faculty resources comparable to their needs in relation to doctoral work.<sup>12</sup> Related, but not identical, to this is the issue of scholarly productivity and its absence from the ISM. These issues are related because the University needs a pool of active scholars both for itself and to support doctoral level activity to an extent not simply equivalent to the actual level of participation in doctoral instruction in any given year.

These considerations lead to three comparatively “simple” alterations to the current ISM model that could be further explored in a reasonably short time.

1. *Add faculty entitlements based on direct participation in doctoral instruction to those generated by the **ISM** model.*

Rationale: Doctoral work on campuses is insufficiently funded through the allocation model: although underfunded, the allocation model approximately represents the relative participation in doctoral instruction.

Method: There are probably several way to accomplish this. Most likely, ..the easiest would be to (at least initially) rely on the GSUC allocation model to provide a weighting between the colleges representing relative participation in doctoral instruction, determine a global number for the “shortfall” in lines distributed from the GSUC<sup>13</sup> and calculate a faculty count for each campus that would be added to the present ISM number to get the faculty target for that campus..

Notes:

- This method has the advantage of concentrating on instruction, which is the thrust of the ISM. Conversely, its disadvantage is that it does

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<sup>11</sup> The APP funding falls somewhere here.

<sup>12</sup> The allocation model attempts to calculate a campus’s participation in doctoral instruction. Even if that is done correctly on a relative basis, the pool of allocation lines is woefully inadequate.

<sup>13</sup> This could be either directly from the allocation model formula or that value adjusted after discussion with the campuses.

not explicitly take into account the scholarly activity-of faculty other than direct doctoral instruction.

- If utilized, a reexamination of the GSUC allocation method would be appropriate.

2. *Adjust the model to recognize scholarly activity as represented by members of the doctoral faculty at each campus*

**Rationale:** It is in the university's interest to have active scholars and researchers on the faculty of colleges: not all faculty are such; active scholars and researchers need a smaller teaching load to carry on their scholarship and research, which should be reflected in the ISM calculation; the doctoral faculty in each discipline approximately represents the most active scholars and researchers in that discipline

**Method:** One method to accomplish this would be to first decide on putative teaching loads, e.g. for "active scholars and researchers" use an average teaching load of 6 hours and for others 9 hours<sup>14</sup>, and assume that the ISM model could be characterized as having 9 as its underlying basis. In a given department, with some faculty on the doctoral faculty, a weighted average teaching load would be calculated using the above figures and faculty target in the present ISM adjusted accordingly.<sup>15</sup> The new calculated faculty target would of course be higher, depending on the number of doctoral faculty in that department. Then these targets are summed for the whole college.

More simply, one could do the entire calculation for the whole college.<sup>16</sup>

An even simpler, but more arbitrary, method would be to add faculty entitlements to a college based on the proportion of doctoral faculty at that college. ---

Notes:

- The advantage of this method over method 1, is that it purports to take into account active scholarship, rather than just doctoral instruction.
- If used, it would be crucial to assure fairness and appropriate standards in the practice of selection of members of the doctoral faculty.
- Although clearly using doctoral faculty as a method is at best a crude approximation of quality and scholarship, it relies on an existing evaluative mechanism. *It is crucial to note is that even if the calculation is done by department, the only "output" is a faculty target number for*

<sup>14</sup> It is only the ratio of the two numbers that matters.

<sup>15</sup> In some more detail: suppose in a particular department, there are 20 actual faculty. of which 6 are on the doctoral faculty. Then the average nominal teaching load for that department is  $(6 \times 6 + 14 \times 9) / 20 = 8.1$ . If the target faculty under the current ISM model were 30, the new target would be  $30 \times 9 / 8.7$  or about 33.

<sup>16</sup> In a sample calculation, the difference between applying the model department-by-department and summing and applying it all at once to the whole college was very small.

*each college as a whole. Inadequacies in the method are only important if they produce sizable systematic errors in the overall college numbers.*

**3. Add faculty entitlements based on some measure of scholarly and public service activity to those generated by the ISM model**

Rationale: The purely instructional methodology of the ISM does not sufficiently take into account non-instructional faculty time for those heavily involved in scholarship and public service.

Method: One could choose quantitative measures such as total research (pure and applied) and public service awards to calculate relative weightings for the campuses, decide on a CUNY-wide figure for additional faculty entitlements, calculate a faculty count for each campus that would be added to the present ISM number to get the faculty target for that campus.

Notes:

- The advantage is that it attempt's to use some objective measures of scholarship and public service.
- It will be somewhat tricky to identify the public service component, as opposed to training grants, for example.
- Deciding the CUNY-wide number would be rather arbitrary, at least in the short-run. In the long run, it might be possible to produce a rationale by detailed analysis of faculty time costs.
- As in method 2, as arbitrary as aspects of the calculation may be, *inadequacies in the method are only important if they produce sizable systematic errors in the overall college numbers.*

If any of these methods seem worth pursuing, the next step would be <sup>to</sup> ~~do~~ develop sample calculations for the committee. Although conceptually, it may seem like "double-counting" to use more than one method, if the total effect were somehow "capped", a mix of methods might smooth out some individual inadequacies.



ATTACHMENT C

JOHN JAY COLLEGE OF CRIMINAL JUSTICE

*The City University of New York*  
445 West 59th Street, New York, N.Y. 10019  
212 237-8000 / 8724

November 9, 1994

President Matthew Goldstein  
Chair  
Council of Presidents' Ad Hoc Committee  
on Base Level Equity  
Baruch College  
City University of New York

Dear President Goldstein,

Based on my understanding that as Chair of the Council of Presidents' Ad Hoc Committee on Base Level Equity you are interested in receiving information relevant to the Committee's assigned task, I am writing to bring your attention to information and supporting documents which I and my colleagues at John Jay believe are pertinent to the Committee's deliberations.

The documents, which are attached, are three letters to Vice Chancellor Richard Rothbard that the John Jay Faculty Senate issued subsequent to a meeting of Vice Chancellor Rothbard with the John Jay Faculty Senate, at the Senate's invitation, in December 1993; and two resolutions passed by the John Jay Faculty Senate this semester in response to the plan announced on July 7, 1994, for achieving "base level equity" in full-time faculty positions among the CUNY senior colleges.

The Faculty Senate's first letter to Vice Chancellor Rothbard (attached), dated March 31, 1994, demonstrates that John Jay College has been grossly underfunded in comparison to more advantaged senior colleges of CUNY with regard to both full-time faculty lines and non-faculty lines and other resources for support.

Accordingly, in our third letter (attached), dated October 6, 1994, while the Faculty Senate noted the importance and justice of the plan announced on July 7 for achieving base level equity, we suggested that more needs to be done to achieve greater equity among the senior colleges in non-faculty lines and other resources for support. We also questioned whether measures of scholarly activity and other desired achievements could be fairly included in the base level model as long as some CUNY senior colleges are grossly advantaged compared to other CUNY senior colleges in their

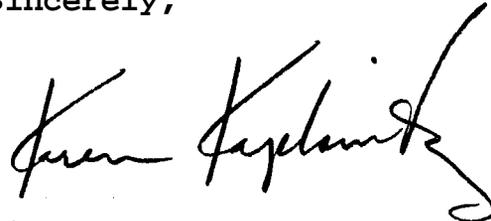
President Goldstein  
November 9, 1994  
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very ability to fiscally support scholarly productivity and similar activities

I have read Vice Chancellor Freeland's memorandum of November 4, 1994, to the Council of Presidents' Ad Hoc Committee regarding "Possible Modifications to Instructional Staffing Model." I plan to write to you and the Committee again on behalf of the John Jay Faculty Senate after I and my colleagues have had the opportunity to analyze that memorandum -- and the additional minutes of your Committee's proceedings -- in light of the concerns articulated in our letters to Vice Chancellor Rothbard and briefly articulated in this letter to you. In the meantime, however, I believe that it is vitally important to the Committee's deliberations that the Committee be aware of the facts, positions, and questions raised in the attached letters and resolutions.

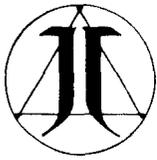
Thank you very much for your attention to this letter and to these materials. I and my colleagues at John Jay are very appreciative of the decision of the Committee, as noted in the Committee's minutes, to share its deliberations with the University community and to be open to comments and suggestions from that community. Please do not hesitate to contact me if I can be of help in any way.

Sincerely,



Karen Kaplowitz  
President, Faculty Senate

cc. Chancellor Reynolds  
Deputy Chancellor Mucciolo  
Vice Chancellor Rothbard  
Vice Chancellor Freeland  
President Lynch  
Budget Director Brabham



ATTACHMENT D

JOHN JAY COLLEGE OF CRIMINAL JUSTICE

*The City University of New York*  
445 West 59th Street, New York, N.Y. 10019  
212 237-8000 /8724

November 9, 1994

Vice Chancellor Richard M. Freeland  
Office of Academic Affairs  
City University of New York  
535 East 80 Street  
New York, NY 10021

Dear Vice Chancellor Freeland,

I have received a copy of the minutes of the September 23, 1994, meeting of the Council of Presidents' Ad Hoc Committee on Base Level Equity and note that at that meeting you were asked by the Committee "to present ideas for developing and imbedding into the ICM indices for academic matters not presently covered by the model, for example, involvement in sponsored programs, doctoral education, and other areas." I have also read your memorandum of November 4, 1994, to the Ad Hoc Committee on Base Level Equity regarding "Possible Modifications to Instructional Staffing Model."

On behalf of the Faculty Senate of John Jay College, I will be writing to you at greater length about these matters; in the interim, I would like to bring to your attention certain correspondence from the John Jay Faculty Senate to Vice Chancellor Richard Rothbard as well as certain other Faculty Senate documents which I believe are very relevant to the issues you are exploring and which I hope you will take into serious consideration when formulating your responses to the Committee.

A bit of background: In December 1993, Vice Chancellor Rothbard was kind enough to meet with the John Jay Faculty Senate at its invitation to discuss John Jay's budgetary situation. At that meeting, Vice Chancellor Rothbard agreed to provide the Senate with certain information specifically requested by the Senate regarding John Jay's fiscal situation. Subsequent to receiving the requested information from Vice Chancellor Rothbard, the Faculty Senate issued three letters to Vice Chancellor Rothbard which argued in detail (see especially our letter of March 31) that John Jay College is grossly disadvantaged compared to certain other CUNY senior colleges with regard to both full-time faculty lines and non-faculty lines (i.e. support for services). Copies of these letter are attached.

At present I would like to particularly draw your attention to our

Vice Chancellor Freeland  
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letter of October 6, 1994, and to points #1 and #3 of that letter, in which the Faculty Senate makes the points that:

1. Even if base level equity (however defined) in full-time faculty lines is achieved, under current funding plans there would still be gross disparities among the senior colleges regarding the funding of non-faculty lines and other support services.
2. As long as some CUNY senior colleges are grossly disadvantaged, vis a vis other CUNY senior colleges, in their fiscal ability to support scholarly productivity and/or to achieve various other educational and institutional goals, can measures of scholarly activity, and the like, be fairly incorporated into the ICM without further discriminating against already disadvantaged colleges.

I would also like to call your attention to two resolutions (also attached) passed by the John Jay Faculty Senate: the first resolution expresses the Senate's appreciation of and support *for* the plan announced July 7 to achieve base level equity in full-time faculty lines among the senior colleges: the second resolution calls upon the Chancellory to work toward achieving greater equity among the senior colleges in the distribution of all University resources.

Thank you very much for your consideration of these matters and materials. As I stated above, I will be writing to you in greater detail about these issues shortly. In the meantime, please do not hesitate to contact me if you have any questions about these matters or documents,

Sincerely,



Karen Kaplowitz  
President, Faculty Senate

cc. Chancellor Reynolds  
Deputy Chancellor Mucciolo  
Vice Chancellor Rothbard  
President Lynch  
President M. Goldstein  
Budget Director Brabham