





SEPTEMBER 19, 1990

President Frank H. T. Rhodes: "Ladies and gentlemen, I want to invite you to take your seats, and by doing that, call the meeting to order. I'm presiding only on a strictly pro tem basis. I need to remind you that only FCR members can vote on those items that come to a vote, and that it says here, 'photographs and tape recorders are not permitted, except for the tape made under the auspices of the Office of the University Faculty,' and that's this one, the Dean assures me.

"Let me call on Dean Walter Lynn for announcements. Walter."

1. ANNOUNCEMENTS

Dean Lynn: "Thank you, Mr. President. I'd like to express my welcome to all of you for the 1990-91 academic year, and especially to the new members of the University Faculty who I hope have come today. I did want to add one announcement item for your information, and that is 'why is the President presiding?' In looking at the record, the President is declared to be the presiding officer of the University Faculty, and until we elect a Speaker, who normally presides, and we will go through that exercise, I thought we'd return to an interesting old tradition, and the President was willing to do that at my request, and I'm delighted he has done so.

"The other item that I have the sad duty to perform at this meeting is to announce the deaths of members of our faculty, standing members as well as emeritus faculty, since our last meeting:

*Leland Spencer, Professor Emeritus, Marketing, June 12, 1990*

*George J. Hucker, Professor Emeritus, Food Science and Technology,  
Geneva, May 18, 1988*

*Robert L. Bruce, Professor, Education, June 18, 1990*

*Jean Warren, Professor Emeritus, Consumer Economics and Housing,  
July 19, 1990*

*William J. Hamilton, Jr., Professor Emeritus, Conservation,  
July 27, 1990*

*James L. Brann, Jr., Professor Emeritus, Entomology, July 29, 1990*

*Norman Malcolm, Susan Linn Sage Professor of Philosophy, Emeritus  
August 5, 1990*

*Frank H. Golay, Professor Emeritus, Economics, August 31, 1990*

Howard N. Fairchild, Sr., Professor of Mechanical Engineering, Emeritus  
September 1, 1990

John W. DeWire, Professor of Physics and Nuclear Studies, Emeritus,  
September 17, 1990

Please join me in standing for a moment of silence. Thank you.

President Rhodes: "I'd now like to call on Professor George Scheele, who is chair of the FCR Executive Committee, to make a nomination for the office of Speaker. George."

## 2. ELECTION OF SPEAKER

Professor George F. Scheele, Chemical Engineering: "On behalf of the Executive Committee of the FCR, it is my pleasure to nominate for, I think the seventeenth year in a row as Speaker, Professor Emeritus Russell Martin. I think in addition to his great experience, the other qualification that he brings to this job which we really appreciate is a willingness to serve in this capacity year after year."

President Rhodes: "Thank you very much. Are there other nominations from the floor, please? There being none, we do not require a second for that motion, and I therefore declare Professor Russell Martin elected Speaker, and I do that, Russ, with the greatest pleasure."

Professor Emeritus Russell Martin, Communication: "It just shows what a lot of hard campaigning will do. I thank you very much for the privilege of again serving as your Speaker. It is a pleasure."

"The Chair next calls on President Rhodes, who will recognize the Distinguished Teaching Award recipients for 89-90."

## 3. DISTINGUISHED TEACHING AWARDS

President Rhodes said he was happy to recognize all the recipients (Appendix A, attached).

"I want, on behalf of all members of the Faculty and indeed all members of the University, to congratulate you warmly on these awards."

Speaker Martin: "While the President is still on his feet, we invite him to remain so for the State of the University address. President Rhodes."

## 4. STATE OF THE UNIVERSITY ADDRESS

President Rhodes: "Mr. Speaker, Mr. Dean, ladies and gentlemen. I want to first say that I'm going by this clock and not by this one, because it seems

to me that that's an important principle to establish early in the proceedings. I want to welcome you to an important year in the life of the University, and a notable year in terms of the year that's just ended. It's been not the most outstanding year that we've ever had, in terms of new memberships in the academies or other awards, but it's been a very satisfactory one. One member each in each of the major national academies, three Guggenheims, five Presidential Young Investigator awards, the Tyler Prize, shared by Professors Jerry Meinwald and Tom Eisner, the Lawrence Award of the Department of Energy, received by Professor Maury Tigner, and the National Humanities Center Award Fellowship by Professor Gordon Teskey in the English Department.

"It's been a notable year for new additions to the faculty, and those of us who had the pleasure of attending an orientation program a week ago know something of the range of expertise and commitment that those new appointments represent. It's a notable year too that we just completed in terms of research funding. That was up by almost seven percent this year, to a record total of \$285 million. It also was a record year in gifts of \$161 million, and all of you are now exposed fully to the latest crop of new student arrivals on campus. We have 2900 new undergraduate students this year. Twelve percent of them are underrepresented minority students; that's up from a year ago. Twenty-seven percent of our students this year are from minority groups, and that's up by three percent over a year ago. And of course we continue to enjoy the most loyal and professional support from the members of the professional staff on the campus.

"We enter the year, then, in a strong position from a year ago, and the year itself is notable, because as you well know, it represents Cornell's 125th anniversary, and it's remarkable to look back upon the dream of Ezra Cornell and Andrew Dickson White and to see the way in which that has persisted with such effectiveness. Remarkable achievements towards the goals that they set, and remarkable strength across the board, as a result of your efforts and your own commitment.

"All that might suggest that the new decade on which we've entered is likely to be a good time for universities such as Cornell. I think nothing could be further from the truth, and I believe we're entering a very tough decade in the years before the beginning of the next century. Part of that, of course, reflects the global changes and uncertainties in everything from the political instability we now face to the limited economic growth on which we're now entering, everything from uncertainty about energy costs to employment outlook. But beyond that, there are even more ominous signs for universities such as ours. I spent yesterday in Washington, visiting with six congressmen, talking to them individually about financial aid and research support, and the outlook there is totally dominated by despair over the budget. The only place I know which is worse than Washington as far as the budget outlook goes is Albany, and there the worst is likely still to come. It's very clear now that even with the tax measures adopted and the budget balancing measures adopted, before this year's budget was put into

effect, there is a major shortfall built into this year's budget, and we haven't yet heard the end of that.

"On top of that, the changing demographics continue to be a challenge for us, both in terms of what Bob Barker has described as the square wave of faculty retirements which is now beginning, and in terms of the shortage of new members to fill those posts on the faculty. You'll know the study by Bowen and DeSouza which has predicted that in Arts and Sciences, by 1997, there will be only seven applicants for each ten faculty vacancies that become available. On top of those faculty shortages, in which the uncapping of retirement is likely to be a help to us, there are continuing concerns about student demographics. Since 1981, when the number of 18-24-year-olds peaked, those numbers in that age group have gone down from a high of 30.4 million by a total of 14 percent, but the decline continues into this decade, until we reach the trough six years from now, when they will go down by another 6 percent between now and 1996, so we have very challenging demographic changes that are about to confront us and become worse.

"On top of that, as you'll note from a front-page article in last week's New York Times and this week's Fortune magazine, public confidence in higher education is not at its peak. There is massive public concern and criticism about our degree of responsibility as custodians of higher education, and the plight of private research universities such as ours I think is particularly difficult. You'll have read of the decision by the National Science Board some three weeks ago to award a major contract for \$60 million or so for a high-field magnetic lab to Florida State University rather than to MIT, and that was sparked apparently in large part by the State of Florida waving \$58 million in front of its proposal. That means that universities such as MIT and Cornell and other sister institutions will have to face very fierce competition for limited resources.

"On top of that, competing educational priorities are very much a fact of life now and will be increasingly over the next ten years. K through 12 is seen by most members of the public as far more urgently in need of whatever extra help there is than is the higher education system, and with that there are, ironically, growing public expectations that we should do more with what we have, everything from finding a cure for AIDS to taking care of the problems in the nation's schools and inner cities.

"To compound that, local community concerns have rarely been more intense, not simply in our own community, but as you'll have read a week ago, in Evanston, Illinois, the local city government proposed a tax on undergraduate tuition. That's still a matter of controversy.

"So challenges lie ahead of us. This will not be an easy decade. Why, then, do we have any right to have confidence in the future of our own university in such troubled times as these? We have a right, I think, to feel a sense of priority and a sense of confidence because in the changing world in which we live, the greatest single contribution that can be made, perhaps the only

contribution of lasting value, is human talent and human potential, and our mission remains to serve society as a major university of the first rank. How do we explain that to a skeptical public? How do we help them to understand the centrality of the mission of a university such as ours? I believe the most precious resource that we can offer, the most important product that there is in the nation, is this battery, this continuing thin stream, of educated, talented, committed men and women, educated as opposed to trained, educated as opposed to simply well informed, and I mean by that what I believe are the three values that have undergirded Cornell during this century and a quarter of existence. The first of these is a sense of discovery that permeates the campus, both in your own scholarship and in the style of teaching which that infuses. The distinction is an important one, because teaching on this campus does not involve simply filling an empty pot; it involves the exciting sense of discovery which is shared with you, the members of the faculty. Discovery permeates what we do, and becomes a way of life for those who are our graduates.

"Secondly, a sense of leadership is clear on our campus. It's a distinctively Cornell feature. Leadership not by speeches and oratory, but leadership by example and by excellence, and you can taste that kind of leadership amongst both faculty and students on the campus. It's not by courses or majors in leadership which some colleges are now giving, but it's by daily contact with men and women of the faculty that students themselves become leaders, and you can see that in the alumni volume. That's a characteristic of the education that Cornell has to offer.

"And the third characteristic is that that simply leads to service. We exist not simply for the sake of knowledge in a vacuum, but because we believe knowledge is part of personal fulfillment, and we believe it's vital to the future of society. That being so, I believe we have a story to tell which we have been somehow reluctant and unable to get across, and it's one that we need to share widely if we're to prosper in the decade ahead. This last weekend I spent two days with 190 Cornell volunteers at a retreat, as we prepared for a campaign that I want to talk about in a moment or two. But as we prepared for that retreat, it occurred to me that if they are to spend their time, their spare time, campaigning for us, we have an obligation on our part to reach a kind of contract, a kind of compact, with them, and I want to describe briefly to you the kind of Cornell I believe will serve not just our own interests well, but the interests of a larger society well. I want to suggest to you that beneath those three values that I just mentioned, discovery, leadership, and service, there are five principles that are distinctive at our university. The first of these is simple, and we need to restate it in the face of the criticism which is so predominant in the public press, and that is that we're a service institution - we exist to serve our students. Other research institutes exist for other purposes; universities do not. We are a service university. Students pay our salaries; they are our clients; they are our colleagues in a literal sense; they are our

products; they are our successes in our particular disciplines. We exist to serve our students and to produce not simply graduates, but an educated, motivated, group of alumni.

"Second, people are the university. People are the real foundation of our strength, and we need to reaffirm that, because if you read this month's Fortune, there's a long and tiresome article on palaces built for the personal fulfillment of dreams of research that have nothing to do with reality. It is not buildings and libraries and programs that are the heart of a university; it is people, and we require in all our people that commitment to service and to leadership which have so long been characteristic of Cornell. We encourage improvement in the university by continuing improvement in all our people.

"And the third component, the third principle, if you like, that underlies those three values, is one that's distinctive of our community. This is a community of openness, and civility, of personal involvement in which all have some share, and of institutional pride and mutual respect for each other. It goes without saying that racism and sexism have no place, but we need as a community to reaffirm the sense of mutual respect and civility and cooperation which have for a century and a quarter stood us in such good stead.

"And then, number four. I think we have to pledge to those who are out to campaign on our behalf that we will be responsible stewards for the resources that they give to us. There's a great deal of public criticism about private waste in the university. I don't know of any at Cornell. We're a lean institution, but we have to say up front that we're willing to be responsible stewards of our resources, not just financial, but our facilities and everything else that's entrusted to our care. Efficient operations and long-term financial strength have to underlie what we do.

"And finally, the fifth principle: we have to be an institution of integrity in everything we do, in our programs, both individual programs and our collective programs. It's those principles, I believe, that have given Cornell its strength, and it's those that undergird the strength that we still enjoy. I've been discussing with members of the FCR, various groups, including one group as recently as last week, the motion that you passed almost a year ago now, that looked at the future and grappled with some of the priorities that we have to address.

"What are the priorities for the next five years? I believe there are four, and they are essentially the four that you as the Faculty Council of Representatives have already adopted, not in every detail, but in essence. These are the goals that I believe we have to embrace together. First, we have to build on our strength as a university, and put that at the center, at the focus of what we do, constantly improving the service that we give to all our constituents, and I cannot emphasize that service is going to be the thing that brings us to the forefront constantly in the future.

"Second, I believe we have to continue to maintain Ezra Cornell's dream by providing appropriate financial aid for all our students, undergraduate and graduate, for whom we traditionally provided, that means the financially needy. That doesn't mean financial aid to everybody; that doesn't mean as much financial aid as every individual thinks he or she will need, but I hope at least we can index financial need to tuition and maintain that as a distinctive feature.

"Third, we have to continue to attract and retain dedicated and outstanding faculty and staff, and the way to do that is to provide improved compensation (we have slipped in recent years) and improved working conditions, improved support, in every sense, compensation support and working conditions.

"And fourth, we have to achieve that with a balanced budget, not just in one year but with long-term stability. That means, much as I would like to see it, that we cannot guarantee that we can give you a ten percent increase in total salary. I think it's unlikely, in fact, in the short term, that that's possible. But we are committed to working towards improvement of compensation. How are we going to do that? That's a worthy goal, but how are we going to go about it? There are two ways that we have to address this. Let me mention both of them briefly. The first is the campaign that I've already mentioned, and a year ago I told you that if all goes well, we would be embarking this fall on a campaign for Cornell. We will do that, and although this is not yet official, because the Board hasn't voted on it, we expect, unless there is something that dramatically changes the scene, to announce that campaign in the middle of next month. It will be a campaign over five years of one and a quarter billion dollars, and it will be backed up by a nucleus fund that now stands at about \$340-something million, so we have that much in hand as we seek further support. It will spread over five years, and the chief leadership will come from a group of devoted alumni, but the faculty will have a growingly important role in that campaign, and indeed, some of you are already involved in it.

"That is not designed to add anything on to the university. It is designed to reinforce what we're already doing. It will provide funds, when it is completed, for compensation in terms of new endowment for positions, and for programs; it will provide a massive increase in student financial aid; it will provide support for the libraries; it will provide support for limited renovation and construction. It will include both the medical college and the Ithaca campus.

"Let me emphasize, however, that that's a campaign for the future. You and I, this year and next year and the year that follows, will see virtually no direct benefit from that campaign, because what we're doing is making it possible for those who have the affairs of the next century as part of their horizon. It will be a campaign for the future whose benefits evolve chiefly at the end of the decade. I say that because, even if we're successful, as I fully expect to be, that campaign will not solve all our financial problems. It's been pointed out by Professor Richard Schuler and his

committee that even if it was a hundred percent successful, if we continue to spend our general purpose funds at a rate of real increase of two percent a year, we should liquidate the new endowment in a relatively short period. And so, alongside that campaign is a second part of financial strategy. We are going to accept the FCR resolution to restructure and to reallocate about four percent of our budget, about \$10 million, over the next two years. We've already done some of that reallocation. Over the last four years, we have reallocated over \$13 million. We need to do more.

"How are we going to do that? We've done it chiefly up to now by doing it across the board. From now on, we must do that more selectively and more deliberately by consciously looking across the campus and deciding which areas to preserve and which to change, in terms of size, and that may mean changing up or it may mean changing down. We also have to do that humanely, and so at the end of this period of two years, I hope we shall have fewer people. I fully expect that most of the change will take place by attrition, by retirement, by resignation. We cannot guarantee, especially given the uncertainties in Albany, that that's going to be the case in every particular situation, but most of it will be by that means. At the end of that, we shall have rather fewer people, but we shall have better support, both financial and in terms of facilities and equipment and travel funds and research support, and everything else that we do on the campus.

"This is going to be vital, and we shall have to establish priorities, and we shall have to establish agreement, as to how it's to be done, and so Provost Nesheim and Senior Vice President Morley will be reviewing each unit, and we shall be working with you as to how to bring that about. That's something where you have provided leadership, and I appreciate that, and we shall need your continuing leadership and partnership as we embark on it.

"Let me now turn to four issues that I think are matters of immediate concern, against that background that I've just described. The first views that I want to talk to you about are ones that are very much in the public consciousness at the moment. Almost weekly you refer to them in the public press. In each of these we also need your leadership and your help. The first of these is undergraduate education, and the popular view is that research universities such as ours have failed the undergraduates. This is a view popularized by Professor Allan Bloom, but it's one that grows more strident with each new book and with each new sensational article on the subject. I believe Cornell's record is remarkable in this regard. I've taught in five different universities now, and I know of none of those that even begins to compare with Cornell in terms of the attention and commitment that members of the faculty, all members of the faculty, give to undergraduates. I believe we have to emphasize that, and continue to provide in undergraduate teaching the same kind of zest and commitment that marks our research and scholarly activities.

"What particular points need attention over the next year or two? Let me itemize them. First of all, some structural changes. We're attempting to

address some of those with the President's Fund for Educational Improvement, and let me mention just a couple of them. One is the teaching of languages, where numbers of students wishing to study modern languages are simply overwhelming the capacity we have to provide them. With the help of a group of anonymous donors, we're hoping that Dean Geoffrey Chester will be able to redesign the language teaching program by providing new facilities and new methods of instruction to cope with that burgeoning number of students.

"Second, we need to learn how to use emeritus members of the faculty more effectively, as tutors, as instructors and lecturers, in every part of our program. With the coming shortage of faculty and the coming uncapping of retirement, our needs coincide with their interests, and the kind of separation that has typically characterized retirement is one that we have to blur. We need to find creative ways to involve emeritus members of the faculty in our continuing teaching programs.

"Third, we have particular challenges in introductory courses, and some of those, as you know, especially the more popular ones in Arts and Sciences, are now closed, not only to students in other colleges, but to students within the college who have interest in them. We have not mobilized our resources as one university in addressing the concerns of the freshman year. I believe we need to do that, and I'm asking the Provost if he will engage the deans in that conversation, so in turn the departments themselves can be involved in it, more involved. If you look at the pattern of undergraduate education, there is a benefit in regarding the first year and perhaps the first two years as a university-wide responsibility, and not simply a collegiate or a departmental one. We have enormous strength which is still untapped, if only we will see the ways in which we can bring our total resources together, and that's going to mean perhaps boards of study in some areas where we have appointments spread across several colleges. It's going to mean perhaps more cross-college and intercollegiate appointments. These and other ways are likely to help us.

"The other question lurking before us is what we're going to do about the uncapping of mandatory retirement at age 70, which is now a mere two years away, and so I have asked the Provost if he will gather together the members of the FCR who have been working very helpfully and constructively on this, and make a report to an early meeting with the Faculty on this particular subject. A recent survey shows that 39 percent of our present faculty intend to teach beyond age 70. That's good news, as long as those who continue to teach coincide with the needs for teaching in that particular area. If they don't, we've clearly got a problem, and we need to address that together, looking realistically and humanely at ways in which we can continue to offer employment to members of the faculty beyond 70, but do it in a way that doesn't limit the flexibility of the university.

"Two other things I need to say which are less positive than some of those that I've just been talking about in undergraduate education. The first is this. I had lunch a couple of months ago with a group of lecturers and

instructors in one particular area of the university. They told me that collectively they are responsible for 40 percent of the teaching in their particular unit, but what surprised me was their degree of frustration and resentment that they were never invited to faculty meetings, and they had no part in the departmental curriculum committee. I believe that's wrong, and I don't believe when we as members of the faculty entrust that much responsibility to our colleagues, to our lecturers and instructors, that we should be even willing to contemplate excluding them from the discussions which involve the curriculum itself and the wider issues of policy in the department. I hope that departmentally you'll look sympathetically at what needs to be done to bring those members of the professional teaching staff more fully into the departmental fold.

"The other question I've put on the agenda, I've put on with some hesitation, because I had not supposed it was one that occupied the kind of priority that some of these other issues do, but as I talked about some of these points the other day with the FCR Financial Policies Committee, they said to me, 'You should add one more item to that list, and that's the question of student integrity, because students are turning to us, the members of the faculty, and urging us to take a lead in demanding a greater measure of student integrity.' I don't know how widespread that problem is in your department and your particular unit, but I do ask you, if you would, to give it your attention. We have a handbook on integrity; we have honor codes in various parts of the university. How much of a problem is this, and what can the FCR do, if there is that kind of student concern, to respond to it?

"Item number two, where we need particular attention and help this year: graduate programs. Let me explain why. The first reason, of course, is the shortfall between the number of graduates available with a Ph D and the faculty vacancies that are likely to occur. The larger question is the national problem, a challenge we face, in graduate studies. Nationally, the time to the doctorate degree continues to increase. Twenty years ago, the average time to a Ph.D. from the start of the course of study, was 5.3 years. That was in 1968. In 1988, that had gone from 5.3 to 6.9 years. That's the overall average. It's not altogether clear why that's happened, although there are a number of hypotheses. In addition to that, equally worrying, the attrition rate for Ph.D. students has also increased, and the national average, the rate of attrition, is now 50%. In many humanities departments, it is 80%, and that figure is simply too high for the students, too high for the faculty. At Cornell we are below the average in time to degree, but we're at about the average in attrition, and in some of our humanities departments it's also high, and so I welcome the fact that members of numbers of departments on the campus are working with Dean Alison Casarett to take advantage of a number of opportunities we now have to address this issue.

"The other troublesome thing is that the percentage of undergraduates going into graduate programs, and especially the percentage of the most able students, continues to decrease, and that's a source of real concern when you look at the composition of the work force of the future. For all those

reasons, the Provost has appointed an advisory committee under Professor Jere Haas which is looking at the graduate student experience, everything from TA's and their employment, to time to degree, to representation of graduate students within the faculty. That's an important committee, and I look forward to receiving their report, but in the meantime, the department and the graduate fields are really the focus of these concerns, and I invite your attention to what do seem to be important national concerns as well as local matters.

"Item three, where I invite your cooperation, invite you to work with us to improve the day-to-day life and relationships on the campus. We enjoy on this campus, I believe, a relationship between all members of the campus, students, faculty, and staff, which is positive and good. I invite you to join with me to make it even better. That means in every sense creating a positive environment, and you can help us, if you will, as to how we're to do that. There are numbers of things that we've already tried. Joycelyn Hart, for example, has been running workshops in sensitivity for two years now, and they've been very successful. We need to find out from you to what extent programs of that kind can be useful to the faculty, how we can improve day-to-day life in the residence halls as well as in the classroom, what we can do, in every kind of campus situation, to improve the respect and civility and understanding which have to continue to be the hallmark of the campus. How, for example, do we introduce new faculty members to campus life? Can we develop more widely the excellent mentoring programs that now exist in a number of departments? Are they wanted? Are they required by new members of the faculty? Do they regard them as helpful? If so, what can we do to extend and improve them? Dignity, respect, civility, fairness, openness - these have to continue to be the hallmarks of the campus.

"The fourth thing, and the final thing I want to talk about, is a little more difficult to define, but I want to invite you, as part of this reallocation process that we've just talked about, to take part in what I think of as delayering the campus, getting rid of many of the layers that we now have, and instantly one thinks of bureaucracy and administration, and that's just as it should be. We must delayer that, but we must delayer more, and get rid of some of the committees that now consume so much of our campus time, making our operation simpler, more direct, with decisions being made not on the basis of rules, but on the basis of judgment. I spoke a moment ago about trying to constantly improve the civility and the understanding in the day-to-life of the campus. I think this delayering and simplification and empowerment at every level is one way to do it. The person who has responsibility is the person who is likely to be fulfilled and satisfied in the job that he or she has. We can here do ourselves and everybody else on the campus a favor if we will work consciously together on how to delayer and how to simplify. I don't know how many print shops we have on campus. The interface between the statutory and the endowed is one that's often more impenetrable than the Berlin Wall. We need to find ways of bringing together the campus into a single community, and focusing all our resources on the issues at hand. Centralized versus decentralized. What's the optimum in

each particular case? There's isn't any given solution in that case, but we do need to look increasingly at all our operations, asking, 'how can we deliver the best service to the individual?' 'How can we provide the best support for this scholarship, and that research?' That's going to involve delayering, and simplification, and career matters, and a new willingness to be flexible. I believe we shall all benefit in the end from that.

"So let us welcome you to the year ahead. It's not just a numerical anniversary of significance, although it is that. I believe it's a turning point in Cornell's history, not only because of the difficult times, the rough water, through which we're now moving, but also because this campaign, if it's successful, will re-endow the University. It will literally transform the University in a way that few of us are completely conscious of at this moment. Cornell's distinctive characteristics will be undergirded, and they will be strengthened, but that kind of generalized overview will carry us all only so far. What we're going to need if we are going to succeed, not just in the campaign, but navigating through the difficult years ahead, is your willingness to make choices, your willingness to show the same kind of commitment in the future that you have in the past, and your willingness to make those choices on the basis of quality and on the basis of service. This kind of practical willingness to become involved with delayering, with simplifying, with focusing, is going to be the secret of Cornell's strength in the years ahead. If we do that, and maintain with it the kind of sense of freedom and civility and respect in the community at large that I've just described, then the year 1991 will be a notable year in the history of Cornell, and a proud year in the history of its continuing distinction. To that important task, I welcome you."

Speaker Martin thanked President Rhodes and called upon Professor Robert Harris for a report of the Committee on Affirmative Action.

##### 5. REPORT OF COMMITTEE ON AFFIRMATIVE ACTION

Professor Robert Harris, Director, Africana Studies and Research Center:

"At its May 11, 1988 meeting, the Faculty Council of Representatives adopted a goal of employing at least 137 minority faculty at Cornell. It also adopted as part of the report that the FCR should review and update annually the goal of employing at Cornell the same percentage of minority faculty as represented by their availability pool. In 1986-87 there were 1,518 faculty employed at the University, with an availability pool of approximately 9 percent, which gave us the figure of 137 minority faculty. That is not a stationary goal; it's basically supposed to change each year, depending upon the size of the faculty and availability. In 1989-90, the last year for which we have a report on the size of the faculty, there were 1,632 faculty and tenure-track positions and there was an availability of minority faculty of 10.7 percent, which means that the current goal for employing minority faculty should be at least 175."

Speaker Martin: "Are there questions for Professor Harris? Yes. Will you please, for the record, identify yourself by name and department?"

Associate Professor Richard Galik, Physics: "What is the present status of the employment?"

Professor Harris: "For the academic year 1989-90, that's the latest year for which we have figures, there were 131 minority faculty employed at the University."

Professor Galik: "Which is what percent, compared to the goal?"

Professor Harris: "Well, we didn't really calculate that, but we take the availability times the total number of faculty, and based on our initial goal with the size of the faculty at that time, it means that we are basically six short, but the size of the faculty has expanded and availability has increased since that time."

Speaker Martin: "Are there other questions? Yes, Professor Norton?"

Professor Mary Beth Norton, Mary Donlon Alger Professor of American History: "I'm also a member of the Affirmative Action Committee. I would wish that our chair, Professor Harris, would comment on the extreme difficulty the committee had in developing the figures that he has just presented so succinctly. In other words, I would like the FCR to appreciate the amount of work devoted to that [laughter], not just present it, and I would like Professor Harris to indicate to the FCR what the committee has been doing, in order to extract these figures."

Professor Harris: "Ok. The Dean of the Faculty informed me that I would have only a limited amount of time, so I tried to present this as briefly as possible, and our wont, as historians, Mary Beth, as you know, is to provide a context in which these things take place. Each college has a college faculty Affirmative Action Committee in place, and we worked with those committees. We received support from each of the colleges, except for two. We're planning to be a little tougher this year. We hope to have reports from all the colleges by starting out earlier and giving the colleges an indication of our interest in their particular work. We've asked the colleges to give us figures on the number of minority and women faculty in each department within the college, because the report that the FCR adopted suggested that colleges and departments should seek to hire minority and women faculty based on availability in the different fields, and where there's not significant availability, then those departments should be working to increase the pool of minority and women scholars. We encountered some resistance in this regard, colleges suggesting that we should rely upon the figures available through the University as opposed to the colleges supplying those figures themselves. Part of the reason for this request from the colleges and the departments is to begin to engage the faculty at the departmental level to look at what's being done in those departments, in

those colleges, as opposed to just looking at general figures within the University as a whole, so maybe that gives a little bit of the flavor of the work of the committee, and we don't want to frighten away the new members who have just recently been elected to the committee."

Associate Professor Ann T. Lemley, Textiles and Apparel: "Do you have similar figures on goals and how well we're doing in hiring women faculty?"

Professor Harris: "Ok. As a part of the report that the FCR adopted, the attention at that time was placed on traditionally underrepresented minorities, particularly African-Americans and Hispanic-Americans, and we were asked to report annually on progress in employing, and we use the term, 'employing,' because it's not just a matter of hiring, but there's also the issue of retention."

An unidentified speaker: "I'm a graduate student. I just have a question. I suspect that most departments have to report annually to perhaps the dean or to the appropriate authorities. My question is, why aren't they required to provide information about the minorities that they have available for hire?"

Joycelyn Hart, Associate Vice President for Human Relations: "May I just comment? We do have those figures across the campus, for each department, college by college, by discipline. I think the point that we need to engage the faculty at the level of the FCR is an important one."

Professor Harris: "I think that at this time, we would basically like the FCR to approve the updated figure."

An unidentified speaker: "I move to accept the report."

Dean Lynn: "If I may. The requirement by the legislation is that you report to the faculty at the fall meeting on the progress or shortcomings in increasing the pool and employing minority faculty; it doesn't prevent the committee from restating its goals or what the appropriate goal should be as a proper resolution before the body. I'd encourage you to do that, but the purpose of this report is, by the legislation that was created to establish a committee, for you to provide a report at the first meeting in the fall of the FCR."

Professor Harris: "Purely for information. But we could bring a resolution [Lynn: "Absolutely"] to a subsequent meeting."

Speaker Martin: "Thank you, Professor Harris. Our final item, further remarks by Dean Lynn."

## 6. REMARKS BY DEAN LYNN

Dean Lynn: "We plan to complete this meeting long before six o'clock today, and we will do that. I just want to remind you all as to what a chore it is if you don't say who you are when you're speaking, since we create a verbatim set of minutes and then the question is, who said that? And so it's very important in order that it goes into the official record and we have a record of every faculty meeting going back to the beginning. If you're interested in hearing your words, you're welcome to come see those. Those are in the University Faculty office, and it's important that we keep that record straight. If the Speaker continues to harangue you about, 'please state who you are', please give him your forbearance and cooperate.

"I just want to make three brief announcements. First of all, related to what the President referred to, the Financial Policies Committee is charged by this faculty to bring a report on an annual basis, and its recommendations, on an annual basis, and so it will produce a new report. Now, it may come up with 20 percent, just to keep things - no, I'm sorry, that's - since the President has already said that it's unlikely we'll see 10, but anyhow, it will shortly provide a revised report, and that will take place, I hope, talking to Professor Schuler today, that there will be discussion of that at the next FCR meeting and I encourage you all to come to that meeting.

"I want to point out two things that are in process that you may have heard about. First of all, there is continuing concern about the Buckley Amendment in terms of our responsibilities in posting grades to ensure the privacy of students and their records, assuring that only those that have a genuine right to know or need to know, from our point of view, the needs of the academic institution will have that. We've discussed this with the Council. What it says in the Faculty Handbook is still the policy. We may use a student's I.D. number, not their Social Security number, nor their initials or any personal identifier. The student's identification number is a legitimate, valid way to do that. If you want to return exams, why don't you ask the students to put their student I.D. number on their exam and return it that way, without using their name? We do have an obligation to be consistent with that law, so I just remind you of that, and the obligation is that we not use Social Security numbers or any name identification.

"The other thing is that there's a move afoot that you may have heard of that we're about to do a very innovative thing for this institution, and that is to make the final exam known to students at the time they register for a course, rather than later on in the semester. The objections have been raised, 'well, some students may take their courses based upon the ones that will let them out of classes', and if that's what our students believe is the reason to take a course, and that's what motivates them, then, so be it. It will in fact do much to relieve the grief for students and faculty members in not knowing how to plan their schedules, or whatever trips, and the like, they have to make. So, that's forthcoming.

"I want to take a moment to introduce Jennie Farley, who most of you know is our Faculty Trustee, and Isaac Kramnick, who is not able to be here, but Jennie, if you would stand up. (Applause) Mr. Speaker, that concludes my business. I'd be glad to answer any questions."

Speaker Martin: "Are there any questions for the Dean? Is there further business to come before the body? There being none, we are adjourned, and FCR members, please sign your name if you have not done so. Thank you for coming. The next meeting of the FCR is October 10th."

Adjourned 5:30 p.m.

Mary Morrison  
Secretary

1989-90

**DISTINGUISHED TEACHING AWARDS GIVEN BY CORNELL**

COLLEGE

RECIPIENT

AWARD

Agriculture and Life Sciences

Professor of Education  
**William E. Drake**

Chancellor's Award for Excellence in Teaching - by the State University of New York

Professor of Agricultural Economics  
**Richard D. Aplin**

Edgerton Career Teaching Award - by the State College of Agriculture and Life Sciences

Professor of Ornamental Horticulture  
**\*Robert G. Mower**

Professor of Merit Award - by the State College of Agriculture and Life Sciences, Cornell, given by Ho-Nun-De Kah (Agricultural Honor Society)

Architecture, Art and Planning

Assistant Professor of Architecture  
**Andrea Simitich**

Martin Dominguez Award for Distinguished Teaching

Arts and Sciences

Professor of Chemistry  
**Jon C. Clardy**

The Clark Award

Assistant Professor of German Studies and Women's Studies  
**Carolyn A. Martin**

The Clark Award

Sr. Lecturer, Dept. of Modern Languages and Linguistics  
**\*Nancy Gabriel**

The Clark Award

Sr. Lecturer, Dept. of Modern Languages and Linguistics  
**Zulma Iguina**

The Clark Award

COLLEGE

Arts and Sciences

RECIPIENTAWARD

Sr. Lecturer, Dept. of English  
**Lynda Bogel**

The Clark Award

Sr. Lecturer, Writing Program  
**\*Keith Hjortshoj**

The Clark Award

Engineering

Assistant Professor of Operations  
Research & Industrial Engineering  
**Joseph Mitchell**

Excellence in Teaching Award -  
by Cornell Society of Engineers  
and Engineering Tau Beta Pi

Professor of Theoretical and  
Applied Mechanics  
**Richard Lance**

Dean's Prize for Excellence in Teaching

Francis Norward Bard Professor of  
Materials Science and Engineering  
**James Mayer**

Dean's Prize for Excellence in Teaching

Professor of Mechanical  
and Aerospace Engineering  
**Zellman Warhaft**

Dean's Prize for Excellence in Teaching

Lecturer, Electrical Engineering  
**John Belina**

Dean's Prize for Excellence in Teaching

<u>COLLEGE</u>	<u>RECIPIENT</u>	<u>AWARD</u>
Human Ecology	Assistant Professor of Human Development and Family Studies <b>Cynthia Hazan</b>	Distinguished Teaching Award - by the College's Alumni Association and Omicron Nu Honor Society
	Senior Lecturer, Department of Consumer Economics and Housing <b>Lois Gosse</b>	Chancellor's Award for Excellence in Teaching
Veterinary Medicine	Assistant Professor of Clinical Sciences <b>*Susan L. Fubini</b>	Norden Distinguished Teacher Award

\*Will not be able to attend September 19, 1990 University Faculty/FCR meeting.

## MINUTES OF A MEETING OF THE FACULTY COUNCIL OF REPRESENTATIVES

October 10, 1990

Speaker Martin: "Will the meeting please come to order? The chair would again remind you that no tape recorders or pictures are permitted during the FCR meetings, and when you wish to speak, please identify yourself for the record. The chair first calls on Dean Lynn for announcements."

## 1. ANNOUNCEMENTS BY DEAN LYNN

Dean of the Faculty, Walter R. Lynn: "I'd like to call attention, if you will, ladies and gentlemen, to a number of the things that were circulated in the call to the meeting today. The photocopy policy is a matter of some concern, and is a matter which requires your attention. As stated in that letter, apparently, there's an increasing use of anthologies, homemade anthologies, that are used to provide students with materials, all an understandable process. I urge you to read the elements of that handout you were given, which will in some way intrude upon a practice that has become relatively common, and none of us like to feel that we have been scofflaws, if you will, but the matter does require your attention. It was called to my attention that there is another version of that policy which is less strident. That is, one asserted as being a statement on behalf of the publishers which came to me from a librarian. The facts are no different; the distinction has to do with what's called 'fair use' and I will distribute that to you in the near future, because it's a more expansive treatment of 'fair use.' It does not change anything that is already stated, in that little pamphlet and in the *Faculty Handbook*. I'm sure that that's going to be a matter of some concern to the faculty, and you may hear more from your college, and I may hear more about it from you as well later.

"You also received a copy of the President's speech given at the last FCR meeting on September 19th.

"And finally, the Memorial Statements, which have just been completed for 1988-89 are ready to be printed. We decided to transmit those to the Faculty in a different way. There has been a long-standing tradition that every Faculty member received a copy. Some of you do not even know the people who are memorialized by their colleagues in these statements. We have an obligation to maintain these, and will, in the future. However, as a cost-conserving measure, we will offer it to Faculty members and give them a list of names of everybody who's included and if you wish to receive a copy, we will supply it to you. Otherwise, for many Faculty members who do not know any of those people, the memorial statements are not of any interest, and we will not send a copy to you. So, you will get a little notice listing the names of the people who are memorialized in those statements, with the option of receiving a copy if you wish. It will be sent to you."

Professor Locksley Edmondson, Africana Studies and Research Center: "May I ask a question? How do you know how many of these booklets to print in advance if you don't know how many people read them? Are you asking Faculty to indicate their interest, wait for a certain time, and print them up?"

Dean Lynn: "Yes, we're holding back the printing until we receive a response. Let me just take up a couple more minutes of your time before we turn to the principal item of concern. Let me remind you of the practice that we started last year. The FCR Financial Policies Committee has for many years served as a sounding board for the Faculty in discussions with the administration about items pertaining to the University budget. The University budget is that large budget which involves primarily the endowed budget. At the same time, recognizing that there are special financial policy issues associated with the statutory colleges, we have appointed a subcommittee who looks at Faculty compensation issues and other related matters having to do with the statutory budget, so, even though the statutory budget is viewed to be outside the control, if you will, of the central administration, it is important to provide some sort of advice about these budget matters from the Faculty, and that's the procedure we have elected to follow. In terms of the University endowed or general purpose budget, Professor Schuler will shortly present to you the beginning of a two-step process. The first step will be to seek your counsel, advice, suggestions, and the like; that's, of course, at this meeting, with no action involved. At the next FCR meeting, the Financial Policies Committee will present to the Faculty its recommendations pertaining to the budget, which it will then transmit to the administration. These two steps are important, and it will seek your endorsement of that policy, so that that message is conveyed to more than the distinguished, hard-working group of faculty members who serve on that committee and who meet this time of year almost on a regular basis, that is, at least weekly, in order to address these problems. So, that's our mission today; it is not to act explicitly on any specific recommendations, but Professor Schuler will seek your advice, comments, suggestions, as well as to provide you with some data. If you have not picked up a copy of this preliminary report from Professor Schuler's committee, it is on the table, and you are welcome to do that.

"Mr. Speaker, are we still missing two?"

## 2. APPROVAL OF SUMMARY MINUTES OF MAY 9, 1990

Speaker Martin: "Yes. Are there any FCR members who have not signed in? We need two more warm bodies. All right. Are there any other questions for the Dean? Keep him going. We may get a quorum yet. We'll have to delay acting on the Minutes of May 9, hoping that we get a quorum. There's one coming in. You're FCR? Way to go! Oh, we're way over!"

"Are there any corrections to the Summary Minutes of May 9? There being no corrections, the Minutes of the May 9 FCR meeting stand approved as distributed.

"The chair next calls on Professor Richard Schuler, Chairman of the Committee on Financial Policies, for a preliminary report on assessment of last year's performance and this year's objectives."

### 3. PRELIMINARY REPORT OF FINANCIAL POLICIES COMMITTEE (Appendix A, attached)

Professor Richard Schuler, Civil and Environmental Engineering and Economics: "Dean Lynn, in recounting the budgetary process that we've engaged upon, there's one important component you've neglected, namely the third stage of the process, that is, the December meeting, when the Provost comes before us and tells us why everything is impossible! So that's an equally important step.

"Once again I appear before you as our committee's weather vane and designated pincushion, as we enter into the second year of this more formalized process of discussions with the administration that Walter has described to you. And he's right. The fall part of our schedule is very intense, with weekly meetings. However, that's only half the season. What we try and do in the spring is to identify longer-range issues that don't have quite the immediacy and also see to what extent we can lead to fruitful discussion and interaction of the committee, and I thought it might be useful also to describe some of those issues that our committee raised last year. We certainly were concerned with the impact of the uncapping of retirement, and I know Dean Lynn and the committee urged the administration to begin to map out some alternative financial consequences of that. There was a separate committee formed, also to work together with the administration, both in terms of understanding the financial implications and obviously also in trying to arrange a flexible set of plans and options for the Faculty, as their plans evolve over the years, and also conveying that information to them.

"A second, sort of long-range concern of ours continues to be the state budgetary process and how that seems to be almost out of any leverage or grasp of this University. Again, Walter described the formation of the statutory subcommittee, but we still seek, search, and look for all kinds of ways that we might in some more sensible way involve ourselves with that process.

"Also, concerns of the committee in the spring were to look at some of these longer-run efficiency issues. We spent some time talking about the various enterprise units. Many of the operations on campus truly are intended to be operated as independent businesses: housing, dining, the Bookstore, are all examples, and I guess our conclusion after some discussions is by and large that seems to be true, with the possible exception that perhaps the value of buildings are not accounted for in the way that a true independent business might account for the values of that, but all other aspects seem to be pretty much tubs on their own bottoms. We also focussed on trying to explore the efficiency of the whole range of administrative activities on campus, both the efficiency of the individual activities in Day Hall, Admissions, and also the duplication on campus, and I guess the biggest conclusion we came to quickly was that there are real accounting difficulties on even beginning to assess that. Now, I was simply delighted to see the Senior Provost's byline in this morning's *Sun*, that we have a white paper coming forward to deal with that very issue, the question of streamlining bureaucracy here on campus.

"The other issue that the committee tried to deal with once again is that several years ago, we tried to measure the impact of budgetary policy on the ability to recruit faculty with ability to retain faculty, and so once again we instituted that survey. We hope to be able to get the results to you in November. A

snapshot in and of itself is not terribly revealing. What is important is to sustain this survey over a period of time, so that we can see, as budgetary policies evolve, whether our ability to attract or retain faculty is becoming more difficult, or are we growing stronger in that sense? Because any survey like this is imperfect in and of itself, but it seems to me some of the bads will cancel out to the extent we present a time horizon.

"As far as the meat is concerned, that is, the budgetary process of last fall, we laid out four broad objectives at last October's meeting, all of them the kind of thing we were hoping nobody could object to. One, 'pursue excellence.' Sounds wonderful, except that it had a caveat. Excellence within a university roughly the size of today's university, that is, excellence per faculty, excellence per student. Second, 'to enhance diversity,' and by that we meant provide a heterogeneous student body, maintain a heterogeneous, and enhance, in fact, the diversity of faculty and staff members on campus. Note that that objective could be in conflict with number one. It might be easier to accomplish two, if the University were to grow. Three, 'maintain a non-urban ambience on campus.' No blasting. Four, 'insulate the University from external financial shocks, to the extent possible,' and by that, what we really had in mind is the fact that education and research truly are long-range activities, and they don't benefit from rapid oscillations in budgetary allocations.

"Now, how do we insulate ourselves? In some sense, by diversifying our financial portfolio. Certainly, trying to expand the endowment, but also perhaps to find other sources of research support rather than relying so heavily on the federal government as we have in the past. Those were our broad objectives, and the budgetary recommendations that we had translated those into, began with one, holding tuition increases to the rate of inflation plus the average rate of productivity increases in the U.S. economy, and here it might be debatable; it might be productivity increases in the world economy. What we're trying to measure there is the growth of the value of the service that Cornell provides, and in some sense we do provide the underlying knowledge that's necessary to foster productivity increases, so that presumably our tuition is in line with the value provided it goes up at inflation plus those increases in productivity, and to the extent we are increasingly serving a world student body, perhaps it ought to be a world-wide index of productivity that we hold to.

"Second was to continue to try to maintain both the aid-blind admissions policy coupled with guaranteed aid to all that were accepted, and that I think all of you see as sort of essential in terms of sustaining this second objective of enhancing diversity.

"Three, increase faculty salaries by approximately ten percent in each of the next two years. It was perceived that we were falling behind in our competitiveness, and gauging the rate of growth of faculty salaries in those peer institutions that were experiencing the fastest rate of growth, it had averaged eight percent for those universities, and it seemed to us that if we wanted to get ahead of the pack, we were going to have to grow at a rate faster than the fastest-growing group in the pack, and so we added two percent to the eight percent average for those peers. We also, related to that, recommended that graduate stipends also increase at that level. We also expressed the concern,

and this is a long-term, continuing concern, that Cornell, given its location, establish broader mechanisms for providing gainful employment for the associates of faculty, staff, and their spouses here in Ithaca.

"Unfortunately, our committee now has a mandate to try and balance the budget as well, and all of those first three budgetary recommendations called for more money, where was the *quid pro quo* to come from, because the increase in tuition we recommended would not be enough to provide the other cost items, and so to balance the budget we recommended a two percent reduction in both faculty and staff over each of the next two years, accompanying the ten percent increase in salaries. Sometimes that last recommendation has been translated into an attempt to increase individual productivity. In terms of macro measures, that may be right, but I think the last thing I had in mind in signing on to that recommendation was to infer that individuals are not working hard here on campus. I mean, I think nothing could be further from the truth. What we are saying is that maybe some of the things some of the people are working on are now not as valuable as they may have been at another time. There may have to be some reassignments of activity, and we may not be able to afford in the long run to do as much as we have been able to do in the past, but it certainly is not intended as a spur to try and have an individual faculty member work ninety hours a week rather than eighty hours a week. There is, however, another possibility that the committee did not explore, and that is that faculty productivity might be enhanced by augmenting our services with other services, other facilitating services, so, as an example, while we called for in an across-the-board reduction in both faculty and staff, because historically staff levels have roughly grown with faculty levels, that isn't true over the past couple years, but over the longer run they have. It's conceivable that with more support staff per faculty, faculty productivity could go up in a desirable way, but those are all options that have to be explored.

"Well, how well did we do last year? Overall, the University did quite well financially. We ran a modest surplus, not much, and that I think is all to the good. It was a tough year in the sense that we took two financial hits. One was a conscious one to decrease the rate of the payout from the endowment to a lower level, so that we would have a sustainable long-run payout from the endowment. So it was a conscious decision to suffer in one year in the hopes that things would be better in subsequent years, and the second was an indirect consequence of our success in attracting minority students: the financial aid bill went up more than was budgeted for last year. So, in the face of all that, we still ran a moderate surplus.

"What about tuition, though, in terms of our targets? Well, it increased at eight percent. That certainly is more than our guideline, which was inflation plus at most two percent, so that, you know, we were targeting for roughly a seven percent tuition increase. In your handout, Table 2 shows Cornell's tuition as a ratio of seventeen other peer private institutions, and what we see is that we did slide moderately last year by 1.1 percentage points above the average of the peer, so it cost us a little bit. The second one, as long as you're on the same page, I refer you to Table 1, tries to show an index of how our aid policies are translated into what's the cost that faces a student coming here on full aid, and what we're indicating there is their price, the self-help component that's paid by that full-aid student. In that case, we've slipped a bit more, because

our self-help has gone up by three percentage points. Notice, that's after a four- or five-year period where we consciously had reduced our fairly high self-help component coming down quite close to the average of other peer institutions, so we've slipped backwards a bit more there.

"So, part of the answer of those two together is that, yes, tuition went up more than we had recommended, but it looks like many of our peers also boost tuition at higher than inflation plus productivity increases, so we didn't do so badly there.

"In terms of graduate student stipends, there ten percent was the increase last year, for incoming graduate students; the overall stipend level increase averaged about eight percent for both incoming and existing. The faculty salary pool, on the other hand, was in the range of six to seven percent, and we don't quite have the numbers of what happened last year tied down. Now, that may seem very, very much under our ten percent recommendation. In fact, it's not quite that bad, because it turns out the percentage increase in the pool is generally lower than the percentage increase in average faculty salaries. That's because the department chairs and deans are very clever, and they reallocate money that may be in the pool budget for leaves and other things and use it to increase individual faculty members' salaries, so again, we don't have the average increase in the faculty salaries. We expect that it will be higher than that six to seven percent. On the other hand, I don't imagine it's going to run as high as the ten percent that this committee recommended.

"Now, where does that put us vis-à-vis our peers? Well, I can refer you to Figure 1, the bar chart, but unfortunately, those data are lagged a year, so these data on comparative faculty salaries are really showing you the impact and the effect of a year ago's policies, and this committee can claim no credit nor deficit as a result of those policies, or at least the process is not part of that. But at least a year ago we stayed at exactly the same relative position among our peers as we had been in the two years before that, namely, a rank of sixteenth. If you go back over a longer time span, at one point in the early eighties we had risen as high as eleventh position, and there had been some effort to get us up as far as the eightieth percentile, which would have gotten us above the tenth position, but we seem to have settled back to a position-- actually, Cornell's salaries have wandered about for the past twenty years, vis-à-vis the peer institutions.

"Now I noticed that there were also successes for Cornell announced in the *U.S. News and World Report* ranking various universities. We all like these rankings, particularly if Cornell comes out well, as it is in this ranking, making us ninth among major universities. Nonetheless, it's interesting to look at that ranking. In only one category are we better than ninth, and that is academic reputation. All the others were down in the seventeenth and eighteenth, and I think the reason our average ranking is so high in this sort of exercise in numerosity is because we're not terribly bad in anything. We're not terrific, but we're not bad; we're sort of uniformly, you know, good. However, faculty salary, our faculty financial support is the description of the category, is seventeenth among the university peers in that category, so again, that's sort of consistent with this relative ranking.

"One other thing I should note is that in real terms, the faculty salaries at Cornell are probably back, have finally grown back to the level that we had in the early seventies. That has been a long struggle, because those of you that were around in the seventies recognize that there we had tremendous financial trauma, and faculty salaries really dropped well behind their former levels in real purchasing power terms. So we've probably made it back very close to the same real salaries that we had in 1970.

"Of course, the one recommendation that the administration has embraced with enthusiasm was the committee's recommendation to reduce faculty and staff by, four percent was the President's figure used in September's meeting, over the next two years, and the process is beginning. We continue to endorse that move, as long as it's done selectively and wisely, and I suppose wisely will depend upon the eyes of the beholder in that context. We do think that the other caveat is that we don't want to see it done just for its own sake; it's got to be done in conjunction with the other objectives. This is a balanced portfolio, a balanced plan, that we're proposing. We do think it can be accomplished through attrition. We would not support across-the-board cuts, and we note that the way it's beginning to be done is to essentially let open lines lapse, and that's the only way you can do it, through attrition, but we hope that as rapidly as possible those lapse lines will be reallocated so that it once again is not done in sort of a hands-off, arbitrary way, rather that it's done in a conscious way that will help strengthen Cornell rather than just pruning the budget.

"So, what are our objectives, then, for this year? There are some minor revisions we would offer. One, certainly, pursue excellence, and I know university-bashing is getting to be the in thing among the public, and certainly with the media. I was delighted to hear President Rhodes announce a concerted effort to mount a national dialogue on the role of research at a research university, because most of that university bashing is based on focussing only on one of the many outputs the university provides, namely the educational one. And there's a tremendous need, it seems to me, to generate the support that we provide for the nation and world economy through the research side of the university. As a matter of fact, to me it's sort of anomalous that in the United States a substantial fraction of the basic R&D gets done in the university. We can't hope to compete in an international framework without that R&D, and yet U.S. industry, and increasingly the federal government, is supporting less and less of that R&D. I sometimes wonder whether, what the President's policy is, you know, 'Read my lips, no new taxes' but no new funds for research, but what bottle does he propose to pull the productivity increases out of?

"The second objective we would like to expand is the one about providing a diverse enrichment on campus. We still hold to that; we think it's an important objective, but we'd like to add a caveat, and emphasize that to do it through one university. There are emerging concerns that there is too much balkanization that's beginning to take place, for a variety of reasons, on campus. Some of it is budgetary; some of it is social; but it is important to emphasize that we are one university.

"Three. We also want to broaden that objective considerably. President Rhodes alluded to it in his talk last week. What we want to do is provide an environment for learning, education, and research, but not just a physical

environment (that was last year's emphasis), but also social, economic, and ethical environment here on campus, and by that we don't mean just academic integrity in the classroom. We mean in all walks of activity on campus, where respect is shown for the right of others to express opinions from different cultures, different views. That's just absolutely essential for our sort of community, and I think it's doubly essential, given some of the difficult budgetary changes that are going to have to take place. We can only accomplish that successfully in an air of openness.

"On the physical side, I guess some of us still have concerns that we perhaps don't have the management plan in place that manages space, and buildings, in the equivalent way that we manage the other half of our endowment portfolio, the financial assets, and, as a matter of fact, I continue to wonder if a department chair had a space budget equivalent to their salary budget, and they were free to trade off space for salary increases, whether we wouldn't have space coming out of our ears here on campus. My real point is that those two allocations are not made in a similar sort of balanced way on campus. We applaud the imminent embarkation on a major capital campaign by Cornell. That, we think, will help provide us substantial additional insulation from the external shock. That's the beauty of a private university. The endowment provides you with that cushion to withstand fluctuations, and Table 3 points out our relative position in terms of endowment per student. It's astonishing how well we do, given how relatively small our endowment is; relatively, by that I mean relative to per student, because that truly is one measure of the insulating power we have.

"Those are broad objectives, and those are what I'd like to come back and have you discuss with us. Again, let me emphasize, hidden behind these are many, many other issues and objectives, detailed concerns, some I've mentioned already, the uncapping of retirement, providing flexibility in positions, and that extends not only to senior faculty members, but also increasingly to the problem we face with the many lecturers we rely on. It seems to me we're just going to have to come up with a broader base and range of flexible positions that can be tailored to meet the individual needs of both the professionals here on campus and the needs of the various departments and disciplines that are trying to deliver services; e.g. the joint spouse and associate problem. There's the problem of somehow integrating the endowed and statutory budget process. They certainly do have tremendous impacts on each other, and yet we seem to not be able to have much of a handle on the one side of it, and this issue about reinforcing the, and perhaps expressing it more frequently than we do, the importance and the nature of values here on campus, because I think that's going to be important to help get us through this process.

"So, in the face of the financial traumas we seem to read about in the headlines from the Middle East, oil prices up, stock market collapse, state and federal budgets in disarray, certainly one-and-a-quarter-billion dollars of additional endowment would be very, very helpful, and yet, the history of Cornell has been that its expenses and costs have risen at two percent per year above inflation. So, were we to be successful in that capital campaign, it means that if we continue on the same cost path, within ten years, any possible benefit we got out of that capital campaign would be totally eroded. That's sort of the dilemmas, the treadmill, we seem to be moving against all the time. I think in some respects in his white paper of last spring, Bob Barker laid out the dilemma in

its extremities. I love to paraphrase it as 'the war between the infinities,' and that's simply this: that if productivity increases continue to increase in the U.S. economy but because a university activity is labor-intensive, it doesn't have similar increases in productivity, yet for competitive reasons we've got to match the salary increases on the private side of the economy, it means that ultimately tuition has got to go to infinity. That's the one side. Now, the other side is, will we try and match the productivity of the private side, and that means we keep cutting on faculty and staff. That way we could probably hold tuition constant, but we'd wind up teaching all our students with one faculty member, and so, that's sort of the other infinity. We obviously know neither of those are going to take place, that what will come out is something in between, but our committee's concern is that what we need to do is start the dialogue, and plan for that future. What kind of university will we have? How will its structure be altered? Somewhere in between these two infinities we can achieve our goals and our objectives. I welcome your questions, and more importantly, your suggestions, about the objectives, because I've tried, we've tried on the committee to keep those as general as possible, really to keep them aspirations, and then the trick is going to be, how do you translate those into dollars and cents for individual programs?"

Speaker Martin: "Are there questions for Professor Schuler?"

Professor Don Randel, Department of Music: "Not surprisingly, the aspect of your report that makes me the most nervous is the recommendation that we reduce the size of the faculty by four percent, and it is not surprising that our colleagues in the administration have seized on that as a wonderful recommendation, and that we are to be congratulated for having exercised this marvelous leadership. Where I sit as Associate Dean in Arts and Sciences, I'm bound to say that I think that would be very difficult to achieve. I was quoted on this subject in the *Sun* and I should set that record straight. I did in fact say that it would be very difficult to achieve, not that we couldn't do it. I was asked what the likely consequences of this might be, and I agreed that course closings might be one of them. I did not, however, say what I was quoted as having said, 'Some departments will not survive.' Nor did I say anything that could be interpreted to have meant that. However, four percent of the College of Arts and Sciences is twenty faculty members. That is a good many more than a good many of our departments, and it is fully half of the biggest one. In our current circumstances, with the kinds of enrollment pressures that we face, even supposing that we were to make the tough decisions, which usually means the other guy's department, it would not be easy to achieve. I do not know of one department in the College that in fact doesn't have some aspirations to growth in one way or another. This year and last year we have put on hiring freezes, and to a rather considerable extent many positions are being held open and this is painful in the extreme in almost every case. If we imagine extending that to TA's, to reduce by twenty TA's in the College of Arts and Sciences, with increased enrollment and course closeouts and so forth, twenty TA's is a very big number to pull out of there, and I am curious, therefore, precisely by what method we're going to achieve this, and to what extent the Faculty and its Council of Representatives can be said to have thought about this recommendation and really be behind it, because I fear that when push comes to shove, despite many tough decisions and selected reductions and so forth and so on, to pull twenty people out of that Faculty will not be so easy."

Professor Schuler: "I think first of all it's agreed upon that it's worth trying. Then it's got to be a community decision on how to allocate, but there are real costs of not doing that. There are always targets of opportunity, exciting developments, in particular disciplines, where we would like to grow and we would like to be able to seize those opportunities, and yet historically we tended to do that without having other things diminished significantly, and it seems to me that if we are going to avail ourselves of the opportunities to take out and strike out after fresh opportunities, then it seems clear to me we're going to have to make some tough decisions in other areas. Now that may dampen our enthusiasm for striking out after new areas, but it seems to me that's the other side."

Professor Steven Shiffrin, Law School: "I'm interested in clarifying the extent to which the committee's support of the budget cut is related to increasing the endowment and the extent to which it is related to increasing Faculty salaries. You said that your support for a budget cut was based on seeing the recommendations as a package. You also said that if the capital campaign was to be successful, we could not continue to pass an increasing two percent a year budget. If I put those two things together, I think I would conclude that the way you see it is in the absence of increase in Faculty salaries, we should not cut the budget. That is, in the absence of an increase in Faculty salaries of the dimensions you were talking about, that rather we should stay at the same place, and you have a package in mind which is, if we get the increase in Faculty salaries, then ..."

Professor Schuler: "And TA support, and graduate student stipend support, and try to hold the line on financial aid. Those were all the cost items, the things that were going to cost us substantially, and the *quid pro quo* was a reduction. Now, our horizon was only two years, but what I think the nagging factor that persuaded us to move in that direction was also this sense of the longer-run budget dilemma to which you alluded."

Associate Professor Debra Castillo, Romance Studies: "Two points. The two plus two kind of proposal that you make is different from the total of four percent in the previous proposal. And the second point is I'm concerned with problems that would arise from reducing staff and faculty, and I'm particularly concerned that reducing faculty and reducing staff in order to maintain a minimum level of service would require hiring low-paid lecturers and I would very much resist that kind of thing."

Professor Schuler: "A concern that all of us share."

Associate Professor Jeremy Rabkin, Government: "You say that the Cornell ratios are based on a weighting of ranks. I assume you mean how many assistant professors, and so forth and so on."

Professor Schuler: "Yes."

Professor Rabkin: "And did you do that kind of weighting for the other schools?"

Professor Schuler: "Yes. The other schools set average salaries for each rank; I've then weighted by Cornell's composition of faculty, so in other words, what we've done is use Cornell's composition of assistant professors, associate, and full, as a base."

Professor Rabkin: "So this is not skewed by the fact that other schools may have a different composition?"

Professor Schuler: "That's right."

Professor Rabkin: "But still, it seems to me that this is something that we ought to think about, and I realize people in the Language Department in particular bring in lecturers to save costs and cut down on full professors and have more people of lower ranks who obtain less, and I think that is something worth thinking about. The second suggestion I would make is, or at least to say is that somebody ought to be told that. If we are making cuts is the criteria to be which departments have the most students, or will there be some other criteria? I would strongly urge that we do it on the basis of demand."

Professor Schuler: "Jeremy, you'd love to get the debate going, don't you? This is a personal response, not something that the committee has in any way agreed to, but I've long felt that, part of the debate, I think, is what the different departments may have to go through. It's nice to have the traditional magic formula that every faculty member is half teaching and half research, but it's just conceivable that the teaching demands of some departments may be all out of line in relation to what's a viable research co-activity. In other departments it may go the other way, and so, it seems to me that one thing that might be explored is sort of that magic, that every professor is half-time teaching, half-time research, or in the statutory units, half-time outreach, half-time research. There may be need for a whole range of more flexible kinds of arrangements among faculty members, depending on departmental needs, and arrangements that may change over time."

Professor Rabkin: "And this will be decided by the deans?"

Professor Schuler: "Well, I would hope that it would be decided by the deans and department chairs and committees of faculty within each college."

Professor Rabkin: "But not by us? We are not going to take a stand upon it, is that right?"

Professor Schuler: "If there were a will of this body, I suppose we could; I welcome the day that the will of this body is so clear."

Speaker Martin: "Professor Berkey."

Professor Arthur Berkey, Education: "You've addressed several budgetary needs or budgetary items. I find one significant omission, and that is administrative costs, as was addressed in Senior Provost Barker's recent visit. Is there a reason for this?"

Professor Schuler: "We took that up in the spring, in trying to get into a more detailed analysis. Let me step back. One, I think all of us have concerns, because we've seen duplication. On the other hand, if you look at the largest components of the budget, in dollar amounts, the administrative costs are not as significant as salary and wages or financial aid, so that's why we did not last fall address administrative costs per se. We felt we didn't know enough about the details. In the spring, we tried to explore in more detail, and what we uncovered is that the amount of data maintained by the University in the current form is not adequate really to come down with an analytic conclusion. I mean, we could arbitrarily slap on, you know, a cut in our recommendation, but it wouldn't help that much in balancing the budget compared with some of the other budgetary categories."

Speaker Martin: "Are there other, Bob?"

Senior Provost Barker: "Since you raised administration, I've got to stand up and say something, and I think it would be very useful to understand in the dialogue what you mean by administration. I think most of you mean whatever is in Day Hall and you stop there. But when you try to look at what's happening to the University in terms of its various populations, then you find people who are really, who would be classified as administration very broadly distributed. For example, one of the real drivers behind indirect costs is departmental administration, that which is being paid for in the department has been a very rapidly growing field. The point is that when we talk about administration, there is that. There's another element, and that is that most of the students, and parents who send their undergraduate students here particularly, I don't think it's quite the same with graduate students, although there are elements of it, expect a lot of us which isn't strictly deliverable in a classroom. It isn't deliverable even with you functioning as committed advisors. There are all sorts of services which are sort of para-endemic, I don't know whether that's a useful term, but they are expected on the campus. I mean, things like Career Centers, Learning Skill Centers, psychological counseling services, et cetera, et cetera, et cetera, and all of those tend to be under the envelope of administration, and if we have to think of ourselves as competing at some level for the students that we want to get, then we have to understand what if we were going to be making very substantial cuts in administration, what would we be losing? I welcome us looking and we are coming to the part of our problem of getting at these things and as Dick pointed out, we really haven't invested as much as you might think in collecting the data which would allow you to see the changes fairly rapidly."

"One further point is that the faculty has not yet reduced in size. The comments that have been made that we have started to reduce the faculty are not the case. The College of Arts and Sciences may this year have to reduce, but for the previous preceding four or five years it's increased in size, and part of their dilemma with the budget, is that they have more faculty than they can really accommodate. Now, I'm not saying whether or not they need them, but it's a fact that the numbers are there, so it would be useful to, as you think about the kinds of ways in which you can trim the budget and I am with you, administration has to be one of them, and I'm doing my bit, is what we mean by that, and what is it that we want to have less of, and if it would clearly end up being less services, some of which really relate to the quality of the institution and our competitors' position."

Speaker Martin: "Other questions or comments? Yes?"

Assistant Professor Mark Jarzombek, Architecture: "One thing, would the reduction in faculty be at the level of the review of faculty for tenure?"

Professor Schuler: "That certainly is not in our committee's recommendations. Our recommendation is to do it by attrition. By attrition we mean the normal evolution of lines when people retire, or people voluntarily leave to go elsewhere. Presumably, our presumption is that, as has been the case at Cornell, someone is hired on a tenure-track position, and they're gauged on their own individual merits."

Provost Malden Nesheim: "Can I comment on that? One of the issues that I also have is reduction on faculty. If a position is to be in jeopardy in a department, I think most of our deans have had the policy that if in fact that position is a person's up for tenure, and the person is not granted tenure for good academic reasons, they're not going to take the position away. In other words, the position and the granting of tenure are really separated in terms of how the positions are being made, whether the position is going to be retained or not; I would hope that that policy will be continued or we can end up with possible disincentives and wrong incentives."

"The number that has been kicking around is \$10 million. As we look at this by the beginning of the academic year 1992-93, the number really comes on the basis of the kind of model we can do from a budgetary perspective. We concede that again with certain constraints on tuition, given certain demands that we have on financial aid, and given certain expectations on salaries, that there is a gap in terms of our expected revenues and what we're going to have to spend, that comes out somewhere on the order of that number, by that particular period of time, and obviously included in that number is some expectations of having some flexibility to respond to initiatives and things like that that we have to do within the institution, as well as dealing with the summary questions that we recognize are there. So that the number is there. That doesn't necessarily mean that we're going to say that translates into a four percent reduction in faculty, or a four percent reduction here or there, but since dollars and people are almost synonymous in an organization like this, you can't avoid trying to make some of those comparisons. I think Bob's comment in his looking at the University in terms of what kinds of services maybe we can do better and what we can do without are going to have to be an important part of this whole process."

Dean Lynn: "I don't have a comment, but a question. The first is a general one. One member of your committee, Don Holcomb, as I recall, suggested that a greater discipline would be imposed on the budget if in fact the University determined its tuition policy in a sort of blind fashion. It would say ok, our tuition increase would be inflation plus two percent, period, that's the income side, and the balance of it would have to meet that budget. The question I've got is that in these policy alternatives, the goals and objectives, there may be some choices that are going to have to be imposed in trading those off at the same time. Does the committee think that it will rank those objectives at some point, or, when it makes its presentation to the faculty?"

Professor Schuler: "Dean Lynn has spoken about establishing the tuition level first. I don't view that so much as a goal as a method of inflicting self-discipline on yourself. It's sort of like Gramm-Rudman with the Congress. They don't feel comfortable that they can make, you know, the tough decisions, and so they impose some arbitrary cleaver over their heads. I would resist that, unless in subsequent years we find ourselves just slipping into a worse and worse hole, and find ourselves incapable of dealing intelligently with the problem. There are examples. As everyone knows, there are tremendous swings in the mood of the U.S. public, and who knows, they may turn from university bashing to thinking this is the greatest use of the dollar, and if the demand for our services truly soars because people value us, more than watching television, then why not capitalize on that demand and use the resources for providing even better services? So, again, that's personal. We have not talked about that particular element. We do imply a hierarchy of recommendations by the order in which we present them."

Dean Lynn: "I just want to remind you of something Dick clearly intends to do, and that is, if you would convey any comments you have about this matter to members of the committee, I'm sure they'd appreciate that. Secondly, I remind you we are a Faculty Council of Representatives. In a technical sense, we have constituencies, and I would hope you'd use the opportunity to discuss this matter with your colleagues, so that when you come to this meeting, the next meeting, in November, you come with an appreciation as a result of having had some dialogue with your colleagues about these matters. You will be asked, when the committee does have the recommendations, to endorse the proposal that they will set before you. Thank you."

Speaker Martin: "Anything else? Thank you very much, Dick. Is there other business to come before the body? There being none, we are adjourned."

Adjourned 5:30 p.m.

Mary Morrison, Secretary

October 10, 1990

## REPORT OF THE FCR FINANCIAL POLICIES COMMITTEE

### ASSESSMENT OF LAST YEAR'S PERFORMANCE AND THIS YEAR'S OBJECTIVES

In spring 1989 the Committee approved and the FCR endorsed a new, more formal mode of operation. This process is intended to increase the responsible involvement of the faculty in discussions with the administration about budgetary matters. Together with the administration, we are to establish budgetary goals or targets early in the fall, and the Committee will report on "how close we are to meeting our goals" and on "the economic and academic tradeoffs to be weighed."

This report assesses last year's performance and proposes revised objectives as we begin the second year of the new procedure. In November the Committee will present its recommendations on budgetary targets and priorities to the FCR for its approval, and in December the Provost will meet with the faculty to review the administration's plans and discuss how "they relate to the faculty's recommendations."

**A year ago we established four broad objectives for Cornell:**

- 1. "Pursue excellence"**
- 2. "Provide diverse enrichment"**
- 3. "Maintain a non-urban ambiance"**
- 4. "Insulate the achievement of these goals" from external shocks.**

We later translated pursuit of these objectives into the following specific budgetary targets:

- Maintain current financial aid policies.**
- Increase the competitiveness of faculty salaries and graduate student stipends through ten percent increases over each of the next two years.**
- Hold tuition increases, on average, within inflation plus the long-term growth rate of productivity in the U.S. (the world).**
- Selectively reduce faculty and staff positions by up to two percent in each of the next two years.**

Implied in this balancing assessment was the assumption that all other University expenses, including staff salaries, would increase on average at the rate of inflation. We also recognized the short run budgetary pressures that were self-inflicted last year in order to bring the "payout" rate on the endowment down to a long-term sustainable level.

What has been accomplished this past year? While stated financial aid policies have been maintained, Table 1 suggests some slippage in the average aid package compared to peer institutions. Furthermore, tuition and fees rose at eight percent in comparison to the seven percent maximum we recommended, but many of our competitors implemented similar increases, so Cornell's relative position with respect to stated cost did not suffer appreciably, as shown in Table 2.

**TABLE 1**

**Typical Freshman Self-Help Financing Levels:  
Cornell vs. Mean of 16 COFHE\* Private Universities**

1990/91**	5,390/4,456	<u>1.210</u>
1989/90	5,020/4,263	<u>1.178</u>
1988/89	4,820/4,169	<u>1.156</u>
1987/88	4,820/4,068	<u>1.185</u>
1986/87	4,820/3,879	<u>1.242</u>
1985/86	4,650/3,728	<u>1.247</u>

\*Consortium on Financing Higher Education      \*\*Preliminary

**TABLE 2**

**Endowed Tuition and Mandatory Fees:  
Cornell vs. Mean of 17 COFHE Private Universities**

1990/91	15,164/14,902	<u>1.018</u>
1989/90	14,040/13,943	<u>1.007</u>
1988/89	13,140/12,885	<u>1.020</u>
1987/88	12,300/11,951	<u>1.029</u>
1986/87	11,500/11,130	<u>1.033</u>
1985/86	10,500/10,213	<u>1.028</u>

In order to maintain the excellence of our faculty, we recommended substantial salary increases over each of the next two years to move us several notches above the rank of sixteenth in weighted salaries among peer institutions - a ranking that Cornell has held over the last three years after having risen briefly to eleventh in 1983. We estimated that ten percent increases over each of two years would be required to move us up to approximately tenth spot which would have placed us closer to the 80th percentile among our peers; the actual increase was in the 6-7 percent range, well above inflation but well below our target. Unfortunately, the reported cross-university faculty salary comparisons are lagged by one year, so we can only report that a year ago we held our own in sixteenth spot, as shown in Figure 1. However, stipends for entry-level graduate students were increased by 10 percent (8 percent average increases for all graduate students).

Our other recommendation that the administration has embraced with enthusiasm is to cut faculty and staff by up to four percent total over the next two years. If done selectively and wisely in order to reduce duplication and to allow expansion in growing areas while shrinking in less essential ones, the Committee continues to endorse this policy; it is essential for maintaining long-term excellence and we should be able to reach the aggregate numbers through attrition. Nevertheless, what we fear is that under existing institutional arrangements, it may be difficult to make the hard choices necessary to reallocate those reductions over subsequent years in a way that will strengthen Cornell.

Consequently, we propose a few minor alterations in our objectives.

1. *Remains to:* **Pursue excellence in terms of the quality of research and education (per faculty and student without increasing size).**
2. *Modified to:* **Provide enrichment through the heterogeneous composition of students, faculty and staff within the concept, however, of one university.**
3. *Expanded to:* **Support an open intellectual atmosphere by enhancing the social, physical and ethical environment on campus.**
4. *Remains to:* **Secure the achievement of these goals by moderating the impacts of large external perturbations.**

Many additional specific problems are encompassed by these broad objectives: developing more flexible faculty categories and elevating the status of teaching lecturers, defining flexible rules for senior faculty to accommodate mutual needs after the uncapping of the retirement age, developing mechanisms for finding professionally satisfying careers for spouses and associates of faculty and staff, integrating the statutory and endowed budget process and managing and planning for the physical half of our endowment (grounds and buildings) as effectively as the financial portion.

But in addition to the physical environment, it is essential for a university community to maintain an open and ethical atmosphere that nourishes intellectual discourse, respecting individual rights, so differences can be aired and understood. Honesty and respect should not be limited to the classroom; however, they are essential if we are to achieve the institutional reshaping we feel will be essential for Cornell's future success.

In the face of Federal and State budgetary deficits and trauma, plus uncertainty in the Middle East, accomplishing our fourth objective may be the most difficult. Nonetheless, as shown in Table 3, our endowment support per student has grown, our relative position has remained constant among peers, and we applaud the embarkation upon a \$1.25 billion capital campaign devoted largely to increasing endowment in support of general purpose funds. The campaign's success should add to our budgetary flexibility, if it is not eroded by continual increases in overall expenses well in excess of inflation. That is why budget pruning is essential now.

But in the long run, we see these cost pressures re-emerging. That is why we think it is important to begin a fundamental dialogue about the necessary evolution of the University's structure if it is to succeed in the 21st century. Some areas should be selected for emphasis and growth, but this means others will diminish if we are to husband our scarce resources; many things will have to be different.

## AVERAGE SALARY (Weighted by Cornell Distribution of Ranks)

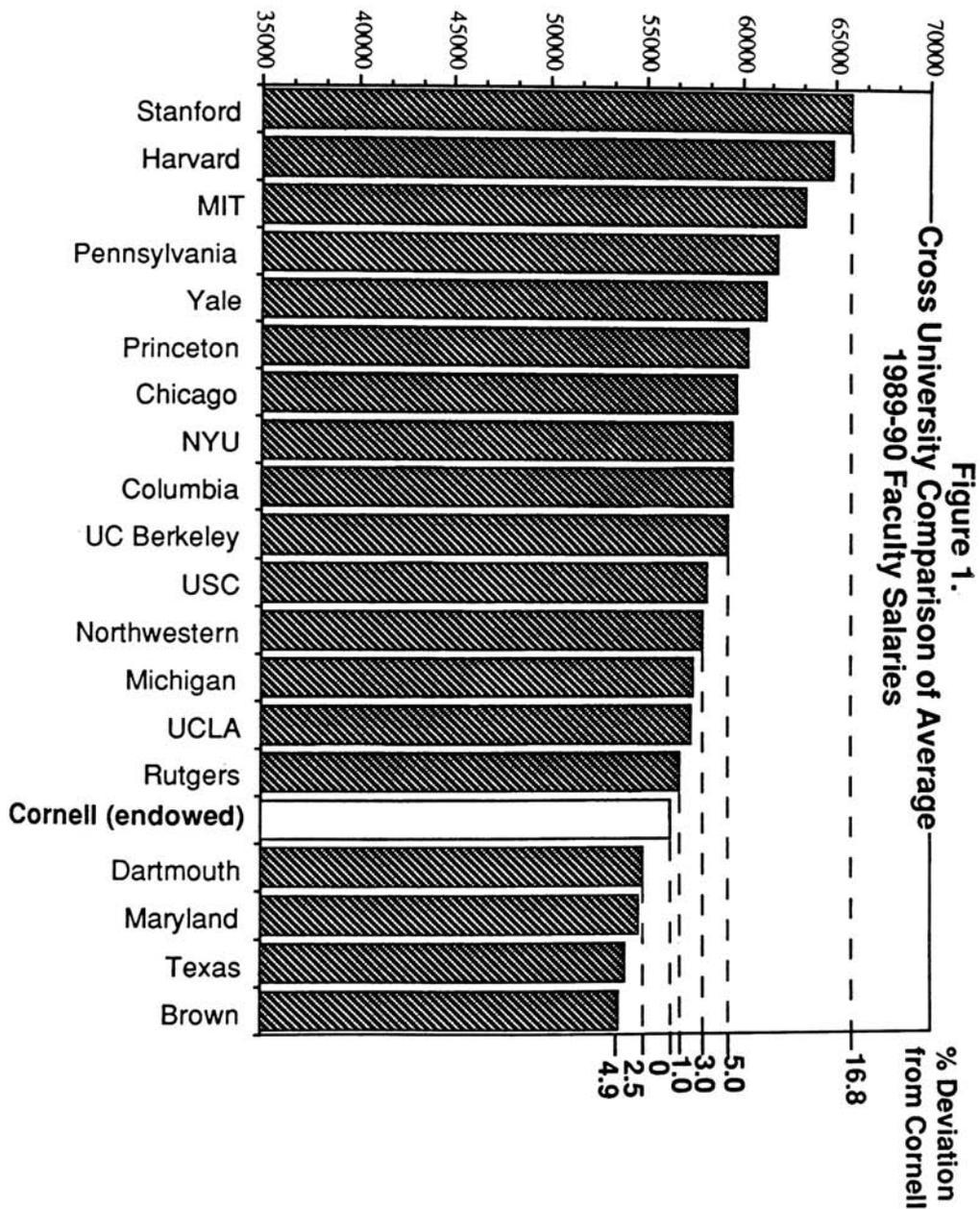


TABLE 3

**ENDOWMENT PER FULL-TIME STUDENT  
AT SELECTED PUBLIC AND PRIVATE INSTITUTIONS  
1987-88 AND 1988-89**

<u>Institution</u>	<u>1987-88</u>	<u>1988-89</u>
Princeton	\$372,691	\$398,369
Harvard	247,309	264,075
Rice	218,396	242,583
Yale	197,564	221,721
Stanford	125,823	144,579
MIT	123,133	137,091
Washington University	116,728	129,641
Dartmouth	109,376	121,754
Emory	96,449	111,858
University of Chicago	95,048	99,175
Columbia	77,425	81,575
University of Rochester	69,912	73,468
Johns Hopkins	60,509	63,688
Northwestern	55,001	62,256
Vanderbilt	55,452	61,161
<b>CORNELL <sup>a</sup></b>	<b>38,652</b>	<b>44,105</b>
University of Pennsylvania	34,565	40,036
University of Texas System	23,404	24,469

<sup>a</sup> *Figures for Cornell are based on total full-time enrollment for all divisions (Endowed Ithaca, statutory, and medical). Adjusting for Endowed Ithaca and Medical College enrollment only (by eliminating enrollment in statutory colleges) increases the 1987-88 figure to \$55,717 and the 1988-89 figure to \$63,464.*

General Notes:

- Institutions are ranked in descending order of 1988-89 endowment per full-time student.
- Endowments include true endowments and funds functioning as endowments, but exclude living trusts.
- Fall 1987 and 1988 enrollments were used in calculating the endowment-per-student levels.

Source: *NACUBO Endowment Study*, Cambridge Associates, Inc.

Date: May 1990

FINANCIAL POLICIES COMMITTEE  
SUMMARY OF OBJECTIVES  
FOR 1990-91

1. **Pursue excellence** in terms of the quality of research and education (per faculty and student without increasing size).
2. **Provide enrichment** through the heterogeneous composition of students, faculty and staff within the concept, however, of one university.
3. **Support an open intellectual atmosphere** by enhancing the social, physical and ethical environment on campus.
4. **Secure the achievement of these goals** by moderating the impacts of large external perturbations.

## MINUTES OF A MEETING OF THE FACULTY COUNCIL OF REPRESENTATIVES

November 14, 1990

Speaker, Professor Emeritus Russell Martin, called the meeting to order. He indicated that since there was no quorum, he would proceed to call upon Professor Schuler, chairman of the Committee on Financial Policies, for a presentation of recommendations on the University budget.

## 1. RECOMMENDATIONS ON THE UNIVERSITY BUDGET

Professor Richard Schuler, Civil and Environmental Engineering and Economics: "Thank you. Talk about hidden agendas, and I must confess I'm astonished that with both establishing budgetary targets for the coming year and discussion of the University's Health Care Program on the agenda, that we don't have a quorum. I thought at least that would allow us to re-elect Dean Lynn by default, but he informs me that we need a quorum for that as well. So, if this continues, we may be stuck without a Dean of the Faculty, as well as without a budget and without a number of other important issues.

Professor Schuler: "This is the second year that we've gone through this more formalized process within the FCR of interaction with the administration on budgetary issues, and last year, after long and fruitful deliberation, we came 'out with four overall budgetary targets. Let me refresh your memory, because, by way of the military dicta of 'tell 'em what you're going to tell 'em, tell 'em, and tell 'em what you told 'em,' our targets really will not be that different this year. One was to maintain our current financial aid policy, and that, by and large, we did accomplish in this current budget year. Number two was to increase the competitiveness of faculty. We felt that there had been a systematic erosion of our relative position, and we called for a lump-sum jump start increase, phased over two years, of ten percent increases in faculty salaries. We also called for a similar increase in base graduate student stipends. The graduate students did get an increase. As you're well aware, the faculty salary pools were well below a ten percent level. There is a problem of translation between the pool and what the actual average weighted faculty salary increase is as denominated by the AAUP definitions, and usually there's a gap. That gap is usually about a percentage or two, and the administration is trying to work out a more systematic arrangement, to be able to project changes in the pool. In any event, our pool increases were of a level that were above inflation but not adequate, I think, by anyone's guess, to accomplish a ten percent increase. Nevertheless, I can happily report that real faculty levels at Cornell last year did reach the level they had attained in 1970, so we got back to where we were at the beginning of the really severe budgetary problems we faced in the mid-70s.

"Our third objective was to hold tuition increases on average to inflation plus the average rate of productivity growth, and here there could be some debate whether rate ought to be in the U.S., or the nation, or the world as a whole. We used two percent as sort of an in-between number. That would have given a seven percent tuition increase. In fact, tuition went up by

eight percent last year. In order to be able to come out with a balanced budget in accomplishing all of that, we had to advocate a reduction in faculty and staff, and so we called for a two percent reduction over each of two years. Some of those reductions had started before all of the information and the doom and gloom you've seen in recent news reports.

"Let me try and summarize what happened and our current point of departure a little bit more in terms of the tables that are in the handout (Appendix A, attached). It turns out that our showing relative to at least one group of competitors, the COFHE institutions on these two tables, (Table Two), shows our tuition levels relative to the mean. We've had over the past number of years a steady improvement. Here I am a little cautious about improvement, because there was a lively debate yesterday about what our tuition policy ought to be, but in a sense of how we compare with the mean, we've been coming close to the mean. In the past year our eight percent increase was a little bit above many of the other comparable institutions, and so this ratio of Cornell's endowed tuition vis-a-vis the mean went up.

"Secondly, as well, in terms of the cost of coming to Cornell, our financial aid policy has by and large continued, nevertheless, the self-help portion, the average self-help portion, which is a good indication of the cost that an aid student is expected to bear went backward by a little bit as compared to the average of those competitive universities again, after a number of years of our position improving and coming closer to the mean of that group.

"In terms of faculty salaries, compared to other peer institutions, these data are always lagged by a year, so this doesn't reflect anything that occurred as a result of our recommendations last year. These are the result of the year before, and we've been sitting in sixteenth position for the past number of years, which is where we were in 1980, and is where we were in 1970. In the early 80s there was a conscious effort to try and move Cornell's relative position up toward the tenth level, and actually at one time the number 'eight' was even mentioned, but the recent budgetary conditions have caused that gain to erode, and so we do sit here in tenth position. Incidentally these are numbers weighted to Cornell's distribution of faculty by rank, but they are raw numbers, not numbers that are weighted by any attempt to weight for differences in fringe benefits packages. The committee several years ago tried to do that, and so has the administration, and we all threw our hands up in despair. Nor are these weighted by cost of living differentials, and there is some evidence that there may be some improvement in that category, although there still is a question of throwing in the taxes.

"The committee has opted, because one can quibble with all of these adjustments that rather than take the wrong numbers, what really is important is to look at how the position changes over time, and that can be a useful indicator of are we getting better or getting worse.

"The other thing we note is that that distribution is flattening a little bit from a year ago. A year ago Cornell was stuck in here and there was a tremendous gap between the fifteenth and seventeenth positions, and we were sort of hanging in the middle. But that gap has flattened somewhat. We've pushed up a little bit and this entire distribution has flattened, so on the one hand that can argue for doing nothing but on the other hand it also

argues that there may be a tremendous opportunity to make substantial advances on the pack with less effort than might have been possible in previous years. In any event, I note that most of the institutions to which Cornell faculty leave are those to the left and not to the right. Fine. Yes, the mirror image comes out the same way. Thank you, Mr. Physicist.

"Of continuing concern to Cornell, and I don't need to remind you, and one of the major reasons why we applaud wholeheartedly the capital campaign, is the relative small and low level of endowment Cornell has when denominated per student. Princeton leads the pack. Their endowment income per student is so high that if they wish to allocate that income totally towards student aid they could virtually charge zero tuition. Our level of endowment support is much more meager; in fact, we rank forty-sixth in the country--I think that's the number amount. What is remarkable to me is how much we accomplish, with in a way such a small degree of buffering against all of the exogenous forces we bear from the stock market, from the federal government, and increasingly from New York State. So that, it seems to me, does indicate some remarkable accomplishment by staff and faculty and administrators to juggle incessantly and accomplish what we have been able to do, because surely our student-to-faculty ratios are substantially higher than many of these institutions that are much higher on the endowment-per-student listing.

"Finally, what we have and what is new are results from a survey that this committee had conducted periodically in the past to try and gauge what are the market impacts of financial policies and faculty salaries, fringe policies, and also policies with respect to support of facilities--laboratories and so on. So we once again conducted that survey this past spring with a follow-up reminder at the end of the summer. That allowed us to achieve a ninety-five percent response rate. The survey was conducted of department chairmen, so it did not go to the prime respondents, individual faculty members, nor did we talk to the deans except in those colleges which also are departments, like the Johnson School and the Law School as an example. We were trying to separate how strongly the tendencies are by those that do take the action of either leaving Cornell or those to whom we have made offers and who had declined, so that's what we're reporting here. In terms of the departing faculty, we show that approximately forty to fifty percent claim that salaries and fringes were a major issue, and of those that declined Cornell, a hundred percent claimed salary and fringes were an important issue. So, combining those impacts, we could say roughly fifty to sixty-five percent of the actions had salary and fringes as an important consideration.

"We also tried to track the role of labs, and here we see that these are somewhat lower in importance. The issue which I think is a unique difficulty to Cornell, given its isolation in a rural and therefore a more limited labor market, is the professional opportunities for spouses and associates, and so we've discovered that also played a prominent role in roughly forty percent of our rejectants.

"These numbers in isolation, just like the faculty salary position, really aren't terribly revealing. What is important is to trace out what's happening over time and to look at how these percentages are changing over time. That's the point of this second table. And here I'm just giving total figures, because I couldn't fit the individual categories on the table, and have it

large enough for you to read. But what is a bit disturbing here, is to look in terms of the percentage of faculty departing, and here we can only look at the percentages, because the response rate to the questionnaire has been increasing over time. Now, that may be indicative of something, including Sandie Phelps from Dean Lynn's office calling those that hadn't responded in September, for the first time calling up and trying to get a better response rate. But in any event, there does seem to be a pattern of salaries and fringes being an issue for those who departed. Similarly, for those rejected, there seems to be a pattern of increase, although I know that the percentage of people that have rejected us has declined moderately over that period. So, we have been, percentagewise, more successful, even though people claimed that salary and fringes are a major influence. The combined effects certainly show those that are the major issues. The other two issues seem to bounce around, although concern over the adequacy of facilities bounced back up this year, and the professional employment of spouses also bounced up as a more significant issue this year. So, we plan to continue this survey in the future, primarily because I think it is important to keep track of those trends, and see where we're heading.

"Well, that's the basis from which we're departing. At the October meeting, we tried to reassert what we thought the overall objectives ought to be of this institution, because it's in the context of what we're trying to accomplish that we want to state these budgetary goals and targets. The first one is, I think, what everyone would certainly agree to, is that what we're trying to do is be a quality institution. That, who can dispute? The second part to it gets more difficult, quality over what dimensions? Well, we certainly emphasize retaining the dimensions that we continue to provide--undergraduate education, but also, in terms of research, and graduate education, as well. I would also say outreach, but I remind you that the budgetary discussions that we make here are really focussed on the general purpose budget of the University and therefore are only on the three endowed colleges, the budgets for Art, Architecture, and Planning, the Engineering College, and the College of Arts and Sciences. So these do not extend to the statutory units. Nevertheless, in our overall University mandate, we do have an outreach mandate for the endowed units as well as the statutory units. So, quality--who can dispute that--but quality comes as a cost.

"Our second goal is to provide enrichment through a heterogeneous composition of faculty, staff, students, and what the committee added this year was a caveat, however, to try and accomplish that in a context of a single university. There was expressed a substantial concern that in last year's response to some of the budgetary pressures the various units on campus were beginning to behave like tubs on their own bottom, and there were some activities that may have been good for them, may be good for individual units, but may not be good for the university as a whole, certainly not in terms of these broader missions.

"Third, there was concern on the committee about the environment in which we operate, not just the physical environment, which we emphasized the first year. I hate to even think of how the latest parking proposal may interact with peoples' concerns of the physical environment here on campus, but that's not what I'm here to discuss today. We also had concerns about the intellectual, the social, ethical, and environmental values, as it were, on

campus. The way people treat and address each other, because that's terribly important to be sensitive to if we're trying to bring in an increasingly heterogeneous population here on campus, where people have widely different customs and values. We're concerned from that context, but we're concerned, yes, from the academic integrity context, and also concerned about facing what seems to be some very difficult budgetary pressures in the future. We can't hope to accomplish anything successfully in that kind of environment without having an open discussion and a process that everyone understands and everyone's viewpoint has had an opportunity to be heard.

"Finally, our last objective is to secure the achievement of these goals by attempting to moderate the impact of these external forces. All we were trying to enunciate there was that there's a fundamental difficulty with the research and educational mission if you're constantly oscillating in what you're attempting to do and your programs vary from day to day, week to week, and certainly, year to year or decade to decade, and the problem we face is all these external pressures. What we're really trying to do is give a tremendous push to go out and devise a successful capital campaign that might give us a little bit more push-in against all the other exogenous pressures. I guess personally I also feel I have a long concern here at Cornell about our heavy reliance on federal research support, and that you just can't withstand shocks if you're so beholden to one client, that there really is a need to diversify additionally the portfolio of support to the university.

"Well, so much for the platitudes. Let's get on to the budgetary targets. Let me say that formulating those this year was quite a difficult situation. Up until last Friday we were working with a set of budgetary projections that looked like we would be faced with a \$5.4 million deficit in the general purpose budget for the upcoming year. With some pencil-sharpening and shaving, as of yesterday that projection was reduced to \$1.6 million, and I'm sure the Provost will tell you in December when he comes back, unanticipated things happened that were putting pressure back on the budget, because I think none of these projections had rolled in the full consequences of reductions that may be required in the endowed units as a result of difficulties in New York State. Nevertheless, it is a very widely moving target that we're shooting at now, and that's why we're espousing these items in general principle. However, the last calculation I did suggested that that would result combined in a budget reduction of \$3 million, so if you think the base budget was in deficit by \$5.4 million, we still have a way to go. On the other hand, if the deficit is down to 1.6, we're \$1.4 million to the good, and I think that's about the level of fine-tuning that can be accomplished at this level.

"Incidentally, some of these policy restrictions that we make here we're putting in place for two years and I'm trying to look ahead at budgetary projections and they should within that range of baseline budgets balance the budget over the next two years. We still hesitate holding tuition to a level that we think is the long-term maximum level of tuition increases that Cornell can sustain, or any other educational institution can sustain, without losing something in terms of the types of students that it is trying to attract. We still would like to hold the current financial aid policy. The dilemma is our sense that faculty salaries at Cornell really do need to be bumped up a notch on that ranking of other institutions if we are to maintain our

competitiveness in the face of the kinds of budgetary turmoil we're being asked to deal with over the next several years.

"As I mentioned before, I think we accomplished a lot in many ways with fewer built-in resources from the endowment than many other institutions, and it seems to me in exchange for that kind of productivity, if you will, that there is some need to recognize and maintain faculty salaries at a highly competitive level. Nevertheless, I've reduced the amount to eight and a half percent, in part because I've become educated in this process, and I think an eight percent pool level increase would be adequate to give a ten percent increase based on the proper denominated base, and finally we couldn't accomplish that without still advocating some additional modest reduction in faculty and staff, and so we're still advocating that two percent reduction over several years.

"Now, let me just mention, as an aside, there is, as many of you are aware, there has been a reclassification program that has been in place for professional staff on campus. The estimated cost of implementing that will probably be approximately two percent real, if it were done in each of two years, that is, two percent increase over inflation per year for two years, or four percent in one year. Our recognition of increases in faculty salary above inflation are in some sense parallel but also an enrichment of a program that is in place for staff as well. Nevertheless, the reductions are obviously a tough and difficult process to undertake, and one emphasis I do want to make is that the committee reluctantly recommends that, but in the context of this overall budgetary program. We think the budget can be balanced without those cuts, if in fact there isn't this enrichment of faculty salaries, if in fact the reclassification program isn't implemented in a way that ratchets up staff salaries, if in fact we don't pull tuition increases down to that level. So this is a part of a package, and advocacy for selected cuts comes only as part of that overall package.

"A few words in closing about concerns that our committee has expressed and feels deeply about, and one is concern over the process of implementing cuts. That is the one issue that the administration has latched on to eagerly, and that is not a difficulty for the committee. What we are concerned about is that those cuts not be across the board, that they be made selectively and after a tremendous amount of discussion and deliberation, so that they're done in a way that positions Cornell to grow for the future, that is, that areas, some areas are cut, others may be strengthened, but that we are in a position to deal with the intellectual, educational, and research issues of the twenty-first century. What concerns us is that there doesn't appear to be a mechanism in place yet to be able to accomplish that in a way that we feel confident about. Several of the colleges are putting some process into place, but there is also the need for coordination again at the university-wide level. I get back to our objective of thinking about these plans and adjustments within the context of a single university, not just within our individual departments or individual colleges.

"I guess, finally, the other concern that was expressed strongly to me by members of the committee was that in talking about reductions, the denominator that is always held up and the Senior Provost held it up in his memo, which I've subtitled 'The War between the Infinities,' of denominating outputs

solely in terms of number of students or solely in terms of undergraduate education. We perform three functions here at Cornell--research and graduate education, and outreach, and unfortunately undergraduate education, as difficult as it is to measure, is the easiest output to measure among all those three. I would hate, and the committee would certainly hate to see, the research component and the graduate education component undervalued here locally just because it is difficult to measure, because surely it is one of the services that we provide that's most highly valued by society as a whole, and the difficult issue is, how do we capture some of that value back. By not paying adequate attention to it, as we go about trying to cut over the other dimensions, my fear is that we will just eat the seed corn of Cornell, and that would be distressing.

"I welcome your questions and comments."

Dean Lynn: "Well, two things--three things--four things. First of all, it's a procedural request. In order for the secretary who makes a transcript of these minutes, it's important that you speak up and speak facing front rather than your colleagues behind you. If you can't hear, please raise your hand and the Speaker will call our attention to that.

"The second item is, I want to call your attention to Dick's Committee on Financial Policies, which has really worked extensively, whether you're happy with his work or not, we will hear, but it has put in a tremendous amount of work this semester, and will continue to do that and I think we all owe them a debt of gratitude.

"The third item is, there is a slight misnomer on that, if I'm not wrong, you're not talking about a reduction of positions, you're talking about a reduction in the expenditures for faculty and staff salaries. You're not talking about two percent of the positions in place, but the reduction in number of dollars expended."

Professor Schuler: "Well, one way of accomplishing that is taking, reducing an average distribution of positions by two percent. Now, it may not--you're right; technically we worked through the budget and we said, this two percent of dollars, but one way of thinking about that is that it does mean a real reduction in positions. There'd be fewer than two percent of positions if it were only full professors and senior professional staff that were ..."

Dean Lynn: "... number down?"

Schuler: "Yes."

Dean Lynn: "Finally, last year when the Committee made this recommendation of a reduction of two percent, the headlines captured by the press of Cornell made a big ado about the 'Cornell Faculty recommend these reductions.' I hope this year that there will be an equal attention, perhaps a reverse, of saying the Faculty recommend eight and a half percent salary increases, perhaps to be matched by a two percent per year reduction in faculty and staff positions. That was really regrettable from our point of view, but anyhow, it's just a slight admonition."

Speaker Martin: "For the record, would you please identify your department?"

Professor Isaac Kramnick, Government: I have two kinds of comments. One is process, and one is substance. I have a question about the constitutional basis for your committee's recommendations. The reason I asked that is that you said that the administration has willingly, gladly, embraced your recommendations about the faculty cuts."

Professor Schuler: "One of the recommendations."

Professor Kramnick: "It has as willingly, and as joyfully, and as gleefully accepted that recommendation. Now, the constitutional question I ask is, has it been therefore accepted that a committee of X number of faculty members out of a faculty of fifteen hundred speaks for the faculty? That's the process one. The substantive one comment is, obviously, there are linkages. I do not understand the failure of the committee not to see a linkage between faculty cuts and the quality of education. I assume the committee assumes that our teaching load will not be increasing. I didn't see that; I assume that. I assume the teaching demands will continue at the same pace. I assume, therefore, that there is one victim in all this, which is the undergraduate. In other words, there will be increased non-tenure faculty, associates, and lecturers. You have already said that we begin with a much higher student-to-faculty ratio. Parents looking to decide where to send their children do not look at the figures which we see all the time, the relationship between the number of students and the endowment. They never look at that. In fact, that is a figure that we here at Cornell never saw until three years ago, and I have doubts that it is a really meaningful figure, but they do look at student-faculty ratios."

Professor Schuler: "Let me respond to the issue."

Dean Lynn: "I want to talk to the constitutional issue."

Professor Schuler: "I'd much rather talk about substance."

Dean Lynn: "Professor Kramnick, we're aware of the constitutional basis. First of all, the committee is an elected committee of the faculty. Secondly, the normal procedure as prescribed for this body other than a quorum would be a motion to endorse, which would let this body fully able to amend, change, and alter. That's the constitutional basis. It does not presume to speak for the faculty, not any one of us or the committee as a whole, but it is here to present a report to a duly-elected group of faculty who do have that authority to speak for the faculty. Unfortunately, we still don't have a quorum. We do not have a quorum, so the committee report stands as a report of that committee."

Professor Schuler: "As to the point you raised, I wish there were more faculty here to raise those points, because part of our intention is to engage in a much larger and broader dialogue on campus. Our recommendation last year was approved by the full body of the FCR--there was a quorum here--after some discussion. I only respond to the one point that parents may not be aware of endowment per student, and that is not what they look at, but that certainly

is what provides many of our peer institutions the resources that allow them to have a much, much lower student-to-faculty ratio. Now, as to where we sit on the margin, what we're faced against is a choice between a number of stone walls, and the one is a very difficult budgetary position for Cornell, in which there just isn't much in the way of latitude in any direction. Our sense was that if the salary positions deteriorate much more we will lose significantly in terms of the quality of the faculty here, and so, yes, we're advocating a modest tradeoff in quality per quantity, feeling that quality would buy us more. How that's going to be accomplished, whether it's going to mean slightly larger classes, whether it's going to be the tradeoff for teaching assistants versus students, those are issues that I think need to be worked out, and that's the dialogue that I mentioned that I hope is undertaken across the campus.

"Let me just mention one other thing, Isaac, that in our previous report, one of the real concerns this committee has also shared is the various levels and apparent unequal treatment of lecturers as compared with tenure-track faculty members, and one of the other issues that we raised at the October meeting was a serious reconsideration of providing far more flexibility in the kinds of arrangements, not only to deal with that issue, but also to deal with the issue of very senior faculty members who are contemplating retirement but on a phased basis, and once again, there may be a need to provide much greater flexibility."

Speaker Martin: "Ok, we have three speakers, and Professor Berkey will be number three. Yes."

Professor Charles Levy, English: "Just briefly I'd like to give you an example of the problems to which Isaac Kramnick was referring. It came to my desk today, by making an error in programming in the computer, I got a full list of those students who signed up for the Shakespeare course not designed for majors in our department and which for twenty years has been serving undergraduates throughout the university. We have just one section limited to twenty-five students, limited largely by the physical space we have, if we have the resources of just one teacher in the department next semester. For those twenty-five spaces I have a heartening list, in one sense, of seventy-five names of undergraduates representing the colleges of the University. That is only one out of three of your undergraduate students who wish to study Shakespeare in a format which has proved immensely successful. When we had the resources we were mounting four and five sections a semester. Only one in three will be able to study Shakespeare in that format, and things are getting worse."

Speaker Martin: "Yes."

Assistant Professor Mark Jarzombek, Architecture: "What is actually meant by the salary pool? Are the tenured faculty considered to be part of that?"

Professor Schuler: "Yes."

Professor Jarzombek: "Does everyone get 8.5, regardless, or does the Dean have a discretionary fund?"

Professor Schuler: "We did not actually discuss the implementation this year in the committee, but I will venture, and there are a number of committee members here so they can disagree with me openly, I will venture, based on the committee's sentiment last year, that, no, we strongly believe in merit increases, and so what we're talking about is some average amount going into the pool, but that certainly it's up to the individual, the people and administrators, to provide increases, and we would hope, based on merit."

Professor Jarzombek: "One college or one Dean could get a big sum and other people get nothing."

Professor Schuler: "Look, we're not recommending tying the Provost's hands, and saying that each college ought to get the same amount either, but the sense would be that certainly, meritorious faculty in every college would get substantial increases. It's difficult enough with the limited amount of time for the committee just to deal with the broad budgetary aggregates and not get into the micro-management. We have said that we would not like to see administrators' hands tied, and that is a conscious policy recommendation, so we're emphasizing responding to market pressures, maintaining the competitiveness of the faculty more than we are making equity issues. Again, that may be something that you would like to debate, and express strong views about."

Speaker Martin: "Before proceeding, do we have any FCR members who have not signed in? All right, Professor Berkey."

Professor Arthur Berkey, Education: "First, I'd like to commend your committee for your obvious skill and hard work in making these recommendations. I would like to express a concern about number four, the cost. A number of people here have already spoken about the very real effects, negative effects, that such a cut will have. Again, last time when you brought these in draft form to us, I suggested we also look at the administrative side. In the same way, it's useful perhaps to question what our present salaries are in terms of real dollars and 1970 dollars for faculty and staff. It's also instructive to do the same thing for administrators. I would like to admonish the future work of your committee by using a quote that my grandfather used to quote: 'You can't do a good job of culling chickens unless you do the whole coop.'

Professor Schuler: "That two percent applies to the whole coop, in our recommendations."

Professor Berkey: "Just because the administration side is not here, you're not looking at the whole group."

Professor Schuler: "Our two percent recommendation is a two percent reduction in both faculty and staff, and includes all administration."

Professor Steven Shiffrin, Law: "Is competitiveness helped by an increase of 8.5%, or 2% decrease. Are there alternative methods short of cuts, short of increasing revenue. Can more be channeled from endowment?"

Provost Nesheim: "... these figures keep changing over time, too, by five to seven hundred million out of it, so it's somewhere around sixty percent that would go completely for endowment, and the rest is targeted for specific purposes, Professor Schuler, to answer your question simply, \_\_\_ substitution effect, we still don't know, we don't have any estimate of that. Do all of you understand Professor Shiffrin's--it's essentially there's annual alumni giving, but to what extent is that reduced as emphasis is made on the capital campaign, and therefore is it just a substitution of one allocation of a certain fraction with the funds that come into Cornell for another allocation."

Professor James Gillett, Natural Resources: "I'm still trying to get a handle on what amounts to a full-time work load between different schools, between different departments, with different responsibilities, and what these reductions would mean; a person teaching two hundred contact credit hours per term versus somebody teaching thirty contact hours per term. Do you have any sense of this, of the range of these values?"

Professor Schuler: "The range of--not as a result of this, but as a result of another study, I mean, the contact hours are truly enormous. I guess it's fair to say that in the Biological Sciences it's probably among the lowest, but again, it's how do you count? You know, hours in a laboratory, with maybe not many students, but doing complicated work, so if you use that as a denominator, that's one of the lowest areas, and probably the largest are in some of the very popular lecture courses around the campus. How does that count, too, when you have a core of teaching assistants that, you know, are also helping out with a lot of the grading, and other work, versus someone with a literature class of fifteen that's grading five papers personally a semester? Look, these are the fundamental issues in educational values, and I think the last thing the committee feels it's in a position to do is to try and make recommendations on those levels. Again, we're dealing with broad guidelines, but, it would seem to me that that's what's actually essential, is to have a university-wide discussion and a discussion within each individual unit, to debate these issues and begin to make, finding some consensus of where--to me, the way I like to think about it is what is the base we want to build for the future? Because, to me, there are very distressing indications of where the costs of running a university are going. One outcome, as the Senior Provost pointed out, is to let tuition keep, do things as usual, let tuition keep soaring. What that suggests is that we'd never be able to adhere to our current financial aid policy, and we will become the university educating only the very wealthiest members. I have no idea, I have no doubt that we would be a very profitable institution if we chose to do that. I'm not sure it's the kind of place that I aspire to teach at, but again, that's one alternative, and of course, the other alternative is to try and make some of these cuts to keep the tuition in line and try to sustain the, what I think is the wonderful mix of students that we have here."

Speaker Martin: "Before proceeding, the chair would remind you that we do have one other important item for presentation this evening. Do you wish to continue with this discussion?"

Fred Rogers, Vice President for Finance and Treasurer: "Can I ask a different question here? The question I have has to do with research. You made a statement in which in this room you won't find disagreement, but I think it's worth going back to, which is a statement that surely research is of great value to society, at least as great as the undergraduate teaching that we do. The difficulty with that is both corporations and governments have spent five years or longer now actively reducing that support for research in many ways, and we are feeling the effects of that. I guess the question is, has the committee given any thought or do you have a thought that you might give some thought to what we would do to really address the fact that nationally the support of research is diminishing and in the long run those two objectives appear to conflict? I mean, you can't increasingly ask the undergraduates to pay for what the federal government used to pay for research."

Professor Schuler: "I think we--again, this is personal, not committee--I think that we need a multi-faceted strategy to, not from a selfish point of view, to say, we need bigger federal or NSF research budgets, or National Endowment for the Humanities, so we can keep doing things the way we've done in the past, but rather, to begin to provide illustration after illustration of the outcome of that kind of activity, how it can enrich the undergraduate education, at least at the junior and senior level, for those students that work with a professor that is on the cutting edge of some issue. To me, a distressing thing, having had some of my own children go through the Arts College, in areas that are less professionally oriented, was to find the difficulty in having those graduates valued, initially, by different businesses and industry. The difficulty in finding a job, and then once they latch onto a job, soaring like a meteor, because they're appreciated for the kinds of thought processes that they gained here. It seems to me that we still don't do a good enough job about that, and the scholarship plays a large role in how good a job we do that."

"The other area that a great deal more attention needs to be made, is with business and industry. It seems to me, that industry just thought it couldn't get on with the universities, particularly those universities with a somewhat liberal leaning, like Cornell, and there's been sort of a divorce that's never been brought together, and you know, I'm puzzled by how to bring them together. It seems to me that for the future of this society, that that will be essential. Perhaps we've got to address more effort to finding ways that we can serve the business community, maybe take small steps first, not going out after the large grants, but letting that build into larger arrangements in the future, when some sense of mutual respect will be established."

Speaker Martin: "We have two other members who wish to speak. The chair is going to suggest that following these two, we proceed to our next item."

Professor Carol Krumhansl, Psychology: "I just want to quickly correct the impression that you give that we have this army of graduate teaching assistants. We don't have an army of graduate students."

Professor Schuler: "I apologize for the unfortunate choice of words. Let me just tell you that when I'm teaching Economics 101, I am thankful for the crew of teaching assistants that I have to assist me."

Professor Frederick Ahl, Classics: "Yes, I would just like to respond to points that were made about the quality of teaching for our juniors and seniors. One of my main concerns is what's happening if we have to cut down on staff. The teaching staff with our freshmen and sophomores, who are already effectively in their general education being taught essentially by the lowest-paid, most overworked segments of the University faculty. This has been increasing almost exponentially in the last two years. Anyone doing French or German, beginning, probably will be taught by a very lowly paid, one-year-appointed lecturer who is teaching four courses a semester. We've been moving every year more and more toward this model, and if we do go ahead with cuts in our teaching base, it is going to cost an enormous amount of money. What we ought to be asking, rather, is how the hell can we pay these people a decent salary for doing the job."

An unidentified speaker: "This is not a forum; this matter could be discussed and voted upon in a subsequent meeting."

Dean Lynn: "Exactly the point I was going to make. It is proper for the Executive Committee who prepares the agenda for our meetings to recognize that this matter was brought up, but it was not decided, it was not endorsed, by this faculty, and that we would put it up. After extended discussion, we could ask Professor Schuler and his committee to come back and answer any questions and debate. At the moment, it is before the committee, absent any endorsement by the FCR. We will ask the Executive Committee to place this matter on the agenda for December. I remind you that in December the Senior Provost or the Provost, I don't know which one of you, is expected in our normal procedure to respond to these suggestions and to give us some indication of what the administration proposes to do as it prepares to present a budget to the Board of Trustees sometime in January. We've structured this process to allow that kind of discussion and debate to go on, and provide some input to the process. What we have at the moment is this committee report, sans endorsement by the FCR on the agenda in December."

Speaker Martin: "Professor Schuler, we thank you for your tremendous amount of hard work."

"The chair next calls on Lee Snyder, Director of the Office of Human Resources, for a presentation concerning the endowed health insurance. Incidentally, Lee, does the temperature control in these rooms come under your office?"

## 2. PRESENTATION ON ENDOWED HEALTH INSURANCE

Lee Snyder: "Thank you, Speaker Martin. No, I was going to comment that obviously the budget cuts in the statutory colleges are already beginning. Dean Lipsky has already cut the heat off in this building."

"Let me start by saying that there's some confusion and misunderstanding and some of it comes from my lack of good communication with the Dean of the Faculty's office, with some of the FCR standing committees, that in the past, and I know Dick Schuler and I worked together on several committees, that we've always tried to go to at least some subcommittee of the FCR and talk about significant benefit changes before they occurred. This year, and I

don't want to make a lot of excuses, but because of the timing of when the decision was made and when we had to announce it because of the implementation of these changes, plus a confusion between Dean Lynn's office and my office about working with some committees, that didn't take place. That, coupled with a leaking of information well in advance of what we had anticipated, left, I think, me and my office in a very embarrassing position, and for that I apologize, and I want to make sure that that doesn't happen again. In fact, I think it points out the need for us in the future to establish some better kind of system to look at these kind of issues. I'm going to recommend to the Provost and Senior Vice President that we have a committee made up of faculty as well as staff on campus that will be a benefits advisory committee that will work with us on a regular basis and provide the necessary input, so that as we work through these things throughout the year, there won't be any surprises as to what the issues really are, so I think that should help us in the future, so there is no misunderstanding.

"Let's start with the presentation on the plan that we have now developed. I think it's good that Professor Schuler started out with a budgetary discussion, because really the endowed fringe benefit pool is a significant part of the general purpose budget. That pool was roughly a \$50 million pool this year. It is developed by taxing colleges and administrative units a tax on their salary programs which is, as some of you may know, a 30.5 percent tax on academic units, 27 percent on nonacademic units. This gives you an idea of the endowed health care costs and how they have risen over the last eight to nine years. As you can see (Appendix B) back in 1981-82, we had costs roughly about \$3 million, total cost of the program. At that particular time, the University was picking up about sixty percent of those costs. This, 89-90, the last year on the chart, shows that that has gone up to \$14 million, and at that particular point, the University is picking up seventy percent of the costs, and in fact, if you added 1990 to that bar chart, you would find that the cost is over \$15 million now a year total costs, with the University picking up seventy-five percent of that cost. So, in real dollars, the University has picked up a bigger percentage of the costs of health care on a fairly steady increase over the last nine or ten years. You can see how this appears in terms of dollars, and basically this is a calendar-year program. The reason why we do it on a calendar-year basis is so that we can also work with the Select Benefits program, so people can make decisions concerning their Select Benefits, which is obviously a tax-free account, and you can make that decision at the same time you're looking at your health care plan, so they tend to go hand in hand.

"In 1990, calendar year 1990, we are projecting, although the year isn't over yet, we're projecting that the total cost of that plan is going to be \$15.1 million, with Cornell picking up \$11.3 million, and employees through their premium contributions will pick up \$3.8 million of that cost. In calendar year 1991, we are projecting that the cost is going to go up to a total of \$15.9 million, with Cornell's cost increasing roughly \$2 million, but the employee contributions, because of the way we have redesigned the plan, will go down to \$2.6 million.

"Some of the questions we received, and I know this has been a discussion in the past, and probably a bigger discussion among the faculty than it is among the support staff, but over the years, what we have found in the Option I

Plan, and this was the cost last year, the \$12.63 was the premium per pay period for single coverage, and \$55.10 per pay period for family coverage. Really, that has contained a subsidy for the Option I Plan and also a subsidy for families. If we had increased the subsidy at the same level next year, those increases would have been \$17.91 per single, and \$78.15 for the family plan, which is a significant increase, even given a generous subsidy. Had we not done that, but had equated the subsidies, in other words, given the same subsidy to the Option I people that we give to the Option II, you can see what would have happened. The costs were going up a ridiculous amount, they were going up to \$155 a pay period for the family coverage in the Option II plan. Obviously, that's something we couldn't do. Now, some universities and some employers have done this. In fact, Dartmouth did it about three years ago, and now I understand they are reversing their field because obviously they just can't have a plan that has that kind of disparity. But when you look at it from an equality point of view, what we're saying is we're providing the same level of benefit to a single person as what in fact we're providing to an individual who has a family, and you know, that in some ways sounds very fair, and very, very equal, but you can see what happens to the premium structure if you try to do that kind of equation.

"Ok. The plan that we are proposing for 1991, there are two things we are trying to feature with this health-care plan. One is we've designed it to include a wellness and preventative care feature, which is something that the old Option I Plan didn't have, and as an example, a couple of features including well-baby care, a clinic program which will provide a \$200 annual benefit without the deductible, for any child under the age of two, any child who is two or under, which means as long as they're not three, they'll qualify. Also, there are biannual physical exam benefits which include a \$250 every other year benefit for anyone over the age of 40, and a \$150 every other year benefit for people under the age of 40. And we primarily put that in there because we became sensitized to the fact that women tend to, at younger ages, tend to have physical examinations rather than men. Men quite often wait until they get into their forties before they start having biannual or whatever their cycle of physical examinations is. So we wanted to make sure we had a feature in there that addressed that issue as well.

"The mammogram issue is something that is required by state law. However, we have gone beyond the state regulations and have picked up the American Cancer Society recommendation, and that's what that benefit alludes to.

"The pay-in structure for this particular plan, which we will call at this time the in-between plan, is that the single premium, bi-weekly premium, for the pay period is going to be \$2.49, the family premium will be \$25.51, so if you look back, you think back, the other chart that we talked about, that is a thirty-dollar a pay period saving over the current Option I family cost. If you look at the family rate, it's a fifty-some dollar per pay period saving over what we would have had to charge for Option I this year had we continued it. And that's a significant change, and we need to remember those dollars, because that fifty-some dollars a pay period, really equates to about \$1300 a year, which I think is a significant contribution pay-in. It has front-end deductibles, \$200 per covered individual, and \$400 per family. It's an 80-20 co-pay plan, which means it will pay, after the deductible, eighty percent of the charges, up to a stop-loss division, which is what the out-of-pocket

maximum refers to, so if it's an individual, you will pay eighty percent up to the point where you have a thousand dollars out of your pocket for an individual, or two thousand dollars for a family, and I have some studies and examples I can show you how that works, and I think it will live for you better.

"This is a case study that Jean Samuelson, our Benefits Manager, has actually pulled out of the Aetna claims, and it shows--it just happens to be a single parent with two small children. One is an infant, age one and a half, the other child is six years old, and this is an annual claims example that we went through. The employee, Christine, had an annual checkup. The baby had some well-baby clinic visits to the tune of \$135. Susie did become ill and had to have some surgery, and I think it was either an appendectomy or tonsillectomy, and I can't think which one it was, but it was one of those two, so anyway, the annual cost for health expenses that year was \$3,933. Now, as we look at how that particular charge pans out over the two different plans, what we did is we took Option I and said, ok, this is what Option I would have paid for that particular coverage versus what the 80-20 Plan would pay next year for the same kind of illnesses. But going through very quickly, under Option I, Christine's routine physical exam, the insurance would have paid nothing, because remember, there's nothing in that program to cover routine doctor's visits, but under the 80-20 Plan, because there is a biannual benefit, she would have been able to get eighty percent of the \$68 total charge, so the plan would have paid \$54.50 and the employee would have ended up paying \$13.60. Under the well-baby visit, again, remember, that's an item that's covered under the preventative care issue, wellness issues, so again, there's eighty percent of the total charge that would be paid under the 80-20 Plan, but again under Option I, that would have been paid out of the pocket of the employee, because there's no benefit in Option I to cover office visits to the physician. Under Susie, her office visits, again, now Susie has to satisfy a deductible, a \$200 deductible, so neither plan would pay anything for that office visit. Diagnostic and x-ray labs, the Option I would have paid \$100 for that; Option II, the 80-20 Plan wouldn't have paid anything, and again, she's working off that \$200 deductible. The surgeon's fees would have been paid in total by Option I, but would be paid at eighty percent under Option II, or \$944. So if you looked under hospital expenses, you can see what the total costs are in terms of, or no, the total cost of the hospital expenses is \$2,350, and the Option I would have paid all that. Under the 80-20 Plan it would pay \$1,880, so if you get down to the end, you can see that the total payments made under Option I would have been \$3,668; the employee would have had to pay \$265. Under the 80-20 Plan, the plan would pay \$2,986, while the employee paid \$946.60, and if you stop there, you would say, you've really reduced the level of that benefit and look at what you've taken away from the employees. Remember, the annual cost of health care is not only the actual cost incurred, but it is also the premiums you're paying out for the health care that you're being provided. Under that particular situation, that employee's family coverage would have had to pay \$2,031.90 in health care premiums for that year. Under the new 80-20 Plan, they'd pay \$663.26, so the real employee's costs for that year under the Option I would have been \$2,296, while under the 80-20 Plan, their real cost is \$1,609.86, which really means the employee had a \$687.04 savings, if you look at your total cost of health care for that year, and what the bar chart tries to show is that under the Option I Plan, if you look at the premium structure plus the medical charges,

and you come up with a total of what those health care costs were that year, and under the 80-20 Plan, the distribution obviously changes a little bit, but the bottom line is that there is still a significant savings to the employee by being in the 80-20 Plan.

"I have another example which I asked Jean, I said, ok, now what this shows is maybe somewhat of a typical situation, the Dean of the Faculty said, can you give us an example of the outside exchanger, the extreme exposure that somebody could have in a situation, and this, if I'd had to put all those different charges on this particular chart, like I did on the other, it would have taken me about five different slides to do it, so I just condensed everything."

Speaker Martin: "Excuse me, Mr. Snyder. There's a question concerning the ..."

Professor Levy: "I take it that the Select Benefits effect has not been factored in here."

Lee Snyder: "No, but ..."

Professor Levy: "The difference would be at the normal middle federal tax bracket. A reduction of about one-third in employee contributions, that reduces the differential by one-third. What you have to do is factor in one-third of something like \$1400, \$500 practically wipes out the advantage you there demonstrated, and in the example that you gave in the *Cornell Chronicle*, a couple of weeks ago, instead of the \$150 benefit that you get out of your comparative calculations, depending upon the individual tax bracket, including of course, state taxes, which are high in New York. Select Benefits is your program, you developed it, and you have referred to it. You owe it to those to whom you are publicizing this program to include it in your calculations, and that is nowhere in that statement in the *Cornell Chronicle* to which I refer. Your department speaks of these calculations as being the basis on which you decided that an Option I plan was no longer of financial benefit even to the University or to the staff. I have to characterize this as disinformation."

Lee Snyder: "I'm sorry, Charles, I don't quite understand, because what we're saying is that in the reimbursement account you can put money in on a pre-tax basis."

Professor Levy: "That will not carry over, as you well know. Figure the simpler case of the individual employee. In order to put aside \$1000 for his next hospitalization and any reasonably serious surgical hospitalization will now \_\_\_ hospital charges and surgeon's fees to \$5000 on an annual \_\_\_ with a \$1000 cap. You're out of pocket now before a stop loss takes effect. You will have if you calculate the differential between the old, the projected Option I cost, employee cost, and the new 80-20 cost, you will have a savings, but in post-tax dollars, because you cannot carry over year to year. Of \$250, you will have to save for four years in order to have money in pocket to take care of the \_\_\_ stop-loss for one hospitalization. Select Benefits will not do the job, precisely because it reverts. You cannot save for more than a year under Select Benefits. As a result, you have to go very, very healthy

for four years not to exceed the old \$100 deductible, for four years in order to realize the \$250 savings per year to which I referred, and it's simple arithmetic. You have to save that for four years running before you will not be out of pocket for the amount of money you pay before stop-loss enters into, before stop-loss stops your expense. Select Benefits will not do the job. All Select Benefits does is to modify the savings between the old Option I plan, the projected \$78, or in the individual employee's case, a lower amount and the new 80-20 premium. I repeat, this disinforms the University employee, and what's worse, if it in fact underlies the decision, it meant the decision was made on the basis of bad data, data badly calculated. As a matter of fact, what we have is a problem of figures cooked somewhere along the line. This is entirely contrary to the spirit of the University. The University is based on the proper handling of proper data. You do understand that, don't you?"

Lee Snyder: "Not entirely, but ..."

Speaker Martin: "Professor Levy, I wonder if we shouldn't let Mr. Snyder complete his presentation, then come back."

Professor Levy: "It's six o'clock."

Speaker Martin: "Stay beyond, if you wish."

Professor Levy: "It's cold and it's late\_\_\_"

Lee Snyder: "At some point it is worth addressing, because this is a fundamental misunderstanding about what's going on. That allegation should not to be taken lightly; I don't think that's a support for your point, but I think we need to understand it."

Professor Berkey: "Evidently the unanimous passage by the Employee Assembly of what we saw on the handout here (Appendix C, attached) does not agree necessarily with the understanding of it. I wonder if you had any plans to respond to that."

Mr. Snyder: "Yes, we are going to respond to that, because there are a number of--I went through that in very fine detail, and really the whereases, and they made some assumptions because they didn't understand the plan, and so that, we're addressing that issue."

Professor Berkey: "I guess my question is, do you intend to leave the original plan available at the higher cost that you projected?"

Mr. Snyder: "Not at this point, no."

Speaker Martin: "Just a point of information. Professor Berkey, that was not passed by a quorum of the employees."

Professor Berkey: "It said it passed unanimously by the Employee Assembly, if you read the last item. Perhaps what you've given me, then, is information that's not accurate. I'm sorry."

Mr. Snyder: "I don't know if it was passed or not."

Speaker Martin: "Why don't you proceed?"

Mr. Snyder: "The dean asked me to come up with an example that would indicate the worst situation that you could come up with in this kind of plan, so what we have is two cases, two individuals, one who has a breast cancer with medical expenses of over \$16,000 in a year. The other individual has a stroke, with expenses of a little over \$15,400 and again we played those out, and I didn't obviously show all the fine detail on this, but Option I, would have paid \$15,971, while the employee would have paid \$292. Under Option II, you can see how that works out to \$15,262 with a \$1000 stop-loss kicking in, and the same thing then for the individual with \$14,220. The man under Option I and Option II--actually there is a higher payout because I suspect under that particular case what you had was a lot of outpatient kind of expenses, and this is where the 80-20 Plan is a much better plan because it pays more for outpatient expenses and physician visits and that type of thing than the Option I did. So, anyway, if you take the total payments of those two particular plans, there is, under the Option I plan the plan paid \$30,191 while the individual would have had to pay \$1472, and Option II, that plan would have paid \$29,662, while the individuals would have had to pay \$2000. Then, adding on top of that the employee contributions that they make, and the way I look at it anyway, it is a cheaper or a more inexpensive plan for them to be in Option II or the 80-20 Plan, because really it cost them \$2,663 for that particular year, versus the Option I plan. There was a misunderstanding that the Option I Plan paid for everything, and that's not true. It never did, and some people characterized it as a first-dollar plan; it was not. It has a major medical feature in it that only pays 80-20, and that 80-20 goes on forever, and if you have catastrophic kind of illnesses, that plan is not as good a plan, in my contention, as the 80-20 Plan. Let's flip on the lights."

Professor Locksley Edmondson, Africana Studies and Research Center: "Is there any chance of negotiating this plan, or are you going to tell us what already has passed?"

Mr. Snyder: "Well, we're not at a point to negotiate that."

Professor P.C.T. deBoer, Mechanical and Aerospace Engineering: "I would like to ask a question. If I understand it correctly, then the purpose of switching everyone to Option II was to save the University money. If the University saves money, the logical conclusion is that at least I've got to pay more money, so it seems to me that those two examples you gave are examples."

Mr. Snyder: "Well, actually, what we are finding is that under the Option I plan, we were down to a point that about forty percent of the total faculty and staff were only left with Option I. Sixty percent had already migrated to Option II over the last two years. We knew that if we offered that plan again this year, those costs especially would have gone to a family rate of \$78 a pay period, which is what we would have had to do. We would have had at least another good twenty percent shift. This is what the consultants told us. It would shift then over to Option II, so what we'd end up, you know,

left with all that would probably be roughly twenty to twenty-five percent of the population in Option I, and we know that that's a group that is probably going to be a high-utilization group of the plan, and the cost would just have gone out of sight and the University subsidy of that plan would have had to have been that much higher. By putting them all in the same plan now we're evening out the cost over a much larger group of people, and that's the whole concept of insurance, is to even it out over larger groups of people. So, from a standpoint of an underwriter, if you're an underwriter in the insurance business, you would say that that Option I Plan was no longer a valid plan in terms of its value versus its cost."

Professor Levy: "Let me address that, because that is a prior question. We replied to that in the State of the University budget, and for the fiscal policy for the University read the development policy of the University. Let's back up just one step here. First of all, I understand the precise figure is forty-seven rather than forty. Forty-seven percent. And people are balking at it, buying the operation, you may well have anticipated that. Either you didn't and should have or you did and this is simply the working out of a prearranged plan. If pressure where deferred gratification does not carry great weight. It could have been anticipated that when you offered two options and broke the very rule you've just referred to, that the operation of an insurance plan like this ought to comprehend the entire pool. When you altered the double option, under the operation of Gresham's Law, you practically made it certain that over the period of several years this would happen and you would be in a position to present just the figures you presented. You will recall that my successor as the president of the Cornell chapter of the AAUP and I spoke to you and Marilyn Paluba at the time that you instituted the double option plan, and I spoke to you particularly about the inherent ageism of the two-option plan. It is statistically unquestionable that the two-option plan will work to the disadvantage of the old, the older and the sicker, and by bleeding off membership in what had been the Cornell hospitalization plan for endowed employees back as far as the memory of man runs, back to the time when Diedrich Willers was operating personnel out of his back pocket, you were essentially sounding the death knell of a unitary plan of conventional hospitalization. So precisely what you say would probably happen, and what this gentleman says has happened in over the space of a year, is a seven percent dropoff over the space of a year is what was built in to your department's choice of two options. You, in effect, scuttled the Cornell University endowed hospitalization on what amounts to roughly a first-dollar basis by encouraging improvidence and now mandating improvidence."

Mr. Snyder: "We were also planning to have a third option, which was an HMO option in this community, and we felt that that would be in existence by now."

Professor Levy: "But it isn't, and what you were doing was reaching for pie in the sky. It is not in existence, and it cannot exist \_\_\_\_\_ with so numerous a voice protested your refusal to them of the plan that might very well have been inferior to an HMO, but is not inferior to 80-20."

An unidentified speaker: "I move, Mr. Chair, that the meeting be adjourned."

Speaker Martin: "We are adjourned. Thank you very much, Mr. Snyder."

Adjourned 6:00 p.m.

Mary A. Morrison, Secretary

**[NOTE: the Financial Policies Committee will distribute its recommendations for specific budget targets for 1991-92 at the November 14 meeting of the FCR.]**

## **REVISED REPORT OF THE FCR FINANCIAL POLICIES COMMITTEE**

### **ASSESSMENT OF LAST YEAR'S PERFORMANCE AND THIS YEAR'S OBJECTIVES**

In spring 1989 the Committee approved and the FCR endorsed a new, more formal mode of operation. This process is intended to increase the responsible involvement of the faculty in discussions with the administration about budgetary matters. Together with the administration, we are to establish budgetary goals or targets early in the fall, and the Committee will report on "how close we are to meeting our goals" and on "the economic and academic tradeoffs to be weighed."

This report assesses last year's performance and proposes revised objectives as we begin the second year of the new procedure. In November the Committee will present its recommendations on budgetary targets and priorities to the FCR for its approval, and in December the Provost will meet with the faculty to review the administration's plans and discuss how "they relate to the faculty's recommendations."

**A year ago we established four broad objectives for Cornell:**

- 1. "Pursue excellence"**
- 2. "Provide diverse enrichment"**
- 3. "Maintain a non-urban ambiance"**
- 4. "Insulate the achievement of these goals" from external shocks.**

We later translated pursuit of these objectives into the following specific budgetary targets:

- Maintain current financial aid policies.**
- Increase the competitiveness of faculty salaries and graduate student stipends through ten percent increases over each of the next two years.**
- Hold tuition increases, on average, within inflation plus the long-term growth rate of productivity in the U.S. (the world).**
- Selectively reduce faculty and staff positions by up to two percent in each of the next two years.**

Implied in this balancing assessment was the assumption that all other University expenses, including staff salaries, would increase on average at the rate of inflation. We also recognized the short run budgetary pressures that were self-inflicted last year in order to bring the "payout" rate on the endowment down to a long-term sustainable level.

What has been accomplished this past year? While stated financial aid policies have been maintained, Table 1 suggests some slippage in the average aid package compared to peer institutions. Furthermore, tuition and fees rose at eight percent in comparison to the seven percent maximum we recommended, but many of our competitors implemented similar increases, so Cornell's relative position with respect to stated cost did not suffer appreciably, as shown in Table 2.

**TABLE 1**

**Typical Freshman Self-Help Financing Levels:  
Cornell vs. Mean of 16 COFHE\* Private Universities**

1990/91**	5,390/4,456	<u>1.210</u>
1989/90	5,020/4,263	<u>1.178</u>
1988/89	4,820/4,169	<u>1.156</u>
1987/88	4,820/4,068	<u>1.185</u>
1986/87	4,820/3,879	<u>1.242</u>
1985/86	4,650/3,728	<u>1.247</u>

\*Consortium on Financing Higher Education

\*\*Preliminary

**TABLE 2**

**Endowed Tuition and Mandatory Fees:  
Cornell vs. Mean of 17 COFHE Private Universities**

1990/91	15,164/14,902	<u>1.018</u>
1989/90	14,040/13,943	<u>1.007</u>
1988/89	13,140/12,885	<u>1.020</u>
1987/88	12,300/11,951	<u>1.029</u>
1986/87	11,500/11,130	<u>1.033</u>
1985/86	10,500/10,213	<u>1.028</u>

In order to maintain the excellence of our faculty, we recommended substantial salary increases over each of the next two years to move us several notches above the rank of sixteenth in weighted salaries among peer institutions - a ranking that Cornell has held over the last three years after having risen briefly to eleventh in 1983. We estimated that ten percent increases over each of two years would be required to move us up to approximately tenth spot which would have placed us closer to the 80th percentile among our peers; the actual increase was in the 6-7 percent range, well above inflation but well below our target. Unfortunately, the reported cross-university faculty salary comparisons are lagged by one year, so we can only report that a year ago we held our own in sixteenth spot, as shown in Figure 1. However, stipends for entry-level graduate students were increased by 10 percent (8 percent average increases for all graduate students).

Our other recommendation that the administration has embraced with enthusiasm is to cut faculty and staff by up to four percent total over the next two years. If done selectively and wisely in order to reduce duplication and to allow expansion in growing areas while shrinking in less essential ones, the Committee continues to endorse this policy; it is essential for maintaining long-term excellence and we should be able to reach the aggregate numbers through attrition. Nevertheless, what we fear is that under existing institutional arrangements, it may be difficult to make the hard choices necessary to reallocate those reductions over subsequent years in a way that will strengthen Cornell.

Consequently, we propose the following objectives which are modified slightly from last year.

1. *Remains to:* **Pursue excellence** in terms of the quality of research and education (per faculty and student without increasing size).
2. *Modified to:* **Provide enrichment** through the heterogeneous composition of students, faculty and staff within the concept, however, of one university.
3. *Expanded to:* **Support an open intellectual atmosphere** by enhancing the social, physical and ethical environment on campus.
4. *Modified to:* **Secure the achievement of these goals** by moderating the impacts of large external perturbations.

Many additional specific problems are encompassed by these broad objectives: developing more flexible faculty categories and elevating the status of teaching lecturers, defining flexible rules for senior faculty to accommodate mutual needs after the uncapping of the retirement age, developing mechanisms for finding professionally satisfying careers for spouses and associates of faculty and staff, integrating the statutory and endowed budget process and managing and planning for the physical half of our endowment (grounds and buildings) as effectively as the financial portion.

But in addition to the physical environment, it is essential for a university community to maintain an open and ethical atmosphere that nourishes intellectual discourse, respecting individual rights, so differences can be aired and understood. Honesty and respect should not be limited to the classroom; however, they are essential if we are to achieve the institutional reshaping we feel will be essential for Cornell's future success.

In the face of Federal and State budgetary deficits and trauma, plus uncertainty in the Middle East, accomplishing our fourth objective may be the most difficult. Nonetheless, as shown in Table 3, our endowment support per student has grown, our relative position has remained constant among peers, and we applaud the embarkation upon a \$1.25 billion capital campaign devoted largely to increasing endowment in support of general purpose funds. The campaign's success should add to our budgetary flexibility, if it is not eroded by continual increases in overall expenses well in excess of inflation. That is why budget pruning is essential now.

But in the long run, we see these cost pressures re-emerging. That is why we think it is important to begin a fundamental dialogue about the necessary evolution of the University's structure if it is to succeed in the 21st century. Some areas should be selected for emphasis and growth, but this means others will diminish if we are to husband our scarce resources; many things will have to be different.

We welcome your questions, comments, and suggestions, both about the major objectives we have identified and about relative priorities, as we attempt to translate these objectives into budgetary targets.

Revised: November 1, 1990

**AVERAGE SALARY**  
 (Weighted by Cornell Distribution of Ranks)

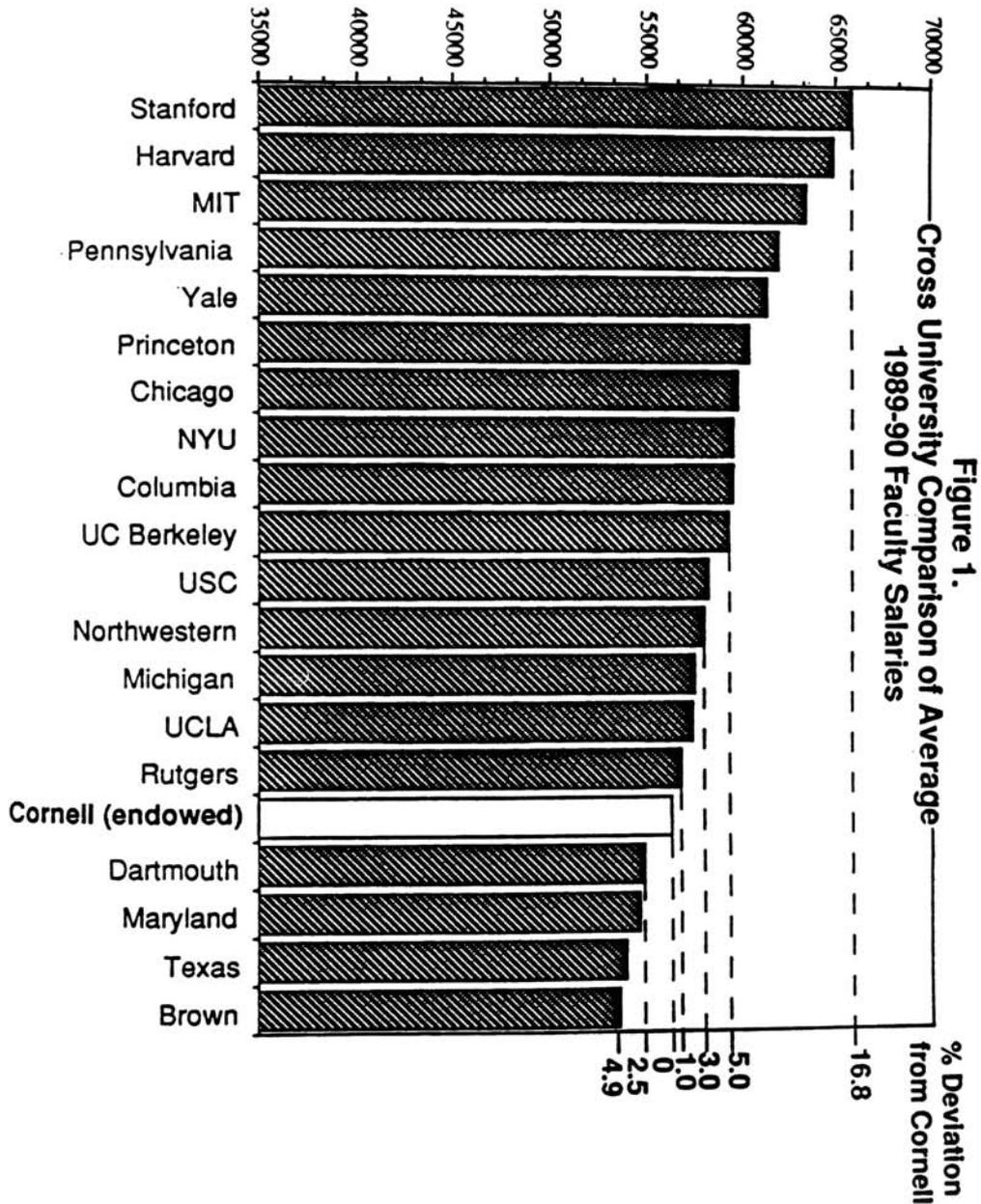


TABLE 3

**ENDOWMENT PER FULL-TIME STUDENT  
AT SELECTED PUBLIC AND PRIVATE INSTITUTIONS  
1987-88 AND 1988-89**

<u>Institution</u>	<u>1987-88</u>	<u>1988-89</u>
Princeton	\$372,691	\$398,369
Harvard	247,309	264,075
Rice	218,396	242,583
Yale	197,564	221,721
Stanford	125,823	144,579
MIT	123,133	137,091
Washington University	116,728	129,641
Dartmouth	109,376	121,754
Emory	96,449	111,858
University of Chicago	95,048	99,175
Columbia	77,425	81,575
University of Rochester	69,912	73,468
Johns Hopkins	60,509	63,688
Northwestern	55,001	62,256
Vanderbilt	55,452	61,161
<b>CORNELL <sup>a</sup></b>	<b>38,652</b>	<b>44,105</b>
University of Pennsylvania	34,565	40,036
University of Texas System	23,404	24,469

<sup>a</sup> *Figures for Cornell are based on total full-time enrollment for all divisions (Endowed Ithaca, statutory, and medical). Adjusting for Endowed Ithaca and Medical College enrollment only (by eliminating enrollment in statutory colleges) increases the 1987-88 figure to \$55,717 and the 1988-89 figure to \$63,464.*

General Notes: • Institutions are ranked in descending order of 1988-89 endowment per full-time student.  
• Endowments include true endowments and funds functioning as endowments, but exclude living trusts.  
• Fall 1987 and 1988 enrollments were used in calculating the endowment-per-student levels.

Source: *NACUBO Endowments Study*, Cambridge Associates, Inc.

Date: May 1990

TABLE 4. SURVEY RESULTS FOR 1989-1990:<sup>(1)</sup>  
 REASONS FOR VOLUNTARY FACULTY DEPARTURES FROM/REJECTIONS OF CORNELL

<u>QUESTION:</u>	<u>TO OTHER UNIVERSITY</u>	<u>TO NON-ACADEMIC INSTITUTIONS</u>	<u>TOTAL</u>
<u>Departing Faculty</u>			
1. Number of Departing Faculty	30	4	34
2. Salary & Fringes a Major Issue for 1	13 (43.3%)	2 (50%)	15 (44.1%)
<u>Recruitment of New Faculty</u>			
3. Number of Outside Offers Made	92	5	97
4. Number of Offers in (3) Declined	19 (20.7%)	1 (20%)	20 (20.6%)
5. Salary & Fringes a Major Issue for 4	19 (100%)	1 (100%)	20 (100%)
<u>Combined Effects</u>			
6. Total Departures and Rejections (1 and 4)	49	5	54
7. Salaries & Fringes a Major Reason for 6 (2 and 5)	32 (65.3%)	3 (60%)	35 (64.8%)
8. Inadequate Labs, Facilities & Support a Major Reason for 6	23 (46.9%)	-----	23 (42.6%)
9. Professional Employment for Spouse/ Assoc. a Major Reason for 6	16	5	21(38.9%)
	<u>Spouse/Assoc. an Academic</u>	<u>Spouse/Assoc. other Professional</u>	<u>Total</u>

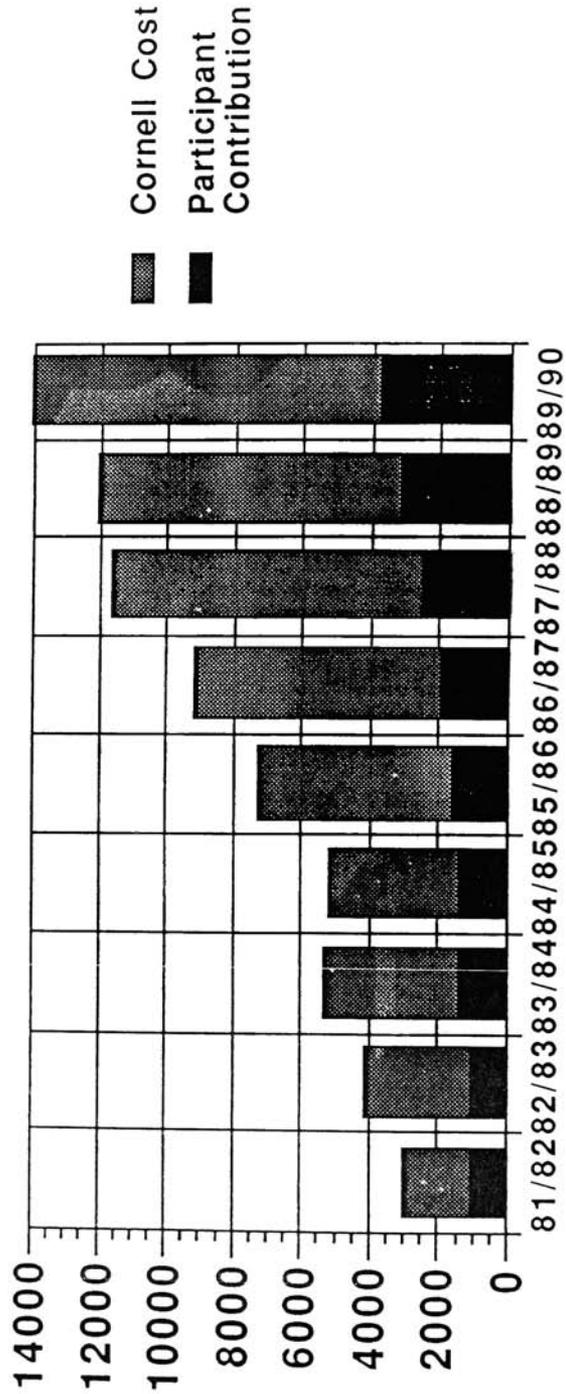
(1) 95% response

TABLE 5. COMPARISON OVER TIME:  
REASONS FOR VOLUNTARY FACULTY DEPARTURES FROM/REJECTIONS OF CORNELL

<b>QUESTION:</b>	<b>4 YEAR TOTAL(1) <u>1982-85</u></b>	<b>ANNUAL TOTAL(2) <u>1985-86</u></b>	<b>ANNUAL TOTAL(3) <u>1989-90</u></b>
<b><u>Departing Faculty</u></b>			
1. Number of Departing Faculty	89	32	34
2. Salary & Fringes a Major Issue for 1	28 (31%)	12 (38%)	15 (44%)
<b><u>Recruitment of New Faculty</u></b>			
3. Number of Outside Offers Made	277	135	97
4. Number of Offers in (3) Declined	71 (26%)	33 (24%)	20 (21%)
5. Salary & Fringes a Major Issue for 4	21 (30%)	12 (36%)	20 (100%)
<b><u>Combined Effects</u></b>			
6. Total Departures and Rejections (1 and 4)	160	65	54
7. Salaries & Fringes a Major Reason for 6 (2 and 5)	49 (31%)	24 (37%)	35 (65%)
8. Inadequate Labs, Facilities & Support a Major Reason for 6	38 (24%)	11(17%)	23 (43%)
9. Professional Employment for Spouse/ Assoc. a Major Reason for 6	46(29%)	17(26%)	21(39%)

(1) 54% response (2) 78% response (3) 95% response

# Rising Endowed Health Care Costs, 1981/82-1989/90



# Projected Total Endowed Health Care Costs

	Calendar Year 90	Calendar Year 91
Cornell Cost	\$11,334,000	\$13,291,000
Employee Contributions	\$3,810,000	\$2,635,000
Total Plan Cost	\$15,144,000	\$15,926,000

# Endowed Health Care Program for 1991

Plan design includes wellness and preventive care:

- Well-baby care (age 2 and under, \$200 annual limit)
- Biennial physical exam (employee age 40+, \$250 limit; employee under age 40, \$150 limit)
- Mammography (age-related benefit)

# Endowed Health Plan Costs to Employees for 1991

## Employee biweekly costs

- Single \$ 2.49
- Family \$25.51

## Front-end deductibles

- \$200 per covered individual
- \$400 per covered family

**80/20 copay** after deductible is satisfied on most necessary medical supplies and services as prescribed by a physician

## Out-of-pocket maximum

- \$1,000 per covered individual
- \$2,000 maximum in covered family expenses

# Equal Subsidy

	<u>Current Option I Contributions</u>	<u>Option I Contributions Under Equal Subsidy</u>
Single	\$12.63	\$ 43.80
Family	\$55.10	\$155.00

# Increased Subsidy

	<u>Current Option I Contributions</u>	<u>Option I Contributions With Increased Cornell Subsidy</u>
Single	\$12.63	\$17.91
Family	\$55.10	\$78.15

# One Case Study under the 80/20 Health Plan

Christine is a single parent with family coverage for herself and her two children, Bobby (age 1 and 1/2) and Susy (age 6). Christine and Bobby have a healthy year and receive only routine care, but Susy is hospitalized as an inpatient for an appendectomy. Christine follows the plan's precertification requirement and contacts Healthline to certify Susy's inpatient hospital stay. The family's medical expenses include:

## Christine:

- Annual check up \$ 68
- (includes \$18 charge for lab work)

## Bobby:

- Well baby \$ 135

## Susy:

- Office visits for illness \$ 80
- Diagnostic x-ray/lab \$ 100
- Surgeon's charges \$1,200
- Precertified hospital expenses \$2,350

**TOTAL**

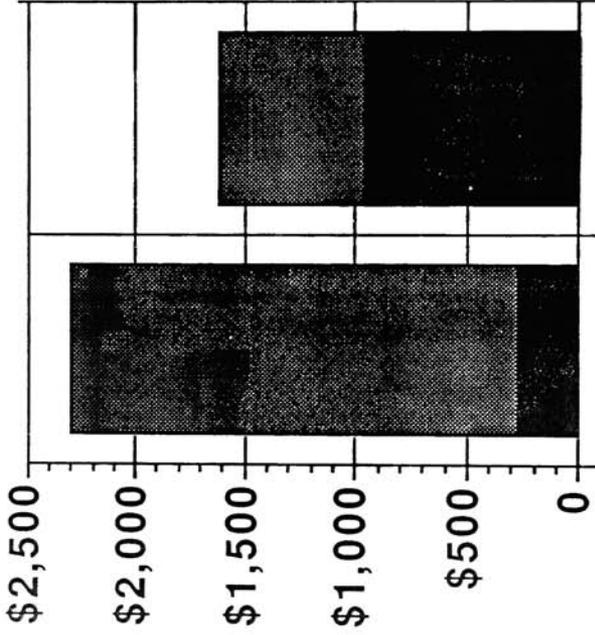
**\$3,933**

# Comparison of Coverage under the Old Option I vs. the New 80/20 Plan

Charges	OPTION I		80/20 PLAN	
	CU Pays	EE Pays	CU Pays	EE Pays
<b>Christine:</b>				
- routine checkup	\$ - 0 -	\$ 50.00	\$ 54.50	\$ 13.60
- lab	\$ 18.00	\$ - 0 -		
<b>Bobby:</b>				
- well baby visits	\$ - 0 -	\$ 135.00	\$ 108.00	\$ 27.00
<b>Susy:</b>				
- office visits	\$ - 0 -	\$ 80.00 (deductible)	\$ - 0 -	\$ 80.00 (deductible)
- diagnostic x-ray/lab	\$ 100.00	\$ - 0 -	\$ - 0 -	\$ 100.00 (deductible)
- surgeon's fees	\$1,200.00	\$ - 0 -	\$ 944.00	\$ 20.00 (deductible)
				\$ 236.00 (20% until out of pocket met)
- hospital expenses	\$2,350.00	\$ - 0 -	\$1,880.00	\$ 470.00
<b>Total Payments Made</b>	\$3,668.00	\$ 265.00	\$2,986.40	\$ 946.60
<b>Annual EE Contribution</b>		\$2,031.90		\$ 663.26
<b>Total EE Cost</b>		\$2,296.90		\$1,609.86

# Employee Costs

Option I 80/20 Plan



Example: single parent with two children; total medical expenses \$3,933

**EMPLOYEE SAVES \$687.04 under 80/20 Plan**

Employee pays in  
 Medical Charges  
 Premiums  
TOTAL

\$265.00  
 \$2,031.90  
\$2,296.90

■ Premiums  
 ■ Medical Charges

\$946.60  
 \$663.26  
\$1,609.86

# Claims Example: Two Catastrophic Claims

Loretta: breast cancer      \$16,263 medical expenses

Larry: stroke                      \$15,400 medical expenses

	<b>Option I</b>		<b>Option II</b>	
	<u>CU Pays</u>	<u>EE Pays</u>	<u>CU Pays</u>	<u>EE Pays</u>
Loretta	\$15,971	\$ 292	\$15,262	\$1,000
Larry	<u>\$14,220</u>	<u>\$1,180</u>	<u>\$14,400</u>	<u>\$1,000</u>
<b>Total</b>				
<b>Payments</b>	\$30,191	\$1,472	\$29,662	\$2,000
<b>Annual</b>				
<b>Employee</b>				
<b>Contribution</b>		<u>\$2,032</u>		<u>\$ 663</u>
<b>Employee Cost</b>		\$3,504		\$2,663

## EMPLOYEE ASSEMBLY

### Resolution

on

### University Endowed Health Care Plan October 1990

The Steering Committee of Employee Assembly proposes the following resolution:

- Whereas the rising cost of health care services continues to require the commitment of increased financial resources which can legitimately be shared in an equitable manner between the employee participants and the University as the employer; and,
- Whereas the Employee Assembly was not provided any opportunity to respond to the proposed changes in the Endowed Health Care Plan prior to the announcement of the decision to drop Option I coverage beginning 1/1/91; and,
- Whereas the Office of Human Resources made the erroneous assumption that continuation of Option I coverage, even with a 40 percent increase in employee-contributed premium, would not be acceptable to current Option I participants; and,
- Whereas many of the current participants in Option I have chosen this option because of the reduced risk of major financial outlay in event of a catastrophic medical event; and,
- Whereas the announced change could provide significantly greater financial burden to employees who had completed their financial planning for the coming year with the expectation of continued Option I and now may be faced with higher medical bills and financial outlays with the proposed Option II coverage; and,
- Whereas the abrupt announcement of this change has caused great concern and anxiety among many members of the University community;

Be it therefore resolved that the following proposals be adopted as the official Employee Assembly responses to the proposed changes in the Endowed Health Care Plan.

1. The Employee Assembly requests the University Administration to reconsider the proposal to discontinue Option I in the Endowed Health Care Plan and instead to continue to offer Option I for one more year with the biweekly premium rates of \$17.91 for individual and \$78.15 for family coverage as established by the Office of Human Resources.

Rationale:

This will provide employees the right to continue with Option I if they choose to do so at the higher premium rate.

This will provide employees additional time to prepare for the potential increased immediate costs associated with Option II.

This will allow employees with other health coverage options available through other family members the necessary time to enroll in those other options in case enrollment opportunities are limited.

2. The Employee Assembly requests that the University Administration establish an Emergency Medical Expenses Loan Fund for Employees. This fund would provide emergency short-term loans for employees who move from Option I coverage to Option II coverage and who are faced with immediate and unexpected out-of-pocket medical costs.

Rationale:

This fund could serve as an incentive for those employees who have limited discretionary funds for immediate medical payments and therefore choose to stay in Option I rather than move to Option II and face the uncertainty of out-of-pocket medical payments.

This fund could aid employees with limited cash flow by enabling them to amortize the payments for out-of-pocket medical expenses associated with Option II.

This should be established as a "revolving fund" through which the employees who initially receive emergency funds could reimburse the fund by payroll deduction and allow that money to be used by other employees.

As passed unanimously by the Employee Assembly 10/30/90  
To be presented to the University Assembly 10/31/90

## MINUTES OF A MEETING OF THE FACULTY COUNCIL OF REPRESENTATIVES

December 12, 1990

The Speaker, Professor Emeritus Russell Martin, called the meeting to order. He indicated that a quorum was present and reminded all speakers to please identify themselves for the record. He then called on Dean Lynn for remarks.

## 1. REMARKS BY THE DEAN

Dean Lynn: "Welcome. Some of you may believe that we tried to get a quorum at the last meeting by introducing the health benefits discussion. Today, in order to ensure that there was a quorum, we are going to talk about traffic and the transportation plan, and we have the Provost in addition, so that gives us a full agenda. I want you to know that all of these things were planned long in advance, and it has nothing to do with the quorum. Some of you may also be suspicious, saying there's a motion to see about reappointing the dean, and that's really the motivation for doing it. I assure you that that's not correct.

"I do have a couple of brief announcements to make to you. First of all, that the next meeting of the FCR is on February 13; that's a Wednesday, and is approximately two and a half weeks after the semester begins, and please note that on your calendars.

"The second thing is that, as you may have noted, there has been a decision made by the administration to establish a health-care grant loan fund, and I've been asked to recommend two faculty who are willing to participate in both setting up the guidelines and helping to set the general ground rules by which that loan fund would be administered. If anyone is interested in participating in that, I don't know what the burden will be, but the principle role will be to help establish how that fund will be made available to employees and faculty members. If anybody's interested in that, please see me at the end of the meeting.

"Finally, there has been a request on behalf of a group of students in behalf of Martin Luther King Day which is January 21st, and that simultaneously is the first day of classes. As you know, and as the students have been informed, there are no formal excused absences. However, as is the case with other events that take place on the campus, students, if they elect to participate in these other events, have an obligation to tell the faculty and advise them about their absence in advance, and you're all asked that, as it says in the Faculty Handbook, to take these matters under consideration. I hope you will do so. Mr. Chairman, thank you."

## 2. APPROVAL OF SUMMARY MINUTES OF OCTOBER 10, 1990 FCR MEETING

Speaker Martin: "Are there any corrections to the minutes of our meeting of October 10? There being none, they stand approved as distributed, and we would remind you that everyone receives the summary minutes, but the full text of the minutes of each meeting is available in Dean Lynn's office, and anyone who wishes to come and see them, you are welcome to do so. Would Dean Lynn and Secretary Morrison please absent themselves for a minute or put your heads down. [laughter]

"The Chair next calls on Professor Utermohlen, chairman of the Committee on Nominations and Elections for a resolution."

3. RESOLUTIONS EXTENDING TERM OF DEAN AND SECRETARY OF THE UNIVERSITY FACULTY

Associate Professor Virginia Utermohlen, Nutritional Sciences, moved the following resolution:

*WHEREAS, the term of the present Dean of the University Faculty, Walter R. Lynn, will expire June 30, 1991, and*

*WHEREAS, the Committee on Nominations and Elections unanimously agreed to extend the term of Dean Lynn for an additional two years, and he has indicated his willingness to continue, and*

*WHEREAS, the Faculty Council of Representatives (FCR), in accordance with the legislation of the University Faculty, does have the authority to reappoint the Dean of the University Faculty for a further period of not more than two years,*

*THEREFORE, BE IT RESOLVED, that the Nominations and Elections Committee hereby recommends that the FCR extend the term of Dean of the University Faculty, Walter R. Lynn, through June 30, 1993.*

Speaker Martin: "You've heard the resolution. Is there discussion? There being none, all in favor of the resolution, say aye. [Aye.] Opposed, no. It is carried."

Professor Utermohlen moved the second resolution:

*WHEREAS, the term of the present Secretary of the University Faculty, Mary Morrison, will expire June 30, 1991, and*

*WHEREAS, the Committee on Nominations and Elections unanimously agreed to extend the term of Secretary Morrison for an additional two years, and she has indicated here willingness to continue, and*

*WHEREAS, the Faculty Council of Representatives (FCR), in accordance with the legislation of the University Faculty, does have the authority to reappoint the Secretary of the University Faculty for a further period of not more than two years,*

*THEREFORE, BE IT RESOLVED, that the Nominations and Elections Committee hereby recommends that the FCR extend the term of the Secretary of the University Faculty, Mary A. Morrison, through June 30, 1993.*

Speaker Martin: "Is there discussion? All in favor of the resolution, say aye. [Aye.] Opposed, no. Carried. Jill, would you want to escort them back? They may have left. [laughter; applause] It was close, but they did it. The Chair next calls on Professor Schuler for a brief report of the Financial Policies Committee."

4. BRIEF REPORT AND RECOMMENDATIONS OF THE FINANCIAL POLICIES COMMITTEE

Professor Richard Schuler, Civil and Environmental Engineering and Economics: "Now that we have our overall University priorities straight and we're going to talk about parking today, I'll be incredibly brief in terms of budgetary priorities. We discussed them quite fully at the last FCR meeting; you've had an opportunity to look at them in the call to the meeting as well as the earlier call to the meeting which indicated the objectives for the University from which we formed these budgetary criteria. Let me remind you quickly that what we're talking about here are budgetary recommendations that deal only with the endowed colleges on campus, not the statutory units, and that second

of all, as a basis for departure, the finances of the University are very good. We are in a good position compared to a lot of other institutions. Now, again, that's from the focus of the endowed units, but nevertheless, that's the basis from which we're operating.

"What are our recommendations to try and sustain and improve on that level for the future? One, hold tuition down to inflation plus the average increase in productivity, two percent roughly, and second, to maintain current aid policies. Those two budgetary objectives are designed to reinforce the overall objective of sustaining and enhancing the quality and diversity of the student body here on campus. The intention of the other budgetary objectives is to maintain and enhance the quality of the faculty here on campus, and so objective number three is to improve faculty salaries over the next two years at a rate in excess of inflation. We talk about a pool increase of eight and a half percent. We believe that translates into a AAUP-weighted average increase of approximately ten percent over each of the next two years, and we also propose the TA stipends be increased in that order of magnitude. Since we are under a mandate to do that in the context of a balanced budget, the money has to come from somewhere, and the kind of tuition increase we recommend will not support that, and so what that requires are cuts in positions, and so we continue as we did a year before to recommend over the next two years a two percent reduction in both faculty and staff, in each of those two years.

"Now, let me emphasize that this is a package of proposals. We would not say in and of itself cuts are mandatory or essential for the financial well-being. They are an important ingredient of those other overall considerations. Let me just add, there is a parallel enhancement for staff salaries in excess of inflation that will come about as a result of the position reappraisal program that has gone on over the past year and a half here at Cornell. But this is a package proposal that we're presenting. Finally, our real concern is obviously how would any cuts be planned for and administered, because the Committee feels strongly that cuts should not be done across the board. They should be done to form a basis for growth and expansion in those areas that are likely to be the ones of highest intellectual activity over the next several decades. What concerns us, we have yet to see any mechanism or process put in place that might intelligently assign those kinds of cuts, not only within colleges, but across the various units on campus. That in a nutshell are our recommendations."

Speaker Martin: "Perhaps it would be appropriate to hold questions until we get the resolution on the floor. Professor Ahl."

Professor Frederick Ahl, Classics: "It is my pleasure to recommend to the members of the FCR that we endorse the recommendations made by the Financial Policies Committee and that we show our approval at this time since we have a quorum."

1. Hold tuition increases, on average, within inflation plus long-term U.S. (world-wide) productivity increase rates.
2. Maintain current financial aid policies.
3. Improve the competitiveness of faculty salaries by increasing the faculty salary pool by 8.5% over each of the next two years (graduate student stipends should rise at a similar rate next year). We note that a parallel effort is underway to adjust staff salaries as a result of classification studies.

4. Selectively reduce faculty and staff positions by up to two percent in each of the next two years.

Speaker Martin: "All right, yes. Please identify yourself."

Professor Isaac Kramnick, Government: "I would like to amend Number Four, if I may, to add the word 'non' and a dash before faculty and to strike the words 'and staff,' so that it would read: 'Selectively reduce non-faculty positions by up to two percent.'"

Speaker Martin: "Is there a second to the amendment? Was there a second? Thank you."

Professor Kramnick: "Very quickly, it seems to me incompatible to begin a campaign for \$1.25 billion, a major component of which speaks of enhancing undergraduate education, and to do that by cutting the faculty. The second point simply is, if Stanford is the model by which we are doing everything, and Stanford is cutting two percent, let it be also noted that Stanford is excluding faculty from its cuts, it's non-faculty cuts, as I understand it. That's all."

Professor Schuler: "I don't believe, Professor Kramnick, that alone will balance the budget. Something else would have to give, that is, presumably the salary increases would have to be somewhat lower if we just were to reduce the non-faculty positions by two percent."

Professor Steven Shiffrin, Law: "I wonder if Professor Schuler would address the following point. As I understand from your presentation at the last two meetings, and your report to the FCR Executive Committee, your committee did not take into account the \$1.25 billion campaign. That campaign is designed to increase contributions to the endowment. If, out of that campaign, \$5 million were taken in the first year and \$5 million were taken in the second year, we could still substantially increase contributions to the endowment and avoid these cuts. I support Isaac's amendment. If that amendment should pass or fail after voting, I would propose its complete deletion. Before doing so, I would like to know whether your committee has taken into account the possibility of taking money from the capital campaign and taking out of it a rather small portion to be used to balance the budget."

Professor Schuler: "Not directly. Indirectly we considered it another way, that is, to make a projection in the future that if the campaign is successful and if the current operating base of Cornell expenses continue to rise, as they have in the past, that within seven or eight years the income that comes from the additional endowment that is raised in the campaign, will have been fully eroded, and we will be in the same real financial position we're in today. Now let me turn your question the other way around, though, Professor Shiffrin. If you believe that every five or six years Cornell could mount yet another successful \$1.25 billion capital campaign, then I would come running and applaud your proposal."

Professor Shiffrin: "If I understand your response, you took into account what would happen to the endowment and income flowing from endowment."

Professor Schuler: "That's right."

Professor Shiffrin: "I wonder if you could speak to the question of whether you took into account the fact that after capital campaigns, increases in annual giving go up? You did not. Now, given that you didn't take that into account, would it be unreasonable to suppose that something on the order of a \$5 million increase, taking into account

inflation, could not be excepted from having a capital campaign, so that we would need additional capital campaigns to generate that imbalance in the budget? Isn't that a significant possibility?"

Professor Schuler: "The question is, really, do you want to bet the University on it?"

Professor Shiffrin: "Well, I would submit that that is not betting the University ..."

Professor Schuler: "Or at least a fraction of it..."

Professor Shiffrin: "That is to say, we could take the \$5 million in the short run and if the carnage were necessary in the future of having the cuts, we could have that carnage in the future. I submit that what you were doing suggests having the carnage now, without really knowing whether it was necessary."

Professor Frank Moore, Joseph C. Ford Professor of Mechanical Engineering: "I'd like to express a disquietude with the general tendency of that resolution, that is, it puts the faculty in the business of solving the University's financial problems, which I suspect is not something that faculty ought to be doing. I think with respect to all of the elements that are touched on in the resolution, that there's a very powerful educational component which I don't believe, perhaps being new on this, I don't know, but which I don't believe is addressed from that point of view."

Speaker Martin: "Excuse me, are you speaking specifically to the amendment?"

Professor Moore: "I think so. I don't believe the University Faculty should be making resolutions such as the fourth resolution, to reduce faculty without a clear academic analysis of the consequences of that. Now perhaps there is some symmetry here that I'm unaware of, but without that symmetry, I would certainly vote for the amendment that may occur later, to strike that, understanding that the University can't follow that because the money has to come from somewhere and so forth, but I don't think it's up to the Faculty to find the money."

Professor Charles Levy, English: "Does the mover have in mind including the non-faculty teaching staff within the category?"

Professor Kramnick: "I think so. Yes."

Professor Emeritus W. Donald Cooke, Chemistry: "Professor Moore expressed disquiet about the amendment. I express outrage. To sit here with a group of faculty, the highest-paid group in the University, and say, 'Let's cut out all those other small jobs.' I'm just outraged." [applause]

Speaker Martin: "Are you prepared to vote on the amendment? Yes."

Professor Joel Porte, Ernest I. White Professor of American Studies and Humane Letters: "I think maybe we ought to have Isaac Kramnick clarify precisely the sorts of cuts he thinks are implied in this amendment. I think there is some uncertainty I feel about where those cuts would be coming from."

Professor Kramnick: "In response to Don's comment, my preference would be to eliminate Four, and I agree with Professor Moore that it isn't the faculty's position to suggest to the University how to balance its books. In terms of the answer to Professor Levy, I mean, 'selectively reduce non', if you must keep Number Four, then selectively reduce non-teaching positions if you have to."

Speaker Martin: "Is there further discussion before we vote? Yes. Professor Ahl?"

Professor Ahl: "I'd just like to respond to Isaac's amendment, if I may. The irritation I suspect that many people have felt with item four, the cutting of faculty and staff positions by two percent, probably results at least in part from the way in which the last presentation of this was made. It appears to have been carried out in practice by the administration, but attention should be paid to the cuts in the faculty and staff size, and not to the increasing of the faculty salary pool. I think one of the things that we would have to do here is make it fairly clear that whether we accept the amendment or the resolution itself, that we need to make it clear that Items Three and Four are interrelated and that we do not have Item Four without Item Three. This I think is a very important matter. When it comes finally to the business of cutting non-faculty teaching staff, the most vulnerable area in Isaac's resolution, we should be very, very cautious about making such a specification, since an enormous percentage of teaching in the College of Arts and Sciences is done, particularly on the sophomore level, by non-faculty academics who are already among the most overworked and underpaid members of our community."

Speaker Martin: "Yes."

Professor Moore: "I must have misunderstood the discussion I had with Professor Levy before. My guess when you made the amendment was that it had something to do with perhaps cutting administrative positions, as opposed to secretarial positions, and I therefore misunderstood remarks about the faculty vis-a-vis picking on the staff. I thought it was aimed in a different direction. Did I misunderstand you?"

Professor Kramnick: "Indeed, the spirit of the amendment was to selectively reduce administrative positions. [laughter] I do see that the victim of all this are the undergraduates, and that's what prompted all of this. So, with the permission of my seconder, I would, if it's all right, change it to selectively reduce the administrative positions by two percent."

Speaker Martin: "Yes."

Assistant Professor Mark Jarzombek, Architecture: "I'm having a little bit of trouble about the linking of the faculty cuts with salary increases. I feel that it legitimizes the faculty cuts without even incorporating salary increases. As a non-tenured faculty member teaching history, at a healthy level of salary, I feel that even a ten percent increase in my salary would not make that position comparable to other Comparable positions across the country. Therefore, I would say the hell with the faculty raises, because the rich would get richer, and the poor would remain poor, and therefore, I would rather have a larger volume of faculty to work with in the intellectual environment."

Speaker Martin: "Are you prepared to vote on the amendment?"

?: "I think we need a reading of the amendment."

Speaker Martin: "All right. Would the Secretary please bring us up to date on the amendment?"

Secretary Morrison: "As far as I can gather, 'selectively reduce administrative positions by up to two percent over the next two years.'"

Secretary Martin: "Everyone understand it? All in favor of the amendment, say aye. [Aye.] Opposed, no. [No.] The amendment is defeated. Yes."

Professor Shiffrin: "I would like to propose that Number Four be deleted."

Speaker Martin: "Is there a second? The move is seconded that Number Four be deleted. The floor is open for discussion. Do you wish to speak to it?"

Professor James Gillett, Natural Resources: "I move to amend the motion to include ..

Speaker Martin: "Amend the motion, or the amendment?"

Professor Gillett: "Amend the motion to amend, by adding 'and Three.'"

Speaker Martin: "There is an amendment to the amendment to add the words, 'and Number Three.' Is there a second to the amendment to the amendment? [question from floor: "Can you \_\_\_?"] Yes, you can. It's perfectly in order. Sorry, but it is in order. All right. At this moment, we are debating the amendment to the amendment, which was to add the words, 'and Number Three.' Do you wish to speak to the amendment to the amendment?"

?: "\_\_\_ obvious dilemma faced by the committee by the recommendation."

Speaker Martin: "Further discussion on the amendment to the amendment, to add 'and Number Three.' Yes."

Associate Professor Richard Galik, Physics: "I think all the first three items address, in some degree, general education in the University and how to make this an overall better university and I don't think we can get rid of Number Three and just leave Numbers One and Two."

Speaker Martin: "Yes."

?: "I move to divide the questions."

Speaker Martin: "Divide which questions?"

?: "The question that this amendment prevents, which is Parts Three and Four."

Speaker Martin: "These are already divided. In other words, right now we have on the floor an amendment to the resolution to delete Number Four; we have an amendment to that amendment which was to add Number Three, so we will vote on that first. Is there further discussion on the amendment to the amendment? All in favor of the amendment to the amendment, to add the words, 'and Number Three,' say aye. [Aye.] Opposed, no. [No.] It is defeated."

"We are now back to the amendment which was to delete Number Four. Is there further discussion? All in favor of the amendment to delete Number Four from the resolution, say aye. [Aye.] Opposed, no. [No.] The Chair is in doubt. Will the Secretary and the Dean count. Remember, only FCR members are entitled to vote. All in favor of the amendment to delete Number Four, please stand. Stay standing. All right, please be seated. All opposed to the amendment, rise. The amendment passes by a vote of 36 affirmative, nineteen negative."

Professor Levy: "In response to number 3, I'd like to ask the recorder and chair of the Financial Policies Committee whether his committee has factored in the effect on faculty compensation of the new health plan, whatever the percentage figure is with which the Provost now responds, in Item Three, and if not, in view of the first item on the charge to the committee, why not?"

Professor Schuler: "At the time we were formulating this budgetary analysis, some of the debates that have ensued about that health plan had not arisen, and so we hadn't consciously factored those particular alternatives in. Now let me also say that remember the budgetary proposals we're dealing with vary from week to week by several million dollars, up and down. I think the elements of the health plan and the cost differential are within the bands of the noise of variation, so actually we were looking at broader ticket items, but the short answer to your question is, no."

Professor Levy: "May I ask whether you've done the arithmetic since to see whether the differential falls within that noise?"

Professor Schuler: "I have not done independent calculations on the costs of the plan, but the estimates I've seen suggest that it falls within that noise."

Speaker Martin: "Is there further discussion on the resolution as amended? If not, we shall proceed to vote. All in favor of the resolution as amended, say aye. [Aye.] Opposed, no. [No.] The resolution carries."

1. *Hold tuition increases, on average, within inflation plus long-term U.S. (world-wide) productivity increase rates.*
2. *Maintain current financial aid policies.*
3. *Improve the competitiveness of faculty salaries by increasing the faculty salary pool by 8.5% over each of the next two years (graduate student stipends should rise at a similar rate next year). We note that a parallel effort is underway to adjust staff salaries as a result of classification studies.*

Thank you, Professor Schuler, for a lot of hard work. Mr. Dean."

Dean Lynn: "Just apropos of Professor Moore's comment about whether the committee should be delving into the University's affairs. We all had better go back and read the charge to that committee as established by the FCR that expressly gives it that responsibility. It is a Financial Policies Committee; it grows out of what used to be called the budget committee; it has that obligation, it is to provide input to the administration on matters of University-wide budget policy, so in spite of your objecting to that, in fact it is the committee's charge and this body (the FCR) has it within its power to change that charge anytime it chooses to do so."

Speaker Martin: "Thank you. Yes."

Professor Moore: "My question was really, is there an academic evaluation of the points in question. Have we academically analyzed the consequences of the reduction of faculty and is that part of the charge to the committee, or is it referred to another committee, or do we need another committee to analyze the educational situation of the University?"

Dean Lynn: "We do have a Committee on Academic Programs and Policies which is looking at issues. It has a subcommittee looking at compensation issues for non-faculty, academic non-faculty people, but this Financial Policies Committee is not charged with that specifically. It is to look at the budget array, so it's something worth looking at in the future."

Speaker Martin: "Any other questions? The Chair next calls on Provost Malden Nesheim for the administration's response."

5. RESPONSE FROM THE ADMINISTRATION TO THE RECOMMENDATIONS OF THE  
FINANCIAL POLICIES COMMITTEE

Provost Malden Nesheim: "Thank you, Mr. Speaker. If I may, I would like, given that this is a discussion on budget and this is a University body, the FCR, I would like to take an opportunity to say something about things that are affecting not only the endowed General Purpose Budget, but the statutory college budgets as well. New York State is right now experiencing a billion-dollar shortfall in revenue for the rest of this year, this fiscal year, up until April 1. On Friday I think we're probably going to hear that that revenue shortfall is now going to be estimated at about a billion and a half. I hope the fiscal year gets over pretty soon, because it seems to be growing as the fiscal year goes along.

"In the next fiscal year, that particular shortfall of state revenues is of the order of three to four billion dollars, and that's on a base of roughly around thirty to thirty-two billion dollars of tax revenue base, so when you put those kind of numbers in perspective, that's what the State is talking about. Those of you who are familiar with the Northeast know that Massachusetts, Connecticut, and now New Jersey and other states around us have been experiencing that kind of a problem. The problem for the State University of New York, given the billion-dollar shortfall that has been talked about up until now, is of the order of about sixty million dollars. SUNY has said they're going to take care of that sixty million dollars in four specific items. First, they're proposing a \$150 tuition increase for SUNY for the spring semester. That would be a \$300 increase for the year. It would be the first increase in tuition that SUNY has had since 1983. That translates into a \$50 increase for Cornell students, since we have to remit a third of the SUNY tuition increase as far as Cornell is concerned whenever they raise their tuition. Second, they're looking to apply some funds that they have centrally. Another twenty-five percent of this problem, another \$15 million roughly, is to apply about \$15 million of funds that they have centrally that would normally have been shoveled out to the campuses for equipment replacement, and a whole host of other kinds of items, and they are expecting to keep that. Third, they will put a reduction to the campuses of the order of about one and a half million dollars probably for the Cornell statutory colleges, that will have to be taken between now and the first of April. Fourth, the original proposal by the Governor was that faculty be furloughed, faculty and staff be furloughed to accommodate another, which would amount to another \$15 million for SUNY. That furlough was supposed to take five days, and that would basically result in a reduction in expenditure for salaries of that order during that period of time. The latest word I have is that perhaps by tomorrow afternoon the legislature hopes to go home and they will be out of Albany by the time the word comes out that the real problem is one and a half billion as opposed to a billion.

"The proposal that's in the legislature right now is that there will be a lag in payment as opposed to a furlough. This is they're trying to push the actual payment of salary beyond the period when the salary should be paid, so it gets over into another fiscal year, and so by doing that, an employee might be docked five days of pay in this fiscal year, but essentially have an IOU from the State that would say, that we still owe you that, and we will pay you that five days' pay whenever you leave our employ, at whatever rate of pay that you're getting at that particular time. So presumably there's some interest on what they're borrowing from employees, if they do that.

"That is the proposal. Now, I've had some discussions with the Financial Policies Committee and with the FCR Committee that is looking after the economic health of the statutory college faculty, about these proposals, and they've raised, of course, some serious concerns about the furlough issue and I don't understand enough about this lag issue to know exactly whether we have some alternatives, but we have been exploring

whether there are any alternatives. I suspect the statutory salary programs for next year are likely to be minimal, if there is any statutory salary program that will be available. This is going to be a fairly tough year for the statutory college budgets, and there will probably be reductions. There will have to be reductions in staff, and there undoubtedly will have to be layoffs of employees in the statutory colleges. The deans, I think, have been anticipating this for some time, and so there will also be retrenchment; that is, positions that will not be filled as they become vacant, and that also has to be the plan for the statutory colleges.

"Now let me turn quickly, because I know you have some other items on the agenda, to respond to some of the debate on the Endowed General Purpose Budget. We are in the planning process for the Endowed General Purpose Budget. The Endowed General Purpose Budget which Dick has been talking about is the budget that funds the College of Engineering, the College of Arts and Sciences, the College of Architecture, Art and Planning, the central administration costs, and it's the budget into which the administrative charges from a number of other units around the campus are paid. The General Purpose Budget does not include the budget of the Law School, does not include the budget of JGSM, it does not include the Hotel School budget, and of course a number of other budgets that are enterprises within the University are not included within that particular budget. However, many of the policies that are associated with the General Purpose Budget in terms of salary and other items really help set the pattern for much of the rest of the institution, so it is a budget that does have that kind of a pattern.

"Relative to income, as we see it for the next year, the basic income that the University has to operate includes tuition, it includes indirect cost recovery from research grants, it includes investment income, it includes gifts, it includes internal recoveries from various enterprises, and it includes things like statutory colleges' payment of accessory instruction and so forth. We're anticipating an increase in revenue in that General Purpose Budget of the order of about 5.4 percent for the next year. That would be the case with the 6.9 percent tuition increase, and as I spoke to the University Assembly last week, I indicated that we were considering a tuition increase for next year of between 6.9 to 7.2 percent. Tuition at 6.9 percent would be around \$16,170. That, according to the guidelines or the recommendations made by the Financial Policies Committee, is roughly within that ballpark. Inflation next year is anybody's guess right now, exactly what the inflation rate is going to be. At the moment it's something of the order of around six-some percent, but most of the predictions suggest that it's going to go down to around five percent for next year, and so we've been anticipating an inflation rate of around five percent for the next year.

"The other comment that you have made in this resolution is that we maintain current financial aid policies. It's our intention to maintain our needs-blind financial aid policy. We intend to increase the General Purpose allocation for financial aid by about \$1.8 million for next year. This is of the order of about nine percent. The increase that we get from the endowment payout because of how we have now changed our policy for managing endowment, we anticipate it will go up at about 5.6 percent, and that is the first time those financial aid endowment things have gone up for some time. Last year we filled in behind those with General Purpose revenues as we reduced the payout rate, so we anticipate to be able to maintain basically our present policies in financial aid. Self-help will grow by five percent, and this should get us through the year with some unknowns. One of the unknowns that we don't have is what is the effect of the financial downturn going to be on the financial aid population. That's an issue that is somewhat worrisome to us, and we have not, at this point, got a good handle on what that might be. Our financial aid estimate for next year says that we can meet the estimated needs of our financial aid population by this increase that we've got, without going to other kinds of measures such as admit denies, or perhaps gapping the financial aid packages as we get

to the end of the financial aid, as we get to the end of the admissions process. There are some unknowns in that and due in terms of what the financial aid population's going to look like next year.

"Graduate student stipends--we embarked upon a process of hoping to improve graduate student stipends two years ago and two years ago we raised the graduate student base stipend by ten percent. Last year we raised the base stipend by ten percent. Our proposal is to raise the base stipend again this year by ten percent, to complete what we hope to do to make some real adjustment in graduate student minimum level stipends. We will make some additional adjustment within, certain colleges have different policies relative to grades within the graduate student stipend level, and we will be working with those colleges to see what adjustments we need to make on that.

"I'm going to say something about stipends and salaries at the last. Let me say something about the particular item on the motion that you defeated, and that is the idea that one should have a two percent cut in faculty and staff to be able to essentially fuel a greater ability to deal with the salary programs. Let me say first that with reasonable salary pools for both faculty and staff, with our financial aid issues, with the tuition that we're talking about, we look at a growth of expenditures if we did all of the things that are in the budget model, that would make it essentially a steady-state budget model. Over the years, you seem to always have about a two-percent gap between how much money you have to spend and how much money that you really would like to spend to do the kind of things that you want to do. To be able to produce a current level of reasonable employee and non-academic employee and faculty salaries, we do have to do some reallocations within that budget. We do have to reduce certain levels of expenditure, and we have to look throughout the budget to see how we can do that. We take your point on administrative costs and we're going to reduce a senior provost out of Day Hall this year and we also have reduced another vice president and we're hopeful that we can in fact reduce our administrative costs, not only in Day Hall, but also in other areas of the campus. Two years ago, when we had this budget problem, we basically took about a \$4 million reduction in the campus almost entirely on the administrative side, with very little of that taken on the academic side.

"The other complication about this two percent reduction figure is that that assumes that we're kind of in a nice steady state, and that if you would reduce the dollars from the budget, that you would have those dollars immediately available for reallocation to do that. Unfortunately, as you know, the College of Arts and Sciences last year came in with about a million-dollar deficit in its budget and has been making an effort to make adjustments in its budget to be able to come more closely to the income and the allocations that the College of Arts and Sciences has available within the context of the University's budget. The same thing is true of the College of Engineering. The College of Engineering, although last year it did not have a deficit, it has a long-range structural problem in terms of being able to continue to support the total base of that college, and it is also needing to make some adjustments to be able to meet the allocations and the expenditures that they currently have. So by this kind of saying we're going to reduce everything in those colleges, for example, by two percent and reallocate, that's a very difficult thing to do, because those funds may not be available for reallocation. So, we are having to go through all of our units this year and make adjustments in terms of their base budget allocations and we've asked people to put on the table as much of what would happen with a five percent reduction in their budget primarily to make people confront what they do in a serious sort of a way as opposed to saying, well, we can take a few paper clips and rubber bands out of the budget and maybe get by, but if you ask somebody, and say, well, what would you do with five percent, at least you could have a look at what are the consequences of doing some real things, and that's been part of the budget planning process this year.

"Now, in terms of salaries, we are very hopeful that as part of the base budget this year that we can put in a faculty salary pool and an employee salary pool that will essentially be similar in terms of the kind of percentages of those base salary pools that will be slightly over the rate of inflation. As Professor Schuler mentioned, within this year we hope to complete the salary reclassification study that's been going on on the campus, and we do hope to include in that some additional funds for our non-academic employees to be able to make some of the adjustments that that particular program will call for.

"Now, in terms of faculty salaries, the last two years we have had funds that we have put in, in addition to kind of the base allocation on certain colleges for faculty salaries. Two years ago we particularly gave some additional funds to the College of Engineering for salary adjustments. Last year we gave some additional funds for the College of Arts and Sciences for salary adjustments that took place both in July and some additional potential end year's supplements. We did the same thing with the College of Architecture, Art and Planning, and to some degree with the Library. To the degree in which we get through this planning process and are able to identify how we're going to be able to bring the current budget model into balance, we will be able to assess as to what we are going to be able to do on those kind of salary programs. That's where we are in the planning process right now. I know you've got a lot of other things to talk about today. I'd be glad to answer any questions."

Speaker Martin: "Are there questions for the Provost? Professor Levy, Professor McAdams."

Professor Levy: "You, sir, have responded to the committee's figure of 8.5 percent with something slightly over either five or six percent of the budget figure you mentioned. What will the effective decrease in compensation be, as the result of the less supportive endowed health plan?"

Provost Nesheim: "I've not done that, no. A short answer to your question is no. Obviously, it's going to depend, of course, on the individual, in terms of how that is affected. Some individuals will be positively affected by it; some will be negatively affected by it, so I don't have the numbers. The short answer is no."

Speaker Martin: "Professor McAdams."

Associate Professor Alan McAdams, JGSM: "How does the relative position of Cornell Faculty now stand after the policies of the last couple of years? Have we made improvement or have we continued to decline?"

Provost Nesheim: "We have not declined. We measure relative position. There are about twenty-five or so major research universities that exchange salary, that we tabulate salary information for largely now from AAUP data as it is collected. We started in 1980; we were about sixteenth in that array. In 1990 we are sixteenth in that array. We have not gone down from there but that's where we are."

Speaker Martin: "Ok."

Professor Shiffrin: "I recognize that increasing the endowment is a very significant goal of the administration and ought to be a significant goal of the administration, and I assume that your figure of 5.4 increase in income does not include money earmarked for the endowment in the capital campaign, and so I am of the view until I hear what your thinking is, that it may be that the administration has overemphasized its commitment to increasing the endowment; that it would be possible to ask people to help us fill that

two percent gap by four or five million dollars a year, which seems a relatively insubstantial aspect of this, recognizing of course that the capital campaign goes across the entire campus, and that the budget that we're talking about is for just a few of the colleges."

Provost Nesheim: "Let me see if I can address that, Steve, because first of all, the gift money that comes into this budget that we're looking at, which is the unrestricted General Purpose Budget, where people give the money to the University for unrestricted purposes, to this budget, has been flat at about \$4 million for about the last ten years. Now, the unrestricted gift money, that has gone to the colleges, because about ten years ago a decision was made at Cornell to take the Cornell Fund and put the portion of the Cornell Fund which is the annual giving, the twenty-five, the hundred, the two hundred dollar contributions, from alumni, put those into the colleges, so that the colleges now get a lot of that income directly, with the idea being that the alumni identify more closely with the colleges and therefore they may be able to get increased giving if you did it that way. I think that's been true; there's been increased giving in that particular component of the budget to the colleges. Now we've made some reductions in the General Purpose allocation to the colleges to take that into account, but the campaign sees that increasing at something in the order of ten percent a year through the campaign. That is a relatively small amount of dollars relative to what we're talking about in our total budget, although we're going to have to make use of those funds that come to the colleges in ways that I think they would have been used if they had been coming to the central administration. We've got to make sure that that continues to happen. In terms of your saying, can we just take \$5 million that comes in to the University and put it into our operating budget every year to do it, it's not an easy thing to do. When we talk about giving, we talk about fund raising, we talk about campaigns, the campaign isn't raising money, it's raising gifts, and individuals give money for a purpose. There's very little of that money that's given in an unrestricted way that one can take it and put it into the budget and spread it out over the system. Some will give \$2 million to support an endowed professorship. That's terrific. I mean, that will allow us to support that professorship and will give us budget relief within the budget for it because of the income we get to support that. They will give us money to renovate a room. They will give us money to renovate Sage Hall. That money is not fungible, to be able to put into the budget and say, take \$5 million and we're going to use it to take care of our budget problems. So, I mean, to the extent that we could increase unrestricted giving to the University of the order of \$5 million a year, that would come into the General Purpose Budget, we would do exactly what you say. We would use that as revenue that we would do for all the other things that we do. Unfortunately, we don't have that kind of an increase in giving, and when we talk about a \$1.25 billion campaign, that's largely for endowment. You have to recognize that we're counting, as part of that, the will of so-and-so, which says, I'm going to give you all of my resources, but I'm sixty years old right now, and I have a life expectancy of another X number of years, and so we are not necessarily going to see that. That's why the President has emphasized as we've talked about this campaign that it is a campaign for the future more than it is today, because I expect to see relatively little effect of this other than perhaps having to pay for the increased investment that we have to put into development in this year's budget."

Speaker Martin: "Now the Chair would suggest that after Professor Schuler we move along to our next topic. Ok, Dick."

Professor Schuler: "I just want to make a few observations. First, in partial answer to Professor Levy's question, I think our calculation was that every two and a half percent increase on faculty salaries adds about a million dollars to the salary budget, and then you have to add fringes on top of that, so that probably comes roughly to a

million three for every two and a half percent, so as an example, the difference between a six percent and an eight and a half increase would be about a million three. The other observation is the question that Steve poses about the gift income, and what the committee did wrestle with in setting its overall priorities is the fact that although it would be easy to say with all this campaign money coming in, why not take a million three out of it every year of additional gift money and support the salary increases. An overriding concern the committee felt was how thin our endowment support is per student at Cornell compared to most other major universities. That really makes us incredibly vulnerable to all kinds of external shocks and variations in federal and state support on the endowed side, and so, we reluctantly, in evaluating that tradeoff, that we tilted toward, let's take the campaign money and put it in endowment and look elsewhere, but these amounts of money are within a feasible range of making those kinds of tradeoffs."

Speaker Martin: "Ok. Very quickly, Professor Ahl, and then we're going to let the Provost go."

Professor Ahl: "I just wanted to ask the Provost, since the cuts in the central administration that you mentioned were to be the office of the Senior Provost and one of the Vice Presidents, perhaps it would be worthwhile reminding us of when the office of Senior Provost was first initiated."

Provost Nesheim: "It was initiated two years ago, that's right."

Speaker Martin: "Thank you very much, Provost Nesheim. Our last item, the Chair calls upon William Wendt, Director of Transportation Services, for a brief report on Transportation and Parking. Bill."

#### 6. PRESENTATION ON TRANSPORTATION AND PARKING

William Wendt: "Thank you, Russ. I appreciate the opportunity to come before you and discuss the recently announced transportation proposals. I hope I'll be able to get your input and suggestions about the plan and help over the next seven months to make sure that it's a plan that really serves the University community well.

"I have had an opportunity to come before this group many times over the past decade, and each of those times I came and talked about new parking lots that the University was embarking upon building, as we continued to build new research and teaching buildings on the campus. The University invested over \$15 million in that past decade on new parking and transportation facilities, and created about four thousand additional parking spaces from what we all saw here in the early 80s. During that time I think we used, and most would agree, almost every acceptable piece of land on the central campus that could be devoted to parking. Some people said you've gone too far in building too much parking on the central campus and others will continue to say there is not enough convenient parking for the needs of the community today, and we know that there would not be enough parking for the needs of the community ten or fifteen years from now if the community continues to have the same addiction to the automobile that we currently have. Those four thousand spaces are filled mainly with increased numbers of faculty and staff driving to campus. The student automobile population has remained very static during that same period of time.

"Two years ago I was here and heard many people in this group and others around campus say that our plans for building additional parking to meet our projected need for fifteen

hundred more spaces over the next five years just couldn't work, couldn't be met, and we should take a leadership role in improving area-wide transit, for getting people to be more efficient in their travel patterns, and seriously look at our current plans to build additional parking. Many of you who are involved with local government and municipalities and who read the local newspapers saw that many groups were opposed to our plans to put more parking in the Town of Ithaca and surrounding the community. Many people rightfully said there is an abundance of parking out there in the community that could be used effectively in conjunction with park-and-ride lots and improved area-wide transit to serve this campus. We developed the proposals that you were issued on the green sheet (Appendix A) there to show you what we plan to do as of July 1. OmniRide, however, is a program for free transit for faculty and staff that is now in place. I believe most of you, or all of you, should have received the mailing inviting you to participate in the OmniRide program about a month ago.

"Let me talk about that a little bit, because I think that's the big success that we have to report today. We now have over seven hundred people enrolled in the OmniRide program. That includes seventy-five people in the faculty ranks; it includes one hundred and seventy-five people in the administrative ranks, and close to five hundred people in the non-exempt and technical jobs. That has meant a good number of people turning in campus parking permits so that hopefully those permits can be used to meet future demand and that we will not have to build additional parking. I'm optimistic that the number of riders will continue to grow. Most of the comments I have received tell me about people who would like to participate, who don't find it possible to participate today because of the lack of service to their community. One of the things that we attempt to do in Transportation is become strong advocates for the Cornell community in improving area-wide transit. That is not something we can do alone; we need to work with the city, with the county, with local municipalities, to make sure they adopt park-and-ride lots, that they work with us and support improved transit for the community, and we will attempt to do all we can to make sure that that service improves. We know it doesn't meet everyone's desire or need at this point in time. We hope that you will see improvements in it and that it will be a good alternative for many people.

"The new programs that take effect in July are aimed at reducing the number of single occupancy vehicles coming to campus, and increasing the number of carpools and people that carpool to the campus or use other means to get to the campus. Those are RideShare, and Park and Ride, and Cash Incentives that are part of the plan and have been greeted very favorably by many, but the downside of that is the disincentive that would implement parking fees for all campus parking lots at the same time these incentives went into effect. Because of those disincentives, we certainly have heard comments about the impact of parking fees on the working poor, those who cannot afford any additional financial burdens at a time when the economy and the University's budget is very strained. We have heard legitimate and real concerns about the impact on families and those that have day-care concerns, and how we could best approach them. We have been attempting to address those concerns, and working with various people in the community, the Day Care Council, Marilee Bell, who works for Vice President Hart's operation, and will work with family concerns on the campus. We are working with the Special Requests Appeals Board. That's basically a safety valve that has been in place with the University Assembly system that can hear individual concerns and address individuals in a way that the adopted programs and policies may not. We'd like to think, though, that we can refine and work through some of those issues before the program is put in place in July, and work to refine and make it the best we can for the community. We'd appreciate your comments, and your support. We'd appreciate the opportunity to talk with you individually or in other forms. I expect that over the next several months I will be talking to many groups like yourself. I have done quite a few presentations and discussions with groups already on campus, and I expect that that will continue--some

heated, some very friendly, but all in an honest effort to improve services for you and the rest of the community. So I kind of just leave it to the chairman."

Speaker Martin: "Thank you, Bill. Before opening the floor for discussion, the Chair would call on Professor David Wyatt, a member of the Committee on Transportation Services, for a response."

7. RESPONSE FROM DAVID WYATT, MEMBER, COMMITTEE ON TRANSPORTATION SERVICES

Professor David Wyatt, History: "I'll try to be very brief. One of the interesting things that has happened over the course of the last six weeks is that what began as the new transportation plan has now become a proposal, and instead of a *fait accompli*, we are now talking about something which can be worked out over the next seven months. I fervently hope that this might result in a solution, or part of a solution, to a problem that is real, and getting more painful for a lot of people. Parking obviously is a very emotional issue for all of us. It involves how we feel about who we are, what we do, where we are, in a rural environment rather than an urban one. It speaks to the quality of our lives, the pace and the tempo and the schedules that we all live. Parking is also obviously a very expensive business. There's been an enormous growth in demand on campus, to the point where there's very little space left to build any additional spots, nor the money to build them with. And the failure of University-municipal cooperation to try to alleviate that problem by additional construction has made things even more expensive. Even surface lots are very expensive. I was told today that it runs something like \$400 per year just for amortization and maintenance for a parking spot in a place like the A lot, plus another \$400 to \$500 per person per year to bus the people onto campus and back off. We're talking lots of money. There are also not so obvious costs. For example, the costs incurred by so many Cornellians parking on the city streets. If and when the City of Ithaca ever moves those cars off the streets, then the University is in very deep trouble over where people are to park. And so, in effect, demand reduction or demand management is the only hope for dealing with a very serious and expensive problem. As you will note from the green sheet handed out with the call to this meeting (Appendix B), the Committee on Transportation Services has some applause for the new system and some real concerns about the proposed system. We applaud in general all the carrots as we've seen them develop, the OmniRide in particular, response to which has been very favorable. The possibility that Park and Ride, and car pools is also heartening.

"But it's with the sticks, the disincentives, that we have real problems, and especially with the inequities. Usually when these are talked about we are led to believe that very small numbers of people are involved. The impression I have had and the Committee on Transportation Services has had, is that we're talking about real people, and we're talking about substantial numbers of real people. Let's say hundreds of people and perhaps thousands of people. We don't know. And we're particularly concerned about young families, about single mothers, about people who have to work two jobs, about people who earn very little money, for whom a shift from free parking, even if on the periphery, to a \$200 a year parking fee, is a very serious and painful imposition. We also, I think, as faculty members, have to be concerned about issues of how the parking situation impinges upon academic life, and the Dean of the Faculty in his call to the meeting, suggested some important ways in which the disincentives may actually work as incentives for many of us to come to campus less frequently, to leave for home earlier in the afternoon, to make it more difficult to get a quorum for meetings like this. All of these are important considerations, but there is one other thing which I think needs also to be addressed and thought about. The real issue in all of this is how the University functions. Whether it's going to function as a hierarchical community in which orders come down from the top, and which we all lockstep into line behind it, or if we're going to function as a reasoning, debating, community that addresses problems

and considers the various possible solutions to them, and works out a solution that is equitable, that is workable, and that most of us, we hope even all of us, can go along with. Now, we hope that out of the exchanges of the next few months, as the plan gets put in place, that that kind of exchange, debate, and reasoning might result in a transportation demand management program that is something that we all can live with and not choke with. Thank you."

Speaker Martin: "Thank you, Professor Wyatt. The floor is open for questions and discussion. Professor Cooke."

Professor W. D. Cooke: "I certainly agree there's a parking problem and I do applaud the many approaches that you're making; they are very imaginative. The thing that bothers me is the economics. I can't understand why the University looks at parking as not the cost of doing business like cutting trees or planting trees or shoveling snow. It's all the cost of doing business. Certainly industrial companies and businesses, I don't think, at least I know of none, that would charge their employees to park. They would consider their parking lots, and they must be the same cost as they are up here, as a part of doing business, and when you look at the universities, they, I know that most universities charge to park on campus. It's a very common practice. I guess the question I have is it common practice in universities like us, or any universities, to charge for parking where people then have to get on to a bus to come to campus? Do you know the answer to that?"

William Wendt: "Don, the answer is yes. Most universities do charge for parking."

Professor Cooke: "Peripheral parking?"

William Wendt: "Yes, and it is a matter of economics, and it is a matter of demand on the central campus, and it is a phenomena that is very prevalent at most major, at all major research institutions today."

Professor Ahl: "I'm just curious about the amount that you charge for on-campus parking, the proposed \$400 rate. The problem that I see with most of the proposals here is that they're made on the assumption that we are comparable to a large, urban, streetcar campus, and many of those places which do have expensive parking facilities for people to park close to their work places, are in fact universities which are surrounded by complex public transport systems which turn out to be viable alternatives. Is what we have here, a model which is based on comparable situations with similar rural campuses, or is it based on Berkeley, USC, UCLA, and other places?"

William Wendt: "The rate of \$400 a year compares favorably to what you would pay if you worked in downtown Ithaca. If you worked on the Commons, and parked .."

Professor Ahl: "That wasn't my question. My question was about universities."

William Wendt: "Yes. The latest numbers I know of are places like UCLA, which are more in the \$700-800 a year parking rate. I'm not aware of them parking that cheap, unless that is on peripheral lots where they are bussed to the campus for that rate. Our rates are certainly not at the top end of university parking fees at this point in time. In 1969 we were at the top end. I think Fred Rogers sitting there could tell us about Carnegie Mellon and the rates there, because as I looked through the chart, I think they're about the highest in the east right now in a city like Pittsburgh. These are comparable rates to other major research institutions. The environments are difficult to assess. There are many communities with much better transit service than we have."

We are working hard to improve the transit service we have, but they are comparable rates for the local market."

Associate Professor Ann Lemley, Textiles and Apparel: "I resent being told that I'm addicted to an automobile. I live in Tompkins County, six miles from this campus, where you have absolutely no public transportation, and there won't be any in the foreseeable future. We are a dual-career family, with children enrolled in the Ithaca schools as well as in day care. I consider my car, and some access to parking, although it doesn't always get twenty miles per gallon as I want, as essential to my life as my computer, and my whole job has to do with the environment and I'm really tired of being told because I drive a car, pick up my kids, go out to the Fleet Garage to arrange some of my extension trips, that I'm addicted to something, like alcohol or drugs. I really think that unless we have masses to transfer, we're not going to have a lot of mass transit, so one really needs to look at the kinds of things that David Wyatt spoke about, a \$15,000 a year secretary who drives twenty miles and is being told that they have to pay \$200, but you also have to look at the type of life that we as faculty members have. We're trying to encourage dual-career couples. We're trying to do all kinds of incentives, but there's money incentive and there's quality of life incentive, and the reason I'm on the FCR is because I can take my car from the J lot, put it over here, and at some point, at 4:30, get in the car and get home and deal with children and so forth. The reason different people in our family belong to boards in town and do all kinds of things is because we give of our self to community and to the University, so I think if we start from some premise here that there is some basic need that perhaps we can have a more reasonable discussion. I will not admit to being addicted to my car. It's an essential part of my being faculty."

Speaker Martin: "Ok. Do you wish to respond here?"

William Wendt: "I'm sorry for my choice of words, but I think it emphasizes ..."

Professor Lemley: "I just don't like it."

Professor Schuler: "One casual observation I can't let go. When you compare parking spots in Los Angeles and New York, let me remind you that faculty are also compensated at somewhat higher salaries [laughter, applause], but the point I did want to raise, in most transportation studies I've seen done for governmental agencies, you can do the cost-benefit tradeoff on the hardware, the concrete, and that kind of activity, and then if you begin to look at what's the value of that in terms of time saving, and benefits to the individual, that swamps by an order of three to four times any conceivable cost that one undertakes in terms of the concrete. Now, some of those questions were alluded to by Professor Wyatt, but my question is, in trying to plan this transportation plan for the campus, have you ever tried to take into account what the benefits are to Cornell in terms of going about its business, and I don't mean just in coming in in the morning; I mean a lot of people have to come in and out of campus many times during the day, and what we could save in terms of the value of the University doing its business if we invested more in the facility, and focus on the issue that it really may be just a part of doing our business efficiently."

William Wendt: "Well, they're very tough things to quantify, and I agree that I've heard about them. I understand them fully. We attempt to work with people to make it as convenient as we can. We all have a different level of convenience that we need to go about our daily activities, and there has to be some balance to that. We attempt to maintain that balance on the campus, but it is very difficult, Dick, and I think there are certainly benefits there that can't be quantified that people know are real."

Professor John Abowd, ILR: "I actually have a question. I've never gotten an adequate explanation for why parking fees have to be dealt with on an after-tax basis for employees, and why you don't just factor the parking rates to those who have been given those permits into the bills that you send to the Dean and have it paid for out of before-taxes dollars. I mean, that ..."

William Wendt: "It's not permitted. I mean, I can't really give you a good explanation. I think, Alan, if you remember a couple of years ago when you were chairing the Professional and Economic Status Committee, we went through that and had Personnel look at it and had others look at it, the Legal Counsel's office, .."

Professor McAdams: "We're talking about somewhat different things here. What I heard was that there were ways of doing it. What we found was we couldn't do it through Select Benefits, that if we tried to do it through Select Benefits that wouldn't work, but why don't you explain what you have in mind."

Professor Abowd: "What I have in mind is that you allocate the proper amounts to the Deans of the colleges and send them a bill for that, and they reduce the salaries, or what they actually do is they reduce the percentage increase that they give to the people who keep a parking spot, and you get your money plus the parking permit and the Dean tells the person who pays for the parking spot why he got a lower salary increase than he would otherwise have gotten, and it's done with before-tax dollars."

William Wendt: "I'm sure that will get some more discussion beyond today."

Professor Abowd: "I'm sure there's nothing illegal about that. It saves a lot of money, and it does say, leave the campus."

Professor McAdams: "It does save the taxation, when you pay money out to faculty people and then pay taxes on it and then pay it back to the University, that's one of the stupidest things you can do economically and you do it all the time. I think you ought to avoid it."

Professor Robert Lind, JGSM: "I'm very sympathetic to what I've heard earlier about the kind of moral tone that if you use a car you're a bad guy and you're a polluter. I mean, that's baloney, so I would totally accept your position on that, but the other thing I must play devil's advocate on is that anybody that is a faculty member that complains and needs to be on campus and complains about paying \$400 a year, that's slightly over a dollar a day. That's peanuts. I mean, that's nothing in the monthly budget, and if, in fact, by raising the price to \$400 a year some people decide that their time isn't worth the extra money and therefore we can relieve congestion on the center of campus, so be it. That cannot be a hardship for a faculty member, when you look at other professionals parking downtown in Ithaca, they have to pay the same kind of money. Why shouldn't we?"

Professor Muriel Brink, Nutritional Sciences: "I would suggest that the proposed transportation plan ignores Cornell's responsibility to fulfill its Cooperative Extension responsibility. Those of us who have those responsibilities need to be off and on campus frequently and none of the proposed free day parking permits are adequate to meet those needs."

Professor James W. Gillett, Natural Resources: "I would just like to emphasize that the bus service which originates at the parking garage does not end at this parking garage if you have to go there without your car. You have to hitch a ride out there, or wait till a bus happens to be going back to the garage. This is, I mean, the lack of coordination is incredible."

William Wendt: "Actually, there are people who ride that regularly to the garage, and you can call the bus garage; they'd be glad to tell you what bus number and when it goes out there, and they'll take you back with them. I mean it's a matter, it's not a regular part of the route. It obviously is a spot where drivers go for breaks and changing buses. It's a tough one to service."

Professor Ahl: "I'm sorry to be a pest with so many questions, but if we are in fact as you have suggested to be gearing the cost of providing parking to what is comparable generally to the City of Ithaca, is it not also possible that perhaps as an indication that this isn't just a temporary arrangement that we might also reduce the parking fines [laughter] to a rate that is currently prevalent in the City of Ithaca? [laughter, applause]. It's the same problem that I have about giving up the parking permit knowing perfectly well that the free buses will go in a year or so, and we'll be paying \$400 a year for our bus permits after a while."

Associate Professor Mary Tabacchi, Hotel: "My question is, since we're not going to increase staff, since we're not going to increase faculty, since we're not going to increase administration, why do we have a problem?"

William Wendt: "One of the things that has happened to the campus community and to Tompkins County is we have more and more automobiles and more and more people do drive to work today than they did ten years ago. The number in carpools in New York State has reduced dramatically since the time we were all very conscious of the energy problem that existed in high gasoline prices. A quick example was when we looked with the Dean of the Arts College at faculty appointments in the buildings on the Arts Quad and there were thirty-two changes occurring, this was two years ago, and there were twenty-three of those people that had Y permits for that area, but all thirty-six new appointments wanted a Y permit for that area, and the number of parking spaces wasn't going to increase. It could be it indicated that those new faculty members were living further away, and needed cars. There are lots of reasons why that is true, and why we've had to build four thousand parking spaces over the past decade."

Professor Tabacchi: "But is that going to continue to increase?"

William Wendt: "There is a deficit, and when there are new programs, we expect it in a vital university, there will be new people coming, and there will be a need for more parking, and there is a shortage now."

Dean Lynn: "I've been asked to announce, in the spirit of Professor Wyatt's comments, that there will be four forums that are going to be held in the month of January--the 14th, 17th, 22nd, and 29th, arranged largely by the University Assembly and Vice President Morley. In the spirit that this is alleged to be an evolving plan, there will be more opportunities to discuss this matter, and I just wanted to call your attention to this. You will see those dates announced."

Professor McAdams: "I just wanted to make a comment. I hope that my colleagues have seen the irony in Dave Wyatt's comments and the interest that we show in trying to come to grips with a difficult university-wide problem and bring faculty attention to bear on how you solve that problem that has a financial dimension, at the same time that when we have a faculty committee that is advocating doing something that might adversely affect the faculty and that represents the action of this committee over a long period of time, to try and responsively come to grips with a real financial problem of the University, that just as soon as it hurts the faculty, as it would have, in Item No. 4,

we vote it down. I think that that is an outrage, and I think that we should be ashamed of ourselves."

Professor R. Keith Dennis, Mathematics: "I just really wanted to ask one question, basically to Walter Lynn. There seems to be a substantial number of faculty members and staff, of course, who are upset with both the parking plan and the medical plan, and many other things about the way the university is operating now, and what I would like to know is what it would take to call a University Faculty Meeting in order to discuss these things with the administration so that it is absolutely clear to them how we feel about the way things are happening at Cornell today."

Dean Lynn: "There will be a University Faculty meeting in February. It's required to meet twice a year."

Professor Dennis: "I was referring to a special one for just these particular topics. Not only parking and medical, the whole idea of how the University Faculty communicates its wishes to the administration."

Dean Lynn: "If this body wishes to have that done, it has to instruct me to do that. I don't know whether there's any restriction on calling a meeting. I don't know the rule, but certainly if this body recommends the calling of a University Faculty meeting, that's an order to the Dean. I have no objection to that. You asked me a technical question, I don't know the answer."

Professor Kramnick: "I just wanted to respectfully disagree with the comment about the irony. The attention we paid to Item Four was not based on any feeling that the Faculty would be disadvantaged by that. None of us here would lose our jobs. My motivation was that the undergraduates would be disadvantaged by a cut in the faculty. The present faculty at Cornell would not have been disadvantaged, so I see no irony there."

Professor McAdams: "Shall I respond?"

Speaker Martin: "Yes, and then Professor deBoer."

Professor McAdams: "I think that the comment that was just made about calling of the University Faculty meeting together to deal with problems that involve the financial dimensions and the quality of life dimensions and the service to undergraduates and the graduate dimension which has just been made reinforces my comment. There are faculty committees, such as the Financial Policies Committee, who have studied the financial situation and who understand the true dimensions of the problem and the tradeoffs required to meet the objectives of the faculty."

Speaker Martin: "Professor deBoer."

Professor P.C.T. deBoer, Mechanical and Aerospace Engineering: "I'd like to point out that there is another element that can contribute to solving the parking problem that hasn't received sufficient attention, which is the use of bicycles, and the main issue holding it back at the moment probably are safety and convenience, and I would urge the administration to pay attention to those two aspects. There are new types of bicycles around these days that are by themselves very safe and convenient to use. What is needed, first of all, are bicycle paths and not just a line on the road saying this is a bicycle path, but separate bicycle paths with some kind of barrier between the road and the bicycle paths, which would prevent cars from parking on them and cars from going on them, and at the moment no one is paying attention to this type of thing, and there are a number of possible ideas. The other item is parking. Certainly parking bicycles takes

a lot less space than parking a car, but there is insufficient parking on campus at the moment. I think it can appreciably relieve the parking situation at Cornell. It isn't for everybody, but there are likely a number of people that are interested in using that. One of the big advantages is that it leaves you to your own devices. You don't have to wait for a bus, and you can go and come whenever you like, and one of the possibilities for example would be to use a bicycle from an outlying lot to ride in. You don't have to wait for a bus, you don't have to depend on things like that, so there are many advantages."

Speaker Martin: "And that from the expert. Yes sir."

Professor Dennis: "I would like to make one point in regards to a University Faculty meeting in consultation with committees set up by the University to advise them. The University administration has quite frequently totally ignored the committees set up to advise it. In particular, the Committee on Transportation Services was not consulted for the current plan. It appeared in the *Ithaca Journal* the day before it was told to them. In no way do you say that the Faculty were advising the University on how to deal with these problems. The Faculty, staff, and students on this committee were not consulted. That is why I would like to know how to have the Faculty meeting of the entire University to perhaps express to the administration or to whoever might be responsible for ignoring such committees that we really would like to have a little input and it's really not appropriate to ignore the committees that are set up expressly for the purpose of telling the University how they should deal with problems."

Speaker Martin: "Is there further discussion before we adjourn? Thank you very much, Bill, for being with us. If there are no objections, we are adjourned."

Adjourned: 6:22 p.m.

Mary Morrison, Secretary

## CORNELL UNIVERSITY TRANSPORTATION DEMAND MANAGEMENT PROGRAM

### PURPOSE OF DEMAND MANAGEMENT

The object of Cornell's demand management is to reduce the number of vehicles traveling to campus without hindering mobility. The strategy is to provide incentives for group travel (bus and car pools) and disincentives for single occupant vehicles.

The university is committed to maintaining adequate parking on campus, improving area-wide transit services and marketing alternative modes of transport. This includes a commitment to improve bicycle facilities. Municipal and community approvals for more parking would be difficult. Green space constraints on central campus would require construction of parking garages. The university's direct and indirect subsidies for transportation now exceeds \$1.25 million annually.

### FACULTY AND STAFF COMPONENTS OF DEMAND MANAGEMENT PROGRAM

#### OmniRide

- Provides financial incentives and assistance to employees who use public transit
- Free transit pass valid on countywide bus services
- Emergency ride service
- Ten free one day parking permits every six months
- 30 day risk free trial period

#### RideShare

- Provides financial incentives and assistance for employees who commute in car pools
- Free perimeter parking for car pools with two riders
- Free central campus parking for car pools with three riders
- Cash rebate for car pools with more than two (perimeter) or three (central campus) members
- Emergency ride service
- Free one day parking permits
- All members share parking permit valid for all their cars
- RideShare assistance through classifieds on CUINFO and in print
- RideShare from home, park and ride lots or from day-care centers

#### Park and Ride

- Countywide network of free commuter parking lots
- Park and ride lots can be used to meet bus or car pool

#### Cash incentives

- \$200 for any employee who does not need an OmniPass or campus parking permit
- Individuals can be dropped off, ride bicycle, or walk to campus

#### Parking fees

Parking will cost \$200 a year (\$3.85 a week) for perimeter parking and \$400 a year (\$7.70 a week) for central campus parking.

THE UNIVERSITY FACULTY  
Office of the Dean  
315 Day Hall  
Ithaca, NY 14853-2801  
(607) 255-4843

November 30, 1990

TO : Members of the University Faculty  
FROM : Walter R. Lynn, Dean of the Faculty  
RE : The Transportation Plan -- Academic Concerns

The FCR Executive Committee has asked to share with you some of the faculty concerns (that were expressed to me) about the **long run implications on teaching and research** of the current proposed transportation plan. Among these are:

- the likelihood of a further reduction in student/faculty contacts if faculty reduce the amount of time they are available in their offices;
- parking availability is likely to reduce even further the amount of faculty participation in governance at the department, college and university levels;
- faculty with extension responsibilities will be adversely affected by limiting access to parking inasmuch as they are required to engage in periodic on and off-campus activities; they have the obligation to provide various kinds of "in-service" programs for professionals in the Ithaca area; and they require regular communication and interaction with academic offices in order to fulfill their obligations efficiently;
- departmental, college and university seminars and lectures provided by outside speakers during the late afternoon period are likely to suffer from decreases in faculty participation;
- faculty are more likely to change their work schedules (characteristic of many city campuses) where campus time is restricted to two days per week;
- a direct impact of car pooling, taxicabs and other elements of the transportation plan will effectively reduce faculty's access and exposure to the campus.

(over)

he Committee on Transportation Services, composed of student, faculty, and staff representatives, has serious reservations about the transportation plan recently announced, and requests that the University Assembly consider these views when formally responding to the University Administration.

In general, this Committee endorses the Plan's incentives to encourage members of the University community to use public transportation. Specifically:

This Committee endorses measures to encourage members of the Cornell community to use public transportation by providing them with free bus passes good on any Tompkins County public transport.

We agree that encouraging car-pooling by reducing (or eliminating) parking fees for those who do so is a major step in the right direction.

However, this Committee is strongly and vigorously opposed to many aspects of the proposed plan. Specifically:

This Committee is deeply concerned about any moves to eliminate the peripheral parking for staff and faculty.

We are alarmed that the imposition of substantial and regressive fees for parking hits most severely that portion of Cornell's staff with the fewest resources and alternatives. This group includes the lowest-paid of Cornell's workers, single mothers and young families with children in day-care and school, junior faculty, those who work hours other than 8:30 to 4:30, and, in general, those who cannot afford to live in Ithaca and must therefore commute long distances to work.

This Committee continues to oppose parking fee increases in excess of the average annual increase in salaries and wages at Cornell. Fifteen months ago the Committee proposed, the University Assembly endorsed, and the President agreed to try to adhere to, a maximum annual increase of six percent in parking fees.

We object to a transportation policy based on the assumption that adequate public transportation exists to serve the needs of the community and staff. Such a transportation system does not now exist, nor is it likely soon to exist in this small, mostly-rural community.

We are deeply disturbed by the inequity of taking \$200 from a low-paid office worker, who by virtue of the location of his/her home or child-care commitments cannot ride the bus or car-pool, and giving \$200 to a far better-paid professor or administrator who rides or bikes to work.

We decry the continued elimination of central campus and peripheral parking, and we insist that the University must make a commitment to maintain the existing stock of parking spaces.

We are dissatisfied by the failure of the University and neighboring municipalities to negotiate solutions to the community's severe parking problems. Moreover, we believe that this failure adds to the costs that must be borne by staff and faculty.

Finally, we must remind the Assembly that the Committee was not consulted about the specifics of the Demand Reduction plan, thereby contravening the charter of the University Assembly.

MINUTES OF A MEETING OF THE UNIVERSITY FACULTY  
February 20, 1991

The Speaker, Professor Emeritus Russell D. Martin: "The Chair calls on the Dean of the Faculty for announcements."

1. ANNOUNCEMENTS BY DEAN LYNN

Dean of the Faculty, Walter R. Lynn: "Thank you sir. Let me just take a moment to explain this meeting. The University Faculty is scheduled to meet three times a year - early in the fall, early in the spring term, and before the end of the spring semester. In the past, unless there has been exceptional business and this meeting is a meeting of that sort, these meetings have usually been combined with the FCR meeting. A faculty member who attended the last FCR meeting asked that a special meeting of the University Faculty was in order to address the parking issue, but there is no need to do that. The Review and Procedures Committee who establishes the agenda for this University Faculty meeting met at its regularly scheduled time in order to consider the resolution which was distributed to you and so this is not a special meeting of the University Faculty, but a regular meeting.

"I have tried to be certain that in the debate that will follow and the discussion to invite the administration to be here to respond or to state its views about any of these matters and Vice President Morley is here to do that assisted by Mr. Wendt and Mr. Griffen. Mr. Morley does have speaking rights in this faculty as he's the Senior Vice President and is an ex officio member of the University Faculty.

"I would like to call to your attention the deaths of a number of faculty since our September meeting.

*David Dropkin*, John Edson Sweet Professor of Mechanical Engineering, Emeritus, October 12, 1990

*Alexius Rachun*, Professor of Clinical Medicine, Emeritus, October 20, 1990

*Lucille Williamson*, Professor Emeritus, Economics of Household Management, November 8, 1990

*Richard W. Weires*, Professor of Entomology, Geneva, November 20, 1990

*Kenneth L. Turk*, Professor Emeritus, Cooperative Extension, July 2, 1990

*Fred B. Morris*, Professor Emeritus, Cooperative Extension,  
July 2, 1989

*A. Leslie Neal*, Professor Emeritus, Biochemistry, Molecular and Cell  
Biology, January 6, 1991

*Charles I. Sayles*, Professor Emeritus, Hotel Management,  
January 6, 1991

*Ellis P. Leonard*, Professor Emeritus, Small Animal Surgery,  
February 7, 1991

*Walter J. Slatoff*, Professor Emeritus, English, February 16, 1991

I would ask a few moments of silence out of respect for our colleagues.  
Thank you.

"I am reminded that Clark Kerr is alleged to say in describing the multi-university that the role of the university president is to be concerned about football tickets for the alumni, sex for the undergraduates, and parking for the faculty. We are about to treat one of those subjects. I would like to introduce a second one, and it's not football tickets. As you may know the matter of sexual harassment has been a matter of some concern to all members of the faculty. I would like to share with you the essence of a report that was received by Joycelyn Hart from the Coordinator of Women's Services. That is to tell you that sexual harassment issues exist on this campus. In the past, in the twelve month period ending August 31, 1990, there were alleged to be twelve perpetrators who were listed in this report. There were twelve staff members, five undergraduates, four graduate students, and seven faculty members. I don't have a report to tell you what the outcome on these seven faculty members were and whether they were in fact found to have committed the offenses to which they were alleged to be perpetrators. The fact is that the problem places demands on all of us in the matter of sexual harassment. I should point out that harassment issues were brought by males and females. It is important for us as faculty to continue to retain our own vigilance about this topic. In the same spirit, I also believe its important that you recognize that Cornell faculty have an academic misconduct procedure. That procedure has been invoked now for the third time involving college graduate students and the like. Those are not matters for public consumption, but that procedure also is in place. The academic misconduct procedure is described in the Faculty Handbook and pertains primarily to behavioral issues both in research and in all the areas of scholarship and teaching. Those are our concerns as faculty members and those matters are continuously a matter of concern. They fall to the Dean of the Faculty's office as a point of entry for such issues to be raised and addressed. Mr. Speaker that concludes my announcements."

Speaker Martin: "Thank you Mr. Dean. We think that we now have a quorum but we are going to be sure before we proceed. All faculty members would you please rise and the Dean and Secretary will take count. Alright, we do have a quorum. The chair again calls on the Dean of the Faculty, as the Chairman of the Review and Procedures committee for the presentation of a resolution."

2. RESOLUTION RE PARKING FEES

Dean Lynn: "I will not read the resolution, it was distributed in the call to the meeting. It has got a few minor defects as has been pointed out and that is what this body is for - to correct those things and improve on them. [We just did that purposely so that you would have something serious to consider.] Mr. Speaker, the resolution was transmitted to all the faculty members in the call to the meeting."

The resolution circulated reads:

WHEREAS, university activities by their very nature involve unpredictability, especially in on-campus hours, and

WHEREAS, parking fee increases greater than income increases can cause serious financial hardship,

THEREFORE, BE IT RESOLVED, that the Faculty recommends that the University not increase parking fees in excess of the average annual increase in salaries and wages.

Speaker Martin: "Professor Orear wishes to present an amendment and I will let you decide how you wish to treat it. We can do it by simply unanimous consent or we can go through the long dragged out procedure of a substitute motion. Hopefully, you will select the former. Professor Orear, would you wish to speak concerning the cleaning up job that you've done."

Professor Jay Orear, Physics: "Well, I regard this as a very friendly amendment. I am only dealing with the rating of the resolution itself where it says 'Therefore, be it resolved'. I would like it to read 'that the faculty recommends that any percentage increase in University parking fees not exceed the annual average percentage increase in salaries and wages.' Now understand that the original wording used was word for word the wording of a resolution already passed by the Cornell Assembly - Committee on Transportation Services and in this way the faculty could show its support of this committee which is called the COTS Committee. However, from the technical point of view, the wording did not really say what was intended. This 'friendly' amendment should be regarded as a minor technical correction so that professors of English, Mathematics or logic would be satisfied that we are really saying what we mean."

Speaker Martin: "Are there any objections to using this rather than the one you received in the mail? Any objection? Great, thank you. Alright, you're on."

Professor Orear: "Alright, I would like to say a few words on behalf of the resolution. Many of us chose Cornell because of its low population and low population density, but this means that many of us, in order to get to Cornell, have to drive a car and cannot make use of car pools or nonexistent public transportation. Now the University has provided parking in A and B lots at no cost to us, not to just the faculty but to the entire staff. The nature of much of the University work, certainly research by definition, if it's at the forefront of research is unpredictable and with the least predictable hours. We cannot make use of predictable hours of shuttle buses. The University wishes now to consider charging \$200 per person for A and B lots and \$400 for on-campus parking. Now there is a question whether this was done behind our backs or not. I am not going to get into any of that but maybe some others will. But to me, it amounts to a large sudden increase in parking fees by definition and that mathematically amounts to a significant pay decrease for nearly all of us, at a time when we should be getting a cost of living pay increase. The inflation this last year is higher than previous years. Now let me make just one more comment on the article in the Cornell Chronicle, the latest Cornell Chronicle. It says 'Senior Vice President James E. Morley Jr. has said that the prime details are negotiable within the broad outlines that Cornell must move to a reduction in parking demand and that revisions might increase the total subsidy already provided to parking and traffic.' Now, the way I interpret that, I don't know if I'm right, but I would assume that the reason the University is asking for the \$200 increase for A and B and the \$400 fee for on-campus parking was so that the University would not have to increase its subsidy provided through parking. Now if the University insists on that ground rule, it's not being flexible in my mind. All it's saying is well okay if you don't want to pay \$400 for on-campus parking, then we will increase A and B lot accordingly. Or if you think the \$200 that is going to be charged to A and B lot is too much, then however many dollars you want to reduce that by we will do it for you, but then we will have to increase the \$400 for the on-campus parking. So I feel that it is, I will use the word immoral, of the University to impose those kind of ground rules on us suddenly, all at once. They are taking away some of our salary in effect after taxes salary. So the IRS is getting more from us. They are taking away a very important employee benefit. It is analogous to putting coin meters in everyone's office and turning off the heat and then you have to put a coin in the meter each time you want some more heat in your office. Now there may be universities in some European countries that don't have central heating. I have been in such hotels in which you have to do that. Also, if the university is going to behave this way, why don't they start charging us for each telephone call that

we make. And some of us make more calls than others. Well, that is all that I want to say for now, I'm sure that other people have other arguments."

Speaker Martin: "Thank you, Professor Orear. The chair will remind you that we are operating under the Robert's Rules of Order which goes something like this. A person has the opportunity to speak, but we do not come back to that individual for a second opportunity until everyone who wishes has had their first opportunity to speak. I hope that you will abide by those very basic rules. Secondly, when you speak please announce your name and department for the Secretary's records. The floor is now open. The chair will do his best to keep these in order."

Professor Keith Dennis, Mathematics: "I would like to offer several amendments to the motion."

Speaker Martin: "One at a time."

Professor Dennis: "Well, think of it as one amendment then. I will distribute it. I would just like to give an amendment with several points and I would like to make a short remark about each one of the points. I'm sure there are lots of comments that one would have been made and perhaps this is incomplete, but it is just a few things I think are pertinent to the current situation. One amendment, seven parts."

Speaker Martin: "No, I don't think that's one amendment. We are going to have a mess."

Professor Dennis: "You can delete pieces, I mean I don't care if you don't like them. However you would like to proceed."

Speaker Martin: "Well, you have labeled it amendments to the motion."

Professor Dennis: "Typographical error."

Professor Martin: "No, it doesn't appear that way, because you have actually seven individual amendments here from what it appears to me. The chair stands corrected if anyone thinks otherwise. You have seven individual amendments. We will have to offer them one at a time."

Professor Ronald Ehrenberg, ILR: "The list of amendments specified here does not in any sense appear to be inconsistent with the motion which is currently on the floor. Would it be possible to vote on the motion that is currently on the floor and then to address this as a separate motion since this does not appear to be inconsistent. In other words, you could recommend that parking fee increases do not exceed the rate of salary increases."

Professor Dennis: "I certainly have no objection to that."

Speaker Martin: "If it's not inconsistent Ron then if we vote on that, so why be concerned with reading it."

Professor Ehrenberg: "Well this would be a second motion which the gentleman would then bring to the floor, I believe."

Professor P.C.T. deBoer, Mechanical and Aerospace Engineering and Parliamentarian: "There are three possible basic process of amendment. The first process is to insert or to add. The second one is to strike out and the third one is a combination of the first and the second."

Speaker Martin: "That is correct, but we have seven individual items here."

Professor deBoer: "It isn't clear to me where this is going to be inserted or added."

Professor Dennis: "At the end."

Professor Moss Sweedler, Mathematics: "This is presented to us as an amendment, then you requested that it be given out. It happens to have some wording a little different than from how it was originally presented. He thinks that he has given it out for our convenience and I think we should go by what he says that it was an amendment. Now it happens to be on a piece of paper prepared beforehand. He is being penalized for giving this out for our convenience."

Speaker Martin: "Well I think as deciding officer, if this were presented without having it in our hands, I doubt very much that you would be willing to accept all of this as one single amendment."

Professor Sweedler: "Okay, well we can bring him back up and let him read it."

Speaker Martin: "I don't think that's the issue."

Mary Beth Norton, Mary Donlon Alger Professor of American History: "Could I inquire of the maker of the motion where this amendment is to be in the motion? What is its relationship to the motion we have in front of us as a piece of legislation?"

Speaker Martin: "That is a legitimate question."

Professor Dennis: "University Parking, I see the context of this motion as having to do with ..."

Professor Norton: "What about the motion in front of us sir? Where is it supposed to go? What we have in front of us are two whereas clauses and then a therefore be it resolved clause. The wording in these amendments doesn't seem to relate to the motion."

Professor Dennis: "If it is acceptable to have a separate motion on which this body votes, I will certainly accept that. One of my fears was that the only possible motion that one might be able to vote on at this meeting was the one that was passed out in advance. If that is the case, then I wish this to be an amendment if that means destroying the original motion. However, if a new motion encompassing these points is allowed on which this body may vote, then I am perfectly happy with that."

Speaker Martin: "Would the body be comfortable if this was offered as a substitute motion for what we have here?"

CROWD: "No, separate motion."

Speaker Martin: "You would not - separate motion."

Professor Michael C. Kelley, Electrical Engineering: "The only issue he is asking really is whether he is allowed as floor participant for example, to raise a separate motion if the answer to that is yes then he would withdraw it and raise later. That's very simple."

Speaker Martin: "That's correct. What was the last part of your - that he would what?"

Professor Kelly: "Would he be allowed to present a motion from the floor that was not distributed to the entire faculty? Would he be allowed to present this to this body? If the answer is yes, then we have no problem."

Speaker Martin: "Will he be allowed to present this as a brand new motion after we vote on it? Yes, sure."

Professor Dennis: "Fine. Thank you very much."

Speaker Martin: "Alright, we are now debating the resolution that you have on the board. Is there discussion? Yes sir?"

Professor Isaac Kramnick, Ronald J. Schwartz Professor of Government: "I don't want to make any amendments I just want to get on the legislative history of this resolution that I assume that is known by all of us at the time we are voting for this that five or six percent times zero is zero. Therefore, this resolution presumes the maintenance of free parking."

Professor Martin: "Thank you. Further discussion? Yes?"

Professor Ferdinand Rodriguez, Chemical Engineering: "I just wanted to take exception to the statement which has been made, that the University subsidizes parking. Those of us who have worked here for the past thirty plus years have the feeling that we have been subsidizing various parts of the University by supplement salary and the parking conditions and the parking fees. I would hope that no one else will ever use that term that the University is subsidizing something which we have as a right."

Speaker Martin: "Thank you. There was a gentleman in the back who, well apparently not. Anyone else? That says that we are prepared to vote. There will be no more discussion. Yes?"

Associate Professor Peter Schwartz, Textiles and Apparel: "I have just one question for clarification. It says that the university parking fee not exceed that the average annual percentage increase in salary and wages. Is that average endowed percentage increase? I don't understand that word increase."

Speaker Martin: "Professor Orear."

Professor Orear: "It category means the average of all University employees, endowed and statutory. If statutory people are getting effective pay decreases by having to take furloughs and so on, those are decreases and that goes into the population of the average."

Speaker Martin: "Further discussion? Yes?"

Profellor Kelly: "I fully intend to vote for this, I would just like to point out that in the event that we come back and renegotiate this in person, that this is still a regressive sort of tax that even at a percentage level here, the lowest paid people are taking the grind of this."

Speaker Martin: "Does anyone else wish to speak? Yes?"

Professor Frederick Ahl, Classics: "One of the things that I think many of us also find disturbing, which doesn't really get addressed in the resolution - is the question of parking fines. The practice of the University charging extremely high rates of parking fines, which are much higher than current city parking fines. They become increasingly punitive when you get involved in the appeals process if that appeal turns out to be unsuccessful. I should also add, perhaps that we might want to consider this if not within the framework of this resolution, that fines should be adjusted to take that into account, but I feel as a group we should address that as a point later on perhaps."

Speaker Martin: "Thank you, further discussion? If not, we shall proceed to vote. All in favor of the resolution, 'the Faculty recommends that any

percentage increase in University parking fees not exceed the annual average percentage increase in salaries and wages.' All in favor of the motion, say I. (Everyone says 'I') Opposed no. (No response) It is passed with no dissent.

*WHEREAS, university activities by their very nature involve unpredictability, especially in on-campus hours, and*

*WHEREAS, parking fee increases greater than income increases can cause serious financial hardship,*

*THEREFORE, BE IT RESOLVED, that the Faculty recommends that any percentage increase in University parking fees not exceed the annual average percentage increase in salaries and wages.*

"Now we have another motion, would you care to come down professor. This is the seven piece article, called 'amendments to the motion'. This is a brand new motion and will require a second. Is there a second? Second to this motion?. Thank you. Okay."

Professor Dennis: "I would just like to read the motion one point at a time and make a very short remark about each one. First part, 'the current transportation plan will be abolished. A new plan will be developed jointly by Traffic and the Committee on Transportation Services.' What's not written here is the word jointly really means with consultation. Despite protestations by various members of the administration, the Committee on Transportation Services was not consulted in any adequate fashion on the current plan. This has caused a great deal of unhappiness on the part of many faculty members and just to indicate that, I would like to read to you a motion that was passed by the College of Arts and Sciences on November 29th. 'The College of Arts and Sciences condemns Day Hall's procedures for the proposed transportation plan, rejects the plan, calls for the resignation of those responsible, and asks other colleges to endorse this motion.'

"Point Two: 'Costs of transportation and parking on campus will be shared equally by Cornell and its staff. That is, each individual's parking fee would be a certain percentage of salary; similarly the same percentage would be applied to the University budget to determine Cornell's share.' Now I am not particularly tied to that. That is just one thing that I believe a number of faculty and certainly staff members would consider fair. I think if faculty made the computation of what their new parking fee would be with that formula, they would also be quite happy, even if they were paid over \$100,000. The computation you make at current rates indicate that to pay a \$400 simple campus parking fee and use the same percentage that Cornell uses on its endowed campus, you would have to have a salary over \$200,000.

"Point Three: 'No further parking places on campus will be removed until adequate replacements exist.' There are plans to destroy parking on various places on campus. I list a few, perhaps that should not be part of the motion. I think if you look at the history of Cornell over the last few years, you will see that there has been quite a reduction in the amount of, shall we say, mobility on campus.

"Point Four: 'Negotiations between Cornell and the town of Ithaca to construct a large free parking lot near Judd Falls Road will be resumed. Free parking in the A and B lots is to remain until adequate free parking is established elsewhere.' I will give you my interpretations of current traffic plan. Cornell found it much too difficult to negotiate with the town of Ithaca, cancelled the plans for the new parking lot, and decided to pick on the faculty and staff instead.

"Point Five: 'Financial aid packages that encourage additional student employment will be encouraged.' The explanation, if I remember Bill Wendt correctly, something on the order of 2,000, you can correct me if I have the wrong number here, parking places on central campus or let me just say campus are now necessary for additional employees that have been hired to replace students. Employees were hired because students were replaced, that is over, I don't know, the last ten years. Some number like that I believe, is that correct Bill? (Bill Wendt: 'I don't know'). I don't remember the exact number you said something like that at one point.

"Point Six: 'Teaching assistants will be included in OmniRide. Other students will be allowed to pay for this service.' I believe Cornell could achieve a significant reduction in traffic on campus and in nearby neighborhoods by allowing students to participate in some manner, perhaps you can't give it to them, but charge them something at least be responsible for organizing that for the students.

"Point Seven: 'Cornell will make an honest attempt to meet local building codes. As I understand it, this means employees are supposed to be able to park within five hundred feet of their place of employment. There are other ways to avoid that clause, as I understand it, which is I gather the main overriding concern of the administration in OmniRide is that they will be allowed to avoid this requirement if they manage to take up enough of the transportation problem with OmniRide. That is, they would be allowed to avoid constructing additional parking places if they can exhibit the fact that they no longer need to provide them. Okay, that's all that I have to say."

Speaker Martin: "Thank you. To simplify things, the chair is going to suggest that we treat these seriatim. We could get in an awful jumble I would think, if we tried to just do it in mass. Are there any objections to handling it that way? (Someone said 'Yes'.) Alright. All in favor of treating these items seriatim in other words dealing with number one,

amending it if you wish, then voting on it, then proceed two, three, and so on. All those in favor of handling it that way please say I (Majority said 'aye') Opposed, no. (A couple of people said 'No'). It is clear that they shall be treated seriatim with the vote on each individual part being final once it is taken. Number one, discussion? Yes?"

Professor Lawrence Williams, ILR: "What is the faculty representation on the Committee on Transportation Services? This is for my own personal use."

Speaker Martin: "Mr. Dean, can you answer that?"

Professor David Wyatt, History: "There are three faculty members on the committee: myself from the Arts College, Richard Penner, Hotel and Thomas Johnson, Agricultural and Life Sciences. There are three staff and three students."

Professor Williams: "I am about to retire. The campus has changed dramatically since I came here. I would hope that it would prove that the faculty members on this transportation committee were able to deal with it not only for economic issues, but it is an issue that relates to this the whole of teaching and not just to the dollars and cents bit. Some of that is insignificant."

Speaker Martin: "Thank you, further discussion? Yes?"

Assistant Professor Barbara A. Knuth, Natural Resources: "I would like to make just a general comment, I have to leave at 5:30 to catch my ride. I would like to make a general comment that I hope those who would be working on a revised transportation plan would keep in mind and that's the fact that it is a very diverse faculty that we have now and the administration at least has voiced an interest in continuing that diversity. Just as a point to consider, there are many of us who have personal constraints, including children in day care, have immediate needs for access to a car, and are also at the lower end of the salary structure. I hope that those needs be they personal or professional will be considered as the transportation plan is revised especially in keeping with the administration's voicing of wanting to have a diverse and a creative faculty."

Speaker Martin: "Further discussion? Yes?"

Professor Wyatt or Dennis: "I would just like to comment about what the Committee on Transportation Services had in mind with respect to this plan. The point really is that the Committee on Transportation Services was not consulted on those matters which are most exercising. The first the Committee on Transportation Services heard about the fee structure

associated with the plan and about the end of free parking for staff was from the Cornell Daily Sun and the comments of Al Davidoff. That in our minds is not consultation."

Speaker Martin: "Further Discussion? Yes Sir?"

Professor Richard Schuler, Economics and Civil and Environmental Engineering: "I am strongly in favor of this first amendment primarily because what disturbed me most about the plan as presented was the perspective from which it was designed to begin with, namely it was far too narrow. It was a circumscribed plan and it did not try and enhance and improve the abilities of Cornell and its employees to do the work there or about. Now that's been expressed by several of the faculty members but also as former chair of the Financial Policies Committee, one of the issues we needed to struggle with were the questions of productivity, that is the ability of people on campus to do their job. My sense is the planning overall planning structure of parking and facilities on campus have not necessarily been designed from that broad perspective. It has been a more narrow perspective within the confines of a given project and again of the given scenario. Do the best we can, but what it seems to me what is needed is to broaden the scope of that planning process so that for instance we design facilities so that staff members don't have to spend half their time going back and forth between East Hill Plaza and central campus just to accomplish a task. That part of it, as well as providing spaces at reasonable rates for the rest of us so that we come on campus regularly to deal with students that is all part of the job and including the time of day in which it is involved. It seems to me many aspects of the current plan really are from the perspective of 8:00 to 5:00 kind of work without recognizing that an incredible fragment of the University's business gets done and accomplished at other times of the day. As a matter of fact, if the pricing schemes are just an exercise, then I would suggest that we look at Sunday afternoon at 2:00 or 3:00 as the time we put on the highest fee because that is clearly when the campus is mostly overcrowded and the most difficult day to find parking."

Speaker Martin: "The chair will remind the faculty that we are going to be getting down to that breaking point on our quorum before too long. We have already lost some people. If there are no objections, we shall proceed to vote on number one. It will be too bad not to get through all seven. No objections? All in favor of number one say Aye. (Everyone said 'Aye') Those No (No one said 'No'). Great. Carried.

*The current Transportation Plan will be abolished. A new plan will be developed jointly by Traffic and the Committee on Transportation Services.*

"Number two, discussion?"

Professor Orear: "I object to the first three words of number two. Cost of transportation is sort of giving it to the administration on their own ground. If I were the administration, I could invent all kinds of costs to put in there for them, spread those costs out to the staff and faculty like before cars were invented there was a Cornell University then Cornell University was required to build and maintain roads in Cornell University. As soon as we required to build and maintain the roads and fix the curbs and so on, I don't know but I wouldn't be surprised if according to this wording Cornell University would use that as part of the cost of transportation and parking and then charge it to us. Those fees should not be charged to us, so I object to number two."

Professor Royal Colle, Communication: "It seems to me that in the motion that we have just passed, we have already suggested that the committee deal with items two through seven, and that by ourselves discussing two through seven, trying to legislate, we are taking some of that responsibility away from the committee. I think we should give that responsibility to the committee to look at items two through seven and whatever other things they wish to look at to come up with that new plan."

Professor Scott Maynes, Consumer Economics and Housing: "I want to rise to the second sentence in this. That is, each individual's parking fee would be a certain percentage of salary.' It seems to me that this is not the body to consider something without a lot of discussion. It's a principal of payment and I would object to it. I think that this has got to go back to the committee. I second the motion down there that we have to delegate that to the committee. I would like just to say one more sentence, it seems to me that one could argue and a lot have, that parking is part of the condition of being a productive professor and is it like a desk for example. You give everybody a desk, so that they can do their job and then that means that the monetary mechanism is an inappropriate one."

Speaker Martin: "The chair would like to come back to Professor Colle. Your motion was to refer items two through seven to a committee. Which committee were you referring to?" (Colle: "To the Committee on Transportation Services.") Okay, that is in order if we have a second. Do you wish to speak to your motion further? (Person: "No, I think that it is self evident.") Alright, yes?"

Professor Michael Latham, Nutritional Sciences: "I think one of the reasons why this afternoon we unanimously passed this first motion but are now discussing the second motion is that Day Hall has imposed something on us without adequate consultation or discussion. And before we commit to something through long discussion to the Committee on Transportation Services in which they will have to have parking when they are coming to discuss this matter, could we have some assurance from Day Hall that they will listen to some sort of recommendation from this Committee on

Transportation Services. We have the Senior Vice President here and we haven't heard a word out of Day Hall."

Speaker Martin: "Jay do you wish to respond?"

Jay Morley, Senior Vice President: "We will be very happy to consider the first resolution that you passed and the one that you have brought forth and consider that also."

Professor Arthur Berkey, Education: "I want to point out that under the University Assembly Charter, the Committee on Transportation Services is charged with the responsibility for developing policies and the fee structure for parking at this university. And this charter has been approved by our president, therefore, this is subject of course to the veto by the president. So by providing this plan without consultation to COTS - the Committee on Transportation Services, they simply were not in agreement with that covenant on this charter. So I think that this power for proposing starts with COTS and then the university reacts either positively or negatively with that. Hopefully, they can do it together."

A motion was made to refer items two through seven to the Committee, but delete item three.

Speaker Martin: "We have a motion to refer items two through seven to the committee. We have an amendment then to insert the words except for item number three. Is there a second? (A few people second that motion.) Discussion? All in favor of the amendment to the motion to refer to add the words except for number three, say Aye. (Some say 'Aye'.) Those opposed, no. (A few say 'No'.) It is carried. So the motion that is on the floor now is to refer items two, four, five, six and seven to the committee. Yes?"

Professor Stuart Blumin, History: "With respect to the motion to refer the other items: two through seven to the Committee, I think it is an excellent idea and I would point out a difficulty in item two which is the sort of thing that a committee properly should consider. In that second sentence, as Scott Maynes called to our attention, I would note that the references to individuals which would probably refer to all staff, faculty or the clerical and maintenance staff, there are a few who are now currently not paying any parking fee. So these are the difficulties of the the wording of the resolution. I think it is properly a committee's job to resolve these problems and the relationship between this motion and the resolution that was made earlier. So I would support this motion."

Associate Professor Ann Lemley, Textiles and Apparel: "Could I ask David Wyatt, Co-chair of the COTS Committee to indicate something about the

faculty and staff input that you have gotten in the last several months, so that the people here know that you do have some information to support the resolution."

Professor Wyatt: "The committee received something close to a hundred letters detailing objections to the plan. The committee also received three letters signed by as many as eighty-five people each. And the University Assembly ran four hearings on the transportation plan in January and early February which members of the committee attended and all of the objectives voiced during those hearings were duly noted and are being taken into consideration."

Professor Dennis: "This is a halfhearted speaking against the current motion. My main concern in leaving - I have no concerns in leaving things in the hands of COTS actually, however, I do have concerns about the effectiveness of the current system and how it can in fact operate. I was on COTS for two years. We had essentially no input on how fees were arrived at. There was no discussion of that whatsoever. We were told how it would happen. I see the motion two through seven as basically strengthening the hands of COTS. The faculty has said this is the kind of thing that we have in mind. We would like for you to do something like this. I see it more as strengthening their hands rather than telling them exactly what to do."

Professor Ehrenberg: "Yes, this is a question about what the Committee on Transportation Services does. Is the committee aware (this refers to point two) that the greater Cornell's contribution towards parking, the less funds are available for everything else. Is that something that the committee considers? Is the committee aware that the greater Cornell's contribution for parking the greater the charge that Cornell makes from statutory colleges what is called tuition retainage and therefore the less money that the university has for statutory colleges for programs? (Someone responded yes) Finally, this has to do with point two, if you follow the logic of having parking fees as a percentage of salary for a given service then by the same logic you would want the university to consider having health insurance costs would be a fraction of salary rather than a fixed amount. Will that point be referred to a faculty committee?"

Speaker Martin: "Mary, do we still have a quorum? We still have a quorum. Is there a second for the motion for the previous question? Alright, all in favor of the previous question meaning no more debate and we go immediately to a vote, say Aye. (Everyone says Aye.) Carried.

"We are now voting on Professor Colle's motion to refer items two, four, five, six and seven to COTS for further consideration. Is that clear? (The vote was taken.) The motion to refer is passed.

*Costs of transportation and parking on campus will be shared equally by Cornell and its staff. That is, each individual's parking fee would be a certain percentage of salary; similarly, the same percentage would be applied to the University budget to determine Cornell's share.*

*Negotiations between Cornell and the Town of Ithaca to construct a large, free parking lot near Judd Falls Road will be resumed. Free parking in the A and B lots is to remain until adequate free parking is established elsewhere.*

*Financial aid packages that encourage additional student employment will be encouraged.*

*Teaching assistants will be included in OmniRide. Other students will be allowed to pay for this service.*

*Cornell will make an honest attempt to meet local building codes: In particular, this means providing parking for employees within 500 feet of their place of employment.*

Speaker Martin: "Is there further business to come before the faculty? (people are saying 'Item Three') We are about to vote in one minute. If there are no objections, we shall proceed to vote on number three. There are objections? All in favor of the previous question that we proceed to vote on number three, say aye. (Everyone says aye.) All in favor of number three as a plan say aye. (Everyone says aye.) All those opposed (A few say 'No'.) It is carried."

*No further parking places on campus will be removed until adequate replacements exist. Current planning has at least the following parking places in jeopardy: in front of the Straight, Bailey Circle, Sage Hall, and along Tower Road.*

Speaker Martin: "Is there any further business? Meeting Adjourned!"

Adjourned: 5:30 p.m.

Respectfully submitted,

Mary A. Morrison  
Secretary of the Faculty

## MINUTES OF A MEETING OF THE FACULTY COUNCIL OF REPRESENTATIVES

April 10, 1991

The Speaker, Professor Emeritus Russell D. Martin, called the meeting to order. He indicated that the body was short of a quorum but there were a few items that they could proceed with including the Dean's remarks.

## 1. ANNOUNCEMENTS BY DEAN LYNN

Dean of the Faculty, Walter R. Lynn: "I have discovered, ladies and gentlemen, that these remarks are transcribed and that discretion requires that I present these remarks carefully so that the record accurately reflects what is being said at this meeting. I just have a couple of items and if we don't have a quorum relatively quickly, we will proceed with the agenda but we will not be able to act on the items before us. Many of you have seen the report from this Cornell Undergraduate Education brochure that David Way puts out that presents some information about the Committee on the Tenure process which I have appointed and it's an excellent committee. Our goal is to find out whether it is possible, first of all, to do a better job of evaluating the teaching contributions of faculty members in the tenure review process. To do that we are currently reviewing recent tenure files to see how teaching has been expressly considered in the tenure process and then to see whether there is some concrete proposal that can be made to make that part of the evaluation process better. Just to apprise you, the procedure will be as follows for that committee. When the committee completes its report, which will be in the early part of the fall, we will take the draft report to each one of the colleges and effectively hold a public hearing with each college to see how the faculty in these respective units would respond to suggestions/modifications of existing procedures. Then we would respond to comments made by individuals in producing a final report, which we hope would be ready by the first of January. "

Speaker Martin: "Are there questions for the dean?"

An Unidentified Speaker: "Do you actually anticipate that it is possible to make departments evaluate teaching or is your role mostly to get departments to identify problems of teaching and to help the tenure candidate?"

Dean Lynn: "The issue comes about primarily because a lot of faculty believe that you can not do this, i.e., the business of evaluating teaching cannot be done in an objective way. That is a fairly common comment made by the faculty. I don't think that's true. I mean that's my belief but the question is are there objective measures that can be done. One member of the faculty sent me a letter that said: 'If you want to test what emphasis we place on teaching as opposed to research in the tenure

processes, just measure the mass of these two components in the dossier.' They are treated differently even though we give expression to the notion that tenure at this institution involves this triad of teaching, research, and service of whatever form that it takes. Our principal objective at the outset is to ask if there is a better way, can it be done, and to try and show some evidence that it can be done. What happens following that is a separate question. Mr. Martin."

Speaker Martin: "Any other questions?"

Professor Arthur Berkey, Education: "Do you have information versus the resolution passed by the University Faculty and the proposal of the Assemblies for transportation services for next year?"

Dean Lynn: "No, the only information I have is that just at this hour the University Assembly is meeting to consider the proposal by the Committee on Transportation Services and it's presumably going to act on that. This is the third meeting it has attempted to have."

Professor Berkey: "As you know, they made one proposal that was in my mind properly turned down by the Assembly. They proposed a 31% increase in interior parking spaces, a 100% increase in K lot, \$180 for all spaces in B lot, a limited free parking option in A lot (by limited I mean one space for every three people), and so there is at least a 6% increase in parking fees for each of the next four years. So, there is somewhat of a disparity between the motions passed here and what's being proposed."

Dean Lynn: "I don't know the status of the Committee on Transportation Services proposal. They've never asked to come back to this body. You can judge why that may be the case, but it stands at the moment that it has not come back to the faculty. Are you asking me to bring their proposal back to the faculty?"

Professor Berkey: "What I am asking you is whether you are being kept informed, but I guess you are not."

Dean Lynn: "In no way differently from the rest of us....."

Professor Berkey: "Being the Dean of Faculty, are you concerned that you are not being kept informed over two major differences between what's being done about the motions passed unanimously here versus what is being proposed by the public?"

Dean Lynn: "As I have said, I am informed only in that I receive the agenda of the University Assembly. I have not received anything directly from the Committee on Transportation Services. So, they did not see their role, is my interpretation, as being one of reporting back to this faculty, even after the action taken by it."

Professor Berkey: "I was just wondering what your feeling was and whether or not we have been prevented from doing anything after we made that request."

Dean Lynn: "To tell you the truth, things seem to be operating on very different tracks at the moment. That is, that the Committee on Transportation Services and I guess the administration, has brought a revised proposal to the University Assembly. There are five faculty members who are participating in it. Are any of them here incidentally? No, they are probably busy voting over there today. And I don't know what the status will be even after the University Assembly, if it should approve that change. I mean it still can come back to this body, and that would be the appropriate time to do that."

Speaker Martin: "Any other questions? Thank you. We are still short of a quorum, but we do have in place an Executive Committee Meeting immediately following this to act on the motions which we perhaps will not get to vote on by the entire session unless we get a quorum. So, we will proceed with Professor Virginia Utermohlen, Chair of the Committee on Nominations on Elections."

## 2. SLATE OF CANDIDATES

Professor Virginia Utermohlen, Nutritional Sciences: "In the interest of waiting for a few seconds for more people, but actually more to express my gratitude as chairperson to the members of the committee who worked hard and especially to all the people who have agreed to serve on this slate of candidates, I personally, and I'm sure the rest of the faculty feel very grateful for your good efforts and willingness to participate. On behalf of the Committee on Nominations and Elections, I present to the faculty the slate of candidates for the University Faculty election. And there is one additional name to be added. In addition to the slate that you have here before you, Sheryl E. Kimes, Assistant Professor, Hotel Administration, has agreed to run for the Committee on Minority Education in the non-tenured seat and her name should be added to the list. Thank you very much."

Speaker Martin: "Thank you. Are there further nominations from the floor, with the understanding that you have received permission from these people their willingness to run. Are there any further nominations? Thank you, we will hold off on the vote. The Chair next calls on Professor George Scheele, Chair of the Executive Committee, for confirmation of Executive Committee action in declaring FCR seats vacant. Professor Scheele."

## 3. CONFIRMATION OF EXECUTIVE COMMITTEE ACTION IN DECLARING FCR SEATS VACANT

Professor George Scheele, Chemical Engineering: "In November of this year, following three meetings of the FCR, it was realized that several members had attended none of those meetings and that was creating difficulty in addition to all the

other difficulties associated with getting a quorum. Those members were sent letters reminding them of the rules for attendance of FCR members and basically were told that they had to come to the next meeting or their seat would be declared vacant. I have a copy of the legislation that pertains to this and it reads:

*If any member (other than a member on leave) fails to attend any meeting of the Council of Representatives for a period of 120 days or more (exclusive of summer vacation) that member's seat may be declared vacant either by the constituency concerned, or by the Council of Representatives as a whole.*

Following the December meeting, the Executive Committee declared the seats of those members who had not attended any of the fall meetings vacant, and sent letters to the deans of the respective colleges asking them to implement procedures for replacing them. Now in fact, if they are not replaced, the number of members of the FCR is decreased and therefore the number needed for a quorum. So there are some practical reasons for this. A couple of the members wrote in and said that for one reason or another they had not realized that they were being remiss in their duties and they would like another chance and in those cases the deans granted them that opportunity. I hope that they are all here today. But, we wound up with the seats of three members being declared vacant. So, our purpose here today is to inform you of that fact and we were going to introduce a resolution for the body to confirm the action of the Executive Committee."

Speaker Martin: "You can still offer it."

Professor Scheele: "Which? The simple phrase is:

WHEREAS, the Organization and Procedures of the University Faculty (OPUF), section VIII.H.3 provides for non-attendance of FCR members by stating:

*If any member (other than a member on leave) fails to attend any meeting of the Council of Representatives for a period of 120 days or more (exclusive of summer vacation) that member's seat may be declared vacant, either by the constituency concerned, or by the Council of Representatives as a whole.*

and

WHEREAS, FCR members Terry Acree, W. Harvey Reissig (Geneva) and David Collum (Arts and Sciences) had not attended any meetings of the FCR since the beginning of the 1990-91 academic year, and

WHEREAS, the Executive Committee of the FCR, acting for the Faculty Council of Representatives, declared the seats of these three FCR members vacant,

THEREFORE, BE IT RESOLVED, that the FCR hereby confirms the action taken by the Executive Committee.

I could read the whole motion, but that's really the sum and substance of it."

Speaker Martin: "Alright, this is the motion that is on the floor. It may end up that the Executive Committee ratifies their own actions. How close are we to a quorum here? Nine. Does anyone want to go out and get nine bodies? Are there questions?"

An Unidentified Speaker: "Can you please tell us what constituencies are represented by the people?"

Professor Scheele: "From what I understand here, one is from Arts and Sciences, and two are from Geneva. One could appreciate the difficulty of those people coming to the meetings."

Speaker Martin: "Dean Lynn."

Dean Lynn: "I would like the names of these people to be read into the record for the simple reason that in fact that is an abrogation of responsibility to the faculty and to this body by not attending whatever their reason is and that it is a matter of public record that's taking place. So, if you don't mind it's a part of the resolution."

Professor Scheele: "I do not mind. I'm not sure how well I'll even pronounce these names. But the members whose seats were declared vacant are Terry Acree, W. Harvey Reissig and David Collum."

Speaker Martin: "Are there comments or discussion? Thank you. Our next item is a report from Dean Lynn concerning the revision of the charter for the Center for Environmental Research to the Center for the Environment. And we have with us Vice President Norman Scott if there are questions."

#### 4. REVISION OF CHARTER FOR CENTER FOR ENVIRONMENTAL RESEARCH TO CENTER FOR THE ENVIRONMENT

Dean Lynn: "I'm here speaking in behalf of the Chair of the Committee on Academic Programs and Policies, Professor Elizabeth Oltenacu, who could not be here today and she has asked me to present this matter for your information. A recommendation was made by Vice President Scott together with other members of what's currently the Center for Environmental Research and the proponents for establishing a new center called the Center for the Environment to in fact change the charter to have a name

change and to be consistent with what the charter of the Center for Environmental Research now permits to not alter that but to change both the names and to leave the substance of the charter intact. The Committee on Academic Programs and Policies reviewed this proposed change and came to the conclusion that in fact that there was no substantial change in the charter itself. So there is no reason for it to take any action at this stage, since they did not see the name change as a substantial change and therefore it did not require action of the body as a whole. Our intent had been to distribute the revised charter at this meeting, but we will send it to you. But the role for this responsibility is within the Committee on Academic Programs and Policies and on behalf of the Committee I am making that report to you."

Speaker Martin: "Are there questions concerning this report? Yes?"

An Unidentified Speaker: "Is it up to the entire faculty or just to the FCR? This new revised charter, will it be distributed to the entire faculty?"

Dean Lynn: "Yes, we will do that."

Speaker Martin: "Other questions? Thank you. The Chair again calls on Dean Lynn for a resolution regarding Credit for Advanced Placement."

## 5. CREDIT FOR ADVANCED PLACEMENT

Dean Lynn: "Thank you, Mr. Speaker. This is another matter to clean up, and is one of those things that appears in the Course catalog and is important in that it has some contractual basis with students in terms of how the University will award advanced placement. The way this recommendation came forth was from the Committee on Academic Records and Registration which is a subcommittee of the Committee on Academic Programs and Policies. The Committee on Academic Programs and Policies made some constructive suggestions in terms of wording. This is the final version and it will appear on one of the early pages of the Course Catalog as information offered to prospective students."

Speaker Martin: "Any questions? Yes Steve?"

Professor Steven Shiffrin, Law School: "I have been asked to introduce an amendment which doing now doesn't make any sense since there isn't a quorum, but just for purposes of information. I propose changing the fourth paragraph from 'Credit from international baccalaureates is evaluated individually' to 'Credit for international credentials is evaluated individually'. The rationale is that international baccalaureates are specific examinations and the GCE A-level examination credentials are presented by many international students. This amendment would make the policy consistent with the information sheet published by the International Admissions Office."

Speaker Martin: "Is there a second to the amendment? Second. Thank you. Discussion? No discussion, then that will also go to the Executive Committee. Thank you.

"Now we have two items that do not require a vote. It is a pleasure to have with us Larry Palmer, Vice President for Academic Programs and Campus Life for a presentation on the Faculty Role in Campus Life."

## 6. FACULTY ROLE IN CAMPUS LIFE

Vice President Palmer: "Thank you, Mr. Speaker. I appreciate this opportunity to talk to you a little bit about a recent reorganization that we have gone through in the central administration and hopefully to get some of your ideas and support to enhance the role of faculty in campus life. As you all know, in January of this year, we eliminated the Division of Campus Life and took some of those units, particularly those related to the students such as Housing, Dining, Unions and Activities, Cornell United Religious Work under my office. We had previously already placed the Dean of Students under my office. Other things in the Division of Campus Life such as the Department of Transportation were gratefully given to other Vice Presidents. I am a very shrewd negotiator. But, I am going to talk to you a little bit about what the purpose is of that reorganization or what we think we are trying to achieve by making this change in the University. And secondly, I want to talk to you about some instances where I think the faculty can play a new role - a role that I believe will lead to an enhancement of undergraduate education. And then talk a little bit about the authority that the faculty has for the general role in the campus community.

"If you ask the question why would you go through this reorganization, I think it has to do with two factors, some of them external and some of them internal. I'll start first with the internal factors. Starting in about 1982 we have had a series of reports that have looked at various aspects of our student services, all of which have recommended to some degree some kind of reorganization. A report in 1982 from a committee on advising and counseling, chaired by then Dean Ziegler, recommended this type of reorganization that we presently implemented. It was followed in 1984 in a report of the Committee on Residential Learning Center, chaired by Professor Isaac Kramnick, which emphasized the need to do something radically different in the way in which we run our residential units and our dining units thinking that we had created a report called 'An Armed Curtain' between the academic life and the non-academic life on the campus. More recently, in 1989, Dean Lipsky, who was then associate dean, chaired a Committee on the Dean of Students Office. That report recommended among other things the shifting of the Dean of Students to the Provost side of the university. So basically what these reports have done is to take those things related to students and placed them within the academic part of the institution. The purpose of that was educational, educational in the sense that the university I think recognizes that as a residential university, we have an obligation for the total education of our students.

What goes on in the classroom ought to have some relationship to what goes on outside of the classroom. So internally, those people who care deeply about the quality of undergraduate education who have been asked to review things have been recommending that we do something. So we finally took all of those old reports off the shelf and tried to do something. They may have stayed on the shelf until they were dusty but if you ever had the time to read all three of those reports together, you would see a consistent theme that this reorganization represents.

“But I think the external changes are probably more important. I think most changes in large institutions occur when there is a combination of internal institutional will and some external forces that are pushing us forward. Most of those external forces, unfortunately, are negative - negative in a sense that universities like Cornell are being constantly criticized for not doing enough about undergraduate education. A lot of that criticism is directed at the curriculum, but a great deal more is connected with what is called the general role of the community on college campuses today. This is seen not simply in political attacks by people like Bennett, Bloom, etc., but in the willingness I will say of local law enforcement units to take a much more critical stance at what they consider university failures. The recent incident at the University of Virginia is significant because it is not the first time in recent years that outside officials have moved on to a college campus. In that case, it was the local, state, and federal officials who moved in on the University of Virginia campus. But I believe it was last year in Pennsylvania, the state liquor control board moved on to Pennsylvania State's campus in Bucknell one Saturday night and arrested hundreds of students for illegal drinking. There are much more stringent laws in Pennsylvania about alcohol which makes, on the face of it, the president of the university responsible if someone is illegally drinking. There are laws being passed that indicate a kind of lack of confidence in universities. I don't think that lack of confidence frankly is because we are doing a bad job. The lack of confidence, I think, is a reflection of the fact that higher education in this country is one of those great successful enterprises that we have built in this country. I think agriculture and higher education are the two things we have done extremely well in this country. As we have done well and as the society has done less well, the expectations of what we should do for the young people, particularly the cream of the crop of those young people who come to us, are just rising. That is, people are expecting more of us all the time. Now, I think another external/internal force is the campaign that we are presently involved with to raise new capital endowment to reinforce the academic programs. Many of our closest friends have told the President that you have got to do something for undergraduate education. And once again, it's not that we do a bad job here at Cornell. I think that I have the best job in the University and the easiest job in the country. By and large, we have probably the most devoted faculty among comparable so-called 'research universities' in this country. But even under this circumstance, people have a sense that there is something not quite right and unfortunately, those of us, including myself, who have the privilege of having tenure and being called professor have a great deal of authority and are expected to do more. Now, how can we do that? What are some

concrete things that we could do that could allow the faculty to assume a role in campus life, which is really educational not necessarily academic. Academic is what we do formally in a classroom, education is what is happening to the students as they are observing the excellent teaching that we all do or reading the great books we assign and doing the laboratory exercises.

"There are two things I would just ask you your help with or for you to observe what we are going to do. The first thing that we are going to do is to follow up on the recommendation of the Lipsky committee report that I mentioned previously that recommended that the Dean of Students at Cornell should be a tenured member of the faculty, because the primary problem that the committee saw at the present time was that there was a growing gap between students and faculty on this campus. That's happening everywhere else on the campus and if you look at other institutions that are going through reorganization, I think you will see this office being changed. But I guess we are trying to think of a new career track for the Dean of Students. Our previous Dean of Students or people like that are Dean of Students here or previous Dean of Students at Rochester, the Dean of Freshman at Harvard, and have all left that position to go on to become head master at nice private institutions. I guess we are trying to create a new role for the Dean of Students, that of a body of leadership to the campus about student institutional interest. A person who can speak for students to faculty and on occasion to students on behalf of students. And I guess, in thinking about a five-year term for that position, we hope that the role of the Dean of Students might be to go back to the faculty. Someone asked me, 'what kind of person are we looking for in the Dean of Students of this kind?' I said I'd like a person who is a very good teacher/educator in the best meaning of the word who would like to do a little institutional teaching as opposed to their individual classroom teaching. That's going to require the organization that I have to be reorganized. It means, quite frankly, that I've got the final challenge to do this job of integrating the classroom experience with the outer classroom experience. So, that's going to be one thing we will be searching for. The search committee will be announced, I hope shortly, whenever we can get the release out to The Sun. I ask any of you to think hard about someone who would be good for this position and don't be afraid to nominate. I'm not afraid of having people say no to me if you nominate me, but I think this is going to be new at Cornell and new for institutions like ourselves and we are going to have to recruit that person from the faculty. But I think that is probably the most important thing that we are trying to do. It may sound naive, but I think it can be done and I think it would add a great deal to the general tone of this campus to have someone who is engaged in teaching or has been engaged in teaching actually deal with students and provide leadership to all of us.

"The second thing that you probably have heard a lot about is about the new residential programs. I just want to say a word about it as we are going to start some experiment - an experiment to see if we can bring the faculty into our residence programs. We already have a Faculty-in-Residence Program and a Faculty Fellows Program and we have been fairly successful in recruiting 75-80 people to be involved

with students so far. I think we would like to build on that program and some of the principles that underline the Kramnick Report in 1984, to see if we can come up with some new program models that we can replicate throughout the campus using existing facilities. I guess that my belief is that we have to know what direction we are going before we build anything new. I think at this particular time in the institution it requires a great deal of careful incremental planning. So, that committee will also be announced very shortly. Professor Kramnick has agreed to co-chair that committee with Mr. William Paleen, who is the Director of Residence Life, there will be about four faculty members on it, four students, four or five staff members. That group will go out and try to develop a concrete plan over the next semester and a half with the idea that we would start a three year experiment in the Fall of 1992. So shortly, I hope next year, I will be coming around trying to recruit faculty members to get involved in this experiment - a kind of new way of thinking about student services, quite frankly. But, talking about these specific roles, I think is a way of demonstrating a larger role that I think the faculty is going to have to play. I have been trying as best I can to begin to work with my colleagues in the colleges, the associate deans in the colleges, bringing them together with the professional staff in Dining, Residence Life, Unions and Activities, and the Dean of Students Office to face up to generic issues that we have on the campus. On January 16, which was the day I actually came into this position was unfortunately the day that the War broke out in the Persian Gulf. The next morning I called together a group of these people from the colleges and these staff people from the professional staff and we talked about what we needed to do in this situation. What was gratifying about that was that I think, that some of my colleagues on the faculty provided some leadership to all of us - not to panic, to be understanding of what was going on. At least one college issued a statement to its faculty, which I think helped a great deal with the tone on this campus. One such incident involved the flag, which luckily didn't involve any of you, and it shut my office down for a day on the telephone. But by and large I think we got through that period with a kind of respect and ability which I think should characterize a great university. I am convinced that it was the help of everyone on the campus - our faculty and residence people, our associate deans and faculty members - who treated students with respect appropriate to their age and did not impose their particular view of war or anything else on the students. I think we are going to have to ask that the faculty constantly spend as much time possible talking to students about what's going on.

"We're in a period right now, for instance, where we have had a number of demonstrations which are hard to understand because the students, quite frankly, who are organizing it won't come talk to us. We have had incidents where people are scrolling things on walls which are ethnic, racial, sexual preference slurs, which is the opposite of what a university should be about. I guess I just want to mention to you that if you have an opportunity to talk to students over the next few days, reach out to them and find out what's on their minds. To some degree, I think we are in a period of time where what I would call the 'private revolutions' where people walk out and something happens as opposed to wide numbers of people being organized. At the

rally last Friday, for instance, there were really few students who actually organized that. We have lots of evidence that people were just milling around signing things without knowing that there is a three page document as opposed to the paragraph they are signing. But in this atmosphere, it would mean a great deal to our students if members of the faculty took the time to just talk to them. I'm talking about all students because I think this can be a very upsetting time when people are doing things in the dead of night as opposed to in the light of open debate and discussion which is what a university is about. So, what I would like to leave you with in some way is that we are trying to do some things about integrating the academic and non-academic part of students' lives into a total education in what I call a 'holistic view' of education through this reorganization. We are specifically trying to change the role of the Dean of Students to be the idea of a spokesperson for student interest to the faculty and to the whole institution and to students. And thirdly, we are trying to experiment with some new roles of the faculty in relationship to our residence and dining programs over the next few years. I hope you will give us your advice and suggestions, and become involved at any time. Thank you very much. I would be very pleased to respond to questions or comments."

Speaker Martin: "Are there questions for the Vice President? Please identify yourself for the record."

Mary Beth Norton, Mary Donlon Alger Professor of American History: "Larry, given the fact that many of our students don't live in residence halls, are there plans for enhancing the life of students outside of the classroom, particularly those living in apartments and so forth?"

Vice President Palmer: "Well the basic gist of this experiment is to try to figure out a way in which we start the student in the residence hall but treat them as part of that central unit when they live in fraternities and off campus. But the major goal is to integrate the students into a unit that includes some people who live in our residence halls and some people who don't. That is one of the major objectives of this experiment - to see if that can be done with our existing facilities. And I should emphasize it's an experiment, because I don't think we have ever tried to do that to say 'you're living here for say two years, while you're living there you're still a part of this' and to invite them back into some kind of community with faculty and other students."

Speaker Martin: "Other questions?"

Professor Locksley Edmondson, Africana Studies and Research Center: "I think there are a variety of sensitivities being expressed on campus. And I think it would be very dangerous if we ever trivialized them. The fact that students may not be prone to communicate with our administration may be part of the problem. It may also be part of the problem with our administration. I think our administration must in itself be extra sensitive not to trivialize issues about minority faculty retention, student financial aid,

etc. I also want to point out that we are worried these days about certain minority students charging the institution with racism. Internally I think you have to remember what is, on the other side increasing manifestation of racial bigotry. Just yesterday morning my department, Africana Studies, was painted with racial slurs at three in the morning as well as other places on campus. There is a climate these days in which there is a great danger for the deterioration in race relations and the administration must see and consider to what extent some of these attitudes, historic or present, are part of the problem."

Vice President Palmer: "I fully agree with you Professor Edmondson. I was trying to emphasize to the faculty that we take it as a very serious - the climate on the campus is very serious. And if there are things that we can do that people think that we have the power to do, we would do our best to do so. I guess I was encouraging our colleagues on the faculty to realize that they are in contact with students and deal with this atmosphere of bigotry that you talk about, which is very real and dangerous. I am just encouraging them to do what they can as university citizens. We are not trying to trivialize this one bit. I think it is very scary when you can't understand what someone is trying to articulate, yet they feel so strongly about it that they won't come and talk to you even if you issue invitations repeatedly."

Speaker Martin: "Other questions/comments? Thank you Larry. Our final item on the agenda is a presentation from Gerry Thomas of Human Resources concerning the Crisis Assistance Team. Gerry."

## 7. CRISIS ASSISTANCE TEAM

Mr. Thomas: "Thank you for taking the time to hear me. The Crisis Assistance Team is a new and emerging concept. What we are trying to attempt to do is to provide crisis assistance service to individuals or departments. There is a comparable service for students, as you probably all well know. There is a small army of counselors and others who will rush to the aid of students when there is a problem. There is no such service for either staff or faculty and that's what we are trying to provide at this point. The impetus for this particular service came about as a result of the very tragic accidental death of a public safety officer. What we discovered was that we have a very limited capacity to respond and to work with other public safety officers who were literally grieving the death of their colleague. This was about a year and a half ago. You may recall it was a public safety officer who was accidentally shot and killed by his seven year old son returning to campus from actually practicing the pistol shooting on the range. I was called in. There were a couple of religious folks called in. And we worked with the public safety officers but realized that probably at best our effort to try to help was feeble. And so we recognized there was a need to move forward with some more formalized kind of service.

"We have actually deployed the Crisis Assistance Team on one occasion. We received a call through one of your colleagues on the faculty about an incident of a sudden death in an academic department. There had been an individual who for a variety of reasons was terribly distraught to the point that people thought perhaps being suicidal. But many people tried to reach out and help and lo and behold unfortunately the man did commit suicide on the weekend. His colleagues came to work one Monday morning and were stunned at what they were to confront, obviously, and many felt guilt and a lot felt grief in talking to us. We were able to dispatch two counselors from our Employee Assistance Program to the department and they worked with the individuals in the department again to begin to try to help them manage their grief, guilt and some of their concern. Those are real dramatic examples of instances where some sort of crisis intervention is appropriate. What we see as an approach is being notified that there is a problem, identifying a mental health professional, and a team to go forth with a mental health professional, to try to restore the situation in the organization and to get people referred if necessary to whatever resources the university has to offer or whatever resources the community has to offer.

"As you know, the community has an enormous range of mental health services. The other interesting piece of this is that Sharon Dittman is the University's AIDS educator and we will align our forces with hers. In other words, in the event we need to encounter a situation in an organization where for instance there are some people who have developed real concern about working with someone who may be HIV positive. We would be the same people who would go in and try to work with those people around the issue of AIDS.

"The other thing that we have discovered, and this is not a great revelation, is that the people who provide help also need help. Frequently, firefighters, emergency response teams, our own police department and others deal with very unfortunate, sometimes grizzly incidents. And so we need to be able to provide help to them as well. They also have other sources of help, but at least we need to be able to provide some minimal assistance. So, I began to discuss this with Dean Lynn about a year ago and it's taken me this long to get on the agenda with my vacation schedule and meeting cancellations and the like. So this is really just for your information at this point. We will be meeting with as many groups as we can to advise them of the availability of this service. The first call from a faculty member was as a result of his having attended a crisis intervention program that I offer jointly with Jerry Feist, who is the Director of Psychological Services, and Hilary Ford, Assistant Dean of Students in the Dean of Students Office. So we will do what we can to get the word out to as many constituents as we can about the availability of this service. I would be, at this point, very pleased to try to field any questions or comments that you might have about what we are attempting to do."

Speaker Martin: "Are there questions/comments?"

Dean Lynn: "Will this service be listed in the telephone directory?"

Mr. Thomas: "Yes, that was a loaded question. It was suggested some time ago that it be listed among others on the inside cover of the telephone directory. And I think Dean Lynn has been single-handedly successful in getting those numbers listed there. I probably personally will be the contact person. I might not be the person to respond but I would be the person to try to assemble the group of people who would respond. I can be reached by calling Public Safety if it's after hours because they can contact me at home. The night the public safety officer was killed, I was at a dinner party in Owego and I was called away from that. So people do know how to get hold of me. And again, I might not be the individual who would provide the service but I would like to be the person who would try to assemble the appropriate team to meet whatever the need is. But our number we hope will be there. Thank you very much."

Speaker Martin: "Any further comments or questions? Gerry thank you for a worthwhile service. Is there further business to come before the body? There being none, we are adjourned. The Executive Committee please meet with us down front." {The minutes of the Executive Committee meeting are attached as Appendix A.}

Adjourned: 5:25 p.m.

Respectfully submitted,

Mary Morrison, Secretary

MINUTES OF A MEETING OF THE EXECUTIVE COMMITTEE  
April 10, 1991

Present: D. Brown, L. Edmondson, M. Jarzombek, S. Saltzman, G. Scheele, S. Shiffrin, E. Wethington, and ex officio members W. Lynn, R. Martin and M. Morrison  
Absent: F. Ahl, R. Ehrenberg

{The Executive Committee met following the FCR meeting. Action on issues on the FCR agenda could not be taken since no quorum was present. According to the legislation of the Executive Committee, "it shall act for the Council of Representatives in emergencies. Any emergency action taken by the Executive Committee shall be submitted to the FCR for its approval..."}.

### 1. APPROVAL OF SLATE OF CANDIDATES

The Chair, George Scheele, opened the meeting and called for approval of the Slate of Candidates. The Slate was approved (Appendix A).

### 2. CONFIRMATION OF EXECUTIVE COMMITTEE ACTION IN DECLARING FCR SEATS VACANT

Professor Scheele called for a vote on confirming the Committee's previous action of declaring the FCR seats vacant. So approved (Appendix B).

### 3. RESOLUTION RE CREDIT FOR ADVANCED PLACEMENT POLICY

The amendment to the advanced placement motion which amends the fourth paragraph of the policy from "Credit from international baccalaureates is evaluated individually" to "Credit for international credentials is evaluated individually" was adopted. A vote on the resolution to approve the credit for advanced placement policy as amended, was then unanimously adopted as follows:

*WHEREAS, the Committee on Academic Records and Registration, a subcommittee of the Committee on Academic Programs and Policies, initiated a clarification of Cornell policy concerning advanced placement credit,*

*THEREFORE, BE IT RESOLVED, that the Committee on Academic Programs and Policies recommends that the Faculty Council of Representatives hereby adopt the clarification and that it be included in the next publication of Courses of Study.*

(over)

## Credit for Advanced Placement

### 1. Definition and Purpose of Advanced Placement Credit

Advanced placement credit is college credit students earn before they matriculate as freshmen. Students may use credit they receive for advanced placement to satisfy degree requirements only as specified by the individual college at Cornell. Although such credit counts toward the bachelor's degree, its primary purpose is to exempt students from introductory courses and to place them in advanced courses. Its value is that it allows students to include more advanced courses in their undergraduate curricula.

2. Advanced placement credit may be earned from one of the following:

a. Achieving the requisite score on a departmental examination at Cornell (usually given during Orientation Week) or from the Advanced Placement Examinations from The College Board Admissions Testing Program (ATP). The requisite scores which vary by subject, are determined by the relevant departments at Cornell, and are published elsewhere in Courses of Study.

b. Passing a regular course taught at an accredited college to college students and approved by the relevant department at Cornell. Some departments have delegated the review of courses to college staff according to guidelines they have formulated. Some departments review each request individually. Some departments accept credit from virtually all accredited colleges; some do not.

Credit for international credentials is evaluated individually.

Advanced placement credit is established by each department and administered by each college.

**Please note: Cornell University does not accept credit for courses sponsored by colleges but taught in high schools to high school students, even if the college provides a transcript of such work.** Students who have taken such courses may, however, take the appropriate Advanced Placement Examination offered by The College Board Admissions Testing Program in Princeton, NJ to qualify for credit as in paragraph a above.

## 4. APPROVAL OF MINUTES

Professor Scheele sought approval of the FCR summary minutes of December 12, 1990 and the Faculty summary minutes of February 20, 1991. Both were unanimously approved (Appendices C and D attached).

Mary Morrison, Secretary

April 3, 1991

REPORT FROM THE COMMITTEE ON NOMINATIONS AND ELECTIONS

SLATE OF CANDIDATES

(all terms commence July 1, 1991 unless otherwise indicated)

**AT-LARGE MEMBER, FCR** - 3 vacancies, 3-year terms

Steven A. Carvell, Associate Professor, Hotel Administration  
David A. Levitsky, Professor, Nutritional Sciences  
Mary Beth Norton, Mary Donlon Alger Professor of American History  
M. Anandha Rao, Professor, Food Science and Technology, Geneva  
Michael F. Walter, Professor, Agricultural and Biological Engineering

**COMMITTEE ON MEMBERSHIP OF THE UNIVERSITY FACULTY** - 1 vacancy, 3-year term

Gertrude Armbruster, Associate Professor, Nutritional Sciences  
Daniel G. Sisler, Liberty Hyde Bailey Professor of Agricultural Economics

**COMMITTEE ON NOMINATIONS AND ELECTIONS** - 3 vacancies, 3-year terms

Toby Berger, J. Preston Levis Professor of Engineering  
Jean F. Blackall, Professor, English  
S. Gordon Campbell, Professor, Veterinary Microbiology  
John S. Henderson, Professor, Anthropology  
Barclay G. Jones, Professor, City and Regional Planning

**COMMITTEE ON REVIEW AND PROCEDURES** - 3 vacancies, 3-year terms

Royal D. Colle, Professor, Communication  
Carl F. Gortzig, Professor, Floriculture and Ornamental Horticulture  
A. Thomas Kirsch, Professor, Anthropology  
Ann T. Lemley, Associate Professor, Textiles and Apparel  
Virginia Utermohlen, Associate Professor, Nutritional Sciences

**COMMITTEE ON UNIVERSITY-ROTC RELATIONSHIPS** - 2 vacancies, 3-year terms

Kenneth C. Hover, Associate Professor, Civil and Environmental Engineering  
Francis A. Kalfelz, Professor, Clinical Sciences  
Robert B. Silver, Associate Professor, Physiology

(over)

**COMMITTEE ON ACADEMIC FREEDOM AND PROFESSIONAL STATUS OF THE FACULTY -**

1 vacancy, 3-year term

Kenneth A.R. Kennedy, Professor, Ecology and Systematics

Walter M. Pintner, Professor, History

Ruth Schwartz, Professor, Nutritional Sciences

**COMMITTEE ON ACADEMIC FREEDOM AND PROFESSIONAL STATUS OF THE FACULTY -**

1 non-tenured vacancy, 3-year term

Cathy A. Enz, Associate Professor, Hotel Administration

Shelley Feldman, Assistant Professor, Rural Sociology

**COMMITTEE ON ACADEMIC PROGRAMS AND POLICIES - 2 vacancies, 3-year terms**

Michael A. Hudson, Bruce F. Failing Sr. Professor of Personal Enterprise

Donald F. Schwartz, Professor, Communication

Michael P. Steinberg, Assistant Professor, History

Michael J. Todd, Leon C. Welch Professor of Engineering

**COMMITTEE ON AFFIRMATIVE ACTION - 2 vacancies, 3-year terms**

Jennifer L. Gerner, Associate Professor, Consumer Economics and Housing

Risa L. Lieberwitz, Associate Professor, ILR

Gary J. Simson, Professor, Law

Jan M. Spitsbergen, Assistant Professor, Avian and Aquatic Animal Medicine

**COMMITTEE ON FINANCIAL POLICIES - 1 vacancy, 3-year term**

Anil Nerode, Professor, Mathematics, and Director, Mathematical Sciences Institute

David B. Wilson, Professor, Biochemistry, Molecular and Cell Biology

**COMMITTEE ON MINORITY EDUCATION - 1 vacancy, 3-year term**

Cornelia E. Famum, Associate Professor and Chairperson, Anatomy

William W. Goldsmith, Professor, City and Regional Planning

**COMMITTEE ON MINORITY EDUCATION - 1 non-tenured vacancy, 2-year term**

Sheryl E. Kimes, Assistant Professor, Hotel Administration

Deborah J. Trumbull, Assistant Professor, Education

**COMMITTEE ON RESEARCH POLICIES** - 1 vacancy, 3-year term

Keith Dennis, Professor and Chairman, Mathematics  
Howard C. Howland, Professor, Neurobiology and Behavior

**UNIVERSITY ASSEMBLY** - 3 vacancies, 2-year terms beginning June 1, 1991

Robert J. Babcock, Associate Professor, Human Service Studies  
Peter Krusius, Professor, Electrical Engineering  
David S. Powers, Associate Professor, Near Eastern Studies  
David Robertshaw, Professor, Physiology  
Thomas P. Volman, Associate Professor, Archaeology

**ADVISORY COMMITTEE ON RESPONSIBLE SPEECH AND EXPRESSION** - 1 vacancy, 2-year term

David J. Allee, Professor, Agricultural Economics  
Judith L. Brownell, Associate Professor, Hotel Administration

## CONFIRMATION OF EXECUTIVE COMMITTEE ACTION IN DECLARING FCR SEATS VACANT

WHEREAS, the Organization and Procedures of the University Faculty (OPUF), section VIII.H.3. provides for non-attendance of FCR members by stating:

*If any member (other than a member on leave) fails to attend any meeting of the Council of Representatives for a period of 120 days or more (exclusive of summer vacation) that member's seat may be declared vacant, either by the constituency concerned, or by the Council of Representatives as a whole.*

and

WHEREAS, FCR members Terry Acree, W. Harvey Reissig (Geneva) and David Collum (Arts and Sciences) had not attended any meetings of the FCR since the beginning of the 1990-91 academic year, and

WHEREAS, the Executive Committee of the FCR, acting for the Faculty Council of Representatives, declared the seats of these three FCR members vacant,

THEREFORE, BE IT RESOLVED, that the FCR hereby confirms the action taken by the Executive Committee.



## MINUTES OF THE MEETING OF THE FACULTY COUNCIL OF REPRESENTATIVES DECEMBER 12, 1990

The meeting of the Faculty Council of Representatives was called to order by the Speaker, Professor Emeritus Russell Martin at 4:30 p.m. A quorum was present.

**Remarks by the Dean.** Dean Lynn made several announcements: i. The next regularly scheduled FCR meeting is Wednesday, February 13, 1991. ii. The administration has decided to establish a health-care loan fund to be available for employees and faculty. Two faculty will be recommended to participate in setting the ground rules by which the loan would be administrated. Volunteers should contact the Dean. iii. The first day of the spring semester, Monday, January 21, is also Martin Luther King Day. Although there are no formal excused absences, students are requested to advise faculty in advance of absence and faculty (as set forth in the Faculty Handbook) are asked to take the matter under consideration.

**Approval of Summary Minutes.** The summary minutes of the October 10, 1990 meeting were approved.

**Resolution extending the term of the Dean and Secretary of the University Faculty.** Professor V. Utermohlen, chair of the Committee on Nominations and Elections moved:

*Be it resolved that the Committee on Nominations and Elections hereby recommends that the FCR extend the term of the Dean of the University Faculty, Walter R.Lynn through June 30, 1993.*

Motion carried.

Professor Utermohlen then moved:

*Be it resolved that the Nominations and Elections Committee hereby recommends that the FCR extend the term of the Secretary of the University Faculty, Mary A. Morrison, through June 30, 1993.*

Motion carried.

**Recommendations on the University Budget.** Professor R. Schuler, chair of the Financial Policies Committee, presented the budget recommendations for the endowed General Purpose Budget for 1991-92. These recommendations had been brought previously to the FCR on November 14, 1990 for discussion and endorsement, but no action could be taken since a quorum was not present. The recommendations of the Committee were a package proposal consisting of four recommendations: 1. To hold tuition increases at level of inflation plus U.S. productivity increases; 2. Maintain current financial aid policies; 3. Increase faculty salary pool by 8.5% in each of the next two years; and 4. Selectively reduce faculty and staff positions by up to 2% in each of the next two years.

In the discussion the recommendation under dispute was number 4. relating to reduction in faculty and staff. An amendment was proposed to change this to read administrative staff in place of [faculty and staff], which failed; an amendment to add recommendation #3 to motion to delete recommendation #4 failed. The amendment to delete #4 passed by a vote of 36 affirmative, 19 negative.

(over)

The following recommendations were then approved:

1. *Hold tuition increases, on average, within inflation plus long-term U.S. (world-wide) productivity increase rates.*
2. *Maintain current financial aid policies.*
3. *Improve the competitiveness of faculty salaries by increasing the faculty salary pool by 8.5% over each of the next two years (graduate student stipends should rise at a similar rate next year). We note that a parallel effort is underway to adjust staff salaries as a result of classification studies.*

Questions were raised why the extra funds needed to provide increases in salaries could not be obtained by tapping the new endowment or annual giving funds. Many of the funds in the current campaign are for long term endowment, frequently are delayed gifts and few are in the unrestricted category which if available could be used to aid the General Purpose budget.

The Speaker thanked the Financial Policies Committee for its hard work.

**Response from the Administration on the Recommendations by the Financial Policies Committee.** Provost Malden Nesheim reviewed the New York State Fiscal situation and the impact on the **Statutory Colleges**. With the revised estimate of the deficit for the fourth quarter of the state fiscal year, additional cuts will be needed over the substantial cuts the colleges have already taken. An increase in SUNY tuition is proposed which will amount to \$50 a student at Cornell, the proceeds of which will go to SUNY. A five-day pay lag is proposed for statutory employees with one day's pay retained in each of the next five pay periods. The five-day's pay will be returned to the employee on retirement or severance from the system. Salary programs of state employees for next year will likely be minimal if not unavailable, and there will be reductions in staff as well as probably some lay-offs. In general there will be retrenchment and positions will not be filled as they become vacant.

The **Endowed General Purpose Budget** encompasses primarily the Colleges of Arts and Sciences, Engineering and Architecture, Art and Planning, as well as general administration services throughout the university. Tuition is expected to rise 6.9% to about 16,170. Current Financial Aid policies will be maintained with a funding increase of about 9%, and self-help increase of 5%. It is proposed to raise graduate student Stipends 10% (increased 10% in each of the past two years). As part of the budget planning process each college has been asked to project the effect on their operations if a 5% reduction in base budget was made. Over the past two years the colleges have received some additional funds during the year to help make some salary adjustments. For the coming year the amount for the salary pool adjustment would be around or slightly greater than the rate of inflation. The relative faculty salary position in comparison with the 25 research universities that tabulate and exchange information is now 16th and was 16th in 1980 so the position is unchanged.

**Transportation and Parking.** William Wendt discussed the current proposal on transportation and traffic at the university. The new plan will be put in place by July 1, 1991 after there has been input and discussion by the various constituencies. Part of the plan, the **Omniride** program, is now in effect and some 700 employees are taking part. The overall objective is to reduce the number of single occupancy vehicles coming to campus, using a variety of incentives and disincentives. Individuals who wish to comment, offer suggestions etc, should contact him, since changes in the plan are still possible.

Professor David Wyatt, member of the Committee on Transportation Services, indicated that his committee had studied parking problems, increasing costs etc. While they had not been involved in the proposed plan they agreed with some of the initiatives taken by the department. They had, however, concerns with some of the suggestions to be implemented, for example, some of the impacts of the program

on both families and on the work place. He emphasized that it was important to keep the lines of communication open so some mutually supportable program could be developed.

The discussion raised various points. A campus in a rural area should not be compared to an urban campus; some individuals with specific needs at the lower end of the economic ladder will be negatively impacted; any possible negative effect on academic programs should be factored in, perhaps the cost of parking and transportation to offices should be treated as a normal business cost; efforts should be made to devise a way in which costs can be taken from before tax dollars.

Dean Lynn announced that 4 sessions for discussion of issues on the transportation program would be held January 14, 17, 22, 29. The University Assembly and Vice President Morley are largely responsible for arranging these meetings.

During the course of the meeting several references to the method by which the faculty had input to various administrative matters were raised. The faculty was reminded that the current faculty governance system was largely the responsibility of the Faculty Council of Representatives. Elected Faculty committees have responsibility for a variety of areas, and the charge to the committees was by action of the FCR. Reports, recommendations and resolutions are brought to the FCR by the committees for discussion and endorsement.

Adjourned 6:15

Mary A. Morrison  
Secretary of the Faculty



## SUMMARY MINUTES OF THE UNIVERSITY FACULTY MEETING February 20, 1991

The meeting of the University Faculty was called to order by the Speaker, Professor Emeritus Russell Martin at 4:40 p.m. A quorum of the faculty was present.

**Dean Lynn** announced the names of those faculty members who had died since the last official meeting. A moment of silence was held to honor these colleagues.

**Dean Lynn** reminded the faculty that this was not a special meeting but one of three regularly scheduled meetings of the University Faculty. The Review and Procedures Committee establishes the agenda for the University Faculty meetings. Frequently University Faculty and Faculty Council of Representatives meetings are combined unless there is some special order of business.

The Dean had received information from a report on sexual harassment on this campus. There have been several reported cases involving faculty which are under review, but no report is as yet available on the outcome. The Dean also reminded the faculty that there is an academic misconduct procedure which is described in the Faculty Handbook.

**Resolution on Parking Fees.** Dean Lynn presented the resolution on behalf of the Review and Procedures Committee. After suggested rewording of the third paragraph and by unanimous consent of the body the motion on the table was:

*WHEREAS, university activities by their very nature involve unpredictability, especially in on-campus hours, and*

*WHEREAS, parking fee increases greater than income increases can cause serious financial hardship,*

*THEREFORE, BE IT RESOLVED, that the Faculty recommends that any percentage increase in University parking fees not exceed the annual average percentage increase in salaries and raises.*

After discussion of issues which included the nature of responsibilities on campus which made use of bus service or car pooling impractical, as well as the proposed cost, the question was called. The motion carried with no dissent.

**Procedures for parking plans and policies.** Professor Keith Dennis, Mathematics, made a motion, which consisted of seven points, on the proposed transportation plan. The motion was seconded. At the suggestion of the Speaker and with the consent of the body the items were to be treated seriatim.

*The current Transportation Plan will be abolished. A new plan will be developed jointly by Traffic and the Committee on Transportation Services.*

Motion carried.

(over)

*No further parking places on campus will be removed until adequate replacements exist. Current planning has at least the following parking places in jeopardy: in front of the Straight, Bailey Circle, Sage Hall, and along Tower Road.*

Motion carried.

The remaining five sections of the original motion were considered as concerns which should be considered by COTS in developing a new plan rather than being debated at this meeting.

Moved that the following items be referred to COTS in developing a new plan:

*Costs of transportation and parking on campus will be shared equally by Cornell and its staff. That is, each individual's parking fee would be a certain percentage of salary; similarly, the same percentage would be applied to the University budget to determine Cornell's share.*

*Negotiations between Cornell and the Town of Ithaca to construct a large, free parking lot near Judd Falls Road will be resumed. Free parking in the A and B lots is to remain until adequate free parking is established elsewhere.*

*Financial aid packages to encourage additional student employment will be encouraged.*

*Teaching assistants will be included in Omniride. Other students will be allowed to pay for this service.*

*Cornell will make an honest attempt to meet local building codes: in particular this means providing parking for employees within 500 feet of their place of employment.*

Motion carried.

The Committee on Transportation Services (COTS) is composed of faculty, staff and student representatives. It is the body which has responsibility for developing policy and practices with respect to transportation, parking etc. The committee has received numerous letters in the last few months raising issues on the recent Transportation proposal. Vice-President J. Morley indicated that the university would consider the resolutions.

Adjourned 5:35 p.m.

Mary A. Morrison  
Secretary of the Faculty

MINUTES OF A COMBINED MEETING OF THE FACULTY COUNCIL OF  
REPRESENTATIVES AND THE UNIVERSITY FACULTY

May 8, 1991

The Speaker, Professor Emeritus Russell Martin, Communication: "The joint meeting of the Faculty Council of Representatives and the University Faculty will please come to order. We still do not have a quorum, we'll keep you posted. Everyone is entitled to speak and to ask questions. When it comes to a vote, if we do have a quorum, only the FCR members can vote. The chair calls on Dean Lynn for remarks."

1. ANNOUNCEMENTS BY DEAN LYNN

Dean of the Faculty, Walter R. Lynn: "Good afternoon. Let me announce first of all that in an effort to insure that we have a quorum this time we tried an avenue that we haven't tried before which was to call every member of the FCR and invite them to attend this meeting. All that I can say to you as members of the University Faculty and the FCR is that university governance on the part of the faculty is a matter which seems to me that we are going to have to address in terms of the substance of the organization of this body in order for it to be an effective force in university life.

"Part of the handout that you've received sets forth the results of the recent University Faculty election (Appendix A, attached). One of the items that we had to present to you today by the chairperson of the Committee on Nominations and Elections is sort of a pointless exercise, since the FCR members of this body cannot approve that absent a quorum. But we do have a slate and we will ask the Executive Committee of the FCR to again act on behalf of the FCR to approve it so that we can conduct the election for the balance of the committee structure. In that regard, and again it's a governance issue, we've had a particular difficulty in having only one non-tenured faculty member willing to stand for one of the committee seats. The normal practice is to have at least two members run for each seat. This is the first time that we have run into that circumstance. I don't know how we will deal with that, but it may very well be that we will have an election that involves one candidate. I just want to report that to you.

"I have also been asked by Professor J. Robert Cooke, who has prepared a piece of software called MacRegistrar, to announce that upgrades are available in the Campus Store. Those of you who are interested, can take your old diskettes into the bookstore for a free disk swap.

"The last item is to thank all of you who are here today for attending this meeting and for your diligence in participating in the structure of this body through the year. I want to wish everybody a pleasant year, it is the last chance I get to do that, Mr. Speaker. I would like to invite all of you who are prepared to do so to attend Commencement. Commencement this year will be May 26. For those of you who are new to this body, the University maintains a collection of caps and gowns. You may not get the exact hood that belongs with your institution, but it puts you in the proper festive regalia to enjoy what is really a very pleasant event for the University Faculty. I hope that all of you who can, will attend. Mr. Speaker, that completes my remarks."

Mr. Speaker: "Are there questions for the Dean? Thank you. The Speaker next calls on Provost Nesheim for a report from the administration."

## 2. REPORT FROM THE ADMINISTRATION

Provost Malden C. Nesheim: "Thank you Mr. Speaker, Mr. Dean, Members of the FCR. The Dean has asked me to report to you on some of the events that took place on the campus during the middle of April in which we had student demonstrations which dealt particularly with issues of financial aid and with the Hispanic American Studies Program. As you know, on April 16 we had arrived at Day Hall early that morning and found the entrances to Day Hall barricaded by students who prevented access to the building for the whole day. There were probably in the neighborhood of 150 students or so that were involved in that particular action. This occurred after a demonstration had taken place in the Financial Aid office in Day Hall the previous afternoon. Although, after that demonstration, the students vacated the building at closing time and did not interfere with further occupancy of the building.

"After the blockade of the building took place on the 16th, I had discussions with the leadership of the group that was in front of the building. One of the things that was determined at that time was that the students were anxious to have a meeting with the President and myself; and they were interested in talking about two primary issues. One of them dealt with the Hispanic American Studies Program and some of the issues surrounding the search for a permanent director as well as some issues in terms of actually getting that program under way. And the other issue dealt with financial aid. After some discussions, the President and I agreed to meet with the students and we made arrangements to meet at about 5:00 p.m. on April 16. The meeting included the President, myself, and Senior Provost Barker, Susan Murphy, Dean of Admissions and Financial Aid, Don Saleh, the Director of Financial Aid, and myself. The meeting was chaired by the Dean of Faculty and we held discussions with the students from about 5:00 p.m. that afternoon until about 9:00 p.m. that evening. We discussed a number of concerns about financial aid, the proposed cuts in the New York State support for students, and the concerns of students as to where that left them as far as their financial aid packages were concerned. We discussed issues of

registration and issues of how students dealt with unresolved financial questions that they had that may prevent them from registering in the fall. We discussed issues of how the process would proceed in terms of dealing with appeals and other questions dealing with financial aid. I agreed to come back to the students after looking into the Hispanic American Studies situation at another meeting that we agreed to have on the following Friday. After the meeting was broken up that Tuesday night, the President and I and Bob Barker met with the Executive Committee of the FCR, and we discussed what our options were, given the fact that as the meeting closed, Day Hall was still blocked by students that evening. We discussed issues about what our options were in terms of enforcing the Campus Code, ensuring access to the building the next day, and so forth. That evening, about 10:30 p.m., the students left the building and did not come back nor did they reoccupy the building the next day.

"The remainder of the week there were some further demonstrations on campus, although they did not cause major disruption on the campus. On Friday, again President Rhodes, Senior Provost Barker, Vice President Palmer, myself, Susan Murphy, and Don Saleh met from 12:00 noon till about 8:00 p.m.. We had about an eight hour meeting that day in which we continued to discuss the issues of financial aid, understandings in terms of how the issues of financial aid are going to be dealt with, and we particularly talked about how there might be some way in which students could both participate in the appeals process dealing with financial aid, as well as in the policy development process on financial aid. At that meeting, I also announced that Vice President Palmer indicated that he wished to step aside as the chair of the search committee and at that time announced that Dr. Cutberto Garza, Director of the Division of Nutritional Sciences, will chair the search committee for the Hispanic American Studies Program.

"After the discussions on that Friday, Susan Murphy continued to meet on occasion with the leadership of the students who were concerned with the meetings during that week and we were not aware of further demonstrations or further disruptions that took place on the campus after that meeting. We have moved ahead with the new search committee for the Hispanic American Studies Program and I have appointed a new search committee. I am very close to appointing an interim director from the campus for the Hispanic American Studies Program while the search for the permanent director proceeds. That's kind of a summary of the events that took place on that rather hectic week in the middle of April. Mr. Speaker, I would be glad to answer any questions that there might be."

Mr. Speaker: "Are there questions/comments? Yes, will you please identify yourself for the record."

Professor Gerald Feigenson, Biochemistry, Molecular and Cell Biology: "I'm curious as to the tone of those meetings, so that I can better understand what was going on."

Provost Nesheim: "The tone of the meetings and the discussions were very cordial. There was not an atmosphere of real confrontation or of hostility at all in those meetings. They were very good meetings. The students were very articulate in being able to express their concerns and what the issues were. They were very determined that we, in some way or another, try to find a way to deal with those issues. But exchange of views and the things that we attempted to clarify and to agree upon in those discussions I thought was a really good discussion and in the end was carried out in a civil atmosphere."

Professor Frederick Ahl, Classics: "I would just like to express congratulations to President Rhodes and to yourself Mr. Provost to what I thought was a very beautiful handling of what could have been an explosive and unpleasant situation. Since I am interested, and somewhere along the line there is a resolution on uniform enforcement of the Cornell University Campus Code of Conduct, I would like, personally, to express my thanks that you did not do so."

Speaker Martin: "Thank you. Other questions or comments? Yes."

Ross W. Atkinson, University Library: "Why do you feel the students felt they needed to adopt this method?"

Provost Nesheim: "Yes, we discussed that with the students. We said that you know you really don't have to keep us from getting in our building for us to be willing to talk with you about these issues. One of the things in our discussions is to be able to find ways in which we can identify both leadership and continue to have discussions before this comes to this particular place. The issue built up over the course of the term.

"A few weeks prior to the actual demonstrations taking place on campus, we did get an unsigned communication from groups of students saying that these are issues that they are concerned about on financial aid and that we, the administration, should try to deal with them. We attempted to communicate in a couple of ways. We had tried prior to these meetings to make some decisions that we were going to add additional dollars to the financial aid budget for next year. We still don't have a state budget so we don't know what all the whole is in the financial aid budget yet, but we made some contingency plans to put additional funds into the financial aid budget. We published this in the Chronicle.

"Another communication came to us from students sometime after the first one. Vice President Palmer wrote a letter to some students who were specifically identified in that communication about some of the issues that were raised in an attempt to try to clarify what they were and inviting discussions that could take place to be able to deal

with these issues. But I think there was a determination that this was a way to get our attention. I hope that the whole process was one which does open up communication and does open up understanding as to how one goes about dealing with these things in another way. Obviously, we have to continue to work on this as next year comes along."

Speaker Martin: "Other questions? Thank you Mal. We are still short of a quorum. Is Professor Utermohlen here or a representative of the Committee on Nominations?"

### 3. SLATE OF CANDIDATES FOR FCR SEATS

Dean Lynn: "Let us be kind to the speaker, he is suffering from a bad knee today, and I will make every effort to avoid injuring him further. As I explained earlier, but perhaps the speaker was in severe pain and therefore was unable to catch this, the slate which has been handed out cannot be approved by this body, because it lacks a quorum. All members of the Executive Committee will please convene down here at the end of this meeting so that we can approve that slate temporarily and get a ballot out to the faculty."

Speaker Martin: "We still have hope. If we get two more, we have a quorum. (Dean Lynn: "Thank you sir.") So you are moving the slate? (Dean Lynn: "There is nothing to move at the moment, is there? Can I do that?") Well, we can get it on and get additions to it."

Dean Lynn: "Mr. Speaker on behalf of the Committee on Nominations and Elections, I would like to move for approval of this slate of nominees for the FCR seats on committees ." (Appendix B, attached).

Speaker Martin: "Thank you. We cannot take action as a body without a quorum on approving these, but it would give us an opportunity to see if there are any further nominations. There being none, we shall proceed to Professor David Wyatt, Co-chairman of the Committee on Transportation Services."

### 4. REPORT ON PARKING - COMMITTEE ON TRANSPORTATION SERVICES

Professor David Wyatt, History, and Co-chairman of the Committee on Transportation Services: "I think, as you all know, parking is something all of us hate to think about, hate to have to deal with, and yet it keeps coming back like a bad penny. The parking segment of today's agenda, as I understand it, is going to be somewhat complex because there are a number of different parties that are going to be heard from. My announced function, as I gather, is to speak as one of the co-chairs of the Committee on Transportation Services to review what has happened with respect to parking between, let us say, late fall and a few weeks ago. I should begin by reminding you

that the Committee on Transportation Services is not a committee of the faculty, but rather a committee of the University Assembly. It's composed of three student members, three employees, and three faculty. It's charged to consider matters relating to transportation services which includes, but is not exclusively parking, and is charged to make recommendations on all such matters to the University Assembly.

"All of the past year, from August on, has been dominated by what has become known as the Office of Transportation Services demand reduction - Transportation Demand Management Program - which was announced effectively in October. That plan, as you have already heard many times, was composed both of carrots and of sticks. The carrots and the sticks were there both to try to control the demand for parking to avoid the need to build additional parking places, to pave over the Arts quad or whatever else to bring the parking situation under control. The Committee on Transportation Services, here after COTS share the general approval, I think, of most of the community for the carrots - the idea of encouraging people to ride the bus under the Omniride Program by giving them free bus passes if they turn in their parking permit. It seemed like, and has proven to be a good idea to which many people - close to a thousand - have responded. The idea of encouraging car pooling was another carrot. The idea of encouraging a system of park and ride lots scattered around the county from which people might get to campus, is a good idea. I don't think many of us had many problems with those ideas as ideas, as approaches to a serious problem.

"There are many more problems, however, with the sticks. These were very substantial sticks, some of them quite large logs, as many perceived them. First of all, by the original plan, all free or non-fee parking was eliminated entirely. The fees that were imposed were a very substantial jump over the fees that are this year in place. The fees were to jump to \$200 or \$400 compared to \$160 or \$260. The reactions from the community, not surprisingly, were very loud, very concerted, and very continued through time. It has not let up through November, December, January, February, March, and April and now you're saying May. COTS made every attempt to solicit as broad a range of opinion as possible from all those who were affected by the plan including particularly four open forums held at the end of January beginning of February under the sponsorship of the University Assembly. It also received several hundred letters responding to various elements of the plan. Most of the reactions fell into a relatively small number of baskets. There were a few issues about which everybody was upset. COTS tried as best they could to see what could be done. There were a few keys that we have tried all the way through to maintain as basic principles beyond which we did not want readily to move. First of all, there must be some maintenance of at least some free parking combined with buses, carpools, spaces for free - there must continue to be some free spaces for those for whom other options are not viable.

"A second general principle, which we are on record as having maintained for some years now, we thought we had a commitment from the University administration on this a year or two ago, was to try to keep the increases to no more than 6% per year.

"The third general commitment is to maintain the current parking space inventory, until such time we thought there was no need for such space. I think we all have pet parking areas that we have in mind when we mention that.

"Fourth, we aimed to try to get out of this nasty cycle of having to argue about and lose sleep over parking every year. Instead, try to get a five year plan so that for a five-year period everybody knew what rules they were operating under.

"Finally and not least, COTS took it as a major objective to try to shift costs from the current users of the transportation system to the University general purpose fund and increase a portion of the burden of maintaining the transportation system.

"I will refrain from recapitulating the bizarre legislative history we've gone through and to confine myself simply to explain where we've been in the last couple of months. At the time we last met on this issue in February, COTS had just entered into a series of meetings with Day Hall trying to see if there was some possibility of a compromise between what the initial proposal had been and all of the serious reservations, complaints and outrages that many people felt about the situation. In that period of discussions on parking, we faced a really impossible dilemma, particularly on the financial side between our repeatedly expressed desire for 6% annual increases in fees versus an extremely difficult, hard financial crunch for 1991-1992 in particular - a crunch made all the more serious by the real dollar cost of the carrots that we were all so approving of. Omniride alone, the bus passes, is adding a half a million dollars a year to the transportation budget. Where is the money going to come from? Where is the money going to come from to encourage people to car pool, to park and ride and so forth? There are going to be more bus costs, there is going to be more cost, whatever the costs are, on outlying parking lots and so forth. The crunch is certainly readily apparent to all of us who are only painfully aware of the University's general financial condition for next year. So many people, no raises, with many program cut backs and my department has had to cut a TA, in spite of a rise in enrollments and so forth. Nobody is running on easy street this year, including a University with a very substantial endowment. We hear this all the time, but I needn't go into that. The crunch is especially severe for transportation services for two very particular reasons. First of all, over the past decade, the transportation system has benefitted from a 2% levy on new construction. When a new building is built on the endowed side, 2% of the project cost goes into replacement parking and helping service the transportation needs of those who work there. So in a sense, all of us have benefitted from that subsidy over the past years, except of course the endowed side is subsidizing the statutory side.

"Secondly, adding to the crunch, the capital debt from projects undertaken over the past couple of years is coming on line and the interest has to be paid and the capital has to be repaid. So, there are serious additions to the parking budget next year and a crunch on resources to pay those. That crunch is going to get worse, there is no way around it unless something happens. This body is on record last time as urging COTS to consider the desirability of obeying the zoning regulations of parking within 500 feet of a place of work. More generally, the zoning question means that there is no hope of renovating Sage, because you can't provide enough parking. There is no hope of renovating McGraw and White, which are on the books, or Lincoln or in the building in which we now stand, ILR, or the Johnson School and so on. You can go right around the campus. Renovations by current zoning requirements, as I understand them, require either parking adjacent to the building or close by or transportation demand management. Finding some alternative way of encouraging people to get to work by other means. So without some sort of program, as proposed by the administration in October, we are going to be in a very serious crunch indeed. We are going to have to build more and more lots and it's going to cost all of us who park more and more or somebody, lots more.

"COTS has reluctantly concluded that we all happily and by no means unanimously on every detail, but we have to swallow some medicine and in those hard negotiations in Day Hall which have run on for a long time. We have tried to work out some sort of a compromise. First of all insisting on at least the maintenance of the no-fee option in the A lot. Secondly, getting agreement to a five-year plan under which the first year there will be a heavy increase, this is by the COTS proposal in March, to \$180 in peripheral lots and \$340 in central lots which is a big increase over \$260 but is less than \$200/\$400. Thereafter, for the next four years, the increase be limited to 6% per year. So we figure, we give up in the short run in order to gain a five-year stable situation. In that five- year period, there would be a major shift, and I'm sure that those who follow me will have some figures on this, to a very substantial portion of the transportation revenues being picked up out of University general expense bucks. By any such plan, the carrots would be maintained and the sticks would be somewhat reduced in size so the sticks would still be there. So we recommended to the University Assembly such a plan, which at the end of March, the University Assembly voted down - adopting no plan. In April, they reassembled on the situation and passed a Committee on Transportation Services plan plus - that is more expensive. The sentiment voiced by one student member of that group was that we should soak the rich and give the money to those who carpool. So the fees went then to \$175, \$350, and \$438. By the next week, they withdrew that particular plan and went back to essentially the status quo plus 6%. It was in that situation that Day Hall has come up with an alternative which their representatives can present today. And John Lemley, an employee representative to COTS and my co-chair, will speak to that."

Speaker Martin: "Thank you Professor Wyatt. Are there any FCR members who have not signed in?" The chair next calls on Senior Vice President James Morley for a report on the transportation plan."

## 5. REPORT ON PARKING - ADMINISTRATION

Senior Vice President James Morley: "Thank you Mr. Speaker. I really appreciate the fine review that has gone on. I had planned to have brief remarks so there would be time for questions and more responses. What is being circulated is the plan that I presented to the Executive Staff and the President for approval and implementation to start in July. The background that Professor Wyatt mentioned has led to a situation of no decisions by the the University assembly. We have discussed this for two years and benefitted greatly from a lot of input, but I've been on record as saying that it is not a responsible position for the University to not deal with this problem. Professor Wyatt mentioned there will be some comments about how far we've come with COTS and as mentioned we have continued to review this plan with COTS and the University Assembly Executive Committee.

"I want to say that the process of working with the Committee on Transportation has really worked in the best spirit of the governance process. Again as Professor Wyatt mentioned, many changes and adaptations were made to the plan based on their input and others retaining the free lot option car pool and a set of modifications, the three zone parking pattern, and student discount bus passes. Financially, again another consequence of this, is a substantial increase in the University's overall support to nearly four million dollars at the end of the five year period and that's up from one point three million dollars in this current period, that includes road costs but comparable figures.

"The two main functional issues that we are dealing with, again Professor Wyatt summed those up, but that they had to do with the need to respond to community requirements to reduce parking congestion and to deal with what is an increasing local vehicular traffic problem, doing that so that we can continue to upgrade campus facilities and add new ones. The second has to do with the campus itself internally to be able to improve the general campus functioning to meet our parking needs, campus access, and a response to a growing demand and what also results in a continuing loss of parking spaces as additional buildings are added or other construction occurs.

"I'd like to refer you to the yellow sheet that you are all looking through (Appendix C, attached). Just highlight a couple of things and then Professor Wyatt can make his comments and then open it for questions. But a fundamental element of this as mentioned is that the Omniride Program does provide free transit for Cornell faculty and staff, predominantly. Important to this in the center of that are accommodations for

emergencies and unusual situations with the free emergency ride service and ten free passes every six months for people to accommodate those special situations such as a doctor's appointment. And this also works in with the park and ride program in conjunction with the community. Ride sharing/car pooling is the other essential element of this. And there are a whole range of incentives that amount to the opportunities and the options for free parking, depending upon where the locations are and the number of people, and even including rebates.

"Again, important to this is accommodating emergencies in unusual circumstances with a free emergency ride service. What the free emergency ride service is - if someone has carpooled and needs to get to their car or even to their home, they can dial Transportation Services and a campus vehicle will take them to their car or to their home if necessary.

"The center of the page refers to the parking fee structure. Professor Wyatt talked about the range of other fee structures and incentive for parking that have gone through various stages of adjustment. This is what one might call a compromise position that recognizes and adapts to all of the input that we've had, but particularly keeps in place the carpooling options and offers opportunities for many people to park in a particular location that they might not be able to otherwise and either get a rebate, or at least do that at no charge. It was mentioned that the fee increase for the plan would continue at 6% annual increase and the commitment from the administration is that this plan would stay in place for a five-year period. A number of people had a concern that Omniride would disappear after a year or two; or the carpooling incentives might change. We are committed to keep those elements in place. On the reverse side, as you've seen, it shows the parking boundaries for the different rate charges. There are some other elements that are noted. Certainly the park and ride works in conjunction with the Omniride, but that takes advantage of a lot of parking space that is available at parking centers and other locations around Ithaca and in other parts of our county especially. It also adapts with the occasional parker person who might be dropped off by their spouse or someone else, they too will have available the ten free passes. There are, of course, the other remaining options of A-lot. You will notice that in A-lot there are no incentives for car pooling, because that is seen as the lot where it would be available to single commuters.

"There will be a hot line for answering questions in the Office of Transportation Services. Very important are the Special Requests Appeals Board that functions as part of the University Assembly, it is not an administrative activity. We've heard some comments that, particularly when it comes to responsiveness it needs to be improved, and the administration is going to do everything it can to assist in moving that along. But that will deal particularly with things like daycare. We've heard a lot about working with daycare and we are going to deal with those on an individual basis as best we can. Then finally, there is a special review and appeal for individuals who have real

financial problems and have not been able to be accommodated in one of the other programs. So that is all that I wanted to say about this piece right now."

Speaker Martin: "Thank you, James. Now we have comments from John Lemley and then we will open it up."

Mr. John Lemley, Communication, co-chair, Committee on Transportation Services: "I do not have too much to add to what has been said, but there are several remarks which I would like called to your attention. One is that in what has gone before, there has been a general unanimity between the University Assembly and this body in at least two areas. One was with respect to the recommendation that fee increases be limited to either 6%, or in the case of this body, the level of current annual salary increments. The other area of general consensus was that both bodies are on record as urging that the inventory of parking spaces on campus be maintained so long as it's necessary to maintain, which presumably is the foreseeable future. We've had some success achieving both goals, the latter one at least. We hope that will dominate thinking with respect to development capital improvements on campus - if not dominate, at least be a factor as we go along.

"The fee increases, as David pointed out, the plans that we've proposed and which are before you today, achieve that level of increment after the first year, with the first year being rather in excess of that. The reason that the committee did not pursue directly the 6% limit that you had proposed in February, was at the same time and previously we had embarked on negotiation with the administration along the lines of the plan which we ultimately agreed upon and proposed in March. And we felt that although it would be clearly popular to reverse the course of those negotiations and argue for a smaller increase, that in fact the structure that we were in the midst of negotiating at that point was not a uniformly popular one at least with what we felt was a responsible proposal. So, the history that David recounted, ensued and we are left now with the plan that's before you. As it is not hugely different from that plan that COTS initially recommended in March, clearly the committee is in general support of it. On the other hand, we are a committee whose recourse is strictly to the University Assembly. The University Assembly having publicly refused to accept both our initial plan and later modification of that plan, the committee is in an uncomfortable position of, again, supporting a plan which the University Assembly has found unpopular.

"Given that situation in our meeting yesterday, the consensus of those present was that the plan before you is one that individual committee members can support. The determination was to make the recommendation formally to the Executive Committee of the University Assembly that in fact they should endorse this plan as well. A meeting of the Executive Committee of the University Assembly was called today and

we basically made that representation to them. So I think this is a matter that perhaps they will give further consideration to at some point. The exact mechanism by which they do that, of course, is up to them."

Speaker Martin: "The chair would remind you, please identify yourself when you speak so that we have a record of it. Yes?"

Isaac Kramnick, Richard J. Schwartz Professor of Government: "Is this then a proposal before the University community to be discussed next year, or is this a fait accompli to be instituted June 30, 1991?"

Senior VP Morley: "This is a proposal that will be finalized for review by the rest of the Executive Staff and the President shortly this week, and we are looking for your input and will consider your views, but it is not one that is seen we can continue to have caught in the mill of indecision."

Professor Kramnick: "Just from the political perspective, given the controversy on campus, the administration witnessed the confusion in the indecision of cuts recognizing the small number of people involved in that in the larger assembly. Wouldn't it be prudent to delay this say till January 21, 1992 or June 30, 1992 so that the administration cannot once again be accused of waiting till the sun goes down and the students are gone to make a decision."

Senior VP Morley: "Well in my judgment, it would not be. I think this is an issue that is almost impossible for the general campus to come to a total agreement on. And my position is that the administration will have to step up to this and consider all of the inputs and move ahead with the plans."

Speaker Martin: "Professor de Boer."

Professor P.C.T. de Boer, Mechanical and Aerospace Engineering: "I believe that this proposal is not removing the major obstacle that was in conflict before, which in my opinion is the abolishment of free parking. It says free parking, but the constant argument has been all the time that the A lot only accommodates 600 cars perhaps, at the moment there are about 2000 who have free parking. I think that is a major defect and I think that there ought to be free parking to anybody who requests it, if necessary in B-lot or wherever is appropriate. Unless you make that agreement, I think you are going to get into a major controversy."

Mr. Lemley: "For the second time today I'm negligent in having neglected to say that the motion that the committee passed, in fact included a clause which specifically said that in the event that the A-lot was seriously over subscribed that formal response would need to be taken with respect to that. So that is part of what the COTS

recommendations to the Executive Committee included. Let me just say one or two other things about that issue. It is by no means clear to anyone what the magnitude of the problem will be with respect to people moving to the one remaining lot which they like. It is true that at the present time the B-lot has been free, but on the other hand the B-lot is largely occupied by people who work either in the Vet School or in Boyce Thompson. How many of those people, in fact, will choose to move to A-lot remains to be seen. We may have a problem, and maybe a serious problem, or we may not have a problem."

Professor deBoer: "I think that it ought to remain extremely clear right in this plan, both considerations will be taken into account."

William Wendt, Director, Transportation Services: "Yes, I appreciate your comments and we are concerned about what would happen if there were more people than we can accommodate. We would be telling people that park in the A-lot in the event that it is full to stop at the traffic booths and we will give them alternatives should that occur. We do have capacity at the A-lot now, even with the American Indian Program House going up on the CC lot where we've now technically misplaced many students on the A-lot. We still have a large capacity for parkers. So we hope its not that severe, but we really will take that into account and do all that we can to make sure that we don't have a disaster."

Associate Professor Peter Schwartz, Textiles and Apparel: "I would like to address the question for a moment of the rebates that you offer. There seems to be an inconsistency to me in the sense that I can understand giving a rebate to people in the three-person carpool or four or more person carpool to try to have people go for the more desirable spaces where the costs are higher. I can't understand why the rebates go in the other direction. For example, in the case of a three person carpool, it would behoove me to try to get a perimeter lot so that I can get \$92 back versus going to A-lot. Is there a rationale behind that?"

Mr. Wendt: "There is capacity in the perimeter in the central zones now. We do accommodate student parkers also. So we are not looking to disrupt people, and we are looking to make more free space available than the original proposal that provided rebates to A-lot parkers. We think this is a sound way to go. We've had consultants who have worked on large share plans across the nations suggest that this is a good model that has worked in other communities and we would like to give it a fair shot here at Cornell."

Senior VP Morley: "Further to that question regarding the A-lot, we are concerned about its capacity and generally we would see that being left as a free lot option for the individual commuter. We will have to work our way through how the remainder of incentives and the Omniride and the carpooling works. We believe that all of that will

work together so that individuals will opt to park in another location leaving the space available in A-lot so that it would work that way."

Speaker Martin: "Professor Orear."

Professor Jay Orear, Physics: "I have two points. First, it seems to me that this A-lot problem is a severe problem and that you should not initiate this plan until you know your facts and do your homework. You can make a survey of all commuters at this community and find out how many are going to apply for the free parking. Once you know those numbers, then you can propose a realistic plan for the free parking.

"My other point is that the President of this University has stated that it is the policy of this University to increase faculty salaries and increase more than inflation to try to catch up with what we have lost in the last few years. Now, it is dishonest of the administration to just give us a salary decrease instead of increase. It looks to me like almost every faculty member is going to have to pay at least \$100 more for parking than we have been paying. Now that means that we have to get \$159 more increase in pay to cover the taxes - state and federal - in order to come out with an extra \$100. Or putting it another way, it is truly mathematically a pay decrease of \$159 which is exactly opposed to the official statements that we have been told. This is dishonesty, it's immorality. It makes me lose faith in my administration. I have been proud of my University until now, but I have lost my pride in its two-faced approach in immorality and dishonesty."

Speaker Martin: "Does anyone wish to respond? (Senior VP Morley: "The comments are noted, I have no response.") Professor Berkey."

Professor Arthur Berkey, Education: "I am pleased that we now have concern for free parking in A-lot, because I know that the original proposal by the administration made no free parking at all. I attended one of the four meetings that were held. None of the proposals here are worth endorsement. One major problem is that it appears that COTS and the University has inflated the transportation services busing. If in fact we've had, as David Wyatt described, large increases in that budget from the cost of interest and principle of the capital budget probably on-line and probably due, clearly, we knew that was going to happen.

"Also, as we all know and it has not been said here today and I am going to say it that the Omniride and the other costs that we have here - the carrots were instituted before any action by COTS. Any of you who followed the COTS letter from the Ithaca Journal say let's go back and use the system that's the University Assembly's instead of proposing a University plan. That's what's happened, so I've lost faith in the University's willingness to follow its own rules, i.e. the University Assembly. I speak for the statutory colleges in a time that we've got a one week pay lag and no raises at all

this year. If we have 5-6% inflation that goes with the purchasing policy. To have the 35-40% increase in parking fees is simply unconscionable. They should not increase that budget anymore than they increase other budgets. If they want to have a 6% increase, then the cost of that budget should be controlled. So now COTS is caught between an item here. The other item which is again I think a very important and that is that we do not have a parking fee structure based on ability and salary. For example, we have the custodian making \$10,000-\$11,000, I don't know maybe some make \$12,000 a year. They come in very early, they can't afford Ithaca housing so they have to live in Spencer or they live in West Danby. You already pay a high cost of time and money getting them here. If they are carpooling, they are already carpooling, but let's assume that they don't have anybody to carpool with and they can't use Omniride. That same person is now having to pay \$180 for their lot assuming that three to one is not going to cut it in the A-lot, and the funds are what goes to pay the options that have been selected by our Provost Robert Barker, at least if it's true when that gets passed around. Those people are paying that. I see no reason that that can be implemented. We can't have a piece structure based on salary ranges. We do it already for the wellness program. You take out social security based on that. We do that based on the whole is one of the fringes that we get, at least in the statutory, which is half your salary in life insurance. So I see no reasons with our Supercomputer here at Cornell that it could easily and should be done. I think that we're going to find out that we're not going to have enough parking spaces at A-lot, because you've got three free permits for every space. If I opt to get the free parking option, what's going to happen if I come back and find out that the A-lot is full. It used to be if I happened to be at B-lot I could drive over to A-lot. That's not going to be true. What do I do? Do I go and get an individual parking permit for the day for the two hours remaining? I think also in terms of taking care of emergencies. I haven't heard how many emergency vehicles are going to be on-line and available for those people that have emergencies. If your child is sick at Ithaca High School, am I going to have to wait 45 minutes to get a vehicle to take me over there? How many are going to be on-line, is it five, is it fifteen? Those are the kinds of concerns that I have. I think it's unfortunate that the faculty and other people and other parties of Cornell University are asked to pay the large inflated budget increases in transportation services simply because the University didn't plan or the University put on-line all the carrots before COTS and the University Assembly had a chance to act."

Senior VP Morley: "Let me try to take a couple of those and if we miss some of those, please bring them back up. In response to the fact that we haven't been planning, these discussions have been on the campus for nearly three years. There was, as these elements came on, as we saw the major increase in continued growth of the campus starting with Bill Gurowitz there were discussions three years ago. Each step of the way, we were never really able to come to a conclusion about what was a fee structure or an overall plan to deal with what the administration did see."

Professor Berkey: "Could I ask you how did you plan to pay for the capital improvements that are coming on-line this year which are inflating the budget, increasing the budget."

Senior VP Morley: "It's done in two ways, one is a change in the fee structure and the other is by the University itself putting in additional dollars. As I said....."

Professor Berkey: "Well if we need a 33% increase, obviously you must have planned ahead of time that's going to be an increase in some fees. Is that correct?" (Senior VP Morley "That's correct.") Then I don't believe in this FCR, not only the administration, ever told us, next year you're going to have to have at least a 33% increase in parking fees to pay. I don't think anybody was ever told that."

Senior VP Morley: "Let me deal with a couple of other questions related to that. The other issue related to the whole planning aspect is that for some eleven years or so, there were no adjustments in the fee structure. As a consequence, there was no recognition that cost and all these other elements were increasing with regard to the plan. (Art Berkey: "Did you meet the 7% for tax and 10% so I believe we have 17% increase last year. So perhaps.....") There was an eleven- year period. There were a couple like that when there was no change. The point about scaling salaries, in looking at that, the facts would be if you continued the same elements of University proportional along with what would be needed to be provided by fees that faculty and senior administrator rates would go up much higher than what's shown on the sheets here. So that is an element that was considered and relative to what is generally the reality of who parks in the higher priced fee areas, those generally are the higher paid individuals. So to that extent, this is scaled in a similar way to that.

"As far as the Omniride being installed by the administration without the consent of COTS, this was an element that particularly needed response to the community. I don't have a good reason for not having had better coordination with COTS, I was not so much involved at that time earlier. But it was a program that could only be tested by trying it rather than trying to do it by survey. And that was a risk that the University took, but it was done in conjunction with the community in response to what I think all of us know is the increasing pressure on the road systems in this area.

"With regards to statutory colleges, we understand the difficulties with the pay situations this year with the state. But as was mentioned by Professor Wyatt, particular difficulties with that relationship is that New York state does not put any, had not in the past although we are starting to progressively work with the state, has not put any funding into either parking or into the road system, that is it had to be supported out of fees and out of the endowed part of the campus. That 's an issue that just needs to be corrected, particularly at the time with the changes at the Vet College."

Professor Charles Levy, English: "I endorse what Professor Orear said about the effective \$159 salary contribution for the faculty members who park on central campus. And on top of that, I think it must be recalled that the change in the health plan involved an even greater effected salary decrease which has yet been costed out."

"The two points I wish to bring to this floor have to do with a large core of lecturers working in Morrill Hall in particular, whom the University and the college have not provided with any place where they can do their professional work. The only work places they have are noisy large rooms, barely adequate for consultation with their students. The effect of this is that these people earning between \$15,000 and \$30,000, at tops, must transport the materials books and papers back and forth to campus daily. It is only at home that they can prepare their instructional work. This is the only core of instructors from whom the University can gain the reputation it wishes to gain of being the land grant college of the world. Yet, these people earning those modest salaries working on the edge of libe slope must now pay \$360 in order to perform their duties. Think too of the new probationary assistant professors we appoint at salaries in the low 30's. We members of the faculty all know that they are operating on a very short probationary fuse. They cannot afford the time to make it in and into campus from an outlying lot and back out and do that perhaps more than once a day and keep up with their extremely pressured schedule of work in order to show their senior powers of what they are worth inside of five years. If we are going to have this effect on two categories of absolutely essential members of the University teaching staff by the figures that are now being told, it must be said that the tail is wagging the dog.

"I see that down at the bottom of the page some reference is made to provisions for unique situations, I would not consider a situation that covers the entire rank of assistant professor, the probationary rank, a unique situation. Nor would I consider the situation of an entire language teaching staff a unique situation. Perhaps the very final item is designed to meet this problem of counterproductive inflexible tunnel vision on the part of support services, disregarding its mission to support the operation of the University."

Senior VP Morley: "I think the general way to respond to that is that I pledge to work closely with the Provost and others. It sounds like some of the issues go well beyond just the parking when it comes to lecturers. I will also say that the special grants provision, and that really was what that was for and would be considered mostly for those individuals at a much lower end of the pay scale. But when it comes to certain circumstances which I'm not sure how many of those would be, we will work to accommodate those. But I think in the case of special situations about these two groups of people, I will work with the Provost to see what we can accomplish."

John Lemley: "Could I just add one remark about the fees. The structure that is proposed is clearly a compromise and probably almost any fees that were set would be unpopular broadly on campus. But what is suggested is clearly not a market system. If we had a market system on campus for parking spaces, my guess is that the upper rates would far exceed \$360. On the other hand, if we had a structure so that you paid a certain percentage of your salary, that would be one position in the triangle. And if we had absolutely free parking on campus, that would be the other end of what we've got as far as a conglomeration."

Speaker Martin: "The member in the back please."

Unidentified Speaker (Veterinary Medicine): "The situation of many people at the Vet College or the College of Agriculture, is that one has to travel between the laboratory/office to another place or in some cases, as in my own life, the employees bring tissues back from surgery. So employees will be faced either having to pay an increase from 0 to \$180 to do their job or I can no longer be able to ask my secretary to do things involved with transportation, because she won't have it, is in the OmniRide program. Beyond this are work issues. I think this is a plan for the 1950's, that is when most people who were working at this University had someone at home who was taking care of the children, and transporting them to wherever they might need to go. I'm sure that Cornell employees are in a situation now that they can't carpool, because they have responsibilities to their children, and this includes both male and female employees at this University. It's impossible to get other employees, to set up some sort of sharing who don't work from 8-5 or 9-5 during the week."

Mr. Wendt: "We appreciate your comments. They verify the increased pressure that transportation has on everyone's work lives. And there are many of these situations in the institution, there are many different job categories. We've attempted to establish more options for people. There may be other things that can be done to assist employees in the future, other programs that can really help get at some of ours. The senior vice president mentioned working with the day care issue and we have some projects beginning this fall with some faculty members and their classes to get some information. Jay Orear mentioned how important it was to get information from the community about issues and we're attempting to do more and more of that. So we create more options and a better program in the future. We do think that some of these programs have been needed and will be welcome additions to many people, but I recognize that all the problems that the community faces and the increasing pressure on the community, its faculty, and its staff. It shows the real need to make improvements and take some course of action. They may not all be enough; we expect to continue to make improvements."

John Lemley: "Those of us who work in the center of campus have long born the burden of paying for the privilege of parking conveniently so that they can conduct

their work effectively and efficiently. One concern of the committee has been whether or not it's in fact fair for many of those people who park in the B-lot to not share the same burden."

Professor Richard Schuler, Economics and Civil and Environmental Engineering: "The economics half of me has to applaud the effort of the University and the Committee to try and sort out the geographic parking congestion, the spatial dimension of it with this pricing scheme. But I too share the apprehension about the equity implications of that. There is one way though to deal with both sides simultaneously, and that is to begin with the premise that all parking is free and offer a gradient scheme of rebates to people, such as the Omniride, so that as they move further and further away from the central campus, they choose to carpool. I know about now the Provost must be saying where is the money going to come from in order to do that. My response would be the choice is ultimately to rebuild more parking facilities on campus and to the extent the demand leveling scheme work. It means that money doesn't have to be expended. So it seems to me that it is not that much of a long run financial ruinous scheme to do it in terms of rebate. That is point one.

"The second point is to those of you who have labored so long on this. That is that your work is never done. These proposals, while they may move to smooth out the spatial dimensions of the congestion, do nothing to alleviate the time of day congestion, particularly, not over the weekend. As I noted before, the really peak parking time on campus here is about 2:00 p.m. on Sunday afternoon not 8-5 during the week day. That really is a productive period for many people who work on campus. So again, it seems to me that ultimately you're going to have to deal one way or another either with physical constraints or longer hours that to sort out those dimensions."

Senior VP Morley: "Well, I would comment on that about free parking and rebates. It would seem to me that it would be an impossible task of allocating a free resource when it is in fact scarce. The estimated capital additional cost to just respond to parking without any resource allocation process, which obviously the free system does, would be in excess of 30 million dollars perhaps as high as 50. Maybe I misunderstood what suggestion you would make to allocate it a free resource."

Professor Schuler: "By giving increased rebates to people who choose to move further and further away from the center of campus and accept ride sharing. Use a schedule, just as you proposed, but in reverse so that the primary claim is that everyone has free parking, but they can make even more money by giving it up subsequently. So you would have exactly the same pricing incentive at work, it's just a question of whose pocket does it come out of. I would claim ultimately it comes out of our pocket jointly, collectively in any event."

Provost Nesheim: "Since Dick is trying to pick my pocket, I think, I am going to make some comment about that. I think the problem with that suggestion, Dick, I think you will recognize. I think John made the comment that if we had a market system on the campus, people are willing to pay more to have a place near a building on the center of campus. The degree of rebate that we would have to make in order to do what you are talking about, need some economic study before we know just how far you have to go to make that decision.

"Let me just make a comment, I mean I've tried to remember like all the rest of you and have sat trying to sort through this parking thing when it first came onto the campus. And the issue, I think Isaac that you raised, have we discussed this enough? Have we found ways of getting enough input from people as to how to find a way to make this an equitable system? How to find a way to make the campus really work is a very difficult one. I have to say that COTS has been particularly helpful. I think we went into this process back when the process was first announced and I think there was a really adversary relationship between Cotts and the administration. The administration wasn't quite sure whether we really could work with COTS because they really had some crazy ideas about parking and whether we could deal with that. Well I think the process and the meetings that have been held on campus have worked. People have gotten together, sat down and said we've recognized there really are some constraints. I mean, the dollars aren't available to deal with salaries, to deal with financial aid, to deal with the issue of making our work place a useful one as we possibly can, to deal with other benefits that we have been concerned about, they are all a finite set of dollars. The real issue is how would we allocate those sources to the best way that we possibly can. COTS has sat down with us, have talked it through. The Employee Assembly has talked it through and worked with us. There are constituencies on the campus that find a really difficult time with this. We've got to make a decision, we've got to be able to do something to be able to deal with the parking issue.

"Parking for the faculty, I think Clark Kerr said it many years ago that one of the big problems that the University president had to do is parking for the faculty. Well, we've been into this head to head with how we are going to deal with these issues. I really hope that you will accept the fact that there has been a lot of consultation, a lot of disagreement. We are not going to be able to, I think, come to an agreement on all the issues that are there. We've had a committee that has looked at all of the details of the programs and how they've been able to be put together, and I think that they have tried to work with us in a responsible way. I think eventually we've got to figure out a way to move ahead and that's the only plea I would make to you. Look at what we've been trying to do and the issues that we've been trying to deal with. There are no simple answers. We are not going to be able to make everybody happy in this regard. We are raising the fee, recognizing that people on center campus are paying \$260

already. So we are raising the fee \$100, but if you go over to Kite Hill, a little ways off center campus, you could get a parking permit in the middle of campus, but only four or five Omnirides is what that second tier does. So you can take a little bit further walk which is helpful for you. So, I'm just making a plea to say that there has been a lot of discussion. A lot of people put in a lot of effort on this and you have to understand it as you evaluate how you feel about it."

Speaker Martin: "Three people have requested speaking time, but I would remind you we are now past 6:00 p.m.. Member in the rear has the floor, and then Professor Schwartz, no, then the member over here. Yes?"

Associate Professor Susan J. Riha, Soil, Crop and Atmospheric Sciences: "I would like to second the opinion of the member of the Vet College. In my college, most of the departments have research facilities located quite distances from their offices. As it stands now, many of the faculty technicians essentially donate their cars to their associates. What are the alternatives?"

Dean Lynn: "Mr Speaker, I would like to ask the members of the Executive Committee to absent themselves here for a moment so that we can approve this slate of candidates. We don't have a quorum so ....." (Speaker Martin: "Yes Jay?")

Senior VP Morley: "This issue of asking employees or faculty technicians and others to have to donate their vehicles in that expense for a function the University has come up with a number of times. I think that this is one that we really need to work on together, because that does not seem appropriate whether it's a mileage reimbursement, or other activities that have been an element. It has been an element with secretaries and others where there was an implied usage for running University business. That really needs to be corrected. That is not something that I don't think that any of us feel is the responsibility or a cost that ought to be laid on an employee. We need to figure out how to build that into whatever the mechanisms are."

Professor James P. Lassoie, Natural Resources: "I hope the administration does make a decision to move up, because I think it's time. I would also hope, truly hope, that after this situation is solved this faculty can turn our attention to some of the issues that the Provost mentioned at the beginning of this meeting. I really hope there weren't too many students in this lobby to see the amount of discussion that went into an issue that is so absolutely paralyzing to this institution, that is, one of tuition and tuition assistance. How little discussion went into that topic versus the amount of an hour and a half spent on where I park my vehicle. I'm just ready to start dealing with some of those issues with the same kind of vigor that we dealt with this one, and I'm ready to do that. I hope that we are."

Speaker Martin: "The chair would suggest that this be our final speaker."

Professor Keith Dennis, Mathematics: "We have wasted much too much time with this. Nevertheless, many things are happening which will affect us the rest of our lives. Most of us are going to spend the rest of our lives on this campus, believe it or not. We would like it to be pleasant. Trudging through the snow may be helpful for some people, but for some of the rest of us, we don't care for it at all. I would suggest, you said that the administration does need to do something. Indeed it is quite apparent that they are going to do something. But the one thing that I would like made perfectly clear is that it is the administration doing something. The Arts College faculty, the University Faculty even finally the University Assembly have specifically stated that the current actions by the administration is something they do not support. The request is in line with what Isaac Kramnick said which was wait, look at it at least one more semester, because it is clear that all the problems are not solved. I would like to agree with him on that. I really think that is the most prudent course of action. Although in fact, I do not expect it to happen."

Speaker Martin: "Thank you all very much gentlemen. If there are no objections, we are adjourned."

Adjourned at 6:15 p.m.

Mary A. Morrison, Secretary

**REPORT ON UNIVERSITY FACULTY ELECTION  
Spring 1991**

**AT-LARGE MEMBER, FCR - 3 seats, 530 ballots cast**

David A. Levitsky, Professor, Nutritional Sciences  
Mary Beth Norton, Mary Donlon Alger Professor of American History  
Michael F. Walter, Professor, Agricultural and Biological Engineering

**COMMITTEE ON MEMBERSHIP OF THE UNIVERSITY FACULTY -  
1 seat, 484 ballots cast**

Daniel G. Sisler, Liberty Hyde Bailey Professor of Agricultural Economics

**COMMITTEE ON NOMINATIONS AND ELECTIONS - 3 seats,  
485 ballots cast**

Toby Berger, J. Preston Levis Professor of Engineering  
Jean F. Blackall, Professor, English  
S. Gordon Campbell, Professor, Veterinary Microbiology

**COMMITTEE ON REVIEW AND PROCEDURES - 3 seats, 468 ballots cast**

Royal D. Colle, Professor and Chairman, Communication  
Carl F. Gortzig, Professor, Floriculture and Ornamental Horticulture  
Ann T. Lemley, Associate Professor, Textiles and Apparel

**COMMITTEE ON UNIVERSITY-ROTC RELATIONSHIPS COMMITTEE -  
2 seats, 387 ballots cast**

Kenneth C. Hover, Associate Professor, Civil and Environmental Engineering  
Francis A. Kallfelz, Professor, Clinical Sciences

**COMMITTEE ON ACADEMIC FREEDOM AND PROFESSIONAL STATUS  
OF THE FACULTY - 1 seat, 475 ballots cast**

Ruth Schwartz, Professor, Nutritional Sciences

**COMMITTEE ON ACADEMIC FREEDOM AND PROFESSIONAL STATUS  
OF THE FACULTY - 1 non-tenured seat, 448 ballots cast**

Shelley Feldman, Assistant Professor, Rural Sociology

**COMMITTEE ON ACADEMIC PROGRAMS AND POLICIES - 2 seats,  
432 ballots cast**

Michael P. Steinberg, Assistant Professor, History  
Michael J. Todd, Leon C. Welch Professor of Engineering

**COMMITTEE ON AFFIRMATIVE ACTION - 2 seats, 465 ballots cast**

Jennifer L. Gerner, Associate Professor, Consumer Economics and Housing  
Gary J. Simson, Professor, Law

**COMMITTEE ON FINANCIAL POLICIES - 1 seat, 473 ballot cast**

Anil Nerode, Professor, Mathematics and Director, Mathematical Sciences  
Institute

**COMMITTEE ON MINORITY EDUCATION - 1 seat, 449 ballot cast**

William W. Goldsmith, Professor, City and Regional Planning

**COMMITTEE ON MINORITY EDUCATION - 1 non-tenured seat,  
410 ballots cast**

Deborah J. Trumbull, Assistant Professor, Education

**COMMITTEE ON RESEARCH POLICIES - 1 seat, 446 ballots cast**

Howard C. Howland, Professor, Neurobiology and Behavior

**UNIVERSITY ASSEMBLY - 3 seats, 439 ballots cast**

Robert J. Babcock, Associate Professor, Human Service Studies  
David S. Powers, Associate Professor, Near Eastern Studies  
David Robertshaw, Professor and Chairman, Physiology

**ADVISORY COMMITTEE ON RESPONSIBLE SPEECH AND EXPRESSION -  
1 seat, 340 ballots cast**

David J. Allee, Professor, Agricultural Economics

## SLATE OF CANDIDATES FOR FCR SEATS ON COMMITTEES Spring 1991

### **ACADEMIC FREEDOM AND PROFESSIONAL STATUS COMMITTEE - 1 seat, three-year term**

Richard B. Darlington, Professor, Psychology  
Clark E. Garner, Associate Professor, Design and Environmental Analysis

### **ACADEMIC PROGRAMS AND POLICIES COMMITTEE - 1 non-tenured seat, two-year term**

Michael A. Shapiro, Assistant Professor, Communication  
Mary Jean Wylie, Assistant Professor, Animal Science

### **ADMISSIONS AND FINANCIAL AID COMMITTEE - 2 seats, three-year terms**

Frederick M. Ahl, Professor, Classics  
Timothy J. DeVoogd, Associate Professor, Psychology  
Robert F. Gilmour, Associate Professor, Physiology  
John E.H. Sherry, Professor, Hotel Administration

### **AFFIRMATIVE ACTION COMMITTEE - 1 seat, three-year term**

Peter Schwartz, Associate Professor, Textiles and Apparel  
Shirley A. White, Professor, Communication

### **EXECUTIVE COMMITTEE - 3 seats, two-year terms**

Alan K. McAdams, Associate Professor, JGSM  
Daniel McDonald, Associate Professor, Communication  
Franklin K. Moore, Joseph C. Ford Professor of Mechanical Engineering  
Susan J. Riha, Charles Lathrop Pack Research Professor of Forest Soils  
Michael F. Walter, Professor, Agricultural Engineering  
Gregory A. Weiland, Associate Professor, Pharmacology

### **EXECUTIVE COMMITTEE - 1 non-tenured seat, two-year term**

Elaine Wethington, Assistant Professor, Human Development and Family Studies  
(over)

**FACULTY ADVISORY COMMITTEE ON ATHLETICS AND PHYSICAL EDUCATION - 3 seats, three-year terms**

Louis D. Albright, Professor, Agricultural and Biological Engineering  
Edward J. Dubovi, Associate Professor, Diagnostic Lab  
George W. Hudler, Associate Professor, Plant Pathology  
William D. Philpot, Associate Professor, Civil and Environmental Engineering  
George F. Scheele, Professor, Chemical Engineering

**FINANCIAL POLICIES COMMITTEE - 2 seats, three-year terms**

John M. Abowd, Professor, Industrial and Labor Relations  
Lawrence E. Blume, Professor, Economics  
Robert F. Lucey, E.V. Baker Professor of Agriculture  
Charles E. Seyler, Associate Professor, Electrical Engineering

**MINORITY EDUCATION COMMITTEE - 1 seat, three-year term**

James Lassoie, Professor and Chairman, Natural Resources  
Charles C. McCormick, Associate Professor, Poultry and Avian Sciences

**RESEARCH POLICIES COMMITTEE - 1 seat, three-year term**

Michael N. Kazarinoff, Associate Professor, Nutritional Sciences  
Bernd Lambert, Professor, Anthropology

# Five Year Transportation Plan

## Omniride

- free transit pass for regular Cornell faculty, staff, and affiliates
- free transit anywhere in Tompkins County and Cornell-subsidized transit outside of Tompkins County
- free emergency ride service
- free book of ten one-day campus parking permits every six months (option to buy another book every six months at a discounted price)
- added convenience of Park & Ride lots serviced by public transit
- students may purchase an annual Omniride pass

## RideShare

- a carpool incentive for Cornell faculty, staff, and affiliates
- a discount or rebate paid to RideSharers
- free emergency ride service
- free books of ten one-day campus parking permits every six months (number of books depends upon the size of the RideShare group). Each RideSharer can buy one more book every six months at a discounted price
- free RideShare classifieds in Networking and on CUINFO
- added convenience through Park & Ride lots

### Parking Fees and RideShare Incentives 1991-92\*

Permit Areas+	Single Occupant	2-person Carpool	3-person Carpool	4 or more person Carpool
A Lot	<b>NO CHARGE</b>	<b>NO CHARGE</b>	<b>NO CHARGE</b>	<b>NO CHARGE</b>
Perimeter	\$180	<b>NO CHARGE</b>	<i>\$90 rebate</i>	<i>\$180 rebate</i>
East Central	\$270	\$90	<b>NO CHARGE</b>	<i>\$90 rebate</i>
Central	\$360	\$180	\$90	<b>NO CHARGE</b>

*Rebates are shared equally among all carpool members*

\* Fees will increase 6% annually during the five year life of the plan

+ See map on reverse side for parking rate boundaries

## Park and Ride

- develop with county and surrounding municipalities
- encourage more Park and Ride locations
- use in conjunction with Omniride and RideShare

## Occasional Parker Incentives

- for those who do not select Omniride, RideShare, or individual parking permits free book of ten one-day campus parking permits every six months; additional book each six month period at a discounted price

## Other Commuter Options

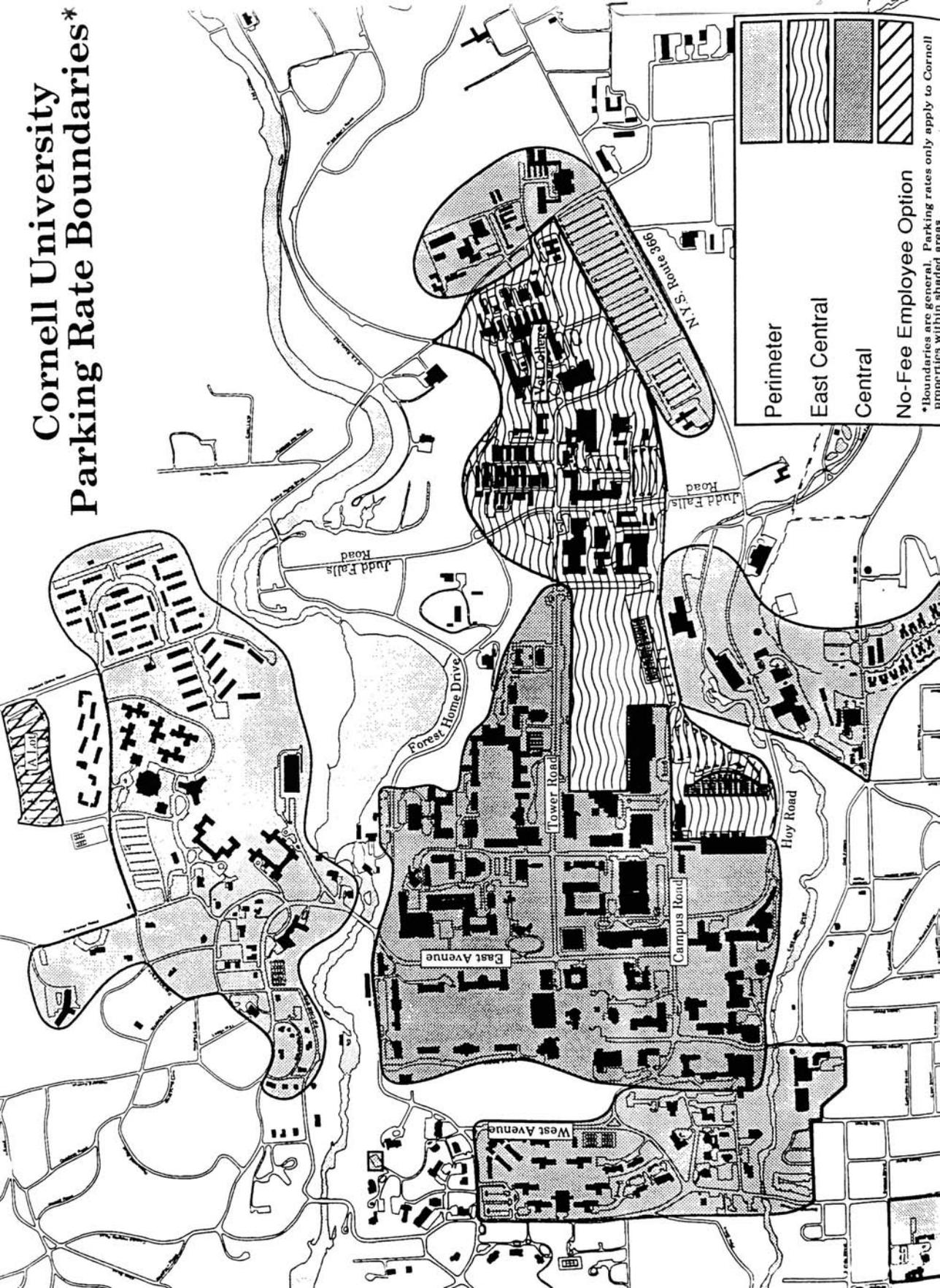
- A Lot: available at no fee for employees who select this option by June 30, 1991
- off-campus lots are available at no fee
- "user fee" for campus parking

## Assistance and Questions

- Hotline: 255-PARK (To answer questions about the program.)
- Special Request Appeals Board (S.R.A.B.), a university assembly committee, available for unique situations
- establishment of special grants program for financial hardship

May 7, 1991

# Cornell University Parking Rate Boundaries\*



Perimeter

East Central

Central

No-Fee Employee Option

\*Boundaries are general. Parking rates only apply to Cornell properties within shaded areas.

MINUTES OF A COMBINED MEETING OF THE FACULTY COUNCIL OF  
REPRESENTATIVES AND THE UNIVERSITY FACULTY

October 16, 1991

President Frank H.T. Rhodes: "This is a combined meeting of the FCR and the University Faculty and I am required to remind you of two things. First of all, only the members of the FCR can vote so if you are not a member and you feel constrained to vote, please don't do that, and second, photographs and tape recorders are not permitted except for the tape being made under the auspices of the Office of the University Faculty."

1. ANNOUNCEMENTS BY DEAN LYNN

Dean of the Faculty, Walter R. Lynn: "I do have a few announcements to make that I hope will please you. Let's deal with the trivial ones first. When you get your phone directory, you will notice on the inside cover the emergency numbers involving a whole set of things for which there may be reason for you to find assistance in some way, and we decided to follow the pattern of the NY Telephone Company and other telephone books. So remember the place to look is in a convenient place in your phone book and that took two years and a lot of decisions to deal with to make it happen.

"I have also been asked to announce to you that there will be something called a Benefair held in the Statler ballroom on November 4 from 10:00 to 6:00 and on November 5 from 9:00 to 4:00. A number of TIAA and other companies concerned with investment opportunities will be there so if you are interested in that that is the 4th of November on Monday and the 5th of November, as an all day event.

"Another bit of good news, as you may have noticed, we now have prescheduled final exams and we have finished with the trauma of people worried about buying their airplane tickets at reduced fares if they don't know when their final exams are going to be given. That system is in place and I believe has worked successfully. I think other institutions have done this for a long period of time and we have finally managed to modernize our final exam system with the help of the Registrar's Office.

"A troublesome bit of information that I am required to announce to you is referred to frequently as the Buckley amendment. The Buckley amendment has to do with the privacy of student records. As you know students are entitled to have their academic records private and that includes the matter of posting grades. This is a truly troublesome business for many of us, particularly with large classes of how to communicate those grades without spending an inordinate amount of time dealing with each student individually. I wish I had a solution to that problem, but I do remind

you that you may not post student grades either by Cornell ID number, by social security number or by name. You may find some other successful identifier between yourself and those students. It is a federal law and we are required to adhere to it.

"Another bit of bad news in the same light, is the current copyright law. As you know, copyright law has intruded again into in a very complex way. A practice that's been quite common and illegal having to do with anthologies is that faculty members produce for students excerpts from a variety of sources to effectively compose a textbook or a supplement to a textbook without permissions from publishers. There is a famous Kinko case in which Kinko is found to be guilty, if you will, of violating the copyright law. And so I remind you again that that liability, if you pursue that without permissions, ends up being a personal liability that you have to deal with. The bookstore and Mann library have offered to assist faculty members in gaining permissions and I urge you to make use of those services.

"Two other quick items, first of all, as you know the Research Policies Committee had, it appeared in the Chronicle, undertaken a strong position with regard to the National Institutes of Health proposed regulations on scientific integrity. According to the Chronicle of Higher Education, some 1900 institutions also responded in a negative way and whether in fact that will have any impact on NIH, I don't know, but we at Cornell University, do have a policy on Academic Misconduct. Both the National Science Foundation and NIH have so called 'March-In Rights' because grant funds in which they are involved give them the authority to intrude in this process at any point. Thus far that has not occurred.

"Finally, my last announcement is a serious problem which I ask all of you to consider. We've become exposed to a serious disease called the evening prelim virus. Evening prelims have proliferated to the extent that they really have begun to violate a previous ruling of this faculty in terms of the time students should have to involve themselves in other university activities. In particular, there are countless complaints from the Music Department, from the choir, from the band and from the Athletic Department in which evening events are scheduled for students in that time period from 4:30 to 7:30 which are supposed to be inviolate. Faculty members are generously offering to do a variety of things to help the students. But in fact, it is contrary to our own established regulations. I will ask the Committee on Academic Programs and Policies to review the evening prelim issue. Tuesday and Thursday prelims are allowed according to our own regulations and the spirit of that was to handle large classes where there was not enough seating capacity to properly give an exam. It has begun to proliferate. Faculty members eager not to use up class time to give exams are now using that time period. It is now expanding to a whole variety of individuals in which the size of the class is not a problem and there are serious complications in finding adequate room space in which to house these exams. So we will come back to you at some time as a matter of business for this faculty to consider what in fact our policies will be in the future.

"Finally, the Financial Policies Committee asked me to remind you that it will make a report at the November 13 FCR meeting about the University budget, and will ask for your support and endorsement of that report at the December 11 FCR meeting. Mr. Speaker, thank you."

## 2. ELECTION OF SPEAKER

President Rhodes: "Thank you very much Walter. I couldn't help thinking as Walter described the Buckley amendment on federal intervention and research, that comment of Will Rogers, 'it's a good thing we don't get all the government we pay for.' I think that has never been truer. I now have the pleasure to call for nominations for the Speaker. Professor McAdams."

Associate Professor Alan McAdams, JGSM, and Chairman, FCR Executive Committee: "Mr. President, on behalf of the Executive Committee of the FCR, I would like to nominate Russell Martin to be Speaker."

President Rhodes: "Thank you very much Professor McAdams. Are there other nominations please? Without objection the nominations are closed. I have great pleasure in declaring Professor Russell Martin elected again to the Office of Speaker."

The Speaker, Professor Emeritus Russell Martin, Communication: "It just proves that a lot of hard campaigning really pays off. I thank you again for the privilege of serving as your speaker for another year. Thank you very much. The chair would reiterate again the President's comments that according to faculty legislation no tape recorders and no photographs are allowed during the meeting. Any FCR members who have not signed in, please do so at the close of the meeting. The Chair next calls on Dean Lynn."

## 3. ANNOUNCEMENT OF DEATHS

Dean Lynn: "One of the sad duties of the Dean of the Faculty is to announce at the first meeting of the faculty the names and affiliations of the faculty who have died in the past twelve months.

*Noble Wayne Abrahams*, Assistant Professor, Basic Studies, retired,  
February 15, 1991

*Harold H. Williams*, Professor Emeritus, Biochemistry, February 25, 1991

*W. Robert Eadie*, Professor of Zoology, Emeritus, March 17, 1991

*Hugh C. Hockett*, Professor of Entomology, Emeritus, March 22, 1989

*Forrest B. Wright*, Professor Emeritus, Agricultural Engineering, June 16, 1991

*Robert S. Dickey*, Professor Emeritus, Plant Pathology, July 1, 1991

*Richard F. Porter*, Professor of Chemistry, September 1, 1991

*Frederick B. Hutt*, Professor Emeritus, Poultry and Avian Sciences,  
September 6, 1991

*Efraim Racker*, Albert Einstein Professor of Biochemistry, September 9, 1991

*Israel Berstein*, Professor of Mathematics, September 22, 1991

Please rise for a moment in respect to our departed members. Thank you."

Speaker Martin: "The chair next calls on Professor Carlos Castillo-Chavez for a report on the Affirmative Action Committee."

#### 4. REPORT OF AFFIRMATIVE ACTION COMMITTEE

Associate Professor Carlos Castillo-Chavez, Plant Breeding and Biometry, and Chair, FCR Committee on Affirmative Action: "I will begin with a quote from the University's 1990-91 summary of its affirmative action plan. And this is from page 9, where they say that 'the actual number of minorities equaled or exceeded the statistically expected number in the following job groups: professor (tenured, tenure track, and non-tenure track), associate professor (tenure track), assistant professor (tenure track and non-tenure track), lecturer, teaching associate, senior research associate, associate librarian, senior assistant librarian, and assistant librarian, and therefore no goals have been established.' Now I will proceed to take a look first at what I have perceived, my committee has perceived, as the faculty committee efforts in affirmative action (Appendix A, attached). My committee organized a series of meetings with all the colleges committees on affirmative action. There are nine committees. In the process of organizing these meetings, I found out in fact that it was difficult even to assert a quota membership of the several college and school affirmative action committees. So let me put up some slides for you.

"There is rapid turnover and records are incomplete. These meetings, and there were several of them, clearly illustrated the problem of incoherence and lack of communication in the total University program. The degree of commitment of the committee members was variable and on several occasions, disappointing. College faculty involvement, in my opinion, was minimal at best. A more effective network is essential. Furthermore, the role of this committee in the hiring of white women and men and women of colors is, in most cases, irrelevant because of the lack of effective faculty support.

"Next, I am going to talk about the status of white women and minority faculty. The data provided in this report was compiled at my request by Joycelyn Hart, Associate Vice President for Human Relations. This data clearly indicates that we live in a segregated University, with minority faculty concentrated in a relatively small number of departments and programs. For example, of 105 departments and units, 49 have no minority faculty and 72 have no African, Hispanic, or Native-American faculty members. Let me now provide you with a few telling examples. The ILR School has only two minority faculty members, both tenure-track. The College of Engineering has 22 minority faculty members: 19 Asian-American males, one Asian-American female, one Afro-American male, one Hispanic-American male. Let me add that there is a mistake in the report when I did the report without the Afro-American male, and that was my mistake; it had been provided to me by the office of Joycelyn Hart. I just did not read the tabulations properly. The Physics Department has six minority faculty members - all tenured Asian-American males. The Africana Studies Center has seven faculty members, all African-Americans. If we further aggregate the data, we get a less revealing, and less devastated picture. These less informative data on the 1,583, tenured and tenure-track faculty, the data was provided as of November 1, 1990, include the following: 1,011 white male tenured faculty; 19 African-American tenured faculty; 49 Asian-American faculty, all male; six Hispanic-American faculty, all male; 0 Native-American tenured faculty. In regards to tenure-track positions for males, 218 white male tenure-track faculty; 8 African-American male tenure-track faculty; 21 Asian-American male tenure-track faculty; five Hispanic-American male tenure-track faculty; 0 Native-American male tenure-track faculty.

"Women are in a more difficult position: 138 white female tenured faculty; seven African-American female tenured faculty; three Asian-American female tenured faculty; one Hispanic-American female tenured faculty; 0 Native-American female tenured faculty. Eighty-nine white female tenure-track faculty; five African-American female tenure-track faculty; two Asian-American female tenure-track faculty; 0 Hispanic-American female tenure-track faculty; one Native-American female tenure-track faculty.

"While there has been some improvement in the numbers, a glance at the data will convince the most enthusiastic, and I have some specific data, that observed recent progress is insignificant. In 1990, there were still colleges with no tenured minority faculty, and the College of Agriculture has just added its first tenured Hispanic faculty member, myself.

"Let me provide you with some specific data, so that you can see a clearer picture. In this particular slide, I have highlighted the distribution of minority faculty in the University. This data has been available for a long period of time. I do not have to comment on this data, it is easy for you to see. It is department by department, unit by unit and it is the sparsest matrix I have ever seen. Let me provide you now with the next slide which in this case has to do with women faculty. If you look at the distribution of women faculty, there are no women faculty in a great many departments.

"I became extremely surprised after reviewing this data at the minimal goals set forth by the FCR on May 11, 1988. The FCR adopted a goal of at least 137 minority faculty in tenured and tenure-track positions by the Fall of 1994. This would have involved a net gain of 15 minorities in a six-year period, that is, only two and half per year. Furthermore, if we divide these positions in relation to the current numbers at Cornell, it will have amounted to the addition of about nine Asian-Americans, four African-Americans, two Hispanic-Americans, and 0 Native-Americans. This could have been accomplished for example, by the addition of two African-American faculty to the Africana Studies Center and two more let's say, to the English Department, and two Hispanic-American faculty members to the Department of Modern Languages and Linguistics. As the data vividly reveals, this is not a far fetched outcome. In fact, the essence of minority recruitment is that for instance, African-American faculty will continue to increase through those programs intimately connected to Africana Studies. While we cannot fail to recognize the importance of these efforts, we cannot ignore the ghettoizing affect. The discussions with the different college committees on affirmative action have reaffirmed an already well-established fact at Cornell: that is, that Cornell faculty are hired by Cornell faculty. You will not see a significant addition of white women and minority faculty unless the Cornell faculty takes this task seriously. The state of economy states a real hurdle in accomplishing this objective but no state of the economy justifies the data I have just presented to you.

"I am forced to conclude that we have not seen a significant rise in the number of under represented faculty. Furthermore, important changes will not take place until the faculty accepts the challenges and responsibilities inherent in the construction of a truly American university. So those are my partial conclusions to that.

"Another highly discussed issue is the issue of the applicant pool. I took some pains to look at the applicant pool. That has to do with the fact that all problems associated with the lack of minorities at Cornell are intimately related to the applicant pool. There has been much discussion about the size of the applicant pool. We believe that too much emphasis has been put on this hard-to-estimate population and that the level of segregation observed at the University is only consistent with a non-existent applicant pool in most of the areas taught or researched by this University.

"Let me provide you with some enrollment figures. Despite the fact that there is about 17 percent minority enrollment at the undergraduate level at Cornell, there is only eight percent enrollment at the graduate level (these percentages will be substantially lower if we omit Asian-Americans). Foreign enrollment constitutes about twelve percent of our undergraduates and about 36 percent of our graduate enrollment. From a ratio of two foreigners per three minorities at the undergraduate level we move to a ratio of about, the report is incorrect, 4.5 foreigners per each minority at the graduate level. Consequently, it is not surprising that 43% of our minority faculty got their bachelors degrees outside the United States. Minorities are not being encouraged to attend graduate school, are not choosing to go to graduate school, or are not being accepted.

“One of the most common arguments used at Cornell to explain the low number of minority faculty is the lack of a larger pool of applicants. Since 43% of the minority faculty at Cornell came to this country as foreign graduate students and immigrated (most likely because of an academic job offer), what then is the size of the availability pool? Furthermore, if no more than 57% of our minority faculty (72) are quote ‘homegrown’, is it not true that our rate of failure is even higher than that shown by statistics based on home pools consisting of permanent residents and citizens? Several members of the minority faculty become members of the available pool a year or so after they have accepted a job. Let me show you some statistics. Last year’s report used an availability pool of 10.7%, gives us an employment goal of 173 minority faculty. Forty-six additional minority faculty are needed to achieve this goal. The inclusion of minority that are permanent residents or citizens at the time of employment increases this hiring goal to 101 ‘homegrown’ Ph.Ds.

“Now let me just move slightly to talk about academic and non-faculty staff. Non-faculty academic positions, especially those of lecturer, are held primarily by women. The segregation and exploitation of women in this capacity is not in the best interest of the staff, the faculty, the students or the University. Let me provide you with some specific data. This is the situation, this slide you already saw of tenured faculty of women at Cornell. Now let me show you the data as it relates to lecturers. And you can see that for example in the Department of English, there is a tremendous number of female lecturers, the same thing for the Department of Modern Languages and Linguistics.

“Let me conclude with some recommendations. Unless, strong and decisive measures are taken, the situation at Cornell will not change in any significant manner. Furthermore, we feel that Cornell not only should commit itself to affirmative action, but should play a leadership role at the national level. The emphasis that you and President Rhodes have placed on high quality undergraduate education, and on the recognition that our future depends heavily on the success of our minority populations, has led us to the following recommendations.

Undergraduate education should share equal billing with research activities at Cornell. Faculty lines should be variable with respect to teaching and research responsibilities. Parenting responsibilities should be taken into account. More flexible probationary periods before tenure are needed. This added flexibility would make it possible for departments such as Biology, Mathematics, Physics, Chemistry, Anthropology, Modern Languages and Linguistics, to provide more and more diverse role models, to recognize the high value of teaching in this University, and to greatly improve the quality of undergraduate education at Cornell.

"Furthermore, we recommend the establishment of guidelines in the formation of hiring committees. Committee members should be aware of the status of affirmative action efforts at Cornell as well as of hiring policies. A faculty advocate of affirmative action that is external to the search should be added to each hiring committee. The affirmative action faculty officer should be given sufficient power to re-initiate a search if he or she feels that no substantial efforts have been made to consider white women or minority candidates. I believe this advocate should be a tenured member of the faculty.

"Graduate admission committee members should be trained on the development, re-evaluation and implementation of fair admission criteria. A 3.2 GPA at Harvard is not necessarily better than a 4.0 GPA at Las Cruces, New Mexico. Children of farmers and blue collar workers usually do not take courses that will train them for the SAT like our children, and consequently, even large differences in SAT or GRE scores may be of no significance. Women may change majors (move into science) later in their college education making their records appear weak. Students at small colleges may follow less specialized curricular than those of major research universities. This situation is compounded by the lack of minority and white women faculty in admission committees and of course in the University. Thank you."

Speaker Martin: "Are there any questions? Thank you very much."

Dean Lynn: "Mr. Speaker, just to remind the faculty that by our own legislation, the Affirmative Action Committee is required to report at the first meeting in the Fall as Professor Carlos Castillo-Chavez has done on the information that is contained in that report, so this is an obligatory report to the entire body by that committee."

Speaker Martin: "Thank you. Yes?"

Associate Professor Richard Galik, Physics: "What committee of the FCR will evaluate the recommendations made by the committee, whether the recommendations have any viability or are feasible? Who brings this to the University administration? What's the follow-up procedure of recommendations that were made by the committee?"

Dean Lynn: "The committee at any time as a standing committee of this body, can present specific resolutions and recommendations asking for the body to act on them, to debate them, and to approve or disapprove them as it sees fit. So that committee meets throughout the year. It is free to do that. Whether or not it will come to this body with a specific set of recommendations will depend upon what it chooses to do. Does that answer your question?"

Speaker Martin: "Any others? We have extra copies of the report down here if you have not received one. The Chair next calls on President Rhodes for the State of the University address."

## 5. STATE OF THE UNIVERSITY ADDRESS

President Frank H.T. Rhodes: "Mr. Speaker, Ladies and Gentlemen, I'm always glad to meet with my colleagues on the faculty at the start of the year and to talk about what looks like the State of the University. It's always fascinating to look back at the end of the year on how accurate some of our projections were but I do want to share with you some thoughts at the opening of this academic year. A week ago, a number of us in this room gathered in San Francisco for a remarkable celebration. It was the end of the 125th anniversary celebration for Cornell and the end of the centennial celebration for Stanford. The most remarkable part of that event which brought 2200 Cornellians together from all over, some as far away as Hong Kong, Switzerland, was the fact that the faculty symposium which was held on Friday given by ten members of the faculty from the campus here in Ithaca, I think was probably the most lively and best attended part of the whole three day celebration. I was reminded of a comment that David Starr Jordan, the first President of Stanford and also a member of Cornell's first graduating class, made during his Stanford years. Jordan commented on his Cornell undergraduate experience, 'the faculty were the glory of old Cornell. Everything else on the campus was crude and raw and discouraging, but the faculty was inspiration'. And I want to say how true that was of all the events in which the faculty participated a week ago. I want to say that in a larger sense, I thank you for the role you play in continuing that tradition. I do not take for granted the devotion, and the high scholastic and professional standards and the commitment to everyday needs on the campus that you represent. I am proud as possible of Cornell's faculty and its commitment. You are the heart of the University and I want at the beginning of the year to thank you for that.

"That was a note of celebration and then three of us at lunch on Friday, Don Kennedy of Stanford and Chung Ling Chen of Berkeley and I talked about the state of higher education in general. I want to spend a little time talking about that because the press recently has made us painfully familiar that these are difficult times for higher education. In fact, Newsweek described at Stanford's centennial celebrations that Stanford had clearly majored in controversy and had minored in bad publicity. Don Kennedy remarked that 'the only difference between Stanford and other universities was that Stanford was the first penguin off the ice flow and that others later would be haunted by the leopard seal', I suppose of public scrutiny. I think this view of the public's present standing and contributions of universities is a part of a larger loss of public esteem for institutions of national importance. Let me give you two other quotations that caught my eye in recent months. Around commencement time, some of you will remember the New York Times Sunday headline which talked not about the class of '91 but the clash of '91. The clash of '91, higher education feels the heat and it is said quite simply 'the seclusion of higher education has been shattered by criticism from within and without.' And more recently at the opening of the semester, the Chronicle of Higher Education which publishes a glossy covered omni first edition viewing the year ahead said higher education 'buffeted by financial pressures and

inundated by scandals ranging from athletics to integrity and research, entered 91-92 bruised and beleaguered.' 'Optimism' it concluded, 'is in short supply on the campuses.' I want to suggest to you that it is time for us who know and love higher education to go on the offensive and to declare again the contributions of institutions, such as Cornell, and 3300 others across the nation make to the well being of this country. It is easy to overlook the remarkable contribution of universities in enrolling as they do about 60% of the college age population, a higher percentage in any other country in the world by far with the single exception of Canada. It's easy to overlook the fact that the universities of this nation as Professor Castillo-Chavez just pointed out, are the places of choice of students from other countries. They flock here as their first choice. It is easy to overlook the fact, that the universities of our nation contain, I would suppose by any reasonable estimate, something like two thirds or three quarters of the best universities in the world. They would also contain, I suppose, a handful of the worst universities in the world. But competition in that category is very tight. It is also easy to overlook the fact that the universities have been engines of social change of affirmative action despite the weaknesses and I agree fully with those weaknesses that we just heard from Professor Chavez. We have to work harder together at it but still we have been agents of social mobility of underrepresented groups, those from economic groups which have traditionally been underrepresented, new immigrants, all these have been successful through the work of our universities. And add to that the quality of professional training, the distinction of research and scholarship in the universities, and the remarkable success throughout the world with the extension program. And we have a story of which we can be proud. I recognize, however, that there is merit in some of the criticisms that our friends both inside and outside the academy make. And I also recognize that we are going to face, I believe, in the next five years, a condition of unparalleled difficulty for all universities and for Cornell amongst them. Harold Wilson, a former British Prime Minister said on one occasion, 'I am an optimist, but I also carry a raincoat.' And it seems to me that as I look at Cornell, that's about the balance that we have to strike together.

"I want to talk to you not in grand terms of the State of the University, I believe the state is healthy, but about seven particular issues that concern the health of the University. And the first of these is one that all of us grow tired of hearing about but the public noise does not abate, that is the so-called tension between research and teaching. Charles Sykes, the author of a recent book called Profscam said recently the 'professorate has destroyed the university as a center for learning. Systematically and steadily, they have desolated higher education, which is no longer higher and isn't much of an education either.' Now that kind of nonsense is rampant where everyone looks in public life. There is a degree of inattention and misunderstanding about the role of research and scholarship, which is now reaching a proportion I have haven't seen before. And the people who are the best advocates, are you who understand best what is at issue here. We need your help and we need it rapidly if we are to turn around public opinion.

“What are the benefits of undergraduate education we have to offer in a university such as ours? One benefit, one direct benefit is the fact that something between a quarter and a third of our students by the time they graduate have taken part in an original piece of research, have undertaken an original piece of scholarship or creation, many of them have published works or exhibited works of art. That is no small thing in a world increasingly more complex. It is no small thing increasing the flow of young men and women into the worlds of research and scholarship. I do recognize however, that pressures are real, especially on faculty members who are untenured and I want to beg you to follow the lead of senior colleagues here on the campus, in putting even a higher priority on the concerns of undergraduates.

“The Dean of the Faculty, Walter Lynn, with my very strong encouragement has established a committee this year which will report to us early next year to look at ways in which we can evaluate teaching as members of the faculty. I am particularly pleased that Jon Clardy, Jere Confrey, George Hay, Walter LaFeber, James Maas and Constance Shapiro are members of that committee which Walter has chaired. And that will help us, I think, wrestle with a quandary to which we haven't yet provided a fully satisfactory answer.

“How are we as a faculty best to evaluate teaching? Not just in terms of tenure, vitally important as that is, but in terms of everyday life on the campus and the progression of people through faculty ranks. We must I believe, take more seriously than ever, undergraduate teaching, and not only simply act as agents dispensing information but active advisors, counselors and those who befriend our undergraduate students.

“The second concern is the high cost of tuition. I say that because people have a choice. I heard this morning on the 7:00 CNN program the latest figures for the average price of tuition in the public and private universities this year. Average price in the public, \$2,137. Average price in the private, \$10,017. That's a striking difference. Why do students choose to pay that differential to attend universities such as Cornell which is even more expensive than the average. They choose because of very simple reasons. The first is quality. People know quality when they see it, and they find it at universities like ours. And the second is they believe that there will be more personal concern and more individual attention at a University as ours. And they are right! But we have to remind people of that and we have to exemplify that day by day. But having said that, we also have to remind the general public that tuition covers only part of the price of undergraduate education and the rest of that is subsidized in part by the government, relief of taxes, for example, financial aid in one form or another from the state or the government and in a large part from alumni gifts. Why is it then, so expensive? It's partly what students and parents demand from us. Every year a higher level of service in everything from counseling to housing, to athletics to student facilities, the student services. Providing the comprehensive curriculum that we do, is itself very expensive.

"How many periodicals do you think that we take in the library? We have 1,617 of the faculty. How many periodicals do you think we take? Well, its almost 59,000. It's 58,970 I am told today, it may be more tomorrow. That works out to 36 publications per faculty, no duplication. I hope you read them all. That is an astonishing figure. We have to look at that. I was glad to get a letter the other day from a librarian with a list of about 40 periodicals saying that these are all periodicals in your field, do you think that they are all strictly necessary? And I replied to that but I mentioned the fact that the cost of the comprehensive curriculum is very very high and we have to be responsible in terms of coming to grips with that. We can no longer cover every aspect in the world of knowledge. We know it and we've got to put that into practice. The third thing that makes the cost of tuition go up relentlessly is the high cost of student financial aid. Ezra Cornell was right in founding an institution 'where any person could find instruction in any study.' About one-quarter of the increase in level of private college and university tuition in the last decade in the '80s, has been the result of increases in student financial aid in order to pick up the short fall from other financial aid sources. Now that reaches about \$3 billion dollars nationwide. And through most of the '80s, the percentage increase in financial aid at Cornell was double the rate of increase in tuition. That's an equilibrium that is unstable. And in long term, we cannot solve that particular problem ourselves. We cannot as an institution, bail out the federal and the state government if our fellow citizens vote in the other direction, vote not to support it, and therefore we have a job to do, we have not only to rally the alumni, as the Sun pointed out this morning, to support financial aid as high priority in the Cornell campaign. We also have to convince our fellow voters that this is a national priority and this is a state priority. Let me give you one example, I mentioned a moment ago that in the public institutions, the level of tuition is about 25%, less than 25%, of what it is in the private. Yet in the public institutions, more than 1/3 of the students come from homes with an annual income of more than \$60,000. Is it a reasonable way with the closing years of the 20th century to approach the State's distribution of resources with financial aid? Or are there other ways? Should we begin to charge the real cost of education in the public sector as we approach the private sector, and then dispense financial aid in public institutions? A state and national debate needs to take place and we need to play a role in it.

"The third point I want to raise with you is one that was touched on so effectively a moment ago by Professor Castillo-Chavez. And that is the increasing need to make our campus representative of the nation as a whole. Diversity is a much over-used word but it is something we must continue to pursue on the campus. I am happy to report that this year's freshmen class contained 29% of Asian-American, Afro-American, Hispanic and American-Indian students. That's up 2% from a year ago. And the number of underrepresented groups in that enrollment is up by 1%. That's a satisfactory beginning, it is only a beginning, because of what we have to do is to make the campus increasingly supportive and sensitive to the presence and needs of every member of these groups. Let me give you one example. I had a complaint just yesterday in the mail about what was alleged to be the insensitivity of members of the

faculty to religious holidays. This came from a member of the faculty. We need to take that seriously. We need to be sensitive and concerned about the needs of some, the choice of some to observe religious holidays. But behind that, there is a larger question. And I want to put it this way. We have a range of student services on campus, most of which were designed before this entering class were born. They haven't even been looked at, they haven't even been dusted off in the most intervening years. We need to take a fresh look at that huge range of student services on the campus and so the Provost has appointed or will appoint a committee, he has appointed a chair of that committee, Associate Vice President Joycelyn Hart, who will look across the campus at student services and see if we are using our resources, both campus wide and in the colleges, as effectively as we can to bring this about. I invite your help and cooperation in doing it.

"Some important trends, changes that came about this last year on the campus are the curriculum requirements in the College of Arts and Sciences. I think of the opening of AKWE:KON, the American Indian house a few weeks ago with its mixture 50/50 of American Indian and non-American Indian students. I think of the multi-cultural living experiment on the west campus. All these are welcomed leads. Let me also say under this heading, the multi-cultural, multi-racial nature of the campus and the hospitable and the welcoming supportive environment we have to create. For the last few days, the issue of sexual harassment has commanded the attention of the public, in fact, the whole nation, in a way it has never done before. And I want at this particular time to reaffirm the fact that that is a matter of immense importance at Cornell. We have a situation here where you and I as members of the faculty have under our influence a large number of people to whom we have a responsibility and we have to address this issue at a level of great seriousness on this campus. It won't do to pretend that this doesn't happen at Cornell. We know it does. We have had for much more than a decade, a variety of procedures in place that allow an individual who feels they have been a victim of sexual harassment, to complain with an absolute guarantee of confidentiality. Whether the complaint is justified or not, the complaint is treated as confidential. And we have a strong record of success in dealing with that. More than 34 cases that were reported, were dealt with effectively last year. But that can only be done if a) you are willing to take it equally seriously as an issue on the campus, and b) if those individuals who are the victims of sexual harassment will report the issue. This is a community where we have to prove day in day out that men and women can live together and do live together in a supportive role respecting and helping one another. And I ask your help in making sure that its reaffirmed on the campus. I issued a statement today that speaks directly to that.

"Issue number four: University-based research. The good news is that the allegations of fraud and misconduct that have played at one or two universities around the country, have not been a part of our life at Cornell. We have under the Dean of Faculty, a very effective system in dealing with alleged fraud in research. Only one

case came to the attention of the committee last year and that was dealt with. We have well-established policies. I also want to say that when Dean Lynn talked about the intrusion of NIH into the review allegations of wrongdoing in research, I am wholly supportive of the position that the FCR committee has taken in trying to turn around the determination of Washington to intrude in this before the faculty has had a chance to deal with it. In fact they publicized it as an allegation before any hearing had been held or the individual has had any opportunity to respond. The other thing I would like to note that we must take seriously is the question of alleged conflict of interest with commercial aspects of research on campus. And that will be something that will be addressed in the course of the year.

"Two things that are worth saying in addition about research on the campus. The first is that last year the total funding for research, the total external funding, reached \$291 million, that is a vast total within our overall budget. That was an increase of 2% over the year before and given the cutbacks in research, that's relatively good news. But 2%, of course, did not keep up with inflation. And so what we are clearly seeing now on our campus which has been anticipated over 18 months or less on other campuses, is not just a leveling off but a relative reduction in the level of support of research and especially in federal research.

"That brings me to indirect costs and this has received so much publicity this year that I don't know where to begin to talk about it. But let me at least bring you up to date of where we stand at Cornell. The cap on administrative indirect costs which has received a lot of publicity during the last few weeks, was finally set earlier this month at 26%. These are administrative indirect costs largely departmental. They have increased in recent years because of federal and other requirements dealing with things like the care of animals, toxic substances, general safety and environmental concerns. Our actual cost for administrative and indirect cost on the campus is 31%. And so we have a gap between the federal cap of 26% and our total of 31% on something like \$3 and \$3.5 million dollars. That's going to be a very heavy hit next year. Not nearly as hard as some other campuses, Columbia, Stanford, Michigan amongst them, but it is still a very difficult one. There are a couple of rays of hope in all that. It is clear that OMB did listen to the concerns of universities in not implementing that cap until the beginning of the next financial year for each institution. Our financial year begins July 1, '92, that's a help for us. The second ray of hope is that they have allowed the possibility of negotiations for universities whose indirect cost rates have been reduced. And we mean to negotiate as forcefully as we can on that.

"So, point number four, the cost of research. Point five, we are going to have a tough budget year ahead. We had a very tough one last year and you were very supportive and helpful all the way through. We are going to have an equally tough one next year. But not quite, I hope, with the kind of mid-year trauma and surprise that we had in last year's case. Why is that the case? In spite of the fact that the State legislature restored \$4 million in budget cuts that have been included in the Governor's executive

budget, we will still receive this year from the State about \$6.3 million less than we did a year ago. It doesn't count inflation, those are actual dollars and that of course is a very serious shortfall for us. That means that vacant positions are widespread this year, that we have this year not the 100 or 125 new faculty members that we are accustomed to in normal years but 46. And twelve of those are non-tenure track positions. That's going to mean that some courses are not going to be taught. It's going to mean that some sections are bigger than others. It's going to mean that some areas are not going to be covered. We've got a tough time ahead of us. That also means that the endowed colleges will feel the effect of that as well as the statutory colleges. That's because in the \$6.3 million that I just talked to you about is about \$2.2 million in Bundy Aid. This is aid given to every independent college and university in the state for every student they graduate and the scale of payments are graduated at different degree levels. We're short \$2.2 million at that. So across the campus, we are going to feel a chill of that budget reduction. I want to pay tribute to the deans and faculty committees for the very responsible and farsighted way they have dealt with these shortfalls. We have a balanced budget this year and we need to stay in budget. And that compares I should tell you with absolute confusion in many sister institutions. Yale will have a deficit budget this year for the first time in 11 years. Syracuse, just up the road here, has to cut its base operating budget by 15%. One estimate of the deficit at Stanford is \$90 million. The deficit that Stanford itself uses on a general purpose operating budget is a \$40 million reduction on a \$420 million base. And so tough as the situation is for us, in fact we are in a lot of company. Let me just mention one more thing. In spite of that, in spite of this tight budget year, we've got to do even better. We've got to provide an even better service than we have on a leaner budget.

"I got a letter last week which pleased me. It was from a parent, I won't quote his name. He sent me a very angry letter a little earlier in the semester complaining about a charge on the bill that he received for his son. He wrote back to thank me for straightening that out and said in a final paragraph, 'I should tell you that my son continues to tell us in every conversation what a fine faculty and staff the ILR school has, and how he has already made close personal linkages with many of them.' He goes on and `praises even the meal service and though `that strains credulity to his mother and me.' There it is. I wanted to say that because I believe that if you could duplicate that story across the campus in every college and that's the kind of service that we have to multiply 18,000 times for every student on the campus. These are great students that are paying a differential tuition because they believe quite rightly they are going to get a higher quality, more individual concerned service here and we have to make sure that is the case.

"Point six, Cornell's people. I want to talk very briefly about two things that are going to be of concern and where we shall need your help this year. The first is the uncapping of mandatory retirement and you will know that will hit us on January 1, 1994, which isn't so very far away. And what is now a 70 year cap on continuing the faculty role will

be lifted. Two committees, two nationwide committees, have recently looked at this topic and concluded that it would cause no great problems anywhere except they added in the research universities and that of course is cold comfort to us. What's this going to do? We don't know. Will people stay on until they drop in mid-sentence at the lectern? Or will they choose to retire at some earlier age? We really do not know the answer to that. The countervailing tendency is something like 1/5 of our faculty are going to reach retirement age in the next five or more years. And that's not only going to mean we have a rapid turnover but we are going to find great difficulty in replacing them if they all leave at once. There is going to be a shortage in every discipline to replace what Bob Barker calls 'the square wave of retirement' that's about to hit us. So we don't know exactly how that is going to work out. But we have a committee, chaired by Clint Sidle which is looking at the affects of that and which I hope will report next spring.

"The second group, the second membership group of the Cornell community that I want to say a brief word about is the graduate students. There is an increasing concern nationwide about graduate students. I talked to you about this a year ago, partly its the length of time of the degree which goes on increasing despite all the good intentions that we and graduate students can bring to this. It's partly the question of how they support themselves as graduate students by serving as research assistants or teaching assistants. And its partly the question about the unequal distribution of work between those categories and within those categories and the unequal distribution between departments. We are going to address those issues, I hope during the coming year in an open and straightforward way. We've had a committee that has been working helpfully on this, chaired by Jere Haas and the Provost will be working with you during the course of the year in facing up to these particular concerns. There's a financial element in this as well, in spite of the fact that in the last three years we had increased graduate students stipends by 10% per year, twice as much as the general increase in faculty stipends. We are still concerned about the overall support for them.

"One final topic I just want to mention to you and that is external evaluation. On October 27-30, we are to have a sight visit from the Middle States Accreditation group. We shall have on the campus ten people, ten senior faculty members and administrators from other universities who will look at the campus up and down and sideways in every dimension they will roam around the campus, they will stop you on the street, I hope and ask you what you think about this or that. We do not control and do not wish to control just what they do when they arrive on the campus. They will choose the people they'll meet, they will choose the topics they will talk about in general terms. We've put some general questions to them. For example, the relationship between the statutory colleges and endowed college. Research on the campus and how we go about it. These are some of the general issues we put to them. The organization of student services and so they will be discussing those. They will be roaming across the campus and I hope you meet some of them and I hope you

will speak as candidly as you wish with them about Cornell's present status. This happens about once every ten years or so. In fact, I chaired the same accreditation panel for MIT exactly a year ago. And it provides us with a useful benchmark. We won't know what that committee thinks formally at least until sometime in February or March next year. But several actions follow from the review that that committee provides. They may either recommend that we be reaccredited without any limitations or they may recommend that we have some limitations put on reaccreditation. It's likely, I hope, that the first will be the case but if we don't get that, then the results are very serious because federal support on the campus depends on accreditation. I mention that because the presence of this team chaired by Stanley Ikenberry, President of the University of Illinois, is going to be very important to us in the years ahead.

"I am very conscious that I've given you a pretty bleak set of topics today. Not all of them are good news and I recognize that. But I continue to be so impressed day by day at the things we do very well. So much on the campus goes well. It doesn't always attract headlines, we are not always conscious of it ourselves but in so many ways it takes a newcomer coming to campus to see how well things are done. The Provost and I and the Dean of the Faculty have been meeting in small groups with incoming members, newly appointed members of the faculty, and a senior woman faculty member said to me at one of these small groups a week ago, that she has come from another respected institution where she had taught in the Freshmen Seminar. And the thing that struck her most coming to Cornell was how admirably the Freshmen Seminar was arranged here and conducted in comparison to this excellent university at which she previously served as a faculty member. It's that kind of little microscopic view that reminds you of how well things are done. It's the fact that such a high proportion of the faculty here are volunteer Faculty-in-Residence or Faculty Fellows in the residence halls. It's the encouragement you have given to this faculty program of Faculty Fellow-in-Service linking through our students, through the modest funds we have made available in everything from a computer scheme in trying to track missing children to rural projects in Mexico. In so many ways, day by day, I want to thank you for the leadership you provide. All this against a background that is a very tough topic. We shall get some help but not much immediate help from the Cornell campaign, which with the goal of \$1.25 million, is at about \$530 million in one year. That doesn't mean in 18 months, we have collected all of that because we had some in our pocket when we started as the nucleus fund. But the people who have given those gifts are satisfied customers. They are alumni who years ago, as well as recently, made close linkages with Cornell through an individual member of the faculty and that continues to be the case. This year we're third again in the nation in the level of gifts we received, behind Harvard and Stanford. But for the first time ever, we led the nation in individual giving. Ahead of both Harvard and Stanford and that's an indication of the bonds you have formed with Cornell students over the years and its a vote of confidence in you as they support us in the years ahead.

"I mentioned a moment ago that we had been celebrating 125 years of Cornell's history. And I am struck as I mentioned to the alumni last week by a quotation from Walt LaFeber, the Marie Underhill Noll Professor of American History, that he made fifteen years ago. Walt LaFeber put it this way in talking about the dream of Ezra Cornell and Andrew Dickson White, 'the founders of our nation and the founders of our university shared a common commitment, indeed a common passion: a belief in the power of ideas to transform individual lives and thus to improve society.' I want to thank you, friends on the faculty for the way, day in and day out, you show that passion of power of ideas to try and transform individual lives and so to improve society. In a unique and remarkable way you provide the leadership which is going to make the next 125 years even more successful than the first and for that I want to salute you and to thank you very warmly. Thank you."

Speaker Martin: "Thank you very much, Mr. President. Are there questions for President Rhodes? Yes."

Associate Professor Jeremy A. Rabkin, Government: "The message in your speech that we need to do more for the undergraduate student body to be more representative of the nation I thought was a little strange both because the figures that Professor Castillo-Chavez gave seemed already represented and second because it just seems a strange thing for a university that is rather selective. Are you speaking about something you have put a lot of effort into or is it some off-handed remark?"

President Rhodes: "I have put a lot of thought into this and we are a selective university and I'm determined to have the best, the best students and that's why we have to continue to put effort into this. By the turn of the century, 1/3 of our nation will belong to so-called minority groups. It's wrong to call them minority groups anymore. That means universities such as ours, which can provide the best in educational terms, have to find the best young men and women from these groups in order to equip them for leadership and so although I am happy with the 29% total that we have, it represents a sustained effort, it just doesn't happen, it represents a sustained effort by the faculty by the admissions staff in the colleges, by students themselves going out and serving as recruiters. And this has to remain as far as I'm concerned one of the highest priorities. It will not happen unless we continue to give it our best support and our best effort."

Associate Professor Ann Lemley, Textiles and Apparel: "I would just like to juxtapose the comment about the square wave of retirement and our concerns about affirmative action. And I'm suggesting that this is an opportunity to replace the square white males with women and minorities. On the issue of sexual harassment, several years ago we had a report at the FCR of students surveyed on sexual harassment and the university's answer to some of those problems was in training its staff. I then got up to ask Provost Barker when we were going to have some training for the faculty? And he said we could do these things with the faculty but we couldn't force faculty into training."

I would like to mention opportunities for people to know about which the College of Human Ecology took advantage of last month. Ironically before the occurrences last week. And this is from Joycelyn Hart's office. And almost every faculty member, half male, half female faculty all went to a three hour program where we saw skits on sexual harassment in a theater production on racial discrimination, harassment, and on professor/staff inappropriate behavior. They were short skits and then you could speak to the actors while they were still in character and so forth. Those discussions and the different perceptions were amazing and again we cannot force our faculty to do that but I would like to encourage every other college to twist the arms of every other faculty member at this University to have this done. It makes more sense, than just to have strong statements. It opened up everyone's eyes and we have this resource here at Cornell and we have something we can do and I encourage every faculty member of this University to be involved and take part of this theater production."

President Rhodes: "Thank you. I want to say that all of us have been through that workshop and I agree fully with you. It's outstanding and very effective. It's interactive theater. The actors and actresses continue to play their role through discussion. All the deans and many of the department heads, over 2,000 people on the campus, have been through it but nothing would please me more than to have more faculty participation and we will provide the workshops and encourage you to come."

Professor McAdams: "Mr. President, you said you think we need to go on the defensive and I would like to ask how we as faculty can aid in this effort and is there some way we can develop a joint plan and so it is not just administration but the faculty joining with the administration in doing so?"

President Rhodes: "We need your help. I don't believe that even if we chose to do it ourselves, the administration are the right people, I don't think we are to be believed in this necessarily so its the faculty really engaged in research and scholarship. I would answer, Alan, that almost everyone is going to be useful when talking to legislators when you meet them, talking to opinion shapers and influencers, talking to everything from rotary clubs to colleagues at scientific conferences, talking to people at the federal agencies when you go to Washington, op/ad pieces, letters to the editor, scholarly contributions, there is a world of untapped scholarship possible here. And all those are going to be useful ways. Willingness to appear on panels to talk about it, all those things are going to help us. If faculty members are going to take part in that in a systematic way, we would welcome your help, because I do believe there is not a deliberate attempt on the part of some people to downplay the significance of colleges and universities to the well-being of a nation."

Professor McAdams: "It strikes me that some sort of orchestrated approach would be much more effective than assuming that the faculty, acting as individuals, will fill the void. I think this may be a need."

President Frank H.T. Rhodes: "Hank Dullea has joined us this year and Linda Grace-Kobas is available and we will be very glad to arrange a brown bag lunch or breakfast and invite people to come and talk to us about it. I would be very happy to sit in as part of that discussion if there is interest. Thank you."

Professor Arthur Berkey, Education: "I would like to comment on another bleak picture and ask about parking fees. I happen to be one of those people who because of faculty responsibilities beyond my control are unable to avail myself of the Omni Ride or car pooling, etc. I find as a state employee I have no salary increments this year, probably none next year, so I'm getting reductions. In a time of one week salary lag, I find it reprehensible that I should be charged a 30-40% increase in my parking. I think it's unfair and unjust for the Cornell administration to impose fees that are using the faculty and staff as deep pockets to pay for capital improvements to the program. You told us your thank you today very eloquently. I see that thank you twice monthly in my payroll deductions. Thank you."

President Frank H.T. Rhodes: "I recognize, Professor Berkey, the real hardship that faculty members and staff in the statutory colleges have experienced this year. We are very mindful of that. Now I also recognize that there is no popular way, no satisfactory way to solve the problem that we face. But we do have a shortage of parking places. We have to make parking improvements in order to keep up with the number of those who wish to use them and what we try to do is to devise a scheme that provides greater access to the campus but reduces the level of inconvenience and cost. I don't pretend it's perfect, but we can tell you that on the whole it has worked tolerably well. And the reason for saying that is that the number of people who responded to the Omni Ride. There are those I know who face genuine hardship. We would be glad to work with you if there are specific ways in which we could do that but it is not an easy problem to solve."

Professor Berkey: "There is no way for you to work with me in terms of reducing my fees, number one. Number two, it is not a case of shortage of parking places, all you need do is to drive by B lot and see the vast open spaces any day. All you've done is transferred the excess spaces from A lot to B lot at considerable inconvenience to the people who use the free parking option who already drive in from Spencer, Van Etten and so forth."

President Rhodes: "Professor Berkey, I appreciate your concern and I would like to respond fully to your criticisms. I'm willing to do that, I think that Paul Griffen is with us to talk about the detailed studies we've made of the parking numbers, parking spaces. I'm not sure this is the right place to do it but if you and the faculty wish it, we'll have a whole faculty meeting devoted to parking."

Professor Berkey: "The question is not is there a shortage. The question is should employees pay for it? That's the question."

President Rhodes: "As one of several questions. But one question is how we pay the costs of operating the campus."

Professor Berkey: "That's the question I'm addressing. Thank You."

Professor McAdams: "Just a little research. A recent survey of our group revealed that the average faculty person is working about 150% of their committed time, if you look at the allocation grants, classes, so forth. Different colleges are trying to look at means of somehow adjusting this. The fact of the matter is we really need priorities of what do we give up in order to continue working at any kind of sensible pace. I think it's becoming almost unconscionable at this point to say we are going to have a massive federal, state and local campaign to show how good the University is and so forth. Whose time is that going to be anyway? And how are we going to define the priorities?"

President Rhodes: "I don't think I used the words 'we are going to have a massive state and federal campaign.' I invited members of the faculty who wished to participate with us to make a case for the universities. I think it is going to support the long term needs that you have in research and other areas if the public understands the benefit of those needs. Every department, every college will determine its own priorities. I recognize the fact that the faculty do work very hard. I'm not unmindful of that. But we do have work to do in the public arena in convincing our friends outside the campus that that is the case. Not everyone will join in this, and not everyone should. I'm not sure if some would be effective advocates for it. But in fact some need to and we need their help."

Assistant Professor Elaine Wethington, Human Development and Family Studies: "You spoke with some detail about what the State budget is like for the coming year. I would like to ask you though to look a little bit more in the future for us. Clearly, in a period of about two 1/2 years to three years State support will be less. But the contribution of the State colleges particularly the important efforts of this university you highlighted, such as the increase in diversity among the student body at Cornell, a major contribution to the diversity among the faculty is housed in one particular state college. That's Human Ecology. What is the long term impact of reduced state support on this important sector at Cornell. What would the University do as a whole to maintain its present state? "

President Frank H.T. Rhodes: "Very important question. The long term impact upon the service we can give to the State is negative. Its negative in every sense. Its negative in the service off the campus, with the extension service. Its negative in the research that can be done in the Agricultural Experimental Station in Geneva. And in other places. It's negative in the range of facilities and courses that are open to the students on the campus. But that's one thing that we have to persuade our fellow citizens in the State, it is a fact of life. You get what you pay for in education. Now

what choices do we have in this situation? Not too many. One is to reduce something, to cut out a whole department here and there. One department was cut out by Dean Call and combined with others this year. We might reduce a whole college conceivably. Is that wise? I don't know. We need to think about that. But two things we can do which are much less painful than that. The first thing that we can do is to rationalize what we do on the campus at the moment. Sociology and Economics spread across the campus each little empire with its own turf. Agricultural Economics, Consumer Economics, Economics, Economics in the Business School, Economics in the Hotel School, Economics in the Law School; same with sociology. We've got to use our resources intelligently and the biggest obstacle to doing that is the preservationist instincts of the faculty members in those departments. We can help ourselves and I hope you will help us to do that. The second thing we can do is going to mean a loss to the state and that is we can change the ratio of in state to out of state students. Because we receive a higher level of tuition from out of state students. That's a loss to the state. But if the state will not support us, to provide an education to the citizens of the State of New York, we have to go to the second solution. We can actually raise the level in some colleges, raise the level of undergraduate admissions by taking a higher proportion of out-of-state students and we are exploring that. You've been very patient. Thank you very much."

Speaker Martin: "May I make one quick announcement. Don't forget the November 13th FCR meeting. A report from the Financial Policies Committee and a vote on December 11th. We congratulate you tonight. You set some records, 164 attendants and we have exceeded our FCR quorum by 14. It's been a long time! Thank you."

Adjourned: 6:00 p.m.

Mary Morrison  
Secretary of the Faculty

NEW YORK STATE COLLEGE OF AGRICULTURE AND LIFE SCIENCES  
CORNELL UNIVERSITY

BIOMETRICS UNIT  
IN THE

DEPARTMENT OF PLANT BREEDING AND BIOMETRY

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SEP 27 1991

DEAN OF FACULTY

Mailing Address:

337 Warren Hall, Cornell University  
Ithaca, New York 14853-7801

September 27, 1991

TO: Walter Lynn, Dean of Faculty  
FROM: Carlos Castillo-Chavez, Chair, FCR Committee on Affirmative Action  
RE: Annual report, 1990-91

*Carlos Castillo-Chavez*

I will begin this report with a quote from the University's 1990-1991 Summary of its Affirmative Action Plan (page 9):

"The actual number of minorities equaled or exceeded the statistically expected number in the following job groups: professor (tenured, tenure track, and non-tenure track), associate professor (tenure track), assistant professor (tenure track and non-tenure track), lecturer, teaching associate, senior research associate, associate librarian, senior assistant librarian, and assistant librarian, and therefore no goals have been established."

The FCR Committee on Affirmative Action held its first meeting of the academic year on October 29, 1990 and I was elected chair. Further meetings were held on November 19, December 3, December 10, December 17, December 21, March 18, and May 8. In addition, we met with the EC-FCR on November 1 and April 27.

#### Faculty commitment to affirmative action

One of the primary objectives of the committee was to interview the chairs and members of each college committee on affirmative action so as to "review the work of college faculty affirmative action committees and progress towards achieving the university's faculty affirmative action goals in employing women and minorities" (committee charge).

On December 3 we met with representatives of the committee from the College of Architecture, Art, and Planning; on December 17 with those from the Schools of Hotel Administration, Law, Human Ecology, ILR, and Veterinary Medicine. A special meeting was held on December 21 with Professor John Elliot, Chair of the Affirmative Action Committee of the Johnson School of Management. On May 8 we met with the college committees on affirmative action from the Colleges of Agriculture and Life Sciences, Arts and Sciences, and Engineering.

In the process of organizing these meetings, I found out that it was difficult even to ascertain current membership of the several college or school affirmative action committees. There is rapid turnover and records are incomplete. These meetings clearly illustrated the problems of incoherence and lack of communication in the total university program. The degree of commitment of the committee members was variable, and on several occasions, disappointing. Colleges' faculty involvement is minimal at best. We have been in contact with many individuals involved in affirmative action committees. The existence of so many groups with almost no power only creates a tremendous amount of paperwork and NO results. A more effective network is essential. Furthermore, the role that these committees play in the hiring of white women and men and women of color is, in most cases, irrelevant because of the lack of effective faculty support.

#### Status of white women and minority faculty

The data provided in Appendix A<sup>1</sup>, compiled at my request by the office of Jocelyn Hart, Associate Vice President for Human Relations, clearly indicate that we live in a segregated university, with minority faculty concentrated in a relatively small number of departments and programs. For example, of 105 departments and units,

<sup>1</sup>Appendices available from office of the Dean of the Faculty, 315 Day Hall

49 have no minority faculty, and 72 have no African-, Hispanic-, or Native-American faculty members. A few telling examples: the ILR College has only two minority faculty members, both tenure-track. The College of Engineering has 21 minority faculty: 1 Hispanic-American, 1 Asian-American female and 19 Asian-American males.<sup>2</sup> The Physics Department has 6 minority faculty members – all tenured Asian-American men. The Africana Studies Program has 7 faculty members, all African-Americans. If we further aggregate the data, we get a less revealing, and less devastating picture. These less-informative data on the 1583 tenured and tenure-track faculty (as of November 1, 1990) include:

- 1011 white male tenured faculty
  - 19 African-American tenured faculty
  - 49 Asian-American tenured faculty
  - 6 Hispanic-American tenured faculty
  - 0 Native-American tenured faculty
- 
- 218 white male tenure-track faculty
  - 8 African-American male tenure-track faculty
  - 21 Asian-American male tenure-track faculty
  - 5 Hispanic-American male tenure-track faculty
  - 0 Native-American male tenure-track faculty

Women, and especially women of color, do not do very well. There are:

- 138 white female tenured faculty
  - 7 African-American female tenured faculty
  - 3 Asian-American female tenured faculty
  - 1 Hispanic-American female tenured faculty
  - 0 Native-American female tenured faculty
- 
- 89 white female tenure-track faculty
  - 5 African-American female tenure-track faculty
  - 2 Asian-American female tenure-track faculty
  - 0 Hispanic-American female tenure-track faculty
  - 1 Native-American female tenure-track faculty

While there has been some slight improvement in numbers, a glance at Appendix A will convince the most enthusiastic individuals that observed recent progress is insignificant. In 1990, there were still colleges with NO tenured minority faculty, and the College of Agriculture has just added its first tenured Hispanic faculty member, the chair of this committee.

I am therefore extremely surprised at the minimal goals set forth by the FCR on May 11, 1988. The FCR adopted a goal of at least 137 minority faculty in tenured and tenure-track positions by the Fall of 1994. This would have involved a net gain of 15 minorities in a six year period, that is, only two-and-a-half per year. Furthermore, if we divide these positions in relationship to their current numbers at Cornell, it would have amounted to the addition of about 9 Asian-Americans, 4 African-Americans, 2 Hispanic-Americans, and 0 Native-Americans. This could have been accomplished, for example, by the addition of 2 African-American faculty to the Africana Studies Program and 2 more to the English Department, and 2 Hispanic-American faculty members to the Department of Modern Languages and Linguistics. As the data in Appendix A vividly reveals, this is not a farfetched outcome. In fact, the essence of minority recruitment at Cornell is that, for instance, African-American faculty will continue to increase through those programs intimately associated to Africana Studies. While we cannot fail to recognize the importance of these efforts, we cannot ignore their ghettoizing effect. Where are the Hispanic-American ecologists, biochemists, art historians, anthropologists, sociologists, management and financial experts, electrical engineers, entomologists, rural sociologists, labor economists, microbiologists, lawyers, etc? Where are the African-American mathematicians, physicists, economists, psychologists, engineers, nutrition experts, industrial and labor relation experts? Where are the women of color? Where are the Native Americans? We seem to be offered a choice of having either a highly segregated university, or having no Hispanic-, African-, or Native Americans.

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<sup>2</sup>It is not clear from this information (see Appendix C) how many of these faculty members came to the U.S. at the graduate level, and that consequently became residents after their appointments.

Discussions with the different college committees on affirmative action have re-affirmed an already well-established fact at Cornell; that is, that Cornell faculty are hired by Cornell faculty. We will not see a significant addition of white women and minority faculty unless the Cornell faculty takes this task seriously. The state of the economy presents a real hurdle in accomplishing this objective but we cannot use the state of the economy to justify the hiring record over the last five years.

I am forced to conclude that we have not seen a significant rise in the number of underrepresented faculty. Furthermore, important changes will not take place until the faculty accepts the challenges and responsibilities inherent in the construction of a truly American university.

### Applicant pool

There has been much discussion about the size of the applicant pool. We believe that too much emphasis has been put on this hard-to-estimate population and that the level of segregation observed at the university is only consistent with a non-existent applicant pool to most of the areas taught or researched in the university.

A common argument made at Cornell is to blame our society's educational problems on pre- and elementary school deficiencies. We recognize the existence of a severe pipeline problem; however, I find it too simplistic to explain Cornell's present level of segregation by this argument alone. By focussing on the pipeline problem, one can "easily" explain Cornell's lack of diversity, while exempting the higher educational system of all responsibility. We should deliberately avoid the use of such circular arguments in the planning and evaluation of our affirmative action efforts at Cornell.

Despite the fact that there is about 17% minority enrollment at the undergraduate level at Cornell, there is only an 8% enrollment at the graduate level (these percentages would be substantially lower if we omit Asian-Americans). Foreign enrollment constitutes about 12% of our undergraduates, and about 36% of our graduate enrollment. From a ratio of about 2 foreigners per 3 minorities at the undergraduate level, we move to a ratio of about 3 foreigners per each minority at the graduate level. Consequently, it is not surprising that 43% of our minority faculty got their bachelor's degrees outside the U.S. (see Appendix C). Minorities either are not being encouraged to attend graduate school, are not choosing to go to graduate school, or are not being accepted.

One of the more commonly used arguments at Cornell to explain the low number of minority faculty is the lack of a larger pool of applicants. Since 43% of the minority faculty at Cornell came to this country as foreign graduate students (presumably with the sole purpose of pursuing their studies) and immigrated (most likely because of an academic job offer), what then is the size of the availability pool? Furthermore, if no more than 57% of our minority faculty (about 72) are "home grown," is it not true that our rate of failure is even higher than that shown by statistics based on home pools consisting of permanent residents and citizens? Several members of the minority faculty become members of the available pool a year or so after they have accepted a job. Last year's report used an availability pool of 10.7%<sup>3</sup> on a faculty of 1,632 in tenure and tenure track positions. If we use the same percentage on a faculty of 1583 (provided in this report) it gives us an employment goal of 173 minority faculty. Since there are 127 minority faculty, it implies that we need to hire at least 46 minority faculty to achieve this goal. Note again that this conclusion, already addressed by the 1989-1990 FCR Committee on Affirmative Action report is in sharp contradiction with the 1990-1991 University's Summary of its Affirmative Action Plan. Furthermore, if we concentrate on hiring minorities that are permanent residents or citizens at the time of employment we have a very different picture; that is, we need to hire at least 101 "home grown" Ph.D.'s to achieve this goal.

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<sup>3</sup>Report of the National Research Council, 1989, percentage of doctoral degrees held by the minority scholars, citizens, and permanent residents

## Academic and Non-faculty staff

A glance at Appendix B clearly shows that non-faculty academic positions, especially those of lecturer, are held primarily by women (see Appendix B). The segregation and exploitation of women in this capacity is not in the best interest of the staff, the faculty, the students, or the university. This is an issue that requires immediate attention.

## Recommendations

Unless strong and decisive measures are taken, the situation at Cornell will not change in any significant manner. Furthermore, we feel that Cornell not only should commit itself to affirmative action, but should play a leadership role at the national level. The emphasis that you and President Rhodes have placed on high-quality undergraduate education, and on the recognition that our future depends heavily on the success of our minority populations, has led us to the following set of recommendations.

We feel that undergraduate education should share equal billing with research activities at Cornell. This goal cannot be achieved unless we reward successful teaching as highly as we reward successful research. Currently, Cornell employs a two-tier system consisting of research/teaching faculty on the one level, and lecturers on the other. We propose that faculty lines should be variable with respect to teaching and research responsibilities. For some faculty, research will be the primary responsibility; others may put the stress on education. This second, equally valued, faculty option would:

- enhance Cornell's leadership role in undergraduate education
- improve the status of white women and minorities at Cornell
- facilitate the recruitment of faculty
- increase the number of white women and minorities at Cornell

Area of specialization and research productivity would not be the only benchmark for a successful career; equally valued would be excellence and creativity in undergraduate teaching. This added flexibility would make it possible for departments such as biology, mathematics, physics, chemistry, anthropology, modern languages and linguistics, etc., to provide more and more diverse role models, to recognize the high value of teaching in this university, and to greatly improve the quality of undergraduate education at Cornell. Furthermore, the university should take parenting responsibilities into account, and allow for more flexible probation periods before tenure.

We recommend the establishment of guidelines in the formation of hiring committees. Committee members should be aware of the status of Affirmative Action efforts at Cornell as well as of hiring policies. A faculty advocate of affirmative action that is external to the search should be added to each hiring committee. The affirmative action faculty officer should be given sufficient power to re-initiate a search if she/he feels that no substantial efforts have been made to consider white women or minority candidates.

Graduate admission committee members should be trained on the development, re-evaluation, and implementation of fair admission criteria. A 3.2 GPA at Harvard is not necessarily better than a 4.0 GPA at Las Cruces, New Mexico; children of farmers and blue collar workers usually do not take courses that will train them for the SAT and, consequently, even large differences in SAT or GRE scores may be of NO significance. Women may change majors (move into science) later in their college education, making their records appear "weak". Students at small colleges may follow less specialized curricula than those at major research universities. This situation is compounded by the lack of minority and white women faculty in admission committees.

cc: FCR Committee on Affirmative Action, 1990-1991  
FCR Committee on Affirmative Action, 1991-1992  
Office of the Provost  
Human and Resource Development Council  
Jocelyn Hart, Associate Vice President for Human Relations  
William M. Thompson, Director - Office of Equal Opportunity

## Appendix A





TENURED AND TENURE-TRACK FACULTY  
 NOVEMBER 1, 1990  
 MEN FACULTY

----- COLLEGE=JGSM -----

DEPARTMENT	TENURED																	
	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN
JOHNSON GRAD SCHOOL MGMT	21	0	1	0	0	0	0	0	0	0	0	0	0	0	0	2	0	0

----- COLLEGE=ENGINEERING -----

DEPARTMENT	TENURED																	
	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN
APPLIED & ENGINEERING PHYSICS	14	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
CHEMICAL ENGINEERING	10	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0
CIVIL & ENVIRON ENGINEERING	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
COMPUTER SCIENCE	12	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0
ELECTRICAL ENGINEERING	31	0	4	0	0	0	0	0	0	0	0	0	0	0	0	5	0	0
ENVIRONMENTAL ENGINEERING	14	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
GEOLOGICAL SCIENCES	15	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
MATERIALS SCIENCE & ENG	13	0	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
MECHANICAL AND AEROSPACE ENG	21	0	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
NUCLEAR SCIENCES AND ENG	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OPERATIONS RESEARCH/IND ENG	17	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
STRUCTURAL ENGINEERING	11	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
THEORETICAL & APPLIED MECH	11	0	3	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

----- COLLEGE=HOTEL -----

DEPARTMENT	TENURED																	
	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN
HOTEL ADMINISTRATION	21	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0

----- COLLEGE=LAW SCHOOL -----

DEPARTMENT	TENURED																	
	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN	AFRICAN AMERICAN	ASIAN AMERICAN	HISPANIC AMERICAN
LAW SCHOOL	22	1	0	0	0	0	0	0	0	0	0	0	0	0	0	2	0	0

TENURED AND TENURE-TRACK FACULTY  
 NOVEMBER 1, 1990  
 MEN FACULTY

----- COLLEGE=ARCH ART & PLANNING -----

DEPARTMENT	TENURED MEN	TENURED AFRICAN AMERICAN	TENURED ASIAN AMERICAN	TENURED HISPANIC AMERICAN	TENURED NATIVE AMERICAN	TEN TRACK MEN TOTAL	TEN TRACK AFRICAN AMERICAN	TEN TRACK ASIAN AMERICAN	TEN TRACK HISPANIC AMERICAN	TEN TRACK NATIVE AMERICAN
AAP ADMINISTRATION	1	0	0	0	0	0	0	0	0	0
ARCHITECTURE	15	1	0	0	0	6	0	0	0	0
ART	7	1	0	0	0	2	0	0	0	0
CITY AND REGIONAL PLANNING	10	0	1	0	0	1	0	0	0	0
LANDSCAPE ARCHITECTURE	1	0	0	0	0	0	0	0	0	0

----- COLLEGE=ARTS & SCIENCES -----

DEPARTMENT	TENURED MEN	TENURED AFRICAN AMERICAN	TENURED ASIAN AMERICAN	TENURED HISPANIC AMERICAN	TENURED NATIVE AMERICAN	TEN TRACK MEN TOTAL	TEN TRACK AFRICAN AMERICAN	TEN TRACK ASIAN AMERICAN	TEN TRACK HISPANIC AMERICAN	TEN TRACK NATIVE AMERICAN
ANTHROPOLOGY	10	0	0	0	0	0	0	0	0	0
ARCHAEOLOGY PROGRAM	1	0	0	0	0	0	0	0	0	0
ASIAN STUDIES	2	0	1	0	0	5	0	1	0	0
ASTRONOMY	11	0	0	0	0	2	0	0	0	0
BIOCHEMISTRY (END)	6	0	0	0	0	3	0	0	0	0
CHEMISTRY	25	0	0	1	0	4	0	1	0	0
CLASSICS	7	0	0	0	0	2	0	0	0	0
COMPARATIVE LITERATURE	5	1	0	0	0	2	0	0	0	0
ECOLOG & SYSTEMATICS (END)	5	0	0	0	0	1	0	0	0	0
ECONOMICS	16	0	3	0	0	4	0	1	0	0
ENGLISH	29	1	1	0	0	2	0	0	0	0
ETHICS & PUBLIC LIFE	1	0	0	0	0	0	0	0	0	0
GENETICS & DEVELOPMENT (END)	2	0	0	0	0	1	0	1	0	0
GERMAN STUDIES	5	0	0	0	0	1	0	0	0	0
GOVERNMENT	18	0	0	0	0	3	1	0	0	0
HISTORY	28	0	2	0	0	2	0	0	0	0
HISTORY OF ART	6	0	1	0	0	0	0	0	0	0
MATHEMATICS	38	0	3	0	0	3	0	1	0	0
MODERN LANGUAGES & LINGUISTICS	15	0	1	1	0	3	0	0	0	0
MUSIC	14	1	1	0	0	1	0	0	0	0
NEAR EASTERN STUDIES	5	0	0	0	0	0	0	0	0	0
NEUROBIOLOGY & BEHAVIOR (END)	7	0	1	0	0	3	1	0	0	0
PHYSIOLOGY (END)	11	1	0	0	0	2	0	0	0	0
PHYSICS	39	0	6	0	0	7	0	0	0	0
PLANT BIOLOGY (END)	0	0	0	0	0	1	0	0	0	0
PLANT BIOLOGY (END)	1	0	0	0	0	0	0	0	0	0
PSYCHOLOGY	12	0	0	0	0	3	0	0	0	0
ROMANCE STUDIES	10	1	0	0	2	1	0	0	1	0
RUSSIAN LITERATURE	3	0	0	0	0	1	0	0	0	0
SOCIOLOGY	8	0	1	0	0	2	0	0	0	0
THEATRE ARTS	7	0	0	0	0	3	1	0	0	0









## Appendix B

ACADEMIC NON-FACULTY  
 NOVEMBER 1, 1990

SR LECTURERS & LECTURERS

COLLEGE	DEPARTMENT	TOTAL MALE	WHITE MALE	BLACK MALE	ASIAN MALE	HISP MALE	AM IND MALE	TOTAL FEMALE	WHITE FEMALE	BLACK FEMALE	ASIAN FEMALE	HISP FEMALE	AM IND FEMALE		
AAP	ARCHITECTURE ART	0 1	0 1	0 0	0 0	0 0	0 0	1 1	1 1	0 0	0 0	0 0	0 0		
A&S	ANTHROPOLOGY BIOCHEM (E) CLASSICS ECOL SYSTEM (E) ECONOMICS ENGLISH GEN AND DEV (E) HISTORY MATHEMATICS MOD LANG & LING MUSIC NEAR EAST ST PHYSICS PLANT BIO (E) PSYCHOLOGY ROMANCE ST SOC HUMAN THEATRE ARTS WOMEN'S STUDY WRITING PGM	0 0 0 1 1 4 0 0 1 13 3 2 3 0 0 0 0 5 0 2	0 0 0 1 1 3 0 0 1 9 3 2 3 0 0 0 5 0 0 2	0 0 0 0 0 1 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 2 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 2 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	1 1 3 0 0 17 1 1 1 51 1 2 2 1 2 5 1 7 1 6 3	1 1 3 0 0 16 1 1 1 34 1 2 2 1 1 2 1 6 1 3	0 0 0 0 0 0 0 0 0 1 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 2 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 14 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 2 0 0 0 0 0 0 0 0 0 0	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0
JGSM	JOHNSON GSM	2	2	0	0	0	0	3	3	0	0	0	0		
ENG	CIVIL & ENV ENG COMPUTER SCI ELEC ENG ENG ADMIN	2 0 3 2	2 0 3 2	0 0 0 0	0 0 0 0	0 0 0 0	0 0 0 0	0 1 0 2	0 1 0 2	0 0 0 0	0 0 0 0	0 0 0 0	0 0 0 0		
HOTEL	HOTEL ADMIN	12	11	0	0	1	0	7	7	0	0	0	0		
LAW	LAW	3	3	0	0	0	0	3	2	0	1	0	0		
CTRS	AFRICANA ST BIOSC ADMIN CORNELL-IN-WASH LRN SKILLS CTR	2 0 1 4	0 0 1 3	2 0 0 1	0 0 0 0	0 0 0 0	0 0 0 0	1 1 1 3	0 1 1 2	1 0 1 1	0 0 0 0	0 0 0 0	0 0 0 0		



ACADEMIC NON-FACULTY  
NOVEMBER 1, 1980

INSTRUCTORS & TEACHING ASSOCIATES

COLLEGE	DEPARTMENT	TOTAL	WHITE	BLACK	ASIAN	HISP	AM IND	TOTAL	WHITE	BLACK	ASIAN	HISP	AM IND
		MALE	MALE	MALE	MALE	MALE	MALE	FEMALE	FEMALE	FEMALE	FEMALE	FEMALE	FEMALE
A&S	ASIAN STUDIES	0	0	0	0	0	0	1	1	0	0	0	0
	ASTRONOMY	0	0	0	0	0	0	1	1	0	0	0	0
	CHEMISTRY	4	4	0	0	0	0	6	6	0	0	0	0
	MATHEMATICS	3	2	0	1	0	0	0	0	0	0	0	0
	MOD LANG & LING	3	2	0	1	0	0	22	9	0	12	1	0
	PHYSICS	3	3	0	0	0	0	0	0	0	0	0	0
	PSYCHOLOGY	0	0	0	0	0	0	1	1	0	0	0	0
	THEATRE ARTS	5	5	0	0	0	0	5	4	1	0	0	0
	CORNELL-IN-WASH	1	1	0	0	0	0	0	0	0	0	0	0
	LRN SKILLS CTR	2	2	0	0	0	0	0	0	0	0	0	0
CALS	ANIMAL SCIENCE	1	1	0	0	0	0	0	0	0	0	0	0
	BIOCHEM (S)	0	0	0	0	0	0	1	1	0	0	0	0
	ECOL SYSTEM (S)	1	0	0	0	0	1	0	0	0	0	0	0
	NATURAL RES	1	1	0	0	0	0	0	0	0	0	0	0
	SOIL CROP ATMOS	1	1	0	0	0	0	0	0	0	0	0	0
HUEC	HUM DEV FAM ST	0	0	0	0	0	0	1	1	0	0	0	0
	NUTRITION(HUEC)	0	0	0	0	0	0	1	1	0	0	0	0
VET	CLIN SCI	1	1	0	0	0	0	3	3	0	0	0	0
	PATHOLOGY	2	2	0	0	0	0	1	1	0	0	0	0
	PHYSIOLOGY	0	0	0	0	0	0	1	1	0	0	0	0
	VET TEACH HOSP	0	0	0	0	0	0	2	2	0	0	0	0

ACADEMIC NON-FACULTY  
NOVEMBER 1, 1990

SR RESEARCH & RESEARCH ASSOCIATES

COLLEGE	DEPARTMENT	TOTAL MALE	WHITE MALE	BLACK MALE	ASIAN MALE	HISP MALE	AM IND MALE	TOTAL FEMALE	WHITE FEMALE	BLACK FEMALE	ASIAN FEMALE	HISP FEMALE	AM IND FEMALE	
A&S	ANTHROPOLOGY	0	0	0	0	0	0	1	1	0	0	0	0	
	BIOCHEM (E)	4	1	0	3	0	0	1	1	0	0	0	0	
	CHEMISTRY	11	7	1	3	0	0	2	1	0	1	0	0	
	CLASSICS	1	1	0	0	0	0	1	1	0	0	0	0	
	MOD LANG & LING	0	0	0	0	0	0	1	1	0	0	0	0	
	NEUROB & BEH(E)	2	2	0	0	0	0	0	0	0	0	0	0	
	APPL ENG PHYS	1	1	0	0	0	0	0	0	0	0	0	0	
ENG	CHEM ENG	1	1	0	0	0	0	0	0	0	0	0	0	
	CIVIL & ENV ENG	1	0	0	1	0	0	0	0	0	0	0	0	
	COMPUTER SCI	8	3	0	0	0	0	2	1	0	1	0	0	
	ELEC ENG	4	3	0	0	1	0	0	0	0	0	0	0	
	ELEC ENG	2	2	0	0	0	0	2	2	0	0	0	0	
	GEOLOG SCI	2	2	0	0	0	0	1	1	0	0	0	0	
	INSTOC	4	3	0	1	0	0	0	0	0	0	0	0	
	MATERIALS SCI	4	3	0	1	0	0	0	0	0	0	0	0	
	MECH & AERO ENG	2	1	0	1	0	0	0	0	0	0	0	0	
	NNF SUBMIGRON	4	4	0	0	0	0	0	0	0	0	0	0	
	PLASMA ST	3	2	0	1	0	0	0	0	0	0	0	0	
	STRUCT ENG	1	1	0	0	0	0	0	0	0	0	0	0	
	THEOR APPL MECH	1	0	0	1	0	0	0	0	0	0	0	0	
	CTRS	BIOTECH (END)	0	0	0	0	0	0	1	1	0	0	0	0
		CHESS	4	4	0	0	0	0	0	0	0	0	0	0
CISER		2	1	1	0	0	0	0	0	0	0	0	0	
CTR ENV RES		6	5	0	1	0	0	1	1	0	0	0	0	
LASSP		1	1	0	0	0	0	0	0	0	0	0	0	
LNS		28	22	0	6	0	0	2	2	0	0	0	0	
NAIC/ARECIBO		14	12	0	0	1	0	0	0	0	0	0	0	
ORNITH LAB (E)		1	1	0	0	0	0	0	0	0	0	0	0	
RADPHYS SPACE		11	10	0	1	0	0	0	0	0	0	0	0	
THEORY CENTER		3	2	0	1	0	0	1	1	0	0	0	0	
CALS		AG & BIO ENG	4	4	0	0	0	0	0	0	0	0	0	0
		AG ADMIN	0	0	0	0	0	0	1	1	0	0	0	0
	AGRIC ECON	4	3	0	1	0	0	0	0	0	0	0	0	
	ANIMAL SCIENCE	4	4	0	0	0	0	1	1	0	0	0	0	
	BIOCHEM (S)	4	3	0	1	0	0	2	2	0	0	0	0	
	BIOTECH (S)	2	2	0	0	0	0	1	1	0	0	0	0	
	ECOL SYSTEM (S)	3	3	0	0	0	0	2	2	0	0	0	0	
	ENTOMOL (GEN)	4	4	0	0	0	0	0	0	0	0	0	0	
	ENTOMOL (ITH)	1	1	0	0	0	0	2	2	0	0	0	0	
	FLOP & ORN HORT	1	1	0	0	0	0	0	0	0	0	0	0	
	FOOD SCI (GEN)	1	1	0	0	0	0	1	1	0	0	0	0	
	FOOD SCI (ITH)	5	2	0	3	0	0	4	4	0	0	0	0	
	GEN AND DEV (S)	1	1	0	0	0	0	0	0	0	0	0	0	
	GENEVA COMPUTER	1	1	0	0	0	0	0	0	0	0	0	0	
	HORT SCI (GEN)	1	1	0	0	0	0	0	0	0	0	0	0	
	MICROBIO (AG)	1	1	0	0	0	0	0	0	0	0	0	0	
	NATURAL RES	8	8	0	0	0	0	3	3	1	0	0	0	

ACADEMIC NON-FACULTY  
NOVEMBER 1, 1990

SR RESEARCH & RESEARCH ASSOCIATES

COLLEGE	DEPARTMENT	TOTAL MALE	WHITE MALE	BLACK MALE	ASIAN MALE	HISP MALE	AM. IND MALE	TOTAL FEMALE	WHITE FEMALE	BLACK FEMALE	ASIAN FEMALE	HISP FEMALE	AM. IND FEMALE
CALS	NEUROB & BEH(S)	4	4	0	0	0	0	0	0	0	0	0	0
	NUTRITION (AG)	0	0	0	0	0	0	4	4	0	0	0	0
	PHYSIOLOGY (AG)	1	1	0	0	0	0	0	0	0	0	0	0
	PLANT BIO (S)	1	1	0	0	0	0	0	0	0	0	0	0
	PLANT BREED	4	4	0	0	0	0	3	3	0	0	0	0
	PLANT PATH(GEN)	4	3	0	1	0	0	0	0	0	0	0	0
	PLANT PATH(ITH)	4	4	0	0	0	0	4	4	0	0	0	0
	POULTRY SCI	0	0	0	0	0	0	2	2	0	0	0	0
	RURAL SOC	2	2	0	0	0	0	2	2	0	0	0	0
	SOIL CROP ATMOS	6	5	0	0	1	0	0	0	0	0	0	0
HUEC	HUM DEV FAM ST	1	1	0	0	0	0	5	5	0	0	0	0
	NUTRITION(HUEC)	11	9	1	1	0	0	3	3	0	0	0	0
I&LR	PERS HUM RES	0	0	0	0	0	0	1	1	0	0	0	0
	AV AO ANIM MED	1	1	0	0	0	0	1	1	0	0	0	0
VET	CLIN SCI	1	1	0	0	0	0	2	2	0	0	0	0
	DIAGNOSTIC LAB	3	2	0	0	1	0	2	2	0	0	0	0
	MICROBIO (VET)	2	2	0	0	0	0	1	1	0	0	0	0
	PATHOLOGY	1	0	0	1	0	0	1	1	0	0	0	0
	PHARMACOLOGY	4	4	0	0	0	0	1	1	0	0	0	0
	PHYSIOLOGY	6	5	1	0	0	0	0	0	0	0	0	0
LIBR	MANN. LIBR(CALS)	1	1	0	0	0	0	0	0	0	0	0	0
CTRS	ORNITH LAB (S)	1	1	0	0	0	0	1	1	0	0	0	0



ACADEMIC NON-FACULTY  
NOVEMBER 1, 1990

LIBRARIANS

COLLEGE	DEPARTMENT	TOTAL MALE	WHITE MALE	BLACK MALE	ASIAN MALE	HISP MALE	AM IND MALE	TOTAL FEMALE	WHITE FEMALE	BLACK FEMALE	ASIAN FEMALE	HISP FEMALE	AM IND FEMALE	
CTRS	CISER	0	0	0	0	0	0	1	1	0	0	0	0	
LIBR	AFRICANA LIBR	1	0	1	0	0	0	0	0	0	0	0	0	
	COLLECT DEVELOP	1	1	0	0	0	0	0	0	0	0	0	0	
	CONS & PRES	1	1	0	0	0	0	1	1	0	0	0	0	
	ENG LIBRARY	1	1	0	0	0	0	2	2	0	0	0	0	
	FINE ARTS LIBR	0	0	0	0	0	0	2	2	0	0	0	0	
	HOTEL LIBRARY	1	1	0	0	0	0	2	2	0	0	0	0	
	JGSM LIBRARY	1	1	0	0	0	0	2	2	0	0	0	0	
	LAW LIBRARY	1	1	0	0	0	0	4	4	0	0	0	0	
	MANSCRIPT & ARCH	2	2	0	0	0	0	2	2	0	0	0	0	
	MATH LIBRARY	1	1	0	0	0	0	0	0	0	0	0	0	
	MUSIC LIBRARY	1	1	0	0	0	0	1	1	0	0	0	0	
	OLIN LIBRARY	18	13	0	5	0	0	29	27	0	1	1	0	
	PHYS SCI LIBR	0	0	0	0	0	0	3	3	0	0	0	0	
	UNIV LIBR ADMIN	4	4	0	0	0	0	3	2	0	1	0	0	
	URIS LIBRARY	4	4	0	0	0	0	3	3	0	0	0	0	
	I&LR	ILR EXTENSION	0	0	0	0	0	0	1	1	0	0	0	0
	LIBR	GENEVA LIBRARY	0	0	0	0	0	0	2	2	0	0	0	0
ILR LIBRARY		3	3	0	0	0	0	7	6	0	1	0	0	
MANN LIBR(CALS)		8	8	0	1	0	0	10	9	0	1	0	0	
VET LIBRARY		0	0	0	0	0	0	2	2	0	0	0	0	

## Appendix C

Associate Vice President for Human Relations

Joycelyn Hart  
431 Day Hall  
Ithaca, New York 14853-2801

Telephone: 607 255-5358  
Facsimile: 607 255-9412

TO: Carlos Castillo-Chavez  
FROM: Joycelyn Hart *Joycelyn*  
RE: Statistics request  
DATE: December 18, 1990

The enclosed report provides the information that you requested.

In response to the committee's question about faculty with a foreign bachelor's degree, 14% of all tenured and tenure-track faculty received a bachelor's degree from a non-US institution, compared to 43% for minority faculty.

Please let me know if you have any questions.

c: Walter Lynn  
Bill Thompson

## MINUTES OF A MEETING OF THE FACULTY COUNCIL OF REPRESENTATIVES

November 13, 1991

The Speaker, Professor Emeritus Russell Martin, Communication, called the meeting to order. He called on Dean Lynn for remarks.

## 1. ANNOUNCEMENTS BY DEAN LYNN

Dean of the Faculty, Walter R. Lynn: "Let me call your attention to the green sheet of paper. There have been two announcements and two memos having to do with the posting of grades in conjunction with the Family Educational Rights and Privacy Act called FERPA, a legacy of Senator Buckley. Some of us struggle hard to find anything else he did that's memorable but to those of us in the academic world, he has made a great impact both in protecting students' rights, which is very important, but at the same time creating extraordinary burdens about a whole variety of things. A waiver has now been authorized by the Department of Education for posting of grades. You will shortly receive a memo, as will every faculty member, describing the conditions under which a waiver is acceptable for the posting of grades or leaving finished homework in a public place for students to pick up, something which is intended to relieve many of you from a burden having to do with special processing. I caution you about one thing, that students' willingness to offer a waiver is voluntary and may not be coerced. The green sheet gives you a sample of what such a waiver should look like in general (Appendix A, attached). Those who wish to sign a waiver will sign this and return it to you if they are willing to have their grades posted by ID number, not by name. Those who do not wish to do that, you are obliged to identify a personal identification number which is known to you and the student and that can be posted. I think this will provide us with some relief. Yes?"

Associate Professor Richard Galik, Physics: "I think that in a large course that you are going to have even more confusion with students who have pin numbers and those students with ID numbers."

Dean Lynn: "Part of the problem with this whole set of circumstances is that it is a federal regulation and we have no choice but to comply. Some people have already assigned a random number to each student. It makes life a lot simpler since the registrar produces a grade sheet with everybody's name on it and ID number. If those students are willing to have those grades posted by ID number, it makes life a lot simpler instead of composing another one but there may be all sorts of combinations. "If you don't have a waiver, you have to create a personal identifier. This will help some people but not everyone.

"At the last FCR meeting, I announced to you that the question of evening prelims has now been accepted by the Committee on Academic Programs and Policies and it is considering whether or not to bring some recommendations to this body at a later date.

"As all of you know the principal purpose of this meeting today is to discuss a report by the Financial Policies Committee and Professor Holcomb will do that shortly. That matter is no longer trivial and those of you who read the Chronicle of Higher Education this week will know there are problems faced by our sister institutions and ourselves growing in significance. In today's paper, it was announced that Yale University is offering its workers a plan to retire early. The University of California did the same thing about two months ago. So there's trouble that we, the institutions, will have to face. In the past, the Committee of Financial Policies has had its principal focus on the question of the endowed general purpose budget. It is about that issue that you are primarily here today. Starting with the initiative of Professor Ehrenberg and Professor Bugliari, I established an ad hoc committee under the Dean of the Faculty's office to consider the economic status issues of the statutory faculty since in fact these were not reviewed in the same spirit that the university general purpose budget was. That committee will shortly come before you with a recommendation to have the Committee on Financial Policies have oversight function in regards to the entire university budget including the statutory colleges; it is functioning that way, but this will formalize that with the body.

"I remind you again that today is not a meeting to act on the recommendations but to ask questions of this committee, to ask question of members of the administration who are here. The recommendations will be acted on by this body on the 11th of December. We hope you will all show up at that time. And Mr. Speaker, I think we have a quorum."

## 2. APPROVAL OF THE SUMMARY MINUTES OF THE COMBINED FCR/UNIVERSITY FACULTY MEETING OF OCTOBER 16, 1991

Mr. Speaker: "We are making history! Twice in a row. We have a quorum. Are there other questions for the Dean while we have him here? Are there any corrections to the minutes of the Combined FCR/University Faculty Meeting of October 16? There being none, they are approved. The chair next calls on Professor Donald Holcomb, Chairman of the Committee on Financial Policies."

## 3. REPORT FROM THE FINANCIAL POLICIES COMMITTEE

Professor Donald Holcomb, Physics, and Chairman of the Committee on Financial Policies: "Well, thank you, Mr. Speaker. What we would like to do today is to talk about some issues which were raised, first in the report which was distributed to you with the call of the meeting (Appendix B, attached). The specific recommendations which were handed out today (Appendix C, attached) will be discussed and then returned to the FCR meeting in December for action.

"The discussion or at least our proposals will focus on several key elements: undergraduate tuition and fees, policies for funding undergraduate financial aid, salary levels for endowed faculty with some commentary on statutory faculty and some comments on faculty and staff numbers. Now, I would like to ask you to bear with me for some discussion which will take about 20 minutes and I think it's probably useful to go through the background flashing sort of the minimum number of numbers but in fact some numbers really be looked at in order to have their process make sense.

"As the Dean suggested, the central piece of the action that we are dealing with is the budget over which the central administration has the primary control and what is called the general purpose budget (Table I, Appendix D, attached). Now that general purpose budget as it suggests up at the top does not include lots of dollars that flow back and forth. It doesn't include the New York State support of the statutory colleges, it does not include the sponsored programs budget and it certainly does not include the budget for facilities, which is ongoing year to year and is done through a separate channel. Also this does not include the so-called "designated colleges," Hotel School, the Law School and the Johnson School.

"Tuition fees as you can see provide about 58% in this general purpose budget, and investments and gifts, about 10%. Salaries and benefits together amount to 55% of expenditures. The other element that we will specifically focus on is undergraduate financial aid, which you can see is just under 10% of the estimate for the 1991-92 projection. It may have been growing since then.

"Actually at this time before going on into specific background for our recommendations which are directed primarily to those higher level of elements, I think I will touch on the statutory college situation which is important. Our committee membership is approximately half from the statutory colleges, and half from the endowed colleges. We are quite frustrated by the fact that we have no real handle for which to put our and the FCR's wisdom into the statutory college budget construction. But I think it is useful to hear a little about that. The new chair of this Subcommittee on the Economic Status for Statutory Faculty is here and if the speaker is willing to call upon her, she will have something to say and perhaps will ask for input from others."

Associate Professor Jennifer Gerner, Consumer Economics and Housing: "I'm the Chair of the Economic Status of Statutory Faculty Committee. We have talked about various things we can do to encourage the consideration of the economic issues that effect the statutory colleges. We currently are talking about the way we institutionalize our input into the budget process and we are also trying to talk more about some of the issues that are concerning the statutory colleges and these will be coming shortly with a proposal to the Financial Policies Committee for some changes in that committee. Right now is a terrible time for the statutory colleges. Hank Dullea, Vice President for University Relations, will tell what he knows or doesn't know, and then we will return to the Financial Policies Committee."

Henrik Dullea, Vice President for University Relations: "Thank you very much. As you've been reading in the New York Times and the local regional papers, this is a very tough time in Albany. The Governor has reported an anticipated deficit in the current state of the fiscal year, which ends this coming March 31st of \$689 million dollars. In conversations I have had only this afternoon with people in the State capital, I will tell you that I am encouraged that there appears to be some serious possibility that we could have a multi-year resolution of this current difficulty. The reason that this is very important is that it would allow the financing of the current year gap to be spread across 16 months rather than four months. And when you talk about imposing a percentage reduction of something like 2% on an annual basis and recuperating it from only four months in the year, we're talking about a 6% cut carrying that pull. So if there is any way in which the members of the legislature and the Governor can come to some agreement to spread that over the 16 month period, we will certainly will be in much better shape. Basic forces that are drawing a gap are both the revenue and the expenditure sides of inflation. On the revenue side not only the State, but the localities are experiencing a flatness of the sales tax revenues. We have seen that in recent reports right here in Tompkins County. Same is true statewide. That's a reflection of the lack of economics resurgence that has been anticipated for the third quarter of this calendar year. Some of the personal income tax which makes up about 52% of the State's revenues from the general fund has not been increasing at the rate it has been anticipated. That's about half of the problem.

"The other half of the problem is on the expenditure side. It has about three major components, all related to this economic factor. Medicaid spending has gone up to about 18% over the past year as opposed to the 12% increase that was budgeted. Closely related to that are state and local expenditures for home revenue. The third part of the increase in the expense pattern is closer to home. That's tuition assistance program funding. The same way our Office of Financial Aid has seen students coming back and reporting on the basis of their family incomes and so forth that they had greater need, students who were filing at the State level for Higher Education Services Corporation Support under the TAP program are in relatively lower economic categories than anticipated. These are the factors that are driving us to a \$689 million debt. So we are working very closely with our colleagues in the State University system in order to be able to respond when and if there is a plan announced. To go with that, we had to anticipate frankly that something might have been announced on Monday, this week, but I think it's good news for us that there was not a plan announced at that time and the reason it's good news is that the Governor and the Legislature are working on this multi-year alternative. As soon as we have more information in that regard obviously we will be sharing that with you. Thank you. I will be happy to answer any question that people have on that."

Professor Holcomb: "Let me now turn to the background on our Committee's recommendations. The first one has to do with setting up tuition levels. Prior to 1980 the rise in tuition levels was tracking the disposable income per capita, but subsequent to that the rate of increase in tuition has been greater than that of disposable income (Appendix C).

"Our recommendation is that the percentage rise in the tuition will be equal to the percentage rise in the disposable income per capita. Now, there are various ways to measure and the ability to pay out of this. None of these are perfect. We chose this disposable income per capita because we think its easier to get hold of these numbers than the reference used last year, which was something about the national increase in productivity. Over the past year the disposable income per capita has risen about 5 - 5 1/2%. For the 1992-93 year, we recommend that the increase in tuition and fees be no higher than 6.0%. This present year, it was 6.9% over the previous year. I suggest I go through and discuss this whole package and then we can open it up for questions.

"The second and closely related recommendation has to do with undergraduate financial aid. Sources of financial aid from non-local sources and state and federal support were more or less frozen in the early 80's. Cornell and other institutions have been plugging the gap with larger and larger input from local sources, and that has been a concern for people for many years. Figure 1 (Appendix E, attached) illustrates on the upper curve the actual tuition in constant dollars and in its lower curve the effective tuition payment used for operating expenses for the University. The difference is the amount of tuition fed back into the undergraduate financial aid budget. There has been a widening gap over the last several years. It's one of those things that our Committee feels that now is the time we really come to grips with that widening, because, there is no evidence that there are any forces at work which are going to cause it to shrink. There are commitments to current students about financial aid support, and the policies for the students and the entering class of the Fall of 1992 have been set. You'll notice that this recommendation says nothing about the admissions policy. In other words, what we are really saying is that we should not abandon the present admissions policy but if we are going to keep it, we must find other sources of income other than the unrestricted budget. And there is some help down the line around the capital campaign about which I will say something at the end. I want to get to the discussion period and Susan Murphy, if she is here, she is a bottomless reservoir on any numbers about admissions/financial aid situations.

"Another area which is a concern has been the faculty salary policy. Included in the call to the meeting were the 1991 salaries as drawn from the AAUP survey. These numbers are by institution and indicate salary levels for Professor, Associate Professor and Assistant Professor. We have taken those numbers and multiplied them by the fraction of the Cornell faculty who are in the represented ranks. And that procedure of trying to simulate Cornell faculty is not perfect because those ranks mean different things at different institutions. The Cornell endowed positions are ranked 17 where it

was two years ago but there was in fact a slight improvement in this distribution from roughly the University of California at Berkeley to Cornell. It has become significantly flatter over the two years and that percentage difference between those changing is from about 7% to about 4%. So those fractions have made little progress over the past two years in spite of the fact that the actual increments for continuing faculty were substantially below what was recommended by our committee. We recommended that our committee and the FCR approve a two year salary increase of 8 1/2%. We recommend that we stick with that. Cornell statutory faculty are listed as 22 in this comparison. Cornell statutory faculty salaries are measurably lower than SUNY Binghamton when compared on a 9 month basis. Rankings are on the basis of real income and do not include any differences in cost of living that may exist.

"But as we indicated earlier, much concern about the statutory faculty situation is the ability to have a handle on it. The committee has united in believing that it is in everyone's interest that the support of the endowed college faculty be strong because we are all on this ship together.

"Some comments about faculty and staff numbers (Figure 2, Appendix F). How to pay for all of this. We've talked about controlling the rise in tuition. Our committee suggests that we stick with the target of 8.5% salary increase for continuing faculty. Faculty and student growth has been approximately 4% or 5%. Non-faculty academics has grown substantially and I think that comes as no surprise to people. The biggest single component of that is in the instructional area. Lecturers, teaching associates, other people carrying on instructional duties, 26.7% over roughly 9 years. Professorial faculty is roughly 4 or 5%. Research folks in the non-faculty academics runs about 12.5% and I think that is not at all surprising. Sponsored research grew substantially through this period of time and that will primarily be measured in research categories. Extension people are up 13%. Non-academics have risen over that period by over 20%. It's very easy to say it's all those administrators in Day Hall and they are just growing out of bounds. In fact if you went below this surface, it's not this bad. College and departmental administrators have grown very substantially through this period of time. Research centers have grown. You have only to look at some of our two largest buildings, the Biotechnology Center and the two dimensional Theory Center building to realize that there is really substantial growth here and that it's just not faculty and students. Some aspects of this University were really under supportive, under managed, under administered, in 1982. Areas such as public information, Computer Information Technologies, student services, increase in demand with the realization that we have to supply more services as we are charging these folks more and more money. Classical support functions: clerical, technical, skilled crafts, service and maintenance, have grown very little. This one is kind of interesting in spite of the fact that the number of per square feet of building space is supported by the staff that has grown substantially. They have very little growth in the number of people here.

"What our Committee intends to do between now and the December meeting is to formulate a recommendation, specific and accurate. Otherwise we will keep interacting with the administrative people, asking questions about these various areas, looking for places which will bring things under control.

"Let me just point out areas we have noted in the report which really seem to require our attention. One is the student services area. I think there is actually a committee looking at this now, from Vice President Palmer's office. It's pretty clear that there are overlapping functions between the faculty and the rising counseling.

"This one is particular a tough nut to crack - computing. Because I think each of us has seen over the past 10 to 20 years the use of the computer and its expanding use of no natural boundaries. There is absolutely no way to know when you have done the last thing with your computer. And therefore, I think this is a particularly tough problem.

"In case of research centers, a lot of the growth and building space have been in response to the faculty's intellectual and professional ambitions and goals. The Governor says there is the possibility of trying to bring in a sunset clause here at zero sum on the number of research centers or similar enterprises. But at any rate, this is just going to require continual work, and we the Committee will do its best to be knowledgeable and make suggestions.

"Now the last thing I would like to talk about is the Cornell campaign. There are people raising the money whose goal is to maximize the amount of money raised because that's their function. And there are the donors, whose goal is to give, in order to put their name on it. And those crucial areas would impact the budget immediately in fact as it supports student aid.

"The goals of student aid are \$175 million of endowment. In another words, a kitty from which we get continuing resources if we were to draw from that total, 4% of whatever that is, you see you are talking about only \$7 million a year. That's approximately 25% or a bit more under the financial aid budget. So ultimately, that will be of some use. I think that the correct numbers are something like \$50 million raised but in fact, there is about \$15 million on hand. So it begins to make a dent. So at any rate, most of this will appear down the line, about five years perhaps is a reasonable number. I think I will just quit and turn it over to questions and discussion. Many of the other members of the committee are here including people from the statutory colleges who may well have better answers than I."

Mr. Speaker: "We will do our best to take the questions in order and again for the record please identify yourself. The floor is now open for questions. Yes."

Professor Steven Shiffrin, Law School: "I have a question and a comment after the answer. You didn't say what the shortfall was from meeting the goals and how much you need to raise by cutting costs?"

Professor Holcomb: "I think the present estimate is about \$4 million. I want to make a comment. You have in the salmon materials that you received, in which the Committee said last year that there should be a slight reduction in faculty and staff positions up by 2% per year in each of the following two years. A recommendation by our Committee in December 1990 to reassert this statement for the following two years was rejected by the FCR. The Committee at that time and its current membership believes that action may have been irresponsible since there were no matching suggestions from opponents as to how to achieve the others goals that have been set out."

Professor Shiffrin: "The minutes of the December 12, 1990 meeting do in fact specify how the 36 people who voted to reject the Committee's suggestion thought the money might be raised. I asked if the capital campaign had been considered and Professor Schuler said it had been considered indirectly, but that the operating expenses of the University might use at the same rate. However, the Committee did not seem to have considered the increase in gifts. I suggested that the budget would be balanced by taking funds from this campaign."

Professor Holcomb: "Last year the Committee was in the position of not being sure whether \$4 million or \$5 million could be taken out of the capital campaign and what impact that would have on the endowment overall. The respective graph we have put on the board has shown that a lot of money is not available. A lot of the money is promised for the future."

Professor Shiffrin: "Is it not the case that there is \$4 million of that money that has been given that could be used in the next year. What impact would that have on the overall goals of the endowment in terms of the production of funds and has the Committee taken that specifically into account?"

Professor Holcomb: "Let me first address that as a technical question and there are various people here and I don't want to finger any one particularly. Let's first address it as a technical question in other words, using if in fact the dollars in the bank account which could be fed into the general purpose budget for next year, out of the capital campaign if one wanted to. Mal, do you want to comment on that?"

Provost Malden Nesheim: "Let me comment briefly on it. In terms of this particular budget, recognizing it as the general purpose budget of the University, which is a budget that basically funds the College of Arts and Sciences, College of Engineering, College of Architecture, Art and Planning; it supports student financial aid; it supports the maintenance of academic buildings; it provides income that comes in from

overhead charges to Hotel, Law and the Johnson School. It's a budget that has a lot of interests and a lot of the central expenses of the institution. And one of the problems of course about the capital campaign and the expenditure of the particular sources of income from that is that a lot of the sources of income that are incoming are not directed toward uses that can be taken to feed into that budget directly. That is one of the dilemmas that we have. For example, unrestricted money goes into the Cornell fund, that is one of our biggest sources of unrestricted money. That goes out to the individual colleges. So the College of Arts and Sciences gets x amount of dollars from the Cornell Fund, so does the Law School, so does the other which is unrestricted money for that college and the college again in fact can make some judgments as to how they are going to use it. Many deans do not want to take that money for salaries or put ongoing expenses on it because it is in a sense soft money when it comes at the grace of people every year. The increases in that have not been \$4 million over this period of time for those kinds of funds. So in fact when we say there is a \$4 million gap between what we consider income and what we have as expenditures, some of the gap will be larger if it were not for the fact that capital campaign income has already been tracked into the equation in terms of the college budget. So that is another problem we've got dealing with that. So, I think really the suggestion you made in our following discussion last year is that we kind of essentially decapitalize for a period of time until the capital campaign catches up to it, is the suggestion you were really making. And the question is when we look 20 years down the road, will our successors and so forth be less than responsible for decisions at that particular time."

Mr. Speaker: "Are there questions? Yes. Professor Schuler."

Professor Richard Schuler, Economics and Civil and Environmental Engineering: "As an interested observer, I would just like to make the observation of what the difference is between recommendations of this year and last year. The tuition recommendation of faculty salaries is roughly in the same ball park. There is no difference here, there is no distinct recommendation for precisely how to cut costs and on the other side of it in terms of what they would like to do and the nature of the University. There is no longer the recommendation of continued Aid Blind admissions policy. I just wanted to try and highlight the differences without making any value judgments associated with them. And then second, a personal observation, I think Professor Holcomb has concluded by pointing out separation of expenditures on disposable income and where tuitions are going. I think that highlights that things cannot continue to go on as they have in the past with the University. The whole structure of what we do and how we provide it just has to change because economics will not support the time factor that we have provided in the past. We know that this is a truly tough decision that we despise and have to struggle with over the long run."

Associate Professor John Bishop, ILR: "I'm in support of your recommendations, I wanted to quickly ask how big the clerical staff is compared to the others and comment on that."

Professor Holcomb: "Total clerical staff is a little over 2,000 out of 6500 or 6600 non-academic."

Professor Bishop: "So there is not big bucks to be saved there. But let me make a comment anyway. And that is if there hadn't been any shrinkage in the clerical staff over the last 10-15 years in the face of realization of more work and most of us typing all of our own work, I think there must be slack in the clerical staff. One example to maybe compare us to is IBM who has a ratio of 17 professionals and executives to one clerical. In the past much of our work was writing papers before the invent of the computer and wordprocessor. It must have required a lot of clerical to get work done. Now that most of us type, it should require fewer, and I became twice as productive, maybe three times productive when I learned to type. So I recommend it."

Professor Rishi Raj, Materials Science and Engineering: "I would just like to offer my impressions of the recommendations made by the Committee. On one hand, they are saying to cut undergraduate aid and on the other hand to increase faculty salaries. That's fine, we can say that. I think the salaries need to be broader within the institution. Our student body is diverse and will really need more aid. I think that element of conversation is missing from the recommendation. The other point I would like to make is with regard to the limitation of the recommendation. I think there are driving forces beyond our control which are affecting the rising in tuition. It's a national issue. And simply I find it unrealistic to say that we will just have to limit student aid. I think there is a much more complex issue involved than financial."

Professor Holcomb: "Can I respond to that because I think its important? Particularly with respect to financial aid issues that is really tough. There are not many people all over this campus worrying about this more than Susan Murphy, here in the second row. The admissions policy in the opinion of most folks, I believe, has been the keystone in building a more interesting, stabilized diverse university body really enhancing the quality of the institution. Just to say again, although it may seem empty, but I don't think it is, our greatest hope would be to maintain an admission policy. What we are simply saying here is that we believe that one simply cannot take a larger and larger part of the unrestricted income to do that job. And what I really think this should be is a recommendation to find those resources to hang onto that policy."

Professor Raj: "Yes, I understand what you are saying. But you see our priorities have been first to serve the admissions policy. And certainly we want to limit student aid. We can say both things but the way we say it, we should say the first thing first. And that is not contained in the report here."

Professor Holcomb: "We may be able to reformulate that recommendation so that it doesn't produce the wrong message."

Professor Charles Levy, English: "With regard to financial aid, I have had a personal impression over the years that a number of parents could afford the true and entire cost of a Cornell education at the undergraduate level. Evidence of that can be seen by the expensive cars around the campus. The students who can afford to pay the actual cost of tuition education are paying that and a need is growing to among other things, for financial support of those who cannot.

"In regard to using current income or proceeds of the development fund, we must think of the people twenty years down the line, if in the next five or more years we are unable to keep the University at the fully professional expert professorial staffing that we have now. We may well be, when it comes to professorial staffing, back where Duke University was at the beginning of the 80's. Duke University marshaled all of its resources from a number of things that we competitors of Duke know too well. I don't think that the current campaign is designed to give us back the latest \$10 million reduction in the budget. We are going to find ourselves unable to compete in the market for new colleagues.

"With regard to the problem of the tug from the development people. We assume that they are proud indeed of the relatively low cost of 4 or 6 or 8 cents on the dollar as compared with the national average of 16 cents to the dollar. It may well cost a good deal of more money to break in the unrestricted endowment. That does not immediately result in a building with John and Mary Smith's name on it. It looks exceptionally good for the development people to come in with those lower expenses and those high bottom lines but they are not doing the University a great deal of good.

"And finally the remark I make over and over, of how fringe benefits play into the relative rankings. I would suggest that if fringe benefits are not figured in, these are strictly salaries, and because we have taken a hit in a very significant fringe benefit, namely the health plan, we should estimate perhaps a loss of 1/3 of that 3% creep. The loss of the traditional full coverage option, the old Option 1, must have resolved in the loss of at least 1% compensation. I cannot imagine that the University would have killed Option 1 in the dark of night, to save less than a third of a million dollars on the faculty. You save a third of a million dollars in faculty health care if you figure in the taxing factor."

Dean Lynn: "I would like to point out that 70 FCR members turned out today. I congratulate you all and I remind you to attend the December meeting."

Professor Bishop: "The most startling thing of all is that the expenditures generally in the University and the promised endowments and the new funding coming, seem to be directly related to areas that don't affect the teaching functions of the University. That

is the research elements so on and so forth. And I become very concerned about problem excuses in financial aid. So I think one of the facts about which to keep in mind is just not the ability of the students to pay for that tuition but what payees should get or what to expect to get of our faculty."

Professor Kurt Gottfried, Physics: "The financial aid problem is rather heroic but in the end too college dependent by a small number of smaller institutions to compensate for an irresponsible national policy on federal and state support of research universities. And I think this should be laid out. I think it's something that we all understand that is never stated that is in a form that is clear by faculty bodies and administrators and I don't mean only at Cornell."

Dean Lynn: "I would like to point out to Professor Gottfried that this body has within its power to both comment and offer that as a recommendation or a complaint or a statement on the part of this faculty. That's perfectly appropriate. Somebody has to design that and bring it to the body for discussion and debate and to make a public presentation on behalf of this faculty."

Professor Alan McAdams, JGSM: "I just have one question. Is there any effort made by the committee to do some comparative analysis as you did back with the salaries in regard to financial aid, positioning the availability of Cornell. I know that was a little more difficult because of all the factors to weigh in but how is the financial aid contribution per student?"

Dean Susan Murphy: "I don't think the committee would have taken that into consideration although we do have some data that we can work out in the Financial Aid Committee that prepares Cornell's commitment and unrestricted funding."

Professor McAdams: "Can you give that a rough estimate?"

Dean Murphy: "In terms of the amount of unrestricted funding we are about in the middle of the pack. Those numbers that we are using in tuition and fee income, slightly higher than the financial aid, is roughly about 17%. There are other institutions that are roughly 4% because they have run completely out of endowment and our peer institutions are as high as 30%. Average runs about 15%."

Mr. Speaker: "Professor Holcomb, our sincere thanks to you and your Committee. If there are no objections, we are adjourned."

Adjourned: 6:00 p.m.

Mary Morrison  
Secretary of the Faculty

“SAMPLE”

**WAIVER UNDER FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT**

I (Student's Name) consent to the use of my Student ID number for the purpose of (posting of grades), (return of homework/exams/assignments), (other) for (Course Name and Number) for the (Semester, Academic Year), thereby waiving my rights in this regard under the Family Educational Rights and Privacy Act of 1974. I understand that such consent is not required by the University and I affirm that it is in all respects freely and voluntarily given.

I understand that this waiver will be retained by the instructor in charge of the course for a period of one year following its expiration.

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Signature of Student

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Date

**Report from Financial Policies Committee to the Faculty Council of  
Representatives in preparation for meeting of November 13, 1991**

[NOTE: The Financial Policies Committee will distribute its recommendation for specific targets for the 1992-1993 budgets at the November 13 meeting of the FCR.]

Preliminaries

We note that the central administration and the Trustees have full control over only the Endowed College General Purpose budget. Many of our comments and recommendations are implicitly directed toward that component of the University budget. However, there are interlocking connections to other major components of the overall University budget, especially the New York State funding of the Statutory Colleges, and some of our recommendations assume the desirability of strong efforts to influence those other components.

We view the key areas of particular faculty competence and interest as

- Faculty and student numbers
- Student tuition
- Student financial aid policies
- Faculty salary and fringe benefit policies
- Research and teaching effectiveness at Cornell (Deployment of faculty time and energy)
- Direct staff support of the teaching and research enterprise
- Retirement arrangements for faculty

We fully support President Rhodes goals of (1) developing "a better not bigger" Cornell and (2) moving toward "one university", insofar as the interactions of endowed and statutory colleges are concerned. We believe that our commentary and recommendations are fully consistent with these goals.

Our comments and recommendations rest on the assumption that the undergraduate student population will remain constant.

**Review of actions by our committee and the FCR over the past two years  
and the apparent response to recommendations**

1. Financial aid policies:

In December 1990, our committee and the FCR recommended that the University

- **Maintain current financial aid policies.**

What happened?

No essential changes in financial aid policies were put in place for the 1991-1992 academic year.

2. Increases in graduate student stipends: In December 1989, our Committee and the FCR recommended that

- **Graduate student stipends should rise by 10% in each of the following two years.**

In December 1990, this recommendation was modified in the form of a recommendation for an 8.5% increase in graduate student stipends over each of the two following years (91-92 and 92-93 budgets.)

What happened?

Complete information on all graduate stipends are not available (there are many local differences). The minimum level of stipends for new TA's in 1990-1991 was set at 7.4% above the 1989-1990 level and for 1991-1992 was set at 6.9% above 1990-1991. These increases in base rates resulted in salaries for second-year TA's in 1990-1991 rising by 9.2% compared to their previous year and by 8.6% for 1991-1992.

3. Faculty salaries:

In November 1989, our committee and the FCR recommended

- **Increasing the competitiveness of faculty salaries by increasing their levels by 10% over each of the next two years.**

In December 1990, that recommendation was modified by advocating an 8.5% salary increase for continuing faculty over the two following years, 1991-1992 and 1992-1993.

What happened?

Data on salary increases for continuing faculty drawn from the 1990-1991 AAUP report are given as Appendix A. The overall average of increases for continuing faculty in the three ranks together is about xxx for the endowed colleges and xxx for the statutory colleges, significantly less than the 10% recommended by our committee and the FCR.

Data for endowed college 1991-1992 salaries, in response to the recommendations of December 1990, are not yet available. It is, unfortunately, true that New York State budget woes have led to an average salary increase for continuing statutory college faculty for 1991-1992 which is only marginally greater than zero.

While the increase for 1990-1991 and, probably, the increase for 1991-1992 will be measurably less than we have recommended, there is some mild encouragement on the endowed faculty side. Also given in Appendix A is a graph which compares salary levels at a variety of research universities. A comparison with a similar graph for 1988-89, two years previously, shows Cornell-Endowed creeping closer to the group which extends from UC Berkeley through Michigan. The separation from UC Berkeley to Cornell-Endowed for 1990-1991 was 4.3% compared to about 7.2% two years earlier.

#### 4. Tuition Levels:

In December 1990, our committee and the FCR recommended that the University

- **Hold tuition increases, on average, within inflation plus the long-term growth rate of U. S. productivity.**

#### What happened?

The endowed undergraduate tuition rose by 6.9% for 1991-1992 compared to 1990-1991.

The graph in Appendix B displays graphically the central problem. The tuition level has significantly outpaced the growth in U. S. disposable income per capita over the past 10 years. One does not need to be in command of advanced mathematics to understand that this situation can not continue indefinitely -- the question is not whether but when the tuition rate of increase will return to a reasonable match with the disposable income per capita.

It is our assessment that this number must be lowered further. We shall return to more specifics on this issue in our action recommendations to be put before the FCR on November 13.

#### 5. Faculty and Staff Numbers

In November 1989, our committee and the FCR recommended that the administration(s)

- **Selectively reduce faculty and staff positions by up to two percent per year in each of the following two years.**

A recommendation by our committee in December 1990 to reassert this statement for the following two years was rejected by the FCR. The committee at that time, and its current membership, believe that action to have been irresponsible, since there was no matching suggestion from opponents as to how to achieve the

targets on financial aid, graduate student and faculty salaries, and tuition levels if personnel numbers were not decreased.

What has happened?

No decline in faculty and staff numbers has yet appeared.

**Discussion of Possible Directions in the Budget Years 1992-1993 and Following**

Financial Aid and Tuition Policy

An increasing fraction of unrestricted income, primarily from tuition and fees, is going into the financial aid pool. Our committee believes that the University must now act to arrest this trend. (It will certainly be arrested at some point, given the inexorable power of the exponential function.) Unless new sources of financial aid dollars are found, the current financial aid policy will need to be modified. We anticipate presenting somewhat more detail in our recommendations to be presented on November 13, along with a matching recommendation on tuition policy. (The two must be considered as a package, in our view.)

Faculty Salaries

With the small encouragement from the previous discussion in mind, our Committee will probably recommend that the FCR urge the administration to set 8.5% as an average increase for continuing endowed college faculty as a target in the 1992-1993 budget.

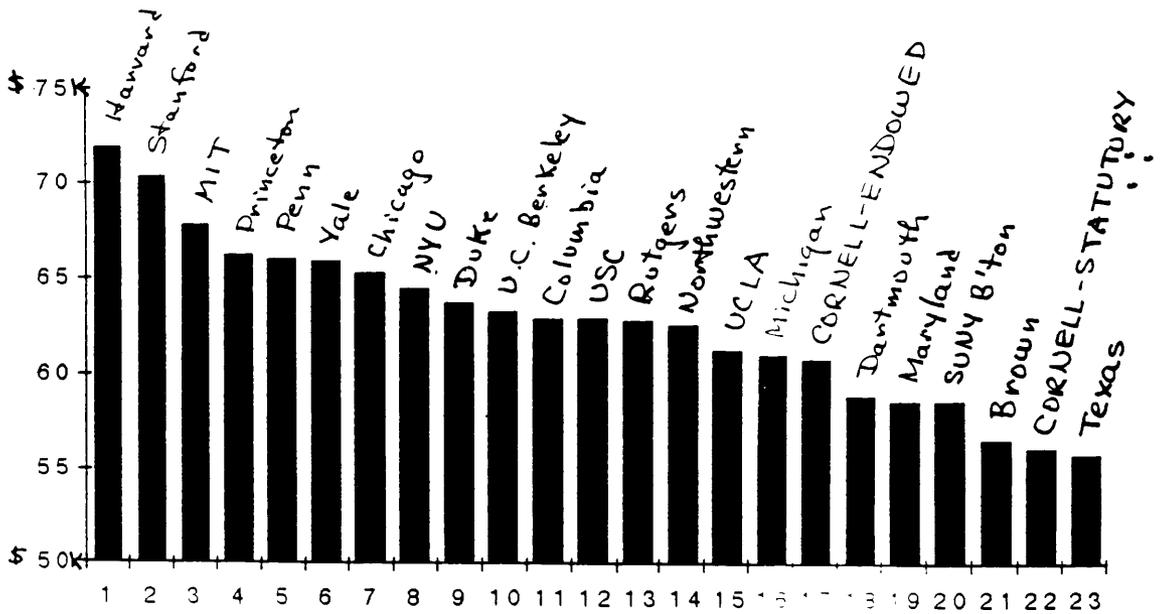
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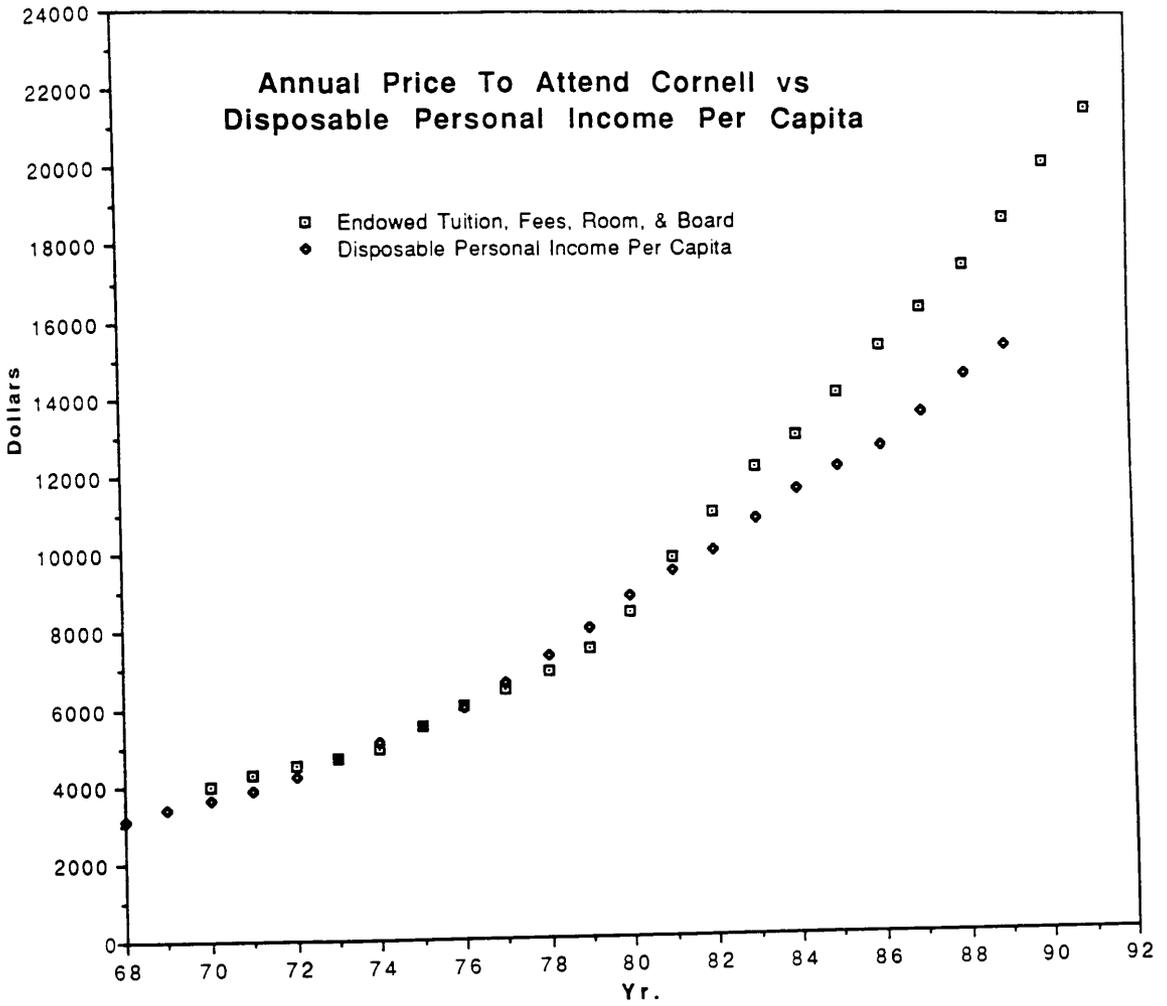
Appendix A  
Faculty Salary Data

Cross University 1990-1991 Salaries

	A	B	C	D	E	F	G	H	I	J	K	L
1		Prof	AsPr	AsPr	0.57 Pr	0.22 AoPr	0.21 AsPr	%Prof	%AoP	%AsP	90-91 Av	Ratio to CU
2												
3	Harvard	89.6	50	46.9	51.07	11	9.849				71.921	1.184
4	Stanford	83.3	59.3	46.9	47.48	13.046	9.849	5.9	9.4	7.4	70.376	1.159
5	MIT	79.8	56.8	46.8	45.49	12.496	9.828	6.1	8.8	8.8	67.81	1.116
6	Princeton	82.4	50.3	39	46.97	11.066	8.19	9.6	12.3	7.8	66.224	1.090
7	Penn	77.4	55.2	46.4	44.12	12.144	9.744	6.2	7.3	8	66.006	1.087
8	Yale	82.3	49.1	38.9	46.91	10.802	8.169	6.8	10.3	8.6	65.882	1.085
9	Chicago	78.5	50.2	45.2	44.75	11.044	9.492				65.281	1.075
10	NYU	76.2	52	45.5	43.43	11.44	9.555	6.8	7.2	8.9	64.429	1.061
11	Duke	75.8	51.8	43.5	43.21	11.396	9.135	7.2	9.1	9.1	63.737	1.049
12	UC Berkeley	76.5	50.4	41.2	43.61	11.088	8.652				63.345	1.043
13	Columbia	76.1	52.1	38.5	43.38	11.462	8.085				62.924	1.036
14	USC	74.4	51.7	43.5	42.41	11.374	9.135	7.1	6.7	8.5	62.917	1.036
15	Rutgers	74.2	53.3	41.7	42.29	11.726	8.757				62.777	1.034
16	Northwestern	73.7	51.1	44.2	42.01	11.242	9.282	8.4	7.7	9.5	62.533	1.030
17	UCLA	73.7	48.1	41.4	42.01	10.582	8.694				61.285	1.009
18	Michigan	70.7	52.1	43.8	40.3	11.462	9.198	4.8	5.4	6.3	60.959	1.004
19	CU-Endowed	71.5	49.3	43.5	40.76	10.846	9.135	6.8	8.1	8.3	60.736	1.000
20	Dartmouth	70.5	46	40.9	40.19	10.12	8.589	6.7	6	6.2	58.894	0.970
21	Maryland	69.1	48.6	40.7	39.39	10.692	8.547	6	5.9	6.6	58.626	0.965
22	SUNY Bing	68.6	50.4	40	39.1	11.088	8.4	6.1	7	8.2	58.59	0.965
23	Brown	67	46.1	39.3	38.19	10.142	8.253	5	7.7	7.9	56.585	0.932
24	CU Statutory	64.2	49.9	40.7	36.59	10.978	8.547	6	7.2	9.1	56.119	0.924
25	Texas	66.7	44	38.2	38.02	9.68	8.022	3	3	3	55.721	0.917

Cross University 1990-1991 Salaries (Weighted by Cornell Distribution of Ranks)





Appendix B

(Courtesy of Prof. J. R. Cooke)

**Recommendations concerning both short range (i.e., directed to the 1992-1993 Financial Plan) and long range financial policies which affect the Cornell Endowed Colleges General Purpose Budget**

Presented to the FCR at its meeting of November 13, 1991 by the Financial Policies Committee, for FCR approval and subsequent transmission to the Provost

**Membership of the Financial Policies Committee:**

Donald J. Barr, Human Service Studies  
 Harry M. Kaiser, Agricultural Economics  
 Robert F. Lucey, Soil, Crop, and Atmospheric Sciences  
 Anil Nerode, Mathematics  
 Meredith Small, Anthropology  
 Charles Seyler, Electrical Engineering  
 Bernard F. Stanton, Agricultural Economics  
 David Wilson, Biochemistry  
 Donald F. Holcomb, Physics, Chair

Our committee proposes the following action by the FCR:

The FCR recommends to the Provost that:

**1. Cornell's long-range tuition policy should hold the annual increase in Cornell undergraduate tuition and fees to the annual increase in U. S. disposable income per capita (DIPC).**

**For the 1992-1993 academic year, we recommend that the increase in tuition and fees be set at 6.0%.**

(Comments: Numbers available to the FPC suggest that the DIPC will increase by 5.6% in the 1991-1992 year. Over the past five years, the DIPC has increased at an average rate of about 5.5% per year. Tuition and fees for 1991-1992 are 6.9% above 1990-1991. We propose the increase of 6.0% for 1992-1993 as the second step in a transition to the long-range policy which we recommend.)

**2. The long-range policy for funding undergraduate financial aid should insure that the proportion of general purpose income to be applied to the undergraduate financial aid program be capped at approximately the level established in the 1991-1992 budget (which will be approximately 9.5%).**

(Comments: The FPC recognizes that this recommendation may have significant implications for overall admissions/financial aid policy. Although it is conceivable that other sources of funds might permit retention of the present, so-called "need-blind" admissions policy, it is most likely that some modification will need to be made. It is not within the charge nor the knowledgability of the Financial Policies Committee to make specific recommendations concerning such modifications. The FCR Committee on Admissions and Financial Aids and a new advisory committee established by the Dean of Admissions and Financial Aids are, no doubt, devoting significant attention to the possibility of such modifications.

We presume it is clear that the first and second recommendations form a coupled pair. It is our opinion that adoption of recommendation #2 is necessary if #1 is to be viable. And adoption of recommendation #1 will make #2 less Draconian.

We also recognize that formal or implied commitments to **current** Cornell undergraduates should be maintained. Policies concerning financial aid which will govern admission of the class entering September 1992 are already in place. Thus achievement of the long-range goal set in Recommendation #2 may either require several years to achieve or the temporary injection of funds from other sources.)

**3. The endowed faculty salary pool be set so that continuing faculty will receive salary increases which average 8.5% for the 1992-1993 academic year, in comparison with 1991-1992 salaries.**

(Comments: This recommendation is a modification of a recommendation passed by the FCR in December 1990 which specified an 8.5% salary pool. The current recommendation puts forth salary increases for continuing faculty as the more relevant measure. In the October 30, 1991 report sent to FCR members, we noted that Cornell-Endowed faculty salaries have made some small progress in comparison to peer institutions over the period 1989-1991, even though the increases were

smaller\* than recommended by our committee and the FCR. Significant further progress is needed. It is our judgment that the target set in this recommendation will achieve some further progress.

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\* In the October 30 report which was sent to FCR members along with the call to this meeting, summary numbers for Cornell faculty salary increases were omitted from a paragraph near the bottom of page 2. For continuing Endowed faculty, the average increase for 1990-1991 compared to 1989-1990 was 7.5% and for Statutory faculty about 7.0%. (For statutory faculty, that was the one decent year in the midst of a number of disastrous ones.)

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The Financial Policies Committee, which is itself composed of both endowed and statutory college members, is very conscious of the unhappy state of statutory college finances and the consequent deterioration of the faculty salary structure in the statutory colleges. We do not consider ourselves wise enough to make any specific recommendations to the FCR at its November 13 meeting which could alleviate this situation. The Subcommittee on the Economic Status of the Statutory College Faculty may be able to give useful input at the December 11 FCR meeting. But both endowed and statutory members of our committee see it in the long range interests of all colleges and their faculties that the central administration and the Trustees give full and unstinting support to maintenance of the high quality of the endowed faculty.)

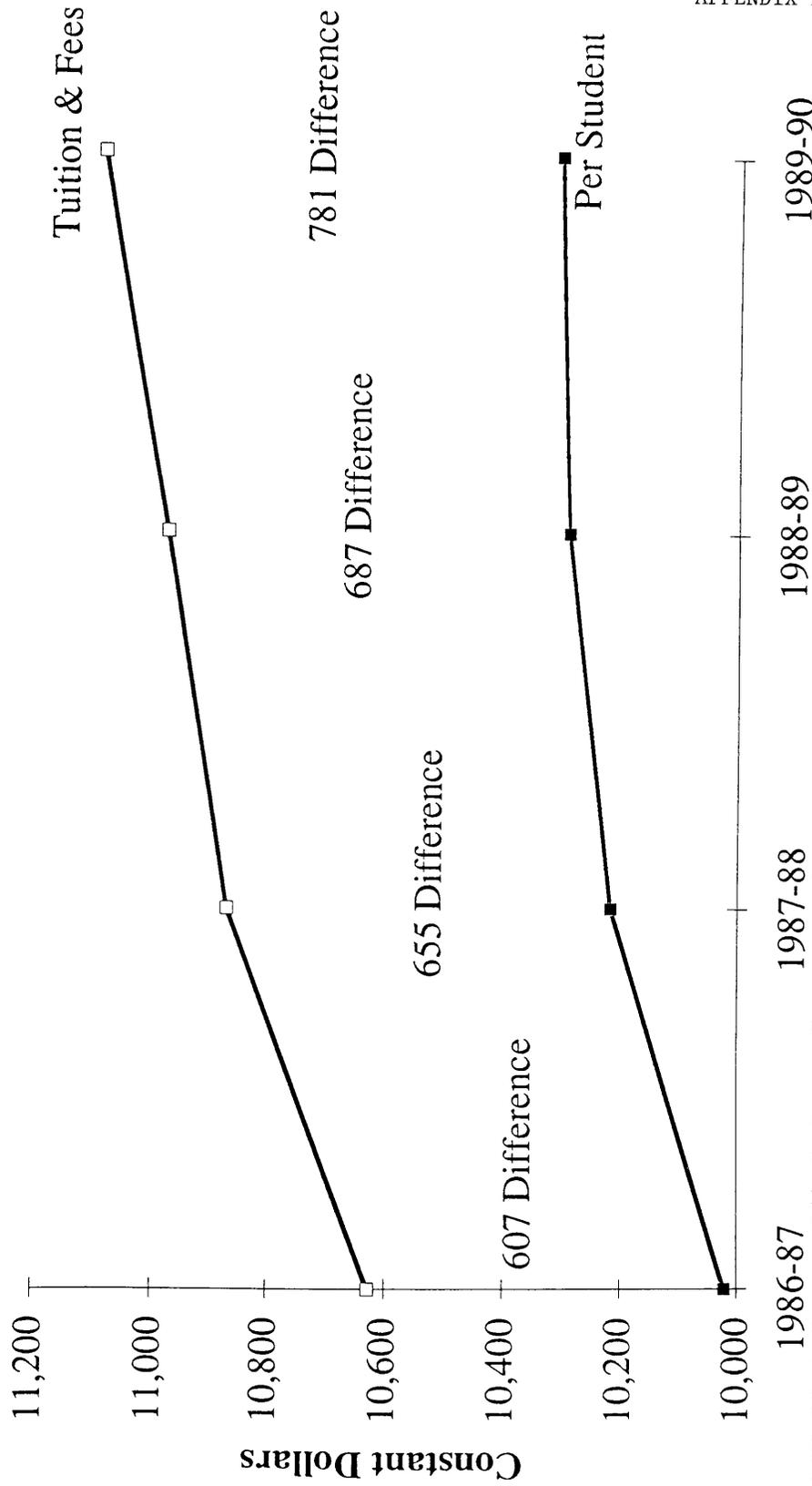
### **Faculty and Staff Numbers**

Full implementation of the three recommendations we have presented would require balancing economies in other areas. The single most important variable in setting overall university expenses and the number which drives many other indirectly connected elements (building space, parking system, support personnel, computer budget, etc.) is the total number of faculty and staff employees. Driven by a variety of factors, the count of (a) non-faculty academic personnel and (b) non-academic personnel has increased over the past 10 years substantially more rapidly than the rather small growth in the student population and in the professorial faculty (about 5 percent for each). Our committee is in the midst of an effort to try to get behind the raw statistical numbers and to provide useful advice to the provost and central administration as to how to stem and reverse the substantial increases in non-academic staff.

FIGURE 1

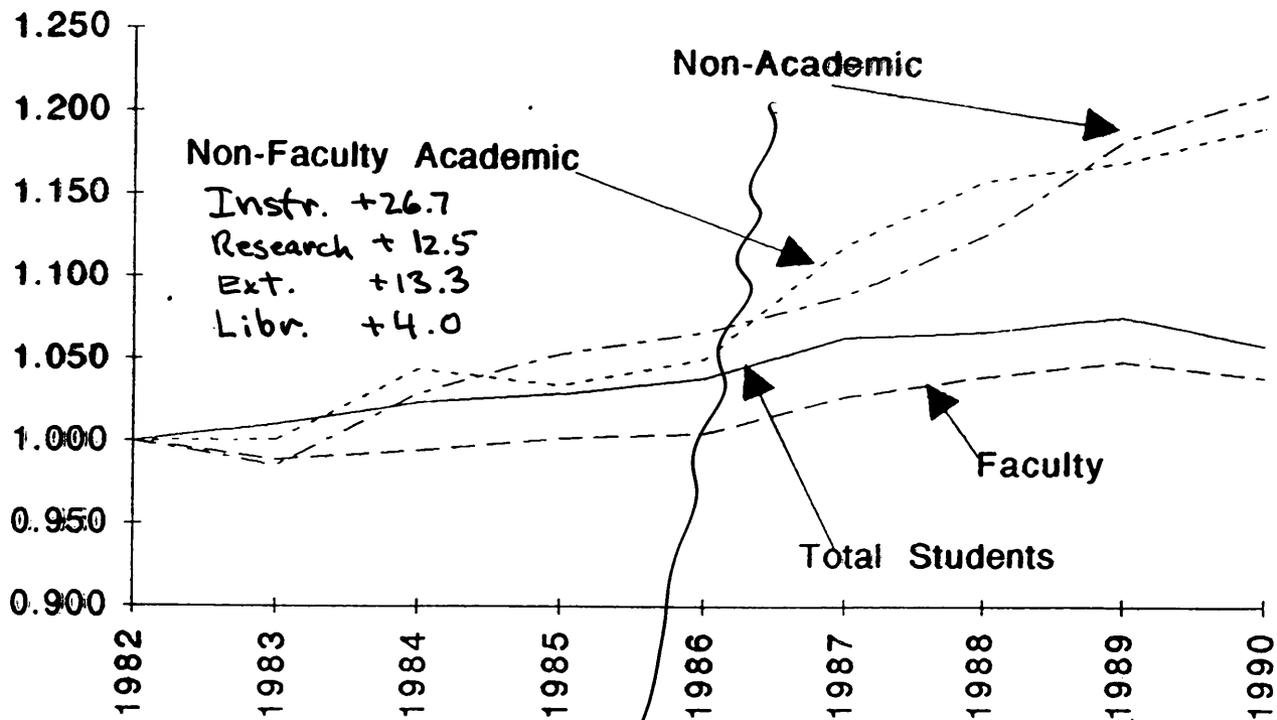
Values in Constant Dollars (1986-87 CPI=100)

# Effective Discounted Tuition Per Student - Endowed GP Undergraduates -



NOTES: Effective Discounted Tuition Per Student = (Tuition income - Cornell-based financial aid) / Yearly mean endowed undergraduates. Endowed GP Undergraduates = Architecture, Art & Planning; Arts & Sciences; Engineering; and Unclassified Students.

### Cornell Population 1982-1990



Growth Areas

- College → Dept'l Admin
- Research Centers
- Phys. Ed → Athletics
- Public Affairs
- Univ. Relations
- [Current campaign]
- Computing, Info. Tech
- Student Services
- Diverse, small admin. offices

Low Growth

- Clerical
- Technical
- Skilled Crafts
- Service/Maintenance

# MINUTES OF A MEETING OF THE FACULTY COUNCIL OF REPRESENTATIVES

December 11, 1991

**Present:** **CALS:** Berkey, A. (3); Feldman, R. (3); Hudler, G. (2); Lassoie, J. (3); McCormick, C. (3); Ranney, C. (3); Slack, S. (1); Trancik, R. (3); Wayne, R. (3). **A&S:** Abruna, H. (2); Ahl, F. (3); Bathrick, D. (2); Blume, L. (2); Caldwell, S. (2); Darlington, R. (3); Dear, P. (3); Fisher, E. (2); Galik, R. (3); Howland, H. (2); Lambert, B. (3); Mitchell, J. (2); Mullen, H. (2); Shiraishi, T. (1). **Engr.:** Billera, L. (3); Brown, G. (2); Kay, R. (3); Mukherjee, S. (3); Parks, T. (2); Raj, R. (3); Scheele, G. (3); Seyler, C. (3); Wise, F. (2). **Hotel:** Tabacchi, M. (3). **H.E.:** Garner, C. (3); Laquatra, J. (2); Lemley, A. (3); Wethington, E. (3). **ILR:** Kuruvilla, S. (2). **JGSM:** McAdams, A. (3). **Law:** Shiffrin, S. (3). **Univ. Libr.:** Finch, H. (3). **Vet. Med.:** Ball, B. (2); Farnum, C. (1). **At-Large:** Ehrenberg, R. (2); Fortune J. (2); Kazarinoff, M. (3); Lucey, R. (3); Norton, M. (3); White, R. (1).

**Absent:** **Afr. Ctr.:** Edmondson, L. (0). **CALS:** Albright, L. (2); Baveye, P. (1); Brown, D. (2); Ewert, D. (2); Gillett, J. (2); Glynn, C. (0); McDonald, D. (0); Riha, S. (2); Shapiro, M. (1); White, S. (0); Wylie, M. (2); Zall, R. (1). **Geneva:** Koller, W. (2); McLellan, M. (2); Shelton, A. (2). **AAP:** Jarzombek, M. (2); Perlus, B. (2); Saltzman, S. (2). **A&S:** Castillo, D. (2); DeVoogd, T. (0); Feigenson, G. (2); Fried, D. (0); Hamill, O. (0); Hartill, D. (2); Hull, I. (1); Krumhansl, C. (2); Loring, R. (2); MacDonald, J. (2); Monegal, A. (1); Samuels, S. (0); Small, M. (1); Speh, B. (1). **Engr.:** Brutsaert, W. (2); Moore, F. (2); Subramanian, D. (1); Warhaft, Z. (1). **Hotel:** Sherry, J. (2). **H.E.:** Schwartz, P. (2). **ILR:** Bishop, J. (1). **JGSM:** Lind, R. (0). **Law:** Williams, D. (0). **ROTC:** Rhyne, K. (2). **Vet. Med.:** Dubovi, E. (1); Gilmour, R. (0); Hermanson, J. (2); Meyers-Wallen, V. (0); Weiland, G. (1). **At-Large:** Cornelius, S. (0); MacDougall, B. (iv. fall) (0); Levitsky, D. (2); Walter, M. (2).

Dean Walter R. Lynn announced that due to the illness of Professor Russell Martin, Professor P.C.T. de Boer, Parliamentarian, would be serving as Acting Speaker for this meeting. He indicated that the approval of the minutes would be deferred since there was no quorum.

Acting Speaker, P.C.T. deBoer, Mechanical and Aerospace Engineering, called upon Professor Holcomb to present a resolution on the recommendations for financial policies.

## 1. RESOLUTION AND RECOMMENDATIONS ON FINANCIAL POLICIES

Professor Donald Holcomb, Physics and Chair, Financial Policies Committee: "Thank you. I believe you have a yellow sheet of paper which summarizes recommendations that have come out of the Financial Policies Committee (Appendix A, attached). Our Committee is proposing to the FCR to approve these recommendations in connection with the formation of the Endowed Colleges General Purpose Budget.

"I'm sorry our Committee keeps bombarding you with a new piece of paper but we have had some difficulty keeping up with the pace of advanced delivery of copies for distribution to the FCR. So on the yellow sheet, there is a modified version of the report that was delivered last time. I think that since we do not yet have a quorum, that I would like to move the first two of these recommendations to put them on the floor for discussion. I would like to, after moving them, make a few comments on the viewpoint of the Committee and then ask Susan Murphy who is here to give you some

background information which is particularly relevant to recommendation number two and it has some linkage to number one. At this point, Mr. Speaker, I would like to place on the floor for approval by the FCR, two recommendations:"

1. Cornell's long range tuition policy should hold the annual increase in Cornell undergraduate tuition and fees to the annual increase in U.S. disposable income per capita (DIPC).

For the 1992-93 academic year, the increase in tuition and fees should be no higher than 6.0%.

2. The long-range policy for funding undergraduate financial aid should insure that the proportion of general purpose income to be applied to the undergraduate financial aid program be capped at approximately the level established in the 1991-92 budget (which will be approximately 10%).

Speaker deBoer: "Thank you very much. The formal situation of course is that we are free to discuss anything you would like. No formal motions and no formal votes can be taken, but you are certainly free to discuss the two points presented by Professor Holcomb. Is there any discussion?"

Associate Professor Richard Galik, Physics: "We continually see these recommendations to link one and two. Why do we do that?"

Professor Holcomb: "I think the response is that they really do not have to be coupled to make sense. To us they are important in that we have them on the floor for discussion together. The FCR could in its wisdom decide to approve number one and in fact it makes sense with number two and vice versa. I think I propose to put them on the floor together so that they can be discussed together."

Professor Arthur Berkey, Education: "First of all, I want to commend you and the Committee for all your hard work. I think on number two, a clarification might be helpful, and I can't move an amendment. When you talk about the level established, in terms of total dollars or an implied percentage, we might say percentage rather than level makes it clear that it's a relative thing rather than an absolute amount. I haven't really had the chance to read this as carefully as I might, but one of the things I don't see addressed in your report at all is the idea of increased numbers of minority students and faculty. Now I wonder how this relates to number two and whether you have considered that or where you see it in terms of the total report."

Professor Holcomb: "Yes, I think I can respond to that in the following sense. The report that is affixed to the yellow document, has a little more discussion relevant to that question. On the bottom of page three, the first sentence really represents our

position in that we recognize that the activation of this recommendation would place further urgency in our search for a stable long-term pattern of undergraduate financial aid in support of the part of the institution commitment to maintain need-blind admission if at all possible. At this point, I think the most intelligent response would be to ask Dean Murphy to bring the FCR up to date on the thinking which she and her office and the administration and anyone she has talked to may have brought to bear on this."

Professor Berkey: "The only comment I would make on the report that we did receive is that it was not favorable to success in recruiting minority faculty. And I wonder if you are assuming that the status quo is ok. I didn't know whether there is special consideration that needs to be made in the recommendations."

Professor Holcomb: "Could we separate the students from the faculty because these first two recommendations have to do with the impact on the students and if I may ask Dean Murphy to come in on the financial aid picture which does have the obvious bearing on the recruitment of minority students."

Associate Professor Alan McAdams, JGSM: "I really have viewed that one and two are both ambiguous when you say the tuition policy should be held to the annual increase of U.S. disposable income per capita. In a recession year, the income per capita is going to be down, and in a boom year, it's going to be up, but that can fluctuate rather widely. Do we really want to have our tuition fluctuating that way, or are you really talking about some kind of moving average that would take out the fluctuation?"

Professor Holcomb: "The only intelligent response would be the second."

Professor McAdams: "And the way it is written, it would have to fluctuate with these changes. Similarly on number two, it goes the same way. I don't think we could adhere to number two. If for example, our indirect cost recovery would fall by a very substantial amount, that would mean the general purpose budget would fall by a very substantial amount, we would have continuing commitments from prior years, financial aid commitments, that could well exceed the percentage that we are talking about. Do we really want to have this as a more complex but a more reasonable approach that would say, in no case should it fall below the dollar amount of the prior year. Again we have the potential for wide fluctuation which doesn't seem the sensible approach."

Professor Holcomb: "I'm going to take a gamble here and tell you what I believe is the case. These are essentially policy recommendations. For us as a Committee of the FCR to attempt to write instructions in great detail in such a way that they would be unambiguous, precisely what we are recommending, I think we would surely fail even if we attempted to clean up the recommendations in a way that Professor McAdams suggested. Yes, we could reformulate them to try to make it as clear as possible. I

wonder if that would improve the quality of the recommendations. Both of these recommendations have a very clear departure from present policy. The first one effectively recommends that we move away from what the 'market will bear' philosophy in establishing levels of tuition and fees to a situation which has an established policy. In the second one, it clearly states a different approach to financial aid. If the body wished, if we have a quorum, we could try and clean up these recommendations before you vote on them."

Speaker deBoer: "Still two short to have a quorum."

Dean Susan Murphy, Admissions and Financial Aid: "Since the last meeting, we have been looking at trying to establish a five-year view of financial aid. As part of the five-year time frame, what we have been looking to do is go with some assumptions that are aligned with our campaign goals for undergraduate financial aid and also look towards some expendable gift income as opposed to just having endowment funds that would be available. The endowment is what we would like to have over the long haul but the pay out for endowment is sufficiently small so that when we're trying to have a major sum of money that will close the gap, we really need expendable gifts.

"We have had a five-year view in which we built in an assumption of an approximately \$7.5 million gift to be spent over the five-year time frame, looking to have approximately \$50 million of new endowment for undergraduate financial aid, assuming some growth in federal aid beginning in 93-94, nothing in 92-93, and no increase in state aid. With those assumptions, we could maintain the current policy and also keep the level of expenditures relative to the same level we have now in the portion of the general budget. I can't say to you at this point that we have identified this \$7.5 million gift or the \$50 million endowment but there are very active discussions going on in both of those areas. I think we will continue down that path.

"One of the concerns of course is what is the level of shortfall in year six - the \$2 million problem we perceive that we may have now. Do we want to just put the problem off so another Provost or another Dean can worry about it or is there really a way to carry this out through the end of the decade, and that is part of what we want to do now. Part of that discussion is being targeted towards what do we need to do in order to respond not only to the current level but our belief that the demographics will see an increasing proportion of students in the Freshman class from Afro-American and Hispanic-American backgrounds in particular.

"We also have been working with the new Policy Advisory Committee. Professors Enrique Figueroa, Ellis Loew, and Meredith Small are all members of that committee as we are looking to some of the ways to cut some funding in the coming year. Our attention has been focused right now on the families who receive grant funding from Cornell whose incomes exceed \$100,000. It may be hard to believe that there are families of that sort who are getting grant aid but if there is more than one child in

college at the same time then you take the parental contribution and divide it by however many children are in college. We have 125 students enrolled from families whose incomes are in excess of \$100,000 and we spend about half a million dollars on those students. We are beginning to look for ways to develop financing programs recognizing those families have cash flow pressures but perhaps not using grant money. That will take us six months to a year to put in place, but I think that is the direction we need to be heading and that is where we are spending our first flow of attention."

Speaker deBoer: "Thank you very much. Are there any other questions for Dean Murphy?"

Professor Mary Beth Norton, Mary Donlon Alger Professor of American History: "Susan, I remember vividly back when I first came here that when I was on the Admissions Committee there was then a policy of admit/deny. As a historian, I am interested in knowing whether one of the things you thought about doing is looking back historically at how the admit/deny policy worked here and if so is there any insight that can be gained from that. I mean what were the results from all the entering classes and so forth?"

Dean Murphy: "We do have those figures. We know that our yield for the class as a whole was as it is now, approximately 50%. The yield for admit/deny students was about 25-30%. The admit-deny is very much on the table as an option particularly on how to keep us within our allocation. I think it is not unlikely that we would employ an admit/deny policy for use of the wait list as a way of keeping us within our financial allocation."

Professor Charles Levy, English: "With regard to students whose families have incomes way up there and who are not receiving full scholarships, what is the amount of scholarship support a student who is not getting formal parental support receives from endowment as things stand now?"

Dean Murphy: "In essence, what you are asking is what is the cost to educate a Cornell undergraduate. That is a very good question and I don't know off the top of my head. I don't know, Don, if your Committee has any more information on the true costs of educating an undergraduate."

Professor Holcomb: "Unfortunately, I think that is an unknowable number. The reason I think it is an unknowable number is because the allocation between the cost of undergraduate and graduate instruction is basically not possible to do. Alan is an expert on dollars more than I, and may have a way to do it."

Professor McAdams: "There have been studies made not exactly on this question. But we have had comparative studies of the cost and this was done by the Financial

Policies Committee in its earlier incarnation as the Budget Committee. Dick Schuler did one of these and the one prior to that, and it was a comparison of cost of statutory colleges and the endowed colleges. The analysis that was made came to the conclusion that the costs were pretty identical. Now, I don't recall if that was separated by graduate vs. undergraduate. But I do remember that those studies were made and it was very important to recognize that the cost on the two campuses, two portions of our campus, was the same because that fit in with our former Secretary of Education, saying he wouldn't support high-cost universities, he would only support low-cost universities. What he meant was that you could get somebody from the state to subsidize education, he could support that but not unsubsidized education. But I think it is possible to do it."

Assistant Professor Geoffrey Brown, Electrical Engineering: "I have a real problem with number two. It's the only one of the recommendations that is ever talked about in actually cutting costs. So, I can't say honestly that I could support number two. We are going to cap tuition at 6%, financial aid at 10%, and are going to ask for 8 1/2% raises. These are recommendations we can bargain over in cutting costs, and not ask the students to take the hit."

Professor Holcomb: "Recommendation one, of course, is not the students taking the hit. Recommendation number two has to do with financial aid. If I understand the plan that Dean Murphy was talking about, the idea is at least on this five-year time scale, to preserve the admission policy which therefore the FCR may turn this policy upside down next year."

Professor Rishi Raj, Materials Science and Engineering: "I also have difficulty with this second recommendation. I think the issue is whether we are in favor of maintaining the quality of the undergrad or whether we are committed to diversity of our undergraduate body at Cornell. And as faculty, our job is to balance books at Cornell. Our first commitment is to maintain a diversity and if there is a bright student who is in the U.S. who wants to come to Cornell and is qualified but unable to afford it, you must attract him, you must do everything to do it right. And if we at Cornell don't make our best effort to attract them whether or not they have funds, I don't think Cornell will be among the top colleges in America."

Professor Steven Shiffrin, Law School: "Is there a tension between Dean Murphy's plan and recommendation number two?"

Dean Murphy: "In theory, the \$50 million endowment and the \$7.5 million gift would be compatible with this recommendation. There are two caveats to be sensitive to. One is the assumption that there will be more federal aid. And the second is assuming that the current population and the future population will look alike. And that's a soft assumption. We have seen some growth in our grant population as a proportion of the student body, and I would frankly anticipate that may continue to grow

as the demographics continue to change. I can't guarantee that. What this would do is to say that if there were a dramatic shift in the population in a given year, we would not have the funds available to respond to that. In theory, there is no tension, in practical terms there will be."

Assistant Professor Eric Fisher, Economics: "I seem to be mistaken in that I seem to remember reading some of the supporting material for today's meeting that there was a comment that part of Cornell has grown disproportionately in student supportive services and secondary administration for the last ten years. I was wondering why the Financial Policies Committee has left off the recommendation that we cap those parts of the non-faculty."

Professor Holcomb: "Recommendation number four is our best effort of writing a realistic response without question. To write a meaningful recommendation to the administration, you're going to cap something. You must know what you are capping and we are simply unable to write a detailed recommendation as to exactly who you should cap."

Professor Fisher: "I agree with Geoffrey Brown and this last speaker's point of view of what we stand for as an educational institution and we should be very aware about putting caps on financial aid or any other recommendation to faculty that in the long run we would need to do away with the admissions policy. I would much rather have as your task, as a Committee of this faculty that you find out where the growth areas in the budget have been and make strong recommendations based upon the information you get about how to stop that growth. My general subjective impression is that it is very difficult to deal with bureaucratic hassles of the non-faculty aspects at Cornell."

Professor Holcomb: "Before one starts finger pointing, I think one really needs to understand very carefully at whom one is pointing the fingers. Rapid growth areas such as computer services, are administration costs. Much of it is driven by faculty demand. If you look at the growth of administrative staff in the departments and colleges, that's substantially higher than the growth of faculty. Therefore, as one goes through a discriminating sort, it is a very difficult job and I would have to be honest that our Committee simply has neither the manpower nor the time to do the discriminating kind of job on that which is necessary. I think the only thing we can promise to the faculty is the best possible job, appearing over their shoulders in questioning this recommendation. Are there other members of the committee who would want to respond to this?"

Professor Ronald Ehrenberg, Irving M. Ives Professor of ILR: "I would really like to commend the Financial Policies Committee for their sincere efforts. There are some implied level of cutbacks of faculty and staff which would have to occur. I wonder if you can share with us roughly what that percentage would be, assuming that all the other policies are adopted?"

Professor Holcomb: "Professor Ehrenberg, obviously there are several comments, particularly one over here with respect to what looks like this unrealistic 8.5%. To be completely honest, I think it's unrealistic as well at the moment in terms of the problem. I think it was the responsibility of the Financial Policies Committee with its hat on as the successor of the Committee on the Economic Status of the Faculty to look at the situation, to say what kinds of salary policies are needed to place the Cornell faculty where it belongs with respect to the competition for top rate faculty people. That leads to recommendation number three which is essentially a continuation of recommendations of the Committee in the past. Obviously, a determined effort along the lines justified in number four is the only thing that can make this package work. Ultimately, the Provost is responsible for producing a balanced budget. The only thing the Committee could do in working with him is to pursue that number four vigorously and it's going to take cuts in staff and faculty somehow in order to have 2% per year."

Professor Levy: "There must be some order of magnitude of the differential between what students are paying for a formal education and when they are getting no financial support from the university and what it costs us to provide that education. The problem with section two of the resolutions is if we were to continue to allow tuition to rise in the competitive market we will reach the point where no one could afford to pay the full cost of a Cornell undergraduate education. But we could not operate on the basis of section two. Section two would lock us out of doing that because the object of this operation would be to use a disproportionate amount of additional income for those purposes. I would urge against accepting two until we have examined the figures."

Professor Norton: "I remain concerned about this issue on how committed the FCR is to the need-blind admission policy. There have been several speakers who have spoken very eloquently about the need to maintain it but no one has addressed Dean Murphy's answer to my question when I asked to put the issue about a policy of admit but deny financial aid back on the table again."

Dean Murphy: "Need-blind admission is making the admission decision without regard to the ability of what the family can pay and admit/deny, you can still admit the students without regard to the ability of what the family can pay so we can still operate with a need-blind admission policy. But your financial aid policy would be one where it would be cast by a certain budget and therefore you would be denied that financial aid. So you may have a need-blind admission policy but an admit/deny financial aid policy."

Associate Professor Carlos Castillo-Chavez, Plant Breeding and Biometry: "The big question is how did the Committee determine the 10%? More funds are needed for financial aid, and perhaps this needs a campaign for financial aid support."

Professor Holcomb: "There is a very vigorous campaign underway now to raise money precisely for that purpose in the capital campaign. The question whether it

should be 10% or 12% is obviously a matter of judgment. But the point is, I think, really the genesis of this recommendation is that the fraction of the endowed general purpose budget going into financial aid is steadily increasing. In the report on the calculation of the discounted tuition you will see that if the tuition continues to rise at the rate it has and we try to maintain full financial aid, then in fact there is no more money which comes in from tuition at the rate necessary to make the whole package work. The question is, are there other possible ways to take money out of the general purpose budget from other components and put it into financial aid? Yes, it ultimately comes down to a value judgment if this shall be the factor that guards everything else, then this is a possible decision. I think it is the judgment of the Financial Policies Committee that now is the time to cap this source of money in financial aid and to work very hard in those other sources; otherwise, we are robbing other pieces that makes Cornell what it is."

Professor Castillo-Chavez: "If the endowment for financial aid is increased, what would we take away from other programs?"

Professor Richard Darlington, Psychology: "I am wondering about recommendation number one. The question was raised about how seriously we intend the Provost to take this in case it goes down and if the DIPC goes down in one year and so on. I can imagine another kind of scenario in which our sister institutions with whom we would like to think we are competing continue to raise tuition levels higher than what this recommendation number one suggests. I'm sure they will find useful things to do with that extra money, are we seriously saying no even if our competitive institutions continue to raise higher rates. Do we hereby request the Provost not to do that, not that he takes that seriously. So I can imagine the Provost will simply ignore this recommendation but on the other hand, recommendation number two is much easier to follow in a mechanical kind of way. So the net result of passing recommendation one and two together will be for the Provost to say, ok in effect, we will ignore number one but we will follow number two to the letter. As long as there are people who have very high income and who are still not paying the actual cost of their education, I do wonder seriously about number one in particular."

Professor Holcomb: "This establishes a tuition policy and really effectively rejects the market base setting of tuition rates. Therefore, any member who is prepared to follow the pattern of our sister institution should really vote against this recommendation because it establishes a policy.

"Let me just make a comment. It's kind of an interesting market in the economic sense and that is it's not a cool market. We are only talking about the top end of the people's ability to pay. I think this as indicated in the notes, is a recommendation that we avoid a continuing separation in the student body between those who can pay and who can't pay in with respect to contributions. And, if the FCR rejects that recommendation, in that sense, it should reject this recommendation from the Committee."

Professor Berkey: "I would like to make one other comment switching gears just a bit. One of the things that is not mentioned in the report at all is the level of student enrollment. Are you recommending that we retain the present level that we increase or decrease or is that an assumption? I think that it would be helpful to have some, statement to that effect."

Professor Holcomb: "We are assuming that the present policy set by the Trustees will in fact continue."

Professor Berkey: "I think that will be helpful to have that included in your statement. One way that one can avoid reductions in faculty and maybe in some staff, would be to increase the number of units that you have here. Assume that efficiencies would be obtained by that. Well, I'm not asking about that. I think that ought to be clear in the recommendations."

Professor Shiffrin: "I have a question, and wondering if I can comment on the answer. Ron Ehrenberg asked about the percentage and the shortfall, I want to know the dollar amount."

Professor Holcomb: "We have a 2% problem. That is approximately \$5 million."

Professor Shiffrin: "Ok, now my comment is this. I'm pretty sure that is the same answer you gave for the same question at the last meeting. In the interim, there has been an announcement that the administration will seek about \$7.5 million gift which will be used variously within the budget. Now it's 7.5 over three years. I don't understand the connection between those two. If more money is coming in than originally anticipated, I don't know why it's still a problem. Second, I'm concerned about the cuts that are being recommended. I don't think we can say that the university is going to be better. It will not be bigger but I don't see that there is any assurance that it will be better as a result of this. So I come back to the capital campaign. When I asked about this last time, I got an answer which said, a large part of the money that comes in from the capital campaign cannot be given out because it's tied up. But I find it hard to believe that \$5 million which is not available from a campaign which is at the \$1.25 billion level over a five-year period. No one denied \$5 million would not be available. The real question is what will future generations say about what we have done, that it's a trail, do we make these cuts now, or do we have less money available. At this point I am actually unsure. I think the Committee has done a good job and has finally thought about this and addressed it. The question I am wondering about, and it would be a cheap shot to say that this figure \$1.25 billion was picked as an anniversary figure. It sounded nice. It wasn't picked as a real financial figure and if we reduce the campaign from a \$1.25 billion campaign to a \$1.23 billion campaign it's hard to believe that future generations will look back at us as if we have deprived them in a serious way. The question, because it is clear that the \$1.25 billion campaign includes (a) money for schools that are not in the budget

we are talking about such as the Law School and (b) includes a lot of operating money. So my question is what would the reduction be, if you exclude the schools, exclude the operating money. What portion of the \$1.25 billion campaign is really going toward endowed funds and if you took \$10 million or \$15 million over a three year period, what would it be like? We may not know the answer."

Professor Raj: "I would just like to make a few comments that we are not concerned enough about the quality of our student body, the quality of the academic programs about the fame and name of Cornell and how we should maintain it."

Dean Lynn: "Mr. Speaker, I would like to respond to that. You have to remember what the role of a Budget Committee is. This Financial Policies Committee which started out as a Budget Committee and what was then the University Senate. The charge of that committee was to look at certain issues. They are acting as though they were the administration in the following sense to look at general overall policy issues of how the University should assert its priorities in the way these funds are spent. They are incapable because of staff support to do a detailed budget analysis of what the budgets are and so their charge is effectively what they have done. You propose to give them a different charge. That is perfectly legitimate for this body to do, but that is not what their job is currently and that is not what they are delivering to you. I have no arguments with your desire to assert the statements of principle, the importance of Cornell, the importance of need-blind admissions. I think everybody is concerned with that but that is not the job of this Committee. It's to look at the expenditures in the framework of the budget and to identify what it is they propose to come to this body and say, what do you think we ought to be doing. That's what they have come to you to do and they are doing that consistent with the charge that has been given to them. It's not a single item or issue basis. That's the history of this body and it's within this body's power to change that obligation by changing that charge. Thank you."

Professor McAdams: "I would also like to respond and that is to suggest that there is a very tight connection between finances and academic excellence. I think that it is absolutely naive to fail to recognize that. From the Executive Committee we have a number of comments about the effect of the cuts in the statutory colleges and what that has meant to the excellence of Cornell. Some of our best people are leaving. They are leaving because their salaries are being reduced by the amount of inflation plus a few other imaginative ways each year and they are finding this intolerable. You cannot separate finances from academic excellence. I would like to comment on Professor Shiffrin's remarks. He suggested last year that we take some of the monies that are coming in as grant funds and use those to fill the budget gap in a given year. People who speak here fail to realize that is exactly what is being proposed in the second recommendation. What's being stated here is to take a \$7.5 million grant and fill it in the gap for financial aid. If we cap tuition, we will make Cornell more available to students than our competitors if they failed to cap tuition. We will be having a lower price in relation to them and that is desirable. But if we do that, are cash flow will be

less. If our cash flow is less, then we cannot maintain, currently we cannot maintain aid-blind admission without dipping into these chunks of money that would come as a grant that we are putting in to fill the gap. One and two are very tightly related. We are attempting to maintain aid-blind admission. We cannot do it if we do number one alone. The two are tied together."

Professor Raj: "The decisions for admission are made on the basis of perception, the image of ourselves, what kind of students we want to attract. And I think that by approving recommendation two we are making a fundamental change in that perception. They would then perceive that their job is not to admit the best possible students to Cornell University, but to admit the richest."

Professor McAdams: "This is exactly the opposite. I think you totally misunderstood what is going on. If we do number two with the filling in of the gap, we will be able to make aid-blind admissions. That's what we are proposing here, just the opposite of what you just said. In order to maintain aid-blind to meet the needs of the people, we have to do these things together."

Professor Ehrenberg: "In the absence of a quorum we cannot formally report the faculty position on the recommendations to the administration. If we are to do anything at all, it is impossible to have an informal straw vote in the absence of a quorum just to report because last year the process broke down. The faculty were totally inconsistent and the administration just ignored it. We believe that it's important to raise faculty salaries in the endowed colleges because we don't want to see the endowed colleges go down the tubes when unfortunately the statutory colleges are going down the tubes. We want to attract and retain the finest faculty in the endowed colleges and in fact acknowledged that in order to accomplish these things. There are going to have to be substantial cuts in expenditures elsewhere. Realistically, we know there must be a cut in body, faculty and staff. There is one other option, the option several people have alluded to is taking the money that is going into the endowment."

Speaker deBoer: "I would like to answer your question in regards to the straw vote. Any group of people can do anything they like to the effect of a straw vote to the Administration. However, it is a very dangerous thing to do in my opinion. The faculty should take it upon itself to have another meeting, if there is a quorum, talk to our colleagues, and have a legitimate vote on this very important issue. It is not a simple issue and it is not something that should be decided by a straw vote."

Professor Shiffrin: "I understand the \$7.5 million is a recommendation of one and two. I also understand that if you take too much money out of the capital campaign the shortfall which you have now can be reenacted later. And the purpose of the capital campaign is undermined. What I reject is the notion that if you take out any amount of money from the capital campaign, you will be assured of having a shortfall. If we took a nickel out of the capital campaign, we will not have a shortfall. If the capital

campaign were \$1.8 billion and I was proposing to take out \$2.8 billion, you could give exactly the same argument. The only way the argument works is if you provide the data to show that it works and what I asked was how much money are we talking about. What are we taking \$5 million out of and it seems to me that it is quite possible, I'm willing to take it as a matter of belief at this point because the administration has been so resistant given that Ron Ehrenberg tells us it's not an option."

Professor Ehrenberg: "\$5 million equals \$200,000 in income for next year. We are taking out \$200,000 which equals 4% the next year which will grow at the rate of inflation over time, so that is what the cost to the endowed budget is."

Professor Shiffrin: "Right, if you focus on a different figure. Come back to my example of \$2.8 billion capital campaign. That doesn't leave us with a shortfall. The question is what is the capital campaign trying to address?"

Professor Holcomb: "I would like to make a suggestion. I agree with the Speaker. I think the straws are getting shorter. Much of this is really directed at long term rather than short term. In other words, the tuition policy and the recommendation under two on financial aid are really long term things. I think that I would prefer to come back to this body under a quorum and the body can make an important policy decision rather than to proceed today. I really suggest that we simply be informed of comments and come back again and try to address all the things that have come up today."

Dean Murphy: "When we were first asked what were our needs for the endowment and this was going back three years ago, what did we need in new endowment to allow us to sustain a need-blind admission policy. The figure we came up with is closer to \$150 to \$175 million of undergraduate aid alone. The reason why we have \$175 million target is because after the feasibility study was done, it was part of the decision on setting this \$1.25 billion level. It was the judgment of the development professionals that the \$175 million for undergraduates alone was totally unattainable given the source of potential giving out there. In setting any campaign goals we never once failed at the campaign. How that is effecting other parts of the campaign, I cannot answer."

Professor Shiffrin: "I think that is a pretty compelling response in the area in which you are dealing with. Your area is not one that I would propose at all to be stealing from. Given the absence of information, I'm willing to accept that the administration has made the right judgment."

Professor Frederick Ahl, Classics: "It does seem to me that one thing appeared in common among all comments made today and that is the fact that we're in a situation where we are being asked to gap a financial problem which has been handed to us by the state and federal governments, by the fact that there's been an abrogation of responsibility. And what's been admirable I think about the response from the few of

us that came today is the uniformity of opinion that Cornell should not insofar as is humanly possible abandon its need-blind admission policy. It is possible to maintain this. The problem I think we are facing which I assume that Professor Holcomb and his committee have been trying to address is that we don't have the bottomless resources and I think this is one of the reasons why when we talk about action that can be made, we must not only talk about budgetary actions, but we also have got to get off our rearends and go start attacking the state and federal government since this is an election year. And we've got to get mad about this and do something about it with our voices, with our letters and in approaching various representatives. We are trying to do our best it seems to me and I don't see this report to be in any way an attempt to undermine the needs-based education tuition policy. We've got to get more active because one of the disappointing things of today is the fact that we didn't raise a quorum on the issues that this has brought."

Dean Lynn: "Thank you Professor Ahl. I'm sorry that we didn't get a chance to debate this resolution. There is no action that this body can take. We were two people short of the quorum. I think Fred's point is a good one. At our next meeting in February, second Wednesday in February, these two items will be back on the agenda and I hope you as FCR members will make some effort to identify some of your colleagues and invite them to come. It's a very damaging business to us as a faculty when in fact we can't marshal a sufficient number of people to act on the business of this body. I would like to now wish all of you a pleasant holiday. I don't mean to terminate the meeting but suffer through the exams."

Adjourned: 6:00 p.m.

Respectfully submitted,  
Mary Morrison, Secretary

**SUMMARY BUDGETARY RECOMMENDATIONS  
OF THE FCR FINANCIAL POLICIES COMMITTEE**

**FOR 1992-93**

- 1. Cornell's long-range tuition policy should hold the annual increase in Cornell undergraduate tuition and fees to the annual increase in U.S. disposable income per capita (DIPC).**

**For the 1992-1993 academic year, the increase in tuition and fees should be no higher than 6.0%.**

- 2. The long-range policy for funding undergraduate financial aid should insure that the proportion of general purpose income to be applied to the undergraduate financial aid program be capped at approximately the level established in the 1991-1992 budget (which will be approximately 10%).**
- 3. The endowed faculty salary pool should be set so that continuing faculty will receive salary increases which average 8.5% for the 1992-1993 academic year, in comparison with 1991-1992 salaries.**
- 4. To make it possible to fulfill the first three recommendations, Deans, Department Chairs, Faculty, Vice-Presidents and Department Heads must be mobilized to maintain the quality of our educational and research program with controlled and in some cases reduced numbers of staff and faculty.**

For explanation, see revised report, attached.

12/11/91

**REVISED REPORT OF THE FINANCIAL POLICIES COMMITTEE**

**Recommendations concerning both short range (i.e., directed to the 1992-1993 Financial Plan) and long range financial policies which affect the Cornell Endowed Colleges General Purpose Budget**

To be presented to the FCR at its meeting of December 11, 1991 by the Financial Policies Committee, for FCR approval and subsequent transmission to the Provost

**Membership of the Financial Policies Committee:**

Donald J. Barr, Human Service Studies  
Harry M. Kaiser, Agricultural Economics  
Robert F. Lucey, Soil, Crop, and Atmospheric Sciences  
Anil Nerode, Mathematics  
Meredith Small, Anthropology  
Charles Seyler, Electrical Engineering  
Bernard F. Stanton, Agricultural Economics  
David Wilson, Biochemistry  
Donald F. Holcomb, Physics, Chair

The committee proposes that the FCR adopt a resolution making recommendations to the Provost concerning formation of the 1992-1993 Endowed Colleges General Purpose budget. We first give the text of the resolution, then discuss its genesis in the context of appropriate goals of the University's program of education, research and public service.

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Resolution: The FCR recommends to the Provost that:

1. Cornell's long-range tuition policy should hold the annual increase in Cornell undergraduate tuition and fees to the annual increase in U. S. disposable income per capita (DIPC).

For the 1992-1993 academic year, the increase in tuition and fees should be no higher than 6.0%.

2. The long-range policy for funding undergraduate financial aid should insure that the proportion of general purpose income to be applied to the undergraduate financial aid program be capped at

approximately the level established in the 1991-1992 budget (which will be approximately 10%).

3. The endowed faculty salary pool should be set so that continuing faculty will receive salary increases which average 8.5% for the 1992-1993 academic year, in comparison with 1991-1992 salaries.

4. To make it possible to fulfill the first three recommendations, Deans, Department Chairs, Faculty, Vice-Presidents and Department Heads must be mobilized to maintain the quality of our educational and research program with controlled and in some cases reduced numbers of staff and faculty.

\* \* \* \* \*

Commentary:

In its report to the FCR on November 14, 1990, our committee formed its recommendations in terms of the following objectives:

1. Pursue excellence in terms of the quality of research and education, in the context of a constant student population.
2. Provide enrichment through the heterogenous composition of students, faculty and staff within the concept of "one university."
3. Support an open intellectual atmosphere by enhancing the social, physical and ethical environment on campus.
4. Secure the achievement of these goals by moderating the impacts of large external perturbations.

Our committee finds itself in consonance with those goals. We might bring them up to date and combine them in slightly different wording:

"We wish to continue the goal of becoming better, not bigger, *in the context of limited resources*. In order to do this, we need to maintain:

(1) Top quality faculty, with appropriate balance between teaching and research,

(2) Competent and energetic staff, with a commitment to high quality service to the teaching and research enterprise,

(3) Our traditional excellence *and* our newly-formed diversity in the Cornell student body.

Fortunately, Endowed Cornell is not in serious financial straits. It is feasible to construct a sound, long-term plan which will further the insulation from external perturbations suggested in objective #4 above. While directed specifically towards the 1992-1993 general purpose budget, the annual core around which other financial planning revolves, our recommendations are really aimed at the longer view.

Our recommendations are linked to one another. They suggest that

- (1) we reduce the rate of growth of endowed Tuition and Fees compared to the pattern of the 1980's, to avoid the continuing development of massive distortions between treatment of payers and receivers;
- (2) we control the flow of dollars from the general purpose budget into undergraduate Financial Aid, while vigorously pursuing all conceivable sources of funds to maintain the needs-blind admission policy;
- (3) we continue the partially successful effort to bring the purchasing power of endowed faculty salaries to a par with that of peer institutions; and
- (4) achievement of the first three goals will require a leaner operation than the University presently pursues. We must energetically and carefully pursue control of both non-academic and academic personnel numbers. We believe that the only way to control *growth* is to seek carefully controlled *reductions*. (Parkinson's Laws lurk in the background at every turn.) Deans and faculty must not be exempted from a vigorous review of present patterns of effort. Further along in this report, we give examples of areas which seem to us to require thoughtful review.

Now, some further explanatory comments concerning the specific recommendations to be delivered to the Provost.

#### Concerning Tuition and Fees

Numbers available to our committee suggest that over the past five years, the national DIPC has increased at an average rate of about 5.5% per year. Tuition and fees for 1991-1992 are 6.9% above 1990-1991. We propose the increase of 6.0% for 1992-1993 as the second step in a transition to the long-range policy which we recommend.

#### Concerning Undergraduate Financial Aid

The FPC recognizes that activation of this recommendation would place further urgency in the search for a stable, long-term pattern of financial undergraduate financial aid, in support of the institutional commitment to maintain needs-blind admission if at all possible. But, in the long term, devotion of a continually increasing fraction of the general purpose budget, with the positive feedback on levels of tuition and fees, is not fiscally responsible. Solution must be found in other

sources. The Capital Campaign will give some relief on a 5 to 10 year time scale, but other efforts will be necessary.

We presume it is clear that the first and second recommendations form a coupled pair. It is our opinion that adoption of recommendation #2 is necessary if #1 is to be viable. And adoption of recommendation #1 will make #2 less Draconian.

#### Endowed Faculty Salaries

This recommendation is a modification of a recommendation passed by the FCR in December 1990 which specified an 8.5% salary **pool**. The current recommendation puts forth salary increases **for continuing faculty** as the more relevant measure. In the October 30, 1991 report sent to FCR members, we noted that Cornell-Endowed faculty salaries have made some small progress in comparison to peer institutions over the period 1989-1991, even though the increases were smaller than recommended by our committee and the FCR. Significant further progress is needed. It is our judgment that the target set in this recommendation will achieve some further progress.

The Financial Policies Committee, which is itself composed of both endowed and statutory college members, is very conscious of the dire state of statutory college finances and the consequent deterioration of the faculty salary structure in the statutory colleges. We do not make any specific recommendations to the FCR which could alleviate this situation in the short term. However, the *ad hoc* Committee on the Economic Status of the Statutory College Faculty has recommended to the Dean of the Faculty that the FCR Financial Policies Committee be reconstituted as what amounts to a double committee -- a five-member endowed college-based subcommittee and a five-member statutory college-based subcommittee. One member would serve on both subcommittees. The two sub-committees would meet together several times per year to maintain common perspectives and goals, but would meet separately to deal with specific budgetary recommendations. Because of the different timetables of budget preparation between Endowed and Statutory colleges, differing dynamics in budget formation, and differing administrative structures, that Committee and our Committee believe this rearrangement to be desirable and have recommended to the Dean of the Faculty that it be brought to the FCR for approval.

#### Closing the Dollar Loop

Full implementation of the three recommendations we have presented is realistic only if there is serious attention to controlling expenses in areas other than faculty and staff salary levels. The single most important variable in setting overall university expenses and the number which drives many other indirectly connected

elements (building space, parking system, support personnel, computer budget, etc.) is the total number of faculty and staff employees. Driven by a variety of factors, the count of (a) non-faculty academic personnel and (b) non-academic personnel has increased substantially over the past 10 years.

Budgetary discipline will require a willingness to accept some diminution in the overall level of academic and non-academic services provided to students and provided by faculty and staff to one another. Achieving the level of faculty salary increments we think to be appropriate has as a *sine qua non*, serious effort by deans, department chairs, and individual faculty members to look honestly, intelligently and diligently for opportunities to selectively reduce college and department personnel rolls.

Examples which seem to the FPC to be natural areas for thoughtful examination, with consolidation or streamlining in mind, are:

Non-academic areas:

- Student services (E.g., non-faculty advising and counseling, career planning, unions and activities, physical education and athletics, etc.)
- Various central university administrative functions
- Computer services.

Academic areas:

- Redundant courses?
- Critically examine highly specialized courses -- more productive use of independent study?
- Possibility of "sunset" or "zero sum" provisions in the area of special academic programs and centers -- pursue opportunities to consolidate outdated programs.
- Provide full support to lecturers and teaching assistants to optimize effectiveness of these indispensable folks.
- Examine the 1980's growth of college and departmental office staffs -- has this paid off in terms of better learning, better services to students?

All of these suggestions can be put under one overarching question:

**Are we putting limited resources where they really matter in enhancing the quality of Cornell undergraduate education, graduate study and research, and public service obligations?**

MINUTES OF A MEETING  
OF THE FACULTY COUNCIL OF REPRESENTATIVES

February 12, 1992

Fourth meeting of 1991-92 Academic Year

(Number in parenthesis indicates attendance at meetings to date)

**Present:** **Afr. Ctr.:** Edmondson, L. (1). **CALS:** Baveye, P. (2); Berkey, A. (4); Ewert, D. (3); Feldman, R. (4); Hudler, G. (3); Ranney, C. (4); Riha, S. (3); Shapiro, M. (2); Slack, S. (2); Trancik, R. (4); Wayne, R. (4); White, S. (1); Wylie, M. (3); Zall, R. (2). **Geneva:** Koller, W. (3); Shelton, A. (3). **AAP:** Perlus, B. (3). **A&S:** Abruna, H. (3); Ahl, F. (4); Castillo, D. (3); Fisher, E. (3); Galik, R. (4); Hull, I. (2); Krumhansl, C. (3); Lambert, B. (4); MacDonald, J. (3); Samuels, S. (1); Speh, B. (2). **Engr.:** Brown, G. (3); deBoer, P. (spg. only) (1); Kay, R. (4); Moore, F. (3); Mukherjee, S. (4); Parks, T. (3); Seyler, C. (4); Wise, F. (3). **Hotel:** Sherry, J. (3); Tabacchi, M. (4). **H.E.:** Garner, C. (4); Laquatra, J. (3); Schwartz, P. (3); Wethington, E. (4). **JGSM:** McAdams, A. (4). **Law:** Shiffrin, S. (4). **Univ. Libr.:** Atkinson, R. (spg. only) (1). **Vet. Med.:** Farnum, C. (2); Hermanson, J. (3); Meyers-Wallen, V. (1). **At-Large:** Cornelius, S. (1); Ehrenberg, R. (3); Levitsky, D. (3); Norton, M. (4); Walter, M. (3); White, R. (2).

**Absent:** **CALS:** Albright, L. (2); Brown, D. (2); Gillett, J. (2); Glynn, C. (0); McCormick, C. (3); McDonald, D. (0). **Geneva:** McLellan, M. (2). **AAP:** Jarzombek, M. (2); Saltzman, S. (2). **A&S:** Bathrick, D. (2); Blume, L. (2); Caldwell, S. (2); Darlington, R. (3); Dear, P. (3); DeVoogd, T. (0); Feigenson, G. (2); Fried, D. (0); Hamill, O. (0); Hartill, D. (2); Howland, H. (2); Loring, R. (2); Mitchell, J. (2); Monegal, A. (1); Mullen, H. (2); Shiraishi, T. (1); Small, M. (1). **Engr.:** Philpot, W. (iv. fall) (0); Scheele, G. (3); Subramanian, D. (1). **H.E.:** Lemley, A. (3). **ILR:** Bishop, J. (1); Kuruvilla, S. (2). **JGSM:** Lind, R. (0). **Law:** Williams, D. (0). **ROTC:** Rhyne, K. (2). **Vet. Med.:** Ball, B. (2); Dubovi, E. (1); Fortune, J. (2); Gilmour, R. (0); Weiland, G. (1). **At-Large:** Kazarinoff, M. (3); Lucey, R. (3); MacDougall, B. (iv. fall) (0).

**Guest:** Nesheim, M.

The Acting Speaker, P.C.T. deBoer, Mechanical and Aerospace Engineering, called the meeting to order. He called on Dean Lynn for announcements.

1. ANNOUNCEMENTS BY DEAN LYNN

Dean of the Faculty, Walter R. Lynn: "Do we have a quorum?"

Mr. Speaker: "Yes."

Dean Lynn: "Some of you may have noted in the summary minutes that went out with the call to this meeting that we have established a new procedure to indicate those members of this body who attend as well as their attendance records. This is another device to call attention to this representative body and hopefully to your constituents so they know you are representing them. There were sixteen elected to this body that have not attended any meetings. Last year, I undertook to actually discharge three faculty members of this body for violating the attendance rules and clearly I choose not to do that. In that spirit, one of our faculty members, James Lassoie, who was a representative from Agriculture and Life Sciences has resigned with a detailed description of his own

distress at having to come to meetings and find out that the business could not be addressed for a lack of a quorum. It's indeed sad that we are in that state but all I can do is to remind you that those of you who stand for election to this body have a set of responsibilities.

"I was hoping to bring you a brief snippet report from Fred Rogers but for some reason we didn't make contact. Mr. Rogers is the Treasurer of Cornell. I asked him to give us a brief update on the indirect costs issue which has involved Stanford and about which little has been said about Cornell, and for him to give us some idea of where things stood relative to that. I think it must have slipped his mind. I have invited him to attend the next FCR meeting to provide you with the report as to where things lie with that set of conditions. As you know that is a contentious, difficult issue. Stanford has been made a target as well as a number of other institutions and thus far Cornell hasn't been made a very visible target in that area but that doesn't mean it could not happen.

"There are two other items that I would like to call to your attention. Let me deal with the first one. I was asked by the Student Assembly, which is about to have its elections March 3rd and 4th, to ask you faculty members and your colleagues if you would speak some words of encouragement to the students to go forth and vote in their own electoral process.

"Mr. Speaker, with your permission, I have asked Provost Nesheim whether he would come by and say a few words about the status of the statutory faculty in respect to contributions to TIAA/CREF on the part of New York State."

## 2. STATUTORY RETIREMENT CONTRIBUTIONS

Provost Malden Nesheim: "Walter, Mr. Speaker, the State of New York has been in a controversy between the Controller and the interpretation of the law on the part of the Attorney General relative to the TIAA/CREF contributions for employees of the State University, the City University and those in the statutory colleges who have elected that program.

"Let me give you a very brief background on this controversy. There are two retirement programs that are available to the statutory college faculty. There is the New York State retirement plan and there is the TIAA/CREF optional retirement plan. When that was put into effect back in the seventies, it was a provision of the law that the contribution by the state to the optional plan (TIAA/CREF) could not be more than what the state was making to the New York State retirement plan. If anyone had looked at it at that time, it wouldn't have made any sense. The TIAA/CREF plan is a defined contribution plan which depends on a given contribution level and a person's retirement is based on those contributions over time whereas the New York State retirement plan is a defined benefit plan. The plan is guaranteed as a benefit and is not dependent upon the actual contribution even though the state chooses to fund it so that it is actually funded by the New York State retirement plan. So, in the last few years, the state budget getting tight

and in recognition that the NYS retirement plan has had growth in its investment policies, it was unnecessary to have a contribution to that NYS retirement plan that was particularly generous and so the issue came up. What about this provision of the law. This was recognized last year by the Controller who makes these contributions on behalf of the employees. There was a law put before the Governor that the legislature passed last year that essentially negated that provision of the law that the two had parity in the contributions. The Governor vetoed it and said that he did not see the necessity of the law. The controller then went back and looked at it and said, 'well, I'm concerned that I may be violating the law by providing this contribution to our employees.' So he asked the opinion of the Attorney General. The Attorney General came back and did not give a very clear opinion. The Controller said, 'I don't have a clear direction, I don't want to violate the law, so therefore I will not make the contributions to the retirement plan on behalf of the employees in the TIAA/CREF optional retirement plan.' Right after the first pay period in January, there was no state contribution made to the TIAA/CREF retirement plan on behalf of all of these employees. But we have arranged, and this has been going on for the last few years, a system of wire transfer from Cornell to TIAA/CREF of those funds for retirement plans of employees that are in that plan. We proceeded to go ahead and do that the first pay period in January. The Controller announced this after all of this had taken place. The usual procedure is that we make the contribution of Cornell funds, and then the Controller reimburses us a few days later. We wrote a letter to the Controller and said that we expect you to reimburse us for it. The Controller came back and said, 'don't make any more contributions.' We came back to say, 'gee, we can't take that out of the paychecks right now and we don't think we are going to do that,' so we continued to make that contribution and we told the Controller that we'll continue to make that contribution on behalf of our employees for at least a limited period of time. The position of the University on that is that we are making the payment and we are not being reimbursed by the state and we would have to make a judgment if this went on for a period of time, if this controversy is not resolved. So our employees have been protected in this particular situation. There is a bill now that would say, 'yes, you will initiate those provisions of that law that the Controller was worried about until sometime in June, and the Governor will establish a commission to examine what an appropriate contribution is to continue to make to this plan.' We expect that law to be passed this week and we expect the contributions to be made under the usual procedures and under the current contribution levels that have been made. Behind all of this I have to say, it's been an attempt to re-look at how much that contribution still is and wanting to reduce to some extent what that contribution will be. That will be the big controversy on the part of this commission. At the moment, if any of you in the statutory colleges have heard about this controversy, your contributions have been made and you are not suffering any loss or potential loss of income because of that and we will continue to do that at least for the foreseeable future unless we find that this compromises what seems to be going on in Albany. I think we have to keep very close tabs on what that commission is going to do as we look ahead at these retirement issues. Thank you."

Mr. Speaker: "Are there any other questions for the Provost?"

A question from the floor: "Can you give us some idea of how much of a contribution we are talking about?"

Provost Nesheim: "Yes, we are talking on the order \$250,000, something in that neighborhood for those particular employees that are affected."

Professor Arthur Berkey, Education: "I first heard about this in the Ithaca Journal. There was subsequently the article in the Chronicle which gave quotes. Was part of that article correct that said that only retirees and employees in Tier 1 are not affected?"

Provost Nesheim: "That's right. This only effects those people who are in Tier 2, 3 and 4."

Professor Berkey: "Well, that's an important point. The other thing that I would suggest is that I would much rather read it in a letter from the Provost or administration than in the Journal."

Provost Nesheim: "I understand that. We have tried to keep a rather low profile on this because we don't want to get into some kind of a match with the Controller on this and the state government. We did put it in the Chronicle. I agree that we should have written to the employees on that."

Associate Professor Christine Ranney, Agricultural Economics: "I really appreciate your willingness to go ahead and make those payments on our behalf, but I am really concerned about what is going to happen after June. In my opinion they have already altered my contract last year by taking money away and now we are talking about doing it again this year more hideously with no hope for raises and I really feel like I'm being had."

Provost Nesheim: "We have registered a very strong objection to the Governor's office about this particular issue. I think that this retirement contribution is a way of saving money where they can right now with the state budget and they looked at this and thought they could maybe do this without really understanding the kinds of consequences and the kinds of understandings that many people have as far as their pensions are concerned. I don't think it's running quite so fast down that road as it once was. I'm very concerned about it and we need to watch it quite carefully. I think many of you in the statutory colleges got a letter from the state's faculty bargaining unit saying you better make your wishes known on this. I would encourage any of you to write to the Governor and indicate this is something you are very concerned about."

### 3. APPROVAL OF SUMMARY MINUTES OF THE NOVEMBER 13, 1991 FCR MEETING

Speaker: "I would like to call for the approval of the Summary Minutes of the FCR Meeting of November 13, 1991, previously circulated. Are there any corrections or

additions to the minutes? So approved. Our last meeting, December 11, did not have a quorum, so there is nothing officially to approve. Next, I would like to call upon Professor Donald Holcomb, Chairman of the Committee on Financial Policies."

#### 4. REVISED SUMMARY BUDGET RECOMMENDATIONS OF THE FCR FINANCIAL POLICIES COMMITTEE

Professor Donald Holcomb, Chairman, Financial Policies Committee: "For those of you who were here on December 11 there will be sort of a *deja vu*. On the other hand, several things that have happened since then that will affect what we have to say to our recommendations. It is our recommendation that the FCR endorse the recommendations as distributed with the addition of a second sentence to item number three. Let me read item number three if you didn't bring that piece of paper.

The endowed faculty salary pool for 1992-93 should be set so that the level of Cornell faculty salaries can continue a slow rise toward its proper place in relationship to comparable U.S. universities. Continuing attention must be paid to establishing competitive salaries at the several different career stages - entry level, mid-career and senior.

In the discussion of the Financial Policies Committee since these recommendations were prepared, we felt that this sentence should be added because of the proper concern that these questions of faculty salary increases may eliminate the appropriate concern about setting different criteria for entry-level, mid-level, senior-level, so please add that to those recommendations.

"I have just a few things to say. Our first recommendation appears to be slightly modified as the wording is concerned primarily with suggestions made after the previous meeting.

Cornell's long-range tuition policy should hold annual percentage increases in Cornell undergraduate tuition and fees to match the suitably time-averaged annual increase in U.S. disposable income per capita (DIPC).

Further recommendation that has been taken over by events is that

For the 1992-93 academic year, the increase in tuition and fees should be no higher than 6%.

"The second recommendation states that

The long-range policy for funding undergraduate financial aid should insure that the proportion of general purpose income to be applied to the undergraduate financial aid program be capped at the level established in the 1991-92 budget (which will be approximately 10%.)

And let me summarize some of the discussion in the previous meeting to point out that there is a lot of concern that this might mean changing our current policy with respect to admissions and financial aid. That was not the intent of the committee and it does not necessarily follow that capping the general purpose income of financial aid will in fact find a change in that policy. A member of our committee is also a member of Dean Susan Murphy's new Advisory Committee on Financial Aid and we will continue to interact with them. As I say the Financial Policies Committee is not presuming to make any change in the admissions and financial aid policy but as to where the money can come from.

"The one change that we did make and we will talk a little about has to do with recommendation number three. In its previous form, we had a nice sharp number in there of 8.5%. For various reasons, we thought that that number was in fact effectively a continuation of a two year recommendation made last year which has somewhat been overtaken by events. And the events we all know about are the changes in the national, state, and local economic scene pointing towards the natural downward vision of that number. I think there was concern by a number of faculty who have expressed the feeling that trying to meet realities that hang over the recommendations of faculty salary increase with the specific 8.5% seem a little bit out of line. In addition to the changes in the national, state, and local economic scene, the thing that is worthwhile to tell you a little about is more information about faculty salaries relative to some other universities. In 1990-91 Cornell represented a slight improvement over previous years, but it did not seem to be something to write home about. In the meantime, the office of the Vice President for Planning has made an arrangement with a national company called Runzheimer Associates to do a reasonably serious cost of living survey at the localities which were actually the home bases for these institutions. Previous attempts to make the comparison of the cost of living were generally quite amateur and inappropriate, frequently making statements such as Ithaca is like Binghamton or something like that in the respect to the cost of living. The Runzheimer people came in and took the cities in which these institutions are located and attempted to establish a detailed cost of living survey. For example, instead of doing an across the board type thing, they took a salary level which was appropriate to a Cornell faculty salary level of about \$60,000 and took the appropriate market basket, and made that appropriate to that level of income. The market basket must be designed to the appropriate level of income.

"Then a rather detailed local survey on taxes, heating, all the things that go into this and the consequence of that was to produce an index. The Runzheimer index for Ithaca is 106.2. It has one peculiar feature which I think one has to recognize with NYU, Columbia, Stanford, Berkeley and UCLA. The thing that happens with the housing situation really has an underarm which is probably inappropriate. In other words, the only thing these people could do is to take a standard dwelling appropriate to that level of income and place that dwelling in a different location. And of course if you take a 2400 square foot dwelling and put it in a location at Stanford you come up with a quite depressing factor here. Of course, we all know you would never live in a place like that in New York City or wherever but once one uses a standard formula and tries to fiddle it,

it becomes a matter of opinion, judgment and so on. In other words, from the previous situation with the differences among the institutions in the East, Chicago and so forth which is reasonably measured by this, that difference flattens. I guess you would really have to say that the concern of the committee is somewhat affected by this. So that is the basis for relaxing the combination of new information, general economic scene plus a sense that 8.5% sort of sticks out like a sore thumb. We sort of have a wishy-washy recommendation number three.

"Recommendation number four is

To make it possible to fulfill the first three recommendations, Deans, Department Chairs/Heads, Faculty, and Vice-Presidents must be mobilized to maintain the quality of our educational and research program with controlled and in some cases reduced numbers of staff and faculty.

It's the feeling of the committee that with the growth over the last ten years that staff numbers really have to be tackled. The committee this spring will make a strong effort to interact with the administration to make sure that to the best of our ability that a long-range and serious plan and carefully thought through plan will be implemented. For example, if you just do aggregate numbers, you will find non-faculty academics rising. Part of the reason for that is the growth in research programs which are separately funded and not necessarily part of the scene with respect to the endowed general purpose budget. So the plan is that we will be working with the administration to peer over their shoulders to try and make sure there is some kind of plan in place for monitoring and controlling staff numbers. So with that Mr. Speaker, I am available for questions. Our recommendation is that the FCR endorse these recommendations from our committee."

Speaker deBoer: "Let's take a minute to discuss the effect of the recommendations which would go to the administration."

Professor Holcomb: "The effect would be that we would deliver to the Provost a set of recommendations from the FCR."

Associate Professor Richard Galik, Physics: "Don, out of curiosity, in item number two, you say that you can cap tuition at 6% in the 1992-93 budget. I think that the plan is moving already in the 1992-93 budget towards 8%."

Professor Holcomb: "In the world of reality, this kind of recommendation establishes a tone and a target, and I think really no realistic person assume that even if the administration accepted our recommendations 100%, that somebody would be figuring it to the last decimal place."

Professor Frederick Ahl, Classics: "I am just a little curious about the adjusted rates that you showed on the first timetables. Several of those universities in those high cost areas

provide adjustments for mortgages or heavily subsidized housing such as at Stanford, Columbia and so on. Are those factors taken into consideration too?"

Professor Holcomb: "Absolutely not. I think that its absolutely clear that those six places at the bottom are misplaced. Now how much they are misplaced, no one knows."

Professor Berkey: "Would you be willing to leave the second part of recommendation number one out since it is already outdated?"

Professor Holcomb: "It could, of course, be amended. I think the committee would prefer to leave it in. It represents a position which the committee thinks is a good one and I guess we would like to leave it on the official record in spite of the fact that it has been overtaken by the events. One could amend it to say, for the 92-93 year, the increase in tuition should have been no higher than 6.0%."

Speaker deBoer: "Are there any other questions, comments? Are you ready for a vote?"

Professor Franklin Moore, Mechanical and Aerospace Engineering: "I would like to hear a little more rationale about number two in terms of setting a 10% cap."

Professor Holcomb: "The answer is that there is nothing magic about that number. That number has been steadily rising as a fraction of the general purpose budget. It was the feeling of the committee that if that fraction continues to rise, it simply puts pressure on other parts of the budget which are inappropriate. In discussions with the administration, it was made clear that that was not a recommendation that financial aid be capped but rather that the fraction coming from the general purpose budget should flatten as a fraction. Maybe Provost Nesheim might be willing to make a few comments about the bigger picture as respect to financial aid which may be useful in responding to your question."

Provost Nesheim: "There is a time when we have to make decisions about the budget that get kind of overtaken by the process. On financial aid there are several issues involved that I will mention to you. We have been very concerned on the one hand that the proportion of the unrestricted revenues of the university have been used to fund financial aid have risen very rapidly. Financial Aid must be the fastest growing piece of the budget. Are we funding that one particular piece of the budget to the extent that it will now impact upon other things that effect the quality of instruction of the institution, our ability to retain faculty and all those things? On the other hand, the inability of financial aid resources from outside the institution, to be able to provide the financial aid needed by students to come here and for us to continue to attract the student body that we have, has been a dilemma on both sides of the equation.

"Secondly, there has been great concern about Cornell moving away from the needs-blind admissions policy which is a policy that we have had in effect for many years and it's the kind of thing that many of us feel is important to this university. We are going to

the Trustees in the March meeting with a recommendation that we continue our current financial aid policy which will be a needs-blind admissions policy and that we will agree to continue to provide and to work with the students to attempt to meet their financial need. It doesn't say that they will fill up all the holes in the budget but that we will work towards meeting the financial aid.

We have developed what we hope to be a longer range plan that will last for at least four or five years that will take this discussion off the budget, off the table each year where we kind of wring our hands and say are we going to be able to do needs blind admission this year or are we going to change our policy. We feel that there are two approaches to take in trying to do that. One is that we said, we will increase the amount of the general purpose budget going into financial aid by the rate of growth of tuition which essentially does what the Financial Policies Committee suggests to maintain the proportion of the general purpose budget that goes to financial aid. Secondly, we have managed to raise through the efforts of the President and the efforts of an important friend of the university, an expendable gift of 7.5 million dollars that we will spend over the next five years to help fill up the hole in financial aid. Third, we have in the course of the capital campaign a target for undergraduate financial aid that is in the order of 175 million dollars. We have not been making that and we expect that on the basis of the expected needs of our students to be able to meet their financial needs as much as we possibly can for the next five years, will take an additional 10 million dollars of endowment for financial aid each year to help fill up that hole. We set that as a target and we are going to be very aggressive in attempting to obtain that. Maintaining the needs-blind admissions policy, using an expendable gift to get us over the early part of this stage, and continuing to be very aggressive in raising the endowment and maintaining and raising the general purpose revenues into financial aid by the rate of growth of tuition is a plan that we hope to put into place that may allow us to kick this off the table for the next five years. Now that's if the federal and state government doesn't completely fall off the table but that is where our thinking is right now."

Mr. Speaker: Are there any other objections before proceeding to the vote?"

Associate Professor Peter Schwartz, Textiles and Apparel: "I have a comment and a question. The comment is that I noticed the gap between endowed and statutory faculty salaries under the revised scaling. It's nice to know that statutory faculty are living in more expensive houses. Secondly, I would like to ask what does the committee feel is the proper place of the endowed faculty comparable to what the university really is?"

Professor Holcomb: "The response to the first one is that the special ratio between endowed and statutory did not change. Our committee has been quite concerned, along with the Economic Status of Statutory Faculty Committee, about the lack of the ability of the FCR committee to speak effectively to the formation of the statutory college budget and we are in the process of reformulating the committee. The question of where the statutory numbers should be, I would certainly not touch with a ten-foot pole."

Speaker deBoer called for a vote on the recommendations. They were adopted as follows:

1. *Cornell's long-range tuition policy should hold annual percentage increases in Cornell undergraduate tuition and fees to match the suitably time-averaged annual increase in U.S. disposable income per capita (DIPC).*

*For the 1992-93 academic year, the increase in tuition and fees should be no higher than 6.0%.*

2. *The long-range policy for funding undergraduate financial aid should insure that the proportion of general purpose income to be applied to the undergraduate financial aid program be capped at the level established in the 1991-92 budget (which will be approximately 10%).*

3. *The endowed faculty salary pool for 1992-93 should be set so that the level of Cornell faculty salaries can continue a slow rise toward its proper place in relationship to comparable U.S. universities.<sup>1</sup> Continuing attention must be paid to establishing competitive salaries at the several different career stages - entry level, mid-career and senior.*

4. *To make it possible to fulfill the first three recommendations, Deans, Department Chairs/Heads, Faculty, and Vice-Presidents must be mobilized to maintain the quality of our educational and research program with controlled and in some cases reduced numbers of staff and faculty.*

*<sup>1</sup>This recommendation has been modified since the Committee's presentation at the December 11, 1991 meeting of the FCR. Several factors have led to that modification. (1) Continuing investigation of living costs and trends suggest a small upward adjustment of Cornell's salary position relative to its peers. (2) The earlier recommendation for 8.5% increase in salaries of continuing faculty represented the second year target of a plan which was proposed by our committee in the fall of 1990. Changes in the national, state, and local economic scene point towards a downward revision of that number.*

The Speaker next called on Professor Ahl.

## 5. RESOLUTION ON FEDERAL/STATE SUPPORT OF RESEARCH UNIVERSITIES

Professor Ahl: "I am really here on behalf of Professor Gottfried from Physics who is not a member of the FCR. I think that you will find most of the motion self-explanatory but perhaps a brief word of introduction is in order. Our concern in formulating this motion is the erosion of state and federal support monies to help students through the university, which can in the long run, have devastating effects on the budgetary picture for the university. We both feel that some strong and appropriate statement needs to be made

by the President of the University and other officials in contact with the state and government agencies to point out the long-term effects, and from the media as well."

Speaker deBoer asked if there was a second to the motion. The motion was seconded. Hearing no discussion, on a vote call the resolution was adopted as follows:

*WHEREAS, Cornell University and its peer institutions constitute one of the few sectors of American society still holding a pre-eminent international position, and*

*WHEREAS, this Faculty is committed to vigilance in preserving Cornell's heritage of excellence, and*

*WHEREAS, the devotion and labor of generations were required to create Cornell, mishaps and miscalculations can, in a matter of years, reduce it to mediocrity, and*

*WHEREAS, federal and state governments, by inexorably cutting back on aid to college students, have obliged Cornell to assign an increasing portion of its resources to student aid in an effort to maintain the needs-blind admission policy which this Faculty strongly endorses, and*

*WHEREAS, the shortfall in public support for qualified students dwarfs the resources of Cornell and its peer institutions, and*

*WHEREAS, Cornell cannot commit itself to a level of student aid that would undermine its ability to discharge its teaching and scholarly missions with the standards that are rightly expected of it,*

*THEREFORE, BE IT RESOLVED, that the Faculty calls on President Rhodes to make it clear to the University community and the nation at large that Cornell must balance its commitment to student aid with the imperative of preserving its long-term strength, and that Cornell, like its peer institutions, cannot redress the lack of commitment by our nation's various governments and electorates to our nation's children.*

The Speaker next called on Professors Steven Shiffrin and Isaac Kramnick.

## 6. RESOLUTION ON MILITARY RECRUITMENT AND EQUAL RIGHTS FOR ALL

Professor Isaac Kramnick, Richard J. Schwartz Professor of Government: "The effort last fall to keep the military from recruiting at the Law School and on campus was not intended to attack or to criticize military recruitment per se, but to make a moral and legal statement that the military's discrimination against homosexuals and lesbians is illegal and immoral. President Rhodes has ruled that the military must be allowed to recruit on

campus. We disagree with his decision and with the advice of his lawyers, but we accept his decision. In other words, this faculty and the university simply state what the military does is discriminating on the basis of sexual preference and an affront to equal rights for all."

Professor Steven Shiffrin, Law: I simply want to say a few things that this resolution does not do. The American Association of Law Schools moved that all law schools should refuse to let recruiters on campus who discriminate on the basis of race, sex, sexual preference and religion. Each of the Ivy League law schools and virtually most of the major law schools in the country have complied with the American Association of Law Schools policy. The Cornell Law School moved to do that and the Provost pointed out that lawyers often give unclear opinions. In this case, the University Counsel gave a very clear opinion. We are not asking in this resolution to counter-man the opinion of the University Counsel. It is the case that New York University, Columbia, Albany, Syracuse, the Rochester School district have taken a different view of the law but we are not asking for that. We are not proposing to counter-man anything that President Rhodes has said. We endorse his view that employers that discriminate on the basis of sexual preference should not be permitted to be on campus. He has an exception with respect to the military. We are not asking that the military be banned from campus. What we are suggesting is a moral statement consistent with our admissions policy. Our admissions policy says 'We don't discriminate on the basis of race, don't discriminate on the basis of gender, we don't discriminate on the basis of sexual preference.' We are asking for a moral statement and it seems that that statement would come easily if the military were discriminating on the basis of race, and we think it should come easily here. That discrimination on the basis of sexual preference is just as arbitrary as discrimination on the basis of race."

Speaker deBoer: "The motion has been moved and seconded and is open for discussion."

Assistant Professor Joseph Laquatra, Design and Environmental Analysis: "I am curious as to why the term 'preference' instead of 'orientation' is being used. Many people question that and I would like to point out that 'orientation' is preferred because people don't choose to be gay or lesbian, whereas 'preference' gives the indication that that is the case."

Professor Shiffrin: "I am authorized to say that both the mover of the resolution and the seconder of the resolution will be happy to substitute 'orientation' for 'preference.'

Dean Lynn: "If he wishes to make that amendment, he must do that."

Speaker deBoer: "Is there any objection to substituting the word 'orientation' for 'preference'? There is no objection, it is substituted."

Professor Locksley Edmondson, Africana Studies: "Would you clarify exactly what you mean? On the one hand you are accepting recruiting on campus, but on the other hand, rejecting it."

Professor Shiffrin: "I personally oppose what President Rhodes did and I wrote a letter to asking him not to do what he did. We are not asking in this resolution for President Rhodes to change what he has done. It is open to anyone in the FCR to make such a motion. And such a motion would not be inconsistent with this but we are only asking that discrimination by the Armed Forces be condemned as an affront to the principle of the people's equal rights."

Professor Ahl: "I just have a small point that worries me. There are of course as we all know numerous organizations on campus and several ways we recruit on campus which not only practice sexual discrimination but even advocate it. I am rather concerned that what we are looking at here is a much larger iceberg which needs to have very careful consideration on our part because I think we will find ourselves moving to an area of the intersection of religious beliefs and of one's ability. Now I do realize in the case of the military, it's a very clear cut matter in comparison to what we say if we were talking about a church organization on campus. But I do think we as a faculty should be prepared to consider all ways to solve this problem, such as the institution of the United States Armed Forces which has regulations which rightly or wrongly discriminate against people on the basis of sexual orientation whereas we in fact encourage but fund religious organizations on campus which claim a moral right to fit into correct places."

Professor Laquatra: "I think with respect to the statement just made we should realize that this issue is one that has been taken by many religious bodies. I don't think that the concern that some religious groups are still having problems with this issue, should stop us from making this statement."

Professor Ahl: "I haven't made this point to invalidate or move against this motion which I have accepted before but I think to point out some parallels here which we need to be conscious of as we make this move. In fact, I think a lot of it has to depend on what you mean by recruitment."

Professor Ronald Ehrenberg, Irving M. Ives Professor of Industrial and Labor Relations: "I just have a question about the last sentence on this resolution about how we want President Rhodes to issue a statement on behalf of the faculty or to have him issue a statement on behalf of the university, which is a larger group in which case he may choose for whatever reason not to do that."

Professor Shiffrin: "I think we in fact tend to use specifically the word 'university'. In other words, faculty is a component within the university from whom he is apparently soliciting opinions. We are suggesting that on behalf of the faculty he say this quote to the university."

Hearing no further discussion the resolution as amended was voted on and adopted as follows:

*WHEREAS, President Rhodes has ruled that all recruiters on campus must abide by valid federal, state and local laws forbidding discrimination on any basis, including sexual orientation, and*

*WHEREAS, the United States Armed Forces discriminate against homosexuals and lesbians, and*

*WHEREAS, President Rhodes, on the advice of university counsel, has decided that the University is required under state law, which supersedes local law, to allow military recruitment on campus,*

*THEREFORE, BE IT RESOLVED, that discrimination on the basis of sexual orientation by any employer, including the U.S. Military, represents an affront to the principle of equal rights for all, and*

*BE IT FURTHER RESOLVED, that the FCR urges President Rhodes to issue a statement to that effect on behalf of the University.*

Speaker deBoer asked if there was any other business.

Professor Ehrenberg gave thanks to Professor Holcomb for all his work he has done.

Dean Lynn: "This will take a second. The other thing you neglected to mention was patience, I mean this is the third meeting that we discussed the report from the Financial Policies Committee, and we all are pleased to see this put to rest. One of our members, Professor White, it has just been announced, has been elected to the National Academy of Engineers."

Mr. Speaker: "Is there a motion to adjourn? Then we will adjourn."

Adjourned: 5:45 p.m.

Mary Morrison, Secretary

## MINUTES OF A MEETING OF THE FACULTY COUNCIL OF REPRESENTATIVES

April 8, 1992

Fifth meeting of 1991-92 Academic Year

(Number in parenthesis indicates attendance at meetings to date)

**Present:** **CALS:** Albright, L. (3); Berkey, A. (5); Brown, D. (3); Hudler, G. (4); Ranney, C. (5); Trancik, R. (5); Wayne, R. (5); Wylie, M. (4). **Geneva:** Koller, W. (4). **AAP:** Jarzombek, M. (3). **A&S:** Ahl, F. (5); Caldwell, S. (3); Darlington, R. (4); Dear, P. (4); Feigenson, G. (3); Galik, R. (5); Hull, I. (3); Lambert, B. (5); Loring, R. (3); MacDonald, J. (4); Speh, B. (3). **Engr.:** Brown, G. (4); deBoer, P. (spg. only) (2); Kay, R. (5); Parks, T. (4); Philpot, W. (lv. fall) (1); Scheele, G. (4); Wise, F. (4). **Hotel:** Sherry, J. (4); Tabacchi, M. (5). **H.E.:** Garner, C. (5); Laquatra, J. (4); Schwartz, P. (4); Wethington, E. (5). **ILR:** Kuruvilla, S. (3). **JGSM:** McAdams, A. (5). **Law:** Shiffrin, S. (5). **Univ. Libr.:** Atkinson, R. (spg. only) (2). **Vet. Med.:** Ball, B. (3); Dubovi, E. (2); Farnum, C. (3); Gilmour, R. (1); Hermanson, J. (4); Meyers-Wallen, V. (2). **At-Large:** Ehrenberg, R. (4); Lucey, R. (4); MacDougall, B. (lv. fall) (1); Walter, M. (4). **Trustee:** Farley, J. (4)

**Absent:** **Afr. Ctr.:** Edmondson, L. (1). **CALS:** Baveye, P. (2); Ewert, D. (3); Feldman, R. (4); Gillett, J. (2); Glynn, C. (0); McCormick, C. (3); McDonald, D. (0); Riha, S. (3); Shapiro, M. (2); Slack, S. (2); White, S. (1). **Geneva:** McLellan, M. (2); Shelton, A. (3). **AAP:** Perlus, B. (3); Saltzman, S. (2). **A&S:** Abruna, H. (3); Bathrick, D. (2); Blume, L. (2); Castillo, D. (3); DeVoogd, T. (0); Fisher, E. (3); Fried, D. (0); Hamill, O. (0); Hartill, D. (2); Howland, H. (2); Krumhansl, C. (3); Mitchell, J. (2); Monegal, A. (1); Mullen, H. (2); Samuels, S. (1); Shiraishi, T. (1); Small, M. (1). **Engr.:** Moore, F. (3); Mukherjee, S. (4); Seyler, C. (4); Subramanian, D. (1). **H.E.:** Lemley, A. (3). **ILR:** Bishop, J. (1). **JGSM:** Lind, R. (0). **Law:** Williams, D. (0). **ROTC:** Rhyne, K. (2). **Vet. Med.:** Fortune, J. (2); Weiland, G. (1). **At-Large:** Cornelius, S. (1); Kazarinoff, M. (3); Levitsky, D. (3); Norton, M. (4); White, R. (2). **Trustee:** Kramnick, I. (1)

**Guests:** Nesheim, M.; Rogers, F.

The Speaker, Professor Emeritus Russell Martin, Communication, called the meeting to order. He called on Dean Lynn for remarks.

## 1. ANNOUNCEMENTS BY DEAN LYNN

Dean of the Faculty, Walter R. Lynn: "We have invited the Provost and the Treasurer to talk on two topics that we thought were very important to this faculty. They are here prepared to make their reports to us and answer your questions and we will proceed. Absent a quorum, the meeting will then adjourn promptly following those two matters.

"What I did want to call your attention to was the fact that some of you have read in the Sun that a letter was sent by Provost Nesheim to Secretary of Defense, Cheney, calling attention to the action of the FCR and the Board of Trustees on the resolution on Military Recruitment and Equal Rights for All. It is important to acknowledge those actions on behalf of the administration. Mr. Speaker, thank you."

The chair next called on Provost Nesheim for response to the Financial Policies Committee recommendations.

## 2. RESPONSE TO FINANCIAL POLICIES COMMITTEE RECOMMENDATIONS BY PROVOST MALDEM NESHEIM

Provost Maldem Nesheim: "Thank you very much, Mr. Speaker. I will respond to the particular points that were part of the resolution from the Financial Policies Committee of this body. But I think I would like you to bear with me to set the stage of where we are on the financial issues affecting the university and in that context, I will try to indicate what has happened on some of these issues.

"Let me say something first about New York State and the situation in which we find ourselves. The New York State budget was passed last week; it was not a particularly happy budget for higher education. The SUNY budget was reduced by nearly 145 million dollars. That's about 145 million dollars out of a 1.5 billion dollar budget in terms of loss of directly appropriated funds. It was almost a ten percent reduction in the state funds and the total funds that were available to SUNY. The action on part of the legislature and the Governor in this regard anticipated that out of this 145 million roughly, that about 87 million of that is offset by income which will include a significant tuition rise on the part of the state university. Some 60 million of this was to be passed on as cuts in appropriations to individual campuses within the SUNY system. Our statutory colleges lost in that particular exercise, some 2.5 million dollars, out of a base of 113 million dollars from the state funds from last year. This was offset by a 1.9 million dollar addition to the budget relative to the inflationary increases. Several programs of the statutory colleges are authorized each year by specific legislation. There are appropriations that are passed by the legislature that authorize funds for certain programs in the statutory colleges and many of those were in fact reserved, several of those were not. For example, in the ILR school, special funding to support the collaborative masters degree program through the college in NYC was not passed this year after several years of funding, as well as some additional funds for the extension program that was called PEW, which is the Program of Extension in the Workplace in which the ILR school has been helping with readjustments of some industries within the state. Human Ecology had a program which supported some activities among youth which was not funded again this year. The Veterinary College had some additional funds which were part of a program that was started several years ago to increase the funding of the College that was not funded in this year's budget. And of course in the statutory colleges, these reductions come on top of some 6 million dollar cuts last year and continued erosion of support for those colleges from the state that have occurred over the last several years. The statutory college deans anticipate that state support for some 92 positions has been lost as part of this budget. And the loss of those positions will be taken care of through layoffs, a good share of it through attrition and some people will be transferred to other sources of funds. Faculty positions in the statutory colleges over the last few years have substantially been reduced. For example, the College of Agriculture and Life Sciences is at its peak of faculty authorization. The faculty positions were up around 477 just three or four years ago and now we anticipate that the college will stabilize anywhere from 400 to 420.

So the reduction in faculty support from the State of New York has been very significant in the statutory colleges. This has caused these colleges to examine very carefully various areas that are covered. They have reduced extension, research programs that reduce the breadth of subject matter coverage by the colleges. It has had a significant effect on the programs that the statutory colleges can carry out. Faculty and staff of the statutory colleges see no salary increase in the current year and it is not likely that there will be a general increase in the coming year which is a very serious problem for those colleges. We will be recommending to the Executive Committee of the Board of Trustees next week, statutory tuition rates of \$7,000 a year for undergraduates which is an 8 1/2% increase in tuition and \$13,500 for the out of state tuition which is a 10.9% increase in tuition in that category. This tuition increase is also followed by a tuition increase anticipated by SUNY because SUNY will be raising its tuition by some \$535 or \$540, at least that's what we anticipate. We have to remit 1/3 of that tuition increase on behalf of our students to SUNY in addition to our costs that tuition has to bear on the Cornell campus. That particular issue is causing us to revisit the relationship between Cornell and its tuition, SUNY and its tuition, and how that is dealt with between the statutory colleges and Cornell. That is one of our high priority items that we and SUNY have agreed to have discussions almost immediately with the budget being passed. If SUNY is going to be continually funded by increases in tuition over the next few years, that puts a double burden on our own students when we have to add tuition increases on top of tuition increases.

"Statutory colleges of course are going through some difficult times. State-funded higher education across the country is going through some similar kinds of problems. Certainly our neighbors across the state and across the country who support higher education through tax supported dollars have been hit by some very severe reductions. We are in company with most of the rest of the nation in the adjustments that the statutory colleges are making.

"Now our endowed budget lives within this climate as far as state funding is concerned in the Governor's budget that was just passed. We lost some 1.65 million in Bundy aid that came to us on the basis of how many graduates we produce, for example BS, Master and PH.D. we produce. The total Bundy aid to the private colleges in the State of New York last year was 72 million dollars. The Governor's budget has called for it to be reduced to 36 million dollars. And there were 3 million dollars restored in the legislative process. So funding for private higher education through this mechanism was hit particularly hard in the Governor's budget.

"In addition, as we look at our funding climate for the University, our short term interest rates are down as you know. It's very hard to get much money on a CD in a savings account. The University has a problem with short term balances and so the income we get from our short term balances has been down. This has affected the total income

that we've had, in addition to our Bundy aid, our indirect cost income that Mr. Rogers will talk to you about later is somewhat uncertain, and we have had to become rather conservative in planning how we are going to move ahead on that.

"Your committee has suggested that we enter next year with a 6% tuition increase. This was a level that we really did a lot of our earlier planning on in terms of our budget process. In the end, with consultation with our Board of Trustees, we've opted for a 6 1/2% increase for tuition in the endowed colleges for the coming year. You have recommended to us that we cap financial aid as a percentage of our budget and keep that at the level it was in 1991-92. You recall that it was reported to you at a meeting we had earlier this term that we were recommending to the Board of Trustees that we continue our needs-blind tuition policy. That policy was passed at its March meeting. We indicated that we intend to try and fund financial aid over the next several years by increasing the general purpose revenues that we put into financial aid at about the rate of tuition. In other words, if tuition is going to grow 6, 6 1/2% a year, we anticipate adding that percentage of our general purpose revenues into financial aid. We have had a donor that has provided us with a spendable gift up to 7.5 million dollars over the next five years which we will help use up in our financial aid budget and we also have an agreement with the Board that we are going to be working very hard to achieve the goals of our capital campaign in terms of raising the endowment for student financial aid. Obviously, if we only put in a portion of our general purpose revenues, you put in a spendable gift, and we don't raise our endowment and by the time the spendable gift runs out, we are suddenly going to drop off the table because there would be a big hole in our financial aid budget. So to be able to do this, we will have to be very aggressive and very successful in raising endowment for financial aid. But we hope to follow eventually the spirit of what the FCR resolution was in terms of putting general funds into financial aid but we hope to maintain access to the University as much as we possibly can through some of these other mechanisms I have told you about.

"You recommended that the endowed salary pools be set so that the level of Cornell faculty salaries can continue a slow rise to its proper place in relationship to comparable U.S. universities. Given the anticipated levels under which we are operating this year, I must add that we have not had conversation with our sister institutions about what they are going to do about faculty salaries. We anticipate throughout the industry and the public sector and private sector that salary increases will be somewhat more modest than in previous years. We have included a base level allocation in our salary pools this year of some 3 1/2% plus an additional half percent for specific needs and merit that will be available to our deans and to our non-academic employees for salary programs this year. We are giving considerable flexibility to supervisors on how we anticipate those funds can be allocated. We expect that the state schools, our statutory colleges, will probably not have a salary pool this year. And we will not have an increase in the salary program for our executive staff and deans this coming year.

"Fringe benefit rates for staff will be increased from about 27% of salaries and wages to 29% and there has been a comparable increase in faculty fringe benefit rates that add to the compensation pool, along with increases in health insurance which has been a problem for us as well as our whole economy, and it has been fueled by increases that we have provided to support the parking and transportation plan that was put into effect last year.

"To balance the 1992-93 budget, we have had to remove about 6 million dollars from what a steady state budget would be if everything we are doing this year is being continued to next year along with what we have done for financial aid and salary programs for the coming year. We find that out of a 275 million dollar budget, we were about 6 million dollars short in revenue. And we had to take actions in order to bring that budget back into balance. We have adjusted our estimates on what our utilities will cost us and we are entering into a major energy conservation program to try and reduce our cost of utilities. We haven't really had a tough winter here for sometime and if we suddenly come back into some tough winters, we will be skating a little closer to the edge than we have in the last few years. We have tightened up some of our financial aid practices. We have reduced some of our graduate fellowships and have slowed a projected increase in some of our maintenance funds. We have increased maintenance funds in the last two years as well as provided some additional borrowing and debt service to help catch up in some of our deferred maintenance problems but we have slowed that increase in this coming year. We have reduced administrative and support budgets by some 3 million dollars which spread across largely the administrative and support units of the university. We have raised the library acquisition budget this year by what we expect to be the rate of inflation instead of doubling the rate of inflation of what we did in the last five or six years and we have made some savings in that regard. This will result in reduction of some personnel. In our administrative and support units it will change some of the services we were able to provide. I think we all have to recognize that as we look ahead. We hope that attrition can be the main route of having some of these adjustments in personnel but I think it is inevitable that there will be some layoffs that will have to occur.

"College budgets were left essentially at the steady state. There have been minor adjustments in the Arts College, the Engineering College and Architecture, Art and Planning. There have been minor adjustment but certainly nothing like the adjustments in the administrative units. That was primarily to allow for those colleges to continue the adjustments they have been making internally to bring their base budgets in line with rates of expenditure. Two years ago, the Arts College ran a 2.2 million dollar deficit. We anticipate that deficit has been wiped out by actions that the College has taken for the last couple of years. The College of Engineering last year ran a deficit and are taking some actions to bring that into line. Athletics, you've been reading about, has been running deficits and we have made some adjustments in the athletic budgets to try and get those into line with the allocations we've been making.

We cannot make balanced budgets if we give people allocations and people spend more than we give them and we cannot make adjustments for the whole University to work. So we are looking to a balanced budget next year. We have made some of the decisions that you have given us advice on and I think we will enter next year at some reasonable state. But we are in a different climate than we were in the 1980s and I anticipate that as an institution we are going to have to make some hard decisions and look ahead to some further reductions of our areas. The picture that we can project out for the next few years will depend a lot on the economy, where higher education comes again in the priorities of the nation, and on how well we articulate those priorities as well as demonstrate how we are responsible stewards of those funds. Mr. Speaker, that is all I have to say and I will be happy to answer any questions."

Mr. Speaker: "Are there any questions for the Provost? Before proceeding, I want to publicly thank Professor deBoer for volunteering to cover for me in the last two meetings."

### 3. FURTHER REMARKS BY DEAN OF FACULTY

Dean Lynn: "We have one additional faculty member but we still don't have a quorum, is that right? We have two short items of business. The Provost has carefully set up Treasurer Rogers to give you a report and I'm sure you all are looking forward to that. I just want to say one other thing from my split announcements. First, the Provost has asked, because he has to be at another meeting, to be out of here promptly.

"Secondly, I want to report to you on the report of teaching evaluation which was distributed to each of the faculty. The reason you haven't seen anymore on that report is that the committee is meeting with each of the colleges separately to hear any expressions, concerns or suggestions relative to that report before it is delivered to the Provost with a summary of what the committee has heard from them. So, that report is still alive and well and our hope is that whatever actions may be taken by the Provost by implementing that report, it will be accepted and implemented this forthcoming academic year. Thank you, Mr. Speaker."

Mr. Speaker: "Any questions for the Dean? We do not have a quorum so we will hold off on the minutes of the February 12th meeting. The chair next calls on Mary Tabacchi, Chairman of the Nominations and Elections Committee, to present the slate of candidates. Incidentally, if we cannot vote on these, we ask the Executive Committee to remain after the meeting to take proper action."

### 4. APPROVAL OF SLATE OF CANDIDATES FOR FACULTY TRUSTEE AND COMMITTEE ELECTIONS

Associate Professor Mary Tabacchi, Hotel Administration and Chair of the Nominations and Elections Committee: "Are there any additions to the slate? You

have it in your packet. You received this about a week ago. Would you like a moment to look over that (Appendix A, attached) and then tell us if you have any additions?"

Mr. Speaker: "If there are additions, you must have received approval from the person who adds his or her name to the slate."

Dean Lynn: "Mr. Speaker, this ballot will go out to the faculty, and that is the reason why it requires Executive Committee action in the absence of a quorum."

Mr. Speaker: "Are there any additions to the slate of candidates? The chair next calls on Professor Hudler and again we cannot vote on what he is going to propose but it will at least open the floor for discussion."

## 5. RESOLUTION AMENDING APPEALS PROCEDURES

Associate Professor George Hudler, Plant Pathology and Chairman, Committee on Academic Freedom and Professional Status: "Everytime a committee is convened to hear an appeal from an unsuccessful candidate for promotion, the committee is asked at the conclusion of the deliberation to comment on the appeals process. The committee chaired by Lee Lee did that to Dean Lynn in a memo on April 1, 1990. So I'm here two years and seven days later to present a resolution recommending several changes in the wording of the appeals procedure. We did not have a mind to review and revise the entire procedure and we confine our deliberations to the points that were specifically raised by Professor Lee on behalf of her committee. You should all have a copy of the changes that we propose. Just let me briefly go through those in the order that they appear.

"First one was a modification in wording that would elaborate on just what the role of the Dean of the Faculty would be in this whole affair. Originally it has said that 'Within two weeks the Dean of the Faculty shall be responsible for forming and charging an Appeals Committee to hear the appeal.' Professor Lee's committee suggested that the duties be specified a bit more clearly that the Dean of the Faculty would also facilitate the work of the committee by assisting in the gathering of information requested by the committee to which it is entitled. I will go through all five of these and perhaps return afterwards for discussion.

"The second amendment we have proposed had to do with a sticky issue regarding a definition of arbitrary or capricious, one of the grounds for appeal. We recommend a modification in wording there. In essence the new wording would be within that little parenthetical note 'The term arbitrary or capricious fundamentally describes a decision which has no sound basis in fact or reason. A decision is arbitrary or capricious only if it is one no reasonable person could reach. A decision is not arbitrary or capricious if it is one about which reasonable persons could disagree.'

The third amendment is strictly a minor change in wording here. The original reading portion of this particular part of the overall process is that 'The committee may, if circumstances warrant, investigate and return findings concerning possible violations of the grounds for appeal not raised by the appellant.'

"And then amendment four was another source of discussion with us. In the case in question with Professor Lee's committee, they felt it was necessary to review the documentation from comparable cases. As one looks at the legislation, you see that in the case of promotion to associate professor with tenure, there are five grounds for appeal. The documentation in the regulations say that if only items three, four and five are violated, the committee can examine comparable cases and Professor Lee's committee and ours couldn't understand if any of the grounds for appeal were violated, why a review committee should not have the option of looking at comparable cases. At the same time, we didn't want to leave an appeals committee or a panel that might be appointed with the impression that this was to be a routine matter of course whenever you want because logistically it's a terrible job to gather documentation from comparable cases and difficult to identify comparable cases. So we try and reinforce that by adding in essence 'The committee finds it absolutely essential to read the files of recent comparable cases within the college to examine charges raised by the appellant, it shall have access to those files as well.'

"Finally another issue that this particular committee ran into and was troubled to rectify or improve upon is that if there is a special panel appointed to review a negative decision, the current legislation says 'That panel shall be entitled to receive all of the evidence on which the original substantive decision was made.' It was unclear to the committee what is meant by the original substantive decision. Is that the original vote in the department, is that the Dean's decision, or what? As you can see, they are also entitled by current legislation to collect such current evidence they deem necessary to reach a new substantive decision. So there is still considerable flexibility. With that, I will open the floor for discussion."

Mr. Speaker: "Are there questions or comments?"

Professor Steven Shiffrin, Law: I'm wondering about the relationship between amendment three and amendment four. I realize that amendment three entitles the committee to return findings concerning possible grounds for the appeal not raised by the appellant. But if you look at the wording of amendment four, I sympathize with the notion that the committee starts going into other people's tenure files. On the other hand, as worded, they are only entitled to investigate charges raised by the appellant and it seems to me that it would make more sense if you are relating this to amendment three that they can investigate any grounds for appeal whether or not raised by the appellant so long as it is absolutely essential. I would suggest changing that to 'examine grounds for appeal' instead of 'charges raised by the appellant'. You would still have in there then they only get to do it if it is absolutely essential."

Dean Lynn: "I would like to point out that there is not a quorum. I would also in the same spirit like the legislative record to show that the word 'absolutely' is not an arbitrary decision. In fact when the committee asks to examine additional tenure files, it makes a compelling case for that. Adding the word 'absolutely' before 'essential' is not clarifying a lot unless it is understood that the committee makes the case for seeing them other than saying we have to look at them."

Mr. Speaker: "Walter, I don't think that is correct."

Dean Lynn: "I'm just saying that when we go to debate this to vote on it, I intend to introduce that as an issue for the body to decide, whether that's part of the understanding when it is approved."

Professor Isabel Hull, History: "This is on amendment five. I've recently served on an appeals committee and our understanding at that time was that the purpose of putting together such a new outside committee is precisely to gain a fresh look at the entire business and therefore I don't think it would be appropriate to limit right from the start the evidence that the new committee would be looking at, especially since the new committee wants to make a recommendation to the granting of tenure. I would urge very strongly that the wording remains as is."

Professor Hudler: "Our concern is that the substantive decision remains unidentified. It's not clear and was not clear to Professor Lee's committee what the original substantive decision was. So if we leave it that way, it remains unclear."

Professor Hull: "That's fine because if you reach this stage in the appeals process, you have exhausted every possible level of appeal. Isn't that right? The appeals committee has made a recommendation to the Dean and the Dean has thrown it back to the appeals committee. An impasse has been reached and at that point, you go out and put together a completely new committee. The purpose of that committee is to look at the entire case freshly and therefore it seems to me that committee should be able to see everything not just material the Dean may have, and it may not always be necessary for every little thing. The Dean will not necessarily have every piece of evidence in the case and it seems to me that at the last level of appeal that that committee should see absolutely everything."

Associate Professor, Richard Galik, Physics: "I don't understand the way it is worded now. It does specifically state that further evidence does not limit the evidence that was used in the original substantive evidence. It should state that they should have all and still collect further evidence. I don't see what is wrong with the adjusted amendment."

Professor Shiffrin: "I can still see a problem with the wording on amendment five that the committee is entitled to collect evidence doesn't mean that a department is

required to give it. The Dean is required to give it and of course the committee can go out and solicit outside letters and things of that character but the wording at present doesn't give the committee the right to receive all the information that has been used in the process of determining whether or not the person is entitled to tenure or not."

Dean Lynn: "The basic issue has already been addressed and no decision was able to be reached. The appeals committee could not convince the Dean that action taken in regard to this candidate was inappropriate after going through all of its due processes. It then continues to be dissatisfied with the resolution of the case. It is then authorized to convene this special panel. The question is, shall that panel, this group of three people selected, see this case, de novo, or shall the panel receive all of the internal discussions about the candidate which becomes elaborate of this tenure file at the same time. And that's really the underlying question whether it goes back to a subsequent issue again. The issue is, is this person qualified to receive tenure based upon their qualifications as a scholar?"

Ronald Ehrenberg, Irving M. Ives Professor of ILR: "Since we are not going to vote today, I would like to address problems I see of dealing with these amendments. This process is designed to protect the faculty member who is up for tenure or for promotion. What currently is not in the process is a procedure to protect the rights of the faculty when the faculty is defined as the existing department which might vote against the faculty member getting tenure or vote in favor of granting tenure. And then the overrule of higher administration where basically the department will never learn what the rationale is for that decision. So what I hope the committee will think about is to develop procedures to protect departments. A 'no' decision I would actually live with because that is basically being told your standards are not high enough. The things I find more difficult is when the department makes a negative decision, for example, in the College of Arts and Sciences, with an ad hoc committee appointed by the Dean, the department never sees the evidence the appeals committee accumulates, then the decision may become a yes decision. There is no way a department can appeal."

Mr. Speaker: "Are there any others? Thank you George. We are now down to the final agenda item. And the Chair calls upon Fred Rogers, Vice President for Finance and Treasurer, for an overview on indirect costs."

## 6. INDIRECT COSTS

Fred Rogers, Vice President for Finance and Treasurer: "Thank you very much. I think of the Provost's introduction as the billy goat's gruff introduction that if you think I'm bad wait until you hear the next news. I'm very interested in talking with you about indirect costs because there have been a lot of discussions both on campus and around the country about this subject. It is a subject of great importance to Cornell. I'm sure you all appreciate that. Just to scale things for you, our total federal research volume last

year was about 177 million dollars. Of that about 48 million dollars was paid to Cornell for indirect cost reimbursement. So we are talking about an issue of importance not only financially but also to the work that many of you do and to the nature of the University itself.

"Just to set the stage, let me just characterize briefly what our relationship to the government is. Most importantly I think Cornell is really blessed professionally with its government auditors. We do not have the history of rancor that some institutions unfortunately have. We have a history of understanding and cooperation perhaps disagreement but nevertheless professionally being able to work together. That really is a major strength in times like this. We have spent much of the last year reviewing and re-calculating material that has been done at Cornell over the past six years. In doing that, I think you should know that there is really no evidence in anything that I or our auditors have found that is at least characterized as wrong doing or misrepresentation. In the whole, I think it's fair to say that Cornell has been conservative about what it has submitted for indirect costs and there are a number of examples and some fairly large dollars that the University in fact did not request reimbursement for that it could have and in retrospect should have but did not. Thirdly, I would like to say that we are moving expeditiously by submitting data and to respond to requests. So we and a number of other schools are in the middle to try to catch up for the five years of little or no attention to these issues that have gone on across the country. And we are trying to do all of this with three basic goals in mind. Those are recognizing and supporting our longstanding and hopefully, long lasting relationship, with the federal government being the major sponsor of research on the campus. This has been an ongoing and important relationship for both of us. The nature of our relationship and our ability to support those research facilities and research activities is key to the University and to our future. And we have to do this in a way that is financially responsible and allows us to all move forward supporting all the programs in the University in a fair and appropriate way.

"I can now go to some of the specifics on what has been happening and the result of what has been happening at Cornell. You will all recognize from reading in the press about a year ago there were a number of proposals that started to come forth from federal agencies and from congressional committees and other sources to fix what some perceived as the research problem that existed at some institutions and more allegations to more widespread motions of that problem. There were proposals not to reimburse universities for certain items, to cap the total amount of overhead the institution could collect regardless of its documented expenses, and ultimately a proposal that was put through last summer which itemized a series of things that were no longer reimbursable and a limit to our component to our overhead rate. And I'm not going to get into a lot of details but you do realize that our overhead rate is comprised of components for buildings or libraries or certain activities and there was a cap that was put on several of those that the three of them could not sum to more than 26%. That's really the beginning of what many people feel is an ongoing effort to just

absolutely limit the total amount of research overhead that can be reimbursed. If I talk about this, I need to refer to a few agencies and I just want to sketch our relationships as we talk about it. Every university that does federal research, is assigned to one federal agency which is known in the vernacular as our cognizant agency. That is the agency on behalf of all other agencies who negotiates with us on what indirect cost rates are reimbursable, allowable, etc. In the case of Cornell that is the office of Naval Research under the Department of Defense. There are about 40 other universities in the country that are assigned to the Department of Defense. The majority of the universities are assigned to the Department of Health and Services. The reason for those assignments date back some thirty or forty years into the relationships that existed at that time and don't relate now and there has been no attempt to change them based on the current funding of current activities or anything else. It is really historical. We are, therefore, negotiating with the Office of Naval Research at a federal rate which will apply to all federal contracts for the campus. In our case we have nine rates and so we actually negotiate for nine rates here. They in turn use the services of a group called the Defense Contract Audit Agency (DCAA), who do the audits. And they are the agency for the entire Department of Defense. They have all the defense contractors. They audit General Dynamics, General Electric and Cornell University and everybody else inbetween. They are in a sense a service function that is called upon by the Office of Naval Research when they need an audit. So we are audited in a sense by those two agencies.

"Some of you asked why we were not in the newspapers when these audit findings were released here a month or so ago quoted in the New York Times. Those audit findings all came from the Department of Health and Human Services and unfortunately on several occasions found their ways into the hands of the New York Times and other correspondence. That is not the case within the Department of Defense. So there are similar audits going on at the Department of Defense schools: MIT, Cornell and Columbia and other universities around the country and there is really not a sense of difference that each agency treats their material differently than the other. We then again are glad we are dealing with the Office of Naval Research. So I have said where we are in dealing with these agencies; they have not audited us since 1985. We have submitted rates through 1988 and that is after the fact we submitted proposals of what our costs had been and we used those numbers to develop rates that were approved through the year we are in now, the fiscal year 92. Last spring when all of these discussions, suggestions and other issues were floating around, we started to take a very serious look at the numbers that we had submitted in 1986-88 which believe it or not, by the spring of 91 had not yet been audited by the government. And as we looked at them, we felt there were things we wanted to reconsider. The first one was really the political issue whether we would reconsider issues about the President's office expenses. There was some publicity about that last spring. In the face of very little regulation there was a judgment made it was better to be overly conservative than not. So those expenses were withdrawn. Subsequently I and others made the judgment that we should in fact withdraw our entire submission.

It would be better to take it back and do it over again corrected completely than to negotiate piece meal for something done previously. With our internal audit staff, they booked about 3,000 hours of audit time. We had four people working on this from the cost accounting staff. We hired our outside auditors, Coopers and Lybrand, and asked them to come in and review both the transactions we were looking at and control methodology of how we had done this. Their bill I'm afraid to say was \$100,000 for the level of work but it indicates the volume of work they did for us. Ten months later, we submitted those three years. We submitted them right at the end of the year. I think its fair to say that in the history of this issue that's probably the most extensive review that Cornell has ever done with indirect costs submissions. Probably all universities are finding that in 1991 they have done the most extensive review of their indirect costs submissions ever. What we found when we were done fixing and changing and re-accounting for and re-looking for these items, the ratio of indirect costs and direct costs were very close where we had started in proposing those rates and in some of those cases back in 1983, 84 and 85 in advance of those years we are talking about. There were thousands of adjustments one could make, correct and fix, but when it was all said and done, the rates themselves needed to be well substantiated. We submitted the data to the Office of Naval Research; they submitted it to the Department of Defense Contract Audit agency. They are in the middle of auditing it and told us that it would be done in three months meaning the end of March, but unfortunately they are now telling us the end of June. In the meantime we have no rates for next year because our rates for this year expire. In the word of government speaking, all these things make sense but they have informed us that we may only apply for rates next year when we have been audited through 1991, and we thought that would be very difficult to accomplish considering we can't even finish auditing the day scheduled so we have now agreed that we will be applying for what we call provisional rates. We will plan to apply for a rate that will be provisional till we actually complete these audits. Those provisional rates for 1993 will be basically the rates we have today. For the statutory side, we will probably see an increase on the campus rate - a fairly significant increase probably in the neighborhood of 60% from the 53% we are charging today. Statutory rates unfortunately have been up and down over the past ten years due in part to lag effects of trying to really accurately predict them.

"In addition to all this auditing and submitting, some of you may know that the government has asked for a refund. They have asked that Cornell and other universities repay in cash immediately any amounts that we may have identified or not allowed or taken out of our submissions, an anticipation of eventually settling up in some overall way. You should know that on behalf of the University, the President has responded by restating our commitment to fulfilling our obligation by full accountability and responsible stewardship of public funds. We have thoroughly reviewed the cost submissions which we gave the government for 1986-88 and we informed them that we believe that they are as accurate as seemingly possible and in fact do not include any allowable cost but if for any reason they find something we have inadvertently overlooked, that is unallowable, we will refund that in cash. That audit is ongoing, so

we don't know what the outcome of that will be. But otherwise, we believe we do not owe a refund for those three years. The rates we documented will be substantiated and close to the rates we used. In the interim though as I said earlier, rates we have submitted previously was after the fact cost used to negotiate going forward here. So years after 1988 up to the present, were negotiated based on submissions which we have now withdrawn. So there is a suggestion that if those submissions were different, we might have negotiated different presumably lower rates, and may now refund on that basis so in any event we would not inadvertently overcharge the government for those years. As you can tell, this is a very difficult and speculative kind of calculation. We are in the midst of discussing and of negotiating that. I don't know where that will come out. I can tell you that there is extreme pressure and in some cases, political pressure on many of these people in the government. We will see how that resolves. We have ongoing meetings about that.

"Another area of importance to Cornell and for many other universities that may not be understood is this question of special studies. Many universities use special studies to document the actual research costs they apply to certain parts of the university operation really instead of default standard methods that are prescribed in the regulation. For example, the standard methodology prescribed in the federal regulation for allocating utilities is that you take the total cost of utilities and divide it by the total square feet of the campus and that's the cost per square foot which is then allocated by how many square feet are used for conducting research and how many square feet are not used for research. Cornell and most every other research university have documented for years that the cost of operating and scientific work space is not your average classroom or auditorium or public space in most of our buildings. So we conduct research and we meet our utilities by building, I mean we conduct a study of how much space, what equipment and how that might be allocated more specifically to areas of the building that have fume hoods, laboratories and heavy air-conditioning usage to areas of buildings that do not. And then we have to allocate those as to whether those areas are used for research or not. That is one example of a 'special study'. These special studies were generally allowed and often incorporated into the final rate negotiations and in fact in Cornell's case, they were used for rate negotiations in 1992. Now the government is questioning whether these studies done previously are accurate, appropriate, should have been done the way they were done or should be allowed at all. And there is somehow a notion that standard methodology is fair and special studies is designed to be biased in favor of the university. MIT is having a problem with its library study, Columbia is having a problem with their utility study. We have both of those kinds of studies and questions have been raised about our studies. I don't know where this will come out either. We have just done a retroactive utility study and we are doing a library study to substantiate the work we have. One of the difficulties as far as I know in the past twelve months is that neither the Office of Naval Research nor the Department of Health and Human Services have approved any utility or library study. So we are in an environment basically where nothing is getting approved.

"Well what have we done to move this ahead? Unfortunately, we have increased the cost accounting staff from 4 to 8 people. The government has increased the number of auditing us from 1 to 7. We are falling behind on our ratio test but we think we are going to keep up with them. We have purchased new software programs that we think will allow us to reconcile between what we submit to them as an indirect cost submission and the accounting records and financial records of the University. We have hired several expert consultants to review both the methodology and the details of what we've been doing. We have invited them in to have private criticism sessions with us to tell us what they could do differently and tell us what you think it would be viewed as. We have a policy and we continue with this practice of working closely with the DCAA. When the DCAA asks for information, we provide it and they ask for a lot of information. They have probably carried out boxes of paper. Some of that information we believe is irrelevant and some of it we believe is to be subject to interpretation and some of it we believe would imply questions themselves irrelevant. Nevertheless, when they ask for information, we provide it and we also try to provide an understanding and a background to that as well.

"We are conducting training around campus. This is an important issue for many of you. Many of these issues are only in the end, administered well at the origination. Around the campus as charges are made and as charges are made against certain accounts, we all need to know what those standards are, what's appropriate, what may not be appropriate and that kind of training and documentation we have one round with and will continue with more rounds of that. There will be a need on everyone's part, I'm afraid, to be more sensitive to the kinds of things that are appropriate and are not appropriate. In the meantime, I'm sure you realize that the government is busy re-writing regulations and wants to train everyone. The procedures that we are training them about by themselves are subject to ongoing change. So this will be a never ending process.

"Just a couple of points in closing and then let me take some questions. One of the basic tenets of the whole federal research relationship for the last number of years has been the principle that universities conduct research on a full cost reimbursement basis. When government contracts with industry they do it on a competitive bid basis or an overhead on profit basis. When they contract with universities, there is to be no overhead in profit, there is to be full reimbursement of cost. We are now moving into a period where I think there is real questioning at the federal level as to whether they are committed at this full reimbursement. We are more into a style of negotiated price reduction and how that will play out, I think will be difficult. There has been historical recognition that indirect costs by their nature are very difficult to analyze and to assign as to what they apply to and there is now a standard that says, we must have a very clear relationship between indirect costs and to what that applies. That is fundamentally difficult in the world of indirect cost. It's contrary to the notion of indirect cost. That will make this area very difficult. Just one example of this sort of price reduction that I find maybe small in the item but difficult to accept in the concept is that

the new regulations make it unallowable for institutions to recover the cost of the Board of Trustees when having their meetings. Now if you were in a corporation and the Board of Directors' expenses were not a corporate expense, it wouldn't make any sense whatsoever. But at an institution we now have a regulation that says the Board of Trustees when they meet, you don't pay for their travel or pay them a stipend, that those expenses are unallowable except for lunch. It's a small dollar item, but its the principle which runs contrary to this notion of how we are to run a university.

"The second point after full reimbursement is an important notion for us here in this room to consider. There is almost an explicit effort at the government level to separate the faculty and the administration here on the campus. To really imply somehow that it's in the interest of the faculty to negotiate all these costs now. This difference of opinion that we can all work to get something by taking down the administrative costs and challenging what the administration of Cornell and other universities have done in the past with these issues, is a fundamental notion for us as an institution to accept. We are not separating faculty and staff, we are really working, I hope and trust, for the interest of the institution collectively. There is a notion that the federal agencies put forth that by lowering indirect costs they can maximize the total number of grants from the same dollars. That if you had a 15 million dollar budget, and you had lower indirect cost rates, you could have 5% more grants administered than otherwise you would have. If you pursue this very far, you will soon see that the facilities and support that the institutions are expected to provide for in an increase in the volume of grants is not going to be available. We cannot build new laboratory facilities, we can't renovate those facilities, and operate them on a continual decline in those kind of support dollars. We really need to think collectively of what is in the interest of the institution.

"Third point I would like to say is that we absolutely must work to lower the actual cost of administration. There are no benefits to lowering the rates without lowering the cost. And there is a real benefit to all of us by lowering the cost. You have heard the Provost speak about the budget working with significant reductions in administrative areas this year. I hope that we can continue to find ways to reduce our administrative costs. On that you have my and other members of the administration's full commitment to try to do everything we can to do that and that's part of this bargain I think. We obviously need to recover the cost of the total institution somewhere if from research or from somewhere else. In the environment of this body and others request that the rates of tuition be moderated and other activities such as financial aid and salary improvements continue, clearly finding ways to fully reimburse the institution for the cost of research are essential.

"The last point is high on my agenda to maintain this professional relationship which we have with our fellow audit agencies. We need to provide them with data, to respond to their concerns. Some of the concerns will come out to be unreasonable. Nevertheless, we must respond to them and we must work closely with them. If we are required to make a refund, we may feel that is necessary, we will argue endlessly

about where we need to do that and how it will be accounted for in the future. We have raised the point that if there is a refund due and there is in fact on campus ongoing contracts, which have years to be covered by that refund, we would want to make those payments back to the contract account here as a credit against the overhead that was paid as opposed to a payment back to the federal treasury. We think this is an interesting concept to pursue, I would rather see the money remain on campus than go back to Washington. I don't know whether that would be successful but that is one of the many avenues we are exploring. I would be happy to answer questions or to respond to any concerns."

Mr. Speaker: "Are there any questions for Mr. Rogers? We will yield the floor to the Chairman of the FCR Executive Committee."

## 7. FACULTY COMMISSION ON HIGHER EDUCATION

Associate Professor Alan McAdams, JGSM and Chair of the FCR Executive Committee: "We have handed out this concept map that tries to lay out in conceptual terms some new actions that we are attempting to take that may provide some excitement to FCR meetings in the future and respond I hope to the kinds of presentations we just had by the Provost and the immediately proceeding presentation. First, let me make a few general comments. At the last FCR Executive meeting, we approved in principle the creation of a Cornell Faculty Commission on Higher Education. We were asked to carry forward in the development of that commission as far as we could. So we have embarked on that task, and were endorsed by the Executive Committee prior to this meeting. This has been discussed with Mal Nesheim, Mal probably had three comments. One, to set up a commission at this time, we hope to work together and not work at cross purposes, we couldn't agree more, we are happy to do that. Two, in working together, we should be sensitive to the fact that there have been major cuts in the administrative support so, therefore, our demands may have to be qualified and we are more than happy to deal with that. And finally, when I discussed with him the Council of Senior Advisors, these people that have agreed to serve, and asked his reaction to that he said, 'The more brains we have to bear on these difficult problems the better.' What we intend to do is develop the Faculty Commission, we want to get the two co-chairs in place, work jointly with them and develop their own charge and I will try to give you an idea of the kinds of things we think are appropriate to such a charge. I have had no refusals when I called people such as those listed on the Council of Senior Advisors to agree to support this university is really impressive and inspiring. You'll note the people who have agreed to serve are Urie Bronfenbrenner, Barber Conable, Alice Cook, Don Cooke, Dale Corson, Fred Kahn, Keith Kennedy, Jim Spencer and Bill Whyte. The role of the Council of Senior Advisors is to serve as a fly wheel and to help in setting the priorities for the work of the Commission itself and once there are outputs, they will be approved by the FCR Executive Committee at first and where appropriate by the FCR itself. We hope they will assist us in publicizing the output of our working groups. The

Faculty Commission is intended to consult with the council of senior advisors who will provide them with the kinds of advice we suggested and to then appoint these task forces. I think the best way to suggest the things we have in mind is to identify a couple that might occur.

“We are aware that a good deal of analysis has already been done and has not yet been published but could be incorporated in a white paper that would be available before the end of the summer and I personally have spoken to a number of the people involved and they agree with me that such a paper could be forthcoming. One aspect is a study done by one of our faculty members on the cost of education of the upper and lower campuses establishing that those costs are identical. This is something that will come as a great surprise to our former secretary of education who thinks there are high cost and low cost universities. What he failed to recognize is the difference in tuition between our upper and our lower campuses is mainly a state subsidy and not a difference in cost. It's a matter of one of those campuses being subsidized by the state. I think the federal government should recognize things of this kind. Second, and specifically, on these issues of indirect costs, the University generally covers about 20 cents on the dollar for facilities. Approximately 50 cents on the dollar goes for equipment for a fifteen-year life. This is totally counted towards the perceptions that are explicit in the comments that Mr. Rogers was making. We also have a lot of work that has been done on trends of federal support for higher education that lead to a lot of pressures on tuition where the federal government is upset about the tuition rising. They should be more upset over the lack of support for universities that has led to the need for a raise in tuition. The same is true on the state side but we couldn't ask for a better documentation of a lot of that than we just heard from the Provost. A second kind of study that has been forthcoming is already underway and one of the things is a principle we hope to be able to perceive is to do things in the professional interest of the particular faculty members so it is in their research interests as well as Cornell interest to be working on these task forces that will be coming with these white papers. We are aware that one of our faculty members will be working on a revision of an introductory course in physics and we think it is appropriate for a commission study. We hope that his group while he is on sabbatic will do such an excellent job so we can try and take part in it. And in any case, we can certainly look at it and see if there are lessons to be learned for the rest of Cornell University. The accessibility of higher education is clearly a national concern and a Cornell concern. And we have the mission that has been given to us by Ezra Cornell and we hope we can assist the administration in carrying forward in that mission. We think that in the longer term study, we have to proceed in stages. For example the first white paper that I suggested should be available by the end of the summer, I think should be followed by further analysis that would further suggest actions that Cornell might take. But certainly publicizing at the earliest point the kinds of de-bunking of myths about indirect costs and costs of education should come as soon as possible. Our perception is that this Commission with the kind of support we have been able to generate from our seniors will be an ongoing activity of the faculty that we hope to

coordinate as closely as possible with the administration. As you look at Time Magazine, the 'College Crunch Strapped for Money, Educators are Re-Inventing the Universities for the Twenty First Century', we hope our commission will be able to assist in that process. I think that is a quick overview of our proposal with the Cornell Faculty Commission functioning in consultation with the Council of Senior Advisors and with the FCR Executive Committee effectively serving as the Board of Directors with a series of task forces created as appropriate. The matters will be brought to their attention by the senior advisors, by the faculty itself, by the administration, and by whatever we may see in our environment. I'm ready to take any questions you may have."

Mr. Speaker: "Any questions or comments for Professor McAdams?"

Professor Ehrenberg: "I think one of the first task forces we need right now is in two directions. One direction is to do research and come up with ideas that will be useful for Cornell University for improving the efficiency of knowledge and education in terms of running an institution. A second type is basically lobbying Washington on our own. I wonder what is wrong with the government's analyses of higher education. My opinion is that it might be more fruitful for the faculty to do what we can do here and now as opposed to assuming responsibility as a rule."

Professor McAdams: "Well, I think the Commission can sort that out. I think we have excellent senior advisors who can debate those two points. I think it is very appropriate to have them up for discussion. Cornell is one of the few places in the world to evaluate the costs of state supported education directly in contrast with endowed education, and the comparison has been made. I'm not saying that we should become a lobbying agency but I think we have some unusual expertise that has resulted from analysis that it would be foolish not to make that available in the national debate."

Mr. Speaker: "Is there anything further? If not we are adjourned."

Adjourned: 5:40 p.m.

Mary Morrison, Secretary

April 1992

**REPORT FROM THE COMMITTEE ON NOMINATIONS AND ELECTIONS**  
**SLATE OF CANDIDATES**

(All terms commence July 1, 1992 unless otherwise indicated)

**FACULTY TRUSTEE** - 1 vacancy, 4-year term

Joseph M. Calvo, William T. Keeton Professor in Biological Sciences  
 Roger C. Cramton, Robert S. Stevens Professor of Law  
 John E. Hopcroft, Joseph C. Ford Professor of Computer Science, and Chairman, Computer Science  
 Ruth Schwartz, Professor, Nutritional Sciences

**AT-LARGE MEMBER, FCR** - 3 vacancies, 3-year terms

Josephine A.V. Allen, Associate Professor, Human Service Studies  
 Jennie T. Farley, Professor, Industrial and Labor Relations  
 Cutberto Garza, Leading Professor and Director, Nutritional Sciences  
 John L. Lumley, Willis H. Carrier Professor of Engineering  
 Wolfgang H. Sachse, Meinig Family Professor of Engineering

**COMMITTEE ON MEMBERSHIP OF THE UNIVERSITY FACULTY** -  
 1 vacancy, 3-year term

Daphne A. Jameson, Associate Professor, Hotel Administration  
 Dorothy Mermin, Professor, English

**NOMINATIONS AND ELECTIONS COMMITTEE** -  
 5 vacancies, 3 for 3-year terms; 2 for 1-year terms

Harold Bierman, Jr., Nicholas H. Noyes Professor of Business Administration  
 John J. Clark, Professor, Hotel Administration  
 Richard A. Ledford, Professor and Chairman, Food Science; Director, Institute of Food Science  
 Pamela M. Ludford, Associate Professor, Fruit and Vegetable Science  
 Anil Nerode, Goldwin Smith Professor of Mathematics, and Director, Mathematical Sciences Institute  
 David M. Stipanuk, Associate Professor, Hotel Administration  
 Dick Wittink, Professor, Johnson Graduate School of Management

(over)

**REVIEW AND PROCEDURES COMMITTEE - 3 vacancies, 3-year terms**

David C. Dunn, Associate Professor, Hotel Administration  
 Alice M. Isen, S.C. Johnson Professor of Marketing  
 Joseph D. Novak, Professor, Education  
 Walter M. Pintner, Professor, History  
 Robert S. Smith, Professor, Industrial and Labor Relations

**UNIVERSITY-ROTC RELATIONSHIPS COMMITTEE - 2 vacancies,  
 3-year terms**

Richard G. Moore, Associate Professor, Hotel Administration  
 John W. Sherbon, Professor, Food Science  
 Barry S. Strauss, Associate Professor, History  
 Virginia Utermohlen, Associate Professor, Nutritional Sciences

**COMMITTEE ON ACADEMIC FREEDOM AND PROFESSIONAL STATUS  
 OF THE FACULTY - 3 vacancies, 3-year terms**

Michael E. Gold, Associate Professor, Industrial and Labor Relations  
 George W. Hudler, Associate Professor, Plant Pathology  
 Charles S. Levy, Professor, English  
 Meredith F. Small, Associate Professor, Anthropology  
 William G. Tomek, Professor and Chairman, Agricultural Economics  
 James E. Turner, Associate Professor, Africana Studies and Research Center

**COMMITTEE ON ACADEMIC PROGRAMS AND POLICIES -  
 2 vacancies, 3-year terms**

Jon M. Conrad, Professor, Agricultural Economics  
 Craig C. Lundberg, Kenneth and Marjorie Blanchard Professor of Human Resource Management  
 Paul R. McIsaac, Professor, Electrical Engineering  
 Philip D. McMichael, Associate Professor, Rural Sociology

**COMMITTEE ON ADMISSIONS AND FINANCIAL AID -  
 1 non-tenured vacancy, 3-year term**

Mark D. Fulford, Assistant Professor, Hotel Administration  
 Harry T. Lawless, Assistant Professor, Food Science  
 Gail Scott White, Assistant Professor, Art

**COMMITTEE ON AFFIRMATIVE ACTION** - 1 vacancy, 3-year term

William L. Olbricht, Associate Professor, Chemical Engineering  
 Dotsevi Y. Sogah, Professor, Chemistry  
 Margarita Suner, Professor, Modern Languages and Linguistics

**COMMITTEE ON AFFIRMATIVE ACTION** - 1 non-tenured vacancy, 3-year term

Jean B. Hunter, Assistant Professor, Agricultural and Biological Engineering  
 Miriam E. Leeser, Assistant Professor, Electrical Engineering  
 Margaret E. Smith, Assistant Professor, Plant Breeding and Biometry

**FACULTY ADVISORY COMMITTEE ON ATHLETICS AND PHYSICAL EDUCATION** - 2 vacancies, 3-year terms

Jonathan R. Macey, J. DuPratt White Professor of Law  
 Milo E. Richmond, Courtesy Associate Professor, Natural Resources  
 Richard E. Ripple, Professor and Chairman, Education  
 Charles E. Short, Professor, Clinical Sciences  
 Robert N. Stern, Professor, Industrial and Labor Relations

**FACULTY ADVISORY COMMITTEE ON ATHLETICS AND PHYSICAL EDUCATION** - 1 non-tenured vacancy, 3-year term

J. Thomas Brenna, Assistant Professor, Nutritional Sciences  
 John W. Hermanson, Assistant Professor, Anatomy  
 Mark L. Psiaki, Assistant Professor, Mechanical and Aerospace Engineering

**COMMITTEE ON FINANCIAL POLICIES** - 1 vacancy, 3-year term

David R. McCann, Associate Professor, Asian Studies  
 Nancy C. Saltford, Professor, Textiles and Apparel  
 J. Mayone Stycos, Professor, Rural Sociology, and Director, Population and Development Program

**COMMITTEE ON FINANCIAL POLICIES** - 1 non-tenured vacancy, 3-year term

Steven C. Kyle, Assistant Professor, Agricultural Economics  
 Janet H. Marler, Assistant Professor, Hotel Administration

(over)

**COMMITTEE ON MINORITY EDUCATION** - 3 vacancies, 3-year terms

William E. Cross, Associate Professor, Africana Studies and Research Center  
 Thomas A. Lyson, Professor, Rural Sociology  
 Jane Mt. Pleasant, Assistant Professor, Soil, Crop and Atmospheric Sciences  
 Margaret Washington, Associate Professor, History  
 David B. Wilson, Professor, Biochemistry, Molecular and Cell Biology

**RESEARCH POLICIES COMMITTEE** - 2 vacancies, 3-year terms

Sander L. Gilman, Goldwin Smith Professor of German Literature and Humane Studies  
 George P. Hess, Professor, Biochemistry, Molecular and Cell Biology  
 George J. Suci, Professor, Human Development and Family Studies  
 Watt W. Webb, Professor, Applied and Engineering Physics, and Director, Biophysics Program

**RESEARCH POLICIES COMMITTEE** - 1 non-tenured vacancy, 3-year term

Barbara Correll, Assistant Professor, English  
 Timothy A. Judge, Assistant Professor, Industrial and Labor Relations  
 Thomas G. Owens, Assistant Professor, Plant Biology

**UNIVERSITY ASSEMBLY** - 4 vacancies, 2-year terms beginning June 1, 1992

Marvin I. Adleman, Professor, Floriculture and Ornamental Horticulture  
 Earl Brooks, Professor, Hotel Administration; Professor Emeritus, JGSM  
 Jennifer C. Greene, Associate Professor, Human Service Studies  
 Dennis Miller, Professor, Food Science  
 Ray T. Oglesby, Professor, Natural Resources

**ADVISORY COMMITTEE ON RESPONSIBLE SPEECH AND EXPRESSION** -  
1 vacancy, 2-year term

Njoku E. Awa, Associate Professor, Communication  
 Judith L. Brownell, Associate Professor, Hotel Administration  
 David J. Gries, William L. Lewis Professor of Engineering

MINUTES OF A COMBINED MEETING OF THE FACULTY COUNCIL OF  
 REPRESENTATIVES AND THE UNIVERSITY FACULTY

May 13, 1992

Sixth Meeting of 1991-92 Academic Year  
 (Number in parenthesis indicates attendance at meetings to date)

**Present:** **Afr. Ctr.:** Edmondson, L. (2). **CALS:** Gillett, J. (3); Hudler, G. (5); McCormick, C. (4); Riha, S. (4); Shapiro, M. (3); Slack, S. (3); Trancik, R. (6); Wayne, R. (6); Wylie, M. (5). **Geneva:** Koller, W. (5); McLellan, M. (3). **A&S:** Ahl, F. (6); Blume, L. (3); Castillo, D. (4); Darlington, R. (5); Galik, R. (6); Hull, I. (4); Krumhansl, C. (4); Lambert, B. (6). **Engr.:** Brown, G. (5); Kay, R. (6); Mukherjee, S. (5); Scheele, G. (5). **Hotel:** Sherry, J. (5). **H.E.:** Garner, C. (6); Laquatra, J. (5); Lemley, A. (4); Schwartz, P. (5). **ILR:** Kuruvilla, S. (4). **JGSM:** McAdams, A. (6). **Law:** Shiffrin, S. (6). **Univ. Libr.:** Atkinson, R. (spg. only) (3). **Vet. Med.:** Hermanson, J. (5). **At-Large:** Ehrenberg, R. (5); Kazarinoff, M. (4); Levitsky, D. (4); Lucey, R. (5); MacDougall, B. (lv. fall) (2); Norton, M. (5); Walter, M. (5).

**Absent:** **CALS:** Albright, L. (3); Baveye, P. (2); Berkey, A. (5); Brown, D. (3); Ewert, D. (3); Feldman, R. (4); Glynn, C. (0); McDonald, D. (0); Ranney, C. (5); White, S. (1). **Geneva:** Shelton, A. (3). **AAP:** Jarzombek, M. (3); Perlus, B. (3); Saltzman, S. (2). **A&S:** Abruna, H. (3); Bathrick, D. (2); Caldwell, S. (3); Dear, P. (4); DeVoogd, T. (0); Feigenson, G. (3); Fisher, E. (3); Fried, D. (0); Hamill, O. (0); Hartill, D. (2); Howland, H. (2); Loring, R. (3); MacDonald, J. (4); Mitchell, J. (2); Monegal, A. (1); Mullen, H. (2); Samuels, S. (1); Shiraishi, T. (1); Small, M. (1); Speh, B. (3). **Engr.:** deBoer, P. (spg. only) (2); Moore, F. (3); Parks, T. (4); Philpot, W. (lv. fall) (1); Seyler, C. (4); Subramanian, D. (1); Wise, F. (4). **Hotel:** Tabacchi, M. (5). **H.E.:** Wethington, E. (5). **ILR:** Bishop, J. (1). **JGSM:** Lind, R. (0). **Law:** Williams, D. (0). **ROTC:** Rhyne, K. (2). **Vet. Med.:** Ball, B. (3); Dubovi, E. (2); Farnum, C. (3); Fortune, J. (2); Gilmour, R. (1); Meyers-Wallen, V. (2); Weiland, G. (1). **At-Large:** Cornelius, S. (1); White, R. (2). **Trustee:** Farley, J. (4); Kramnick, I. (1).

Mr. Speaker, Professor Emeritus Russell Martin, Communication: "Please come to order and a very special welcome home to President Rhodes. Good to have you back. We do not have a quorum as of yet but we will proceed until we get to something that requires a vote. There is one item that has to be taken care of one way or another and the Executive Committee can act on behalf of the FCR if we do not have a quorum. So when we get down to the slate of candidates for FCR seats on committees, and if we do not have a quorum, we will ask the members of the Executive Committee to stay for just a few minutes so we can act on that. The chair calls on Dean Lynn for remarks."

1. REMARKS BY DEAN OF FACULTY

Dean of Faculty, Walter R. Lynn: "I do have a number of nice announcements to make to you. First of all, the University Faculty ballot has been completed. You should have picked up a copy of the results (Appendix A, attached) on your way in and I am delighted that we had a group of outstanding candidates and that the participation in the election was really quite good. Almost 700 people participated in the election itself. Joe Calvo was elected Faculty Trustee, and he will take office July 1 replacing Jennie Farley. I really do thank everyone who ran for these offices. There is an equally important ballot that you now have before you to elect the FCR allocated seats

on the committees. That election will take place immediately. I am indeed sorry about what appears to be a lack of a quorum at this point.

"I will also call your attention to Commencement. The faculty have participated in Commencement and it has been a delightful thing to have many faculty there. I remind you that there are caps and gowns available, if you do not have your own. They are in Barton Hall and you can pick them up. There was a flyer sent out ahead which related to that as well and I hope that you will avail yourself of that and join in what is a very festive and pleasant morning.

"I have a couple of other announcements. The report of the committee I formed to look at the Evaluation of Teaching is coming to a closure. We will make our report formally to the Provost. I am pleased to report to you that after visiting with most of the colleges to see whether they had any specific concerns or complaints, it is fair to say that the report was well received. The committee will recommend to the Provost that he proceed to implement that report. We will discharge the committee after that.

"A final announcement I have to make is a troublesome matter that I want to call to your attention. Every year there are eight scheduled meetings of the FCR, four each semester. We only called six meetings, two were canceled for lack of business. Three meetings had a quorum, three without a quorum. I have on previous occasions raised this issue about participation in the University governance system. I intend to examine this problem to see whether some form of reorganization might be appropriate for us and to present that to the University Faculty, perhaps at the beginning of the Fall term. That's our problem, and as you see today, the items of concern are not exciting issues for debate but they are the business of this Faculty. So I believe that it is important to do that and will talk to you more about that next semester.

"In my closing comment, I wish you all a good summer and look forward to seeing you in the Fall with your continued participation in the FCR. Thank you."

Mr. Speaker: "Are there any questions for the Dean? The chair next presents President Rhodes to announce faculty deaths since our last meeting."

## 2. DEATHS

President Frank H.T. Rhodes: "Mr. Chairman and colleagues, I report with great regret the deaths of nine fellow members of the Faculty during the course of the year. They are:

*Emil A. Mesics, Professor Emeritus, ILR, April 15, 1991*

*Evelyn E. Stout, Professor Emeritus, Design and Environmental Analysis,  
November 6, 1991*

*Myunghwam Kim*, Professor Emeritus, Electrical Engineering,  
December 23, 1991

*Frank F. Gilmore*, Professor Emeritus, Business Administration,  
January 1, 1992

*Frank L. Spitzer*, Professor Emeritus, Mathematics, February 1, 1992

*Jack C. Geary*, Professor Emeritus, Radiology, Physical Biology,  
February 18, 1992

*Maurice C. Bond*, Professor Emeritus, Marketing, February 22, 1992

*Margaret Hutchins*, Professor Emeritus, Home Economics Education,  
February 24, 1992

*LaVerne L. Pechuman*, Professor Emeritus, Entomology, March 30, 1992

"I know that you will want to express to the relatives of these colleagues our sense of gratitude for their lives at Cornell and condolences on their deaths. I invite you to stand with me for a moment for a memorial to them. Thank you."

Mr. Speaker: "Thank you, President Rhodes. The chair calls on the Dean to present the slate of candidates for FCR seats on committees."

### 3. APPROVAL OF SLATE OF CANDIDATES FOR FCR SEATS ON COMMITTEES

Dean Lynn: "Thank you Mr. Speaker. On behalf of the Nominations and Elections Committee who has carefully reviewed the membership of the FCR and has recommended the slate of candidates available to you on the pink sheet (Appendix B, attached), I commend this to your attention on behalf of the committee and seek your approval."

Mr. Speaker: "Are there further nominations from the floor? We will just remind you that if you have anyone, he or she must be a member of the FCR and have given you prior approval to put their name on the slate. There being none, we will wait until we get a quorum, we are nine short. If we do not get a quorum, will the members of the FCR Executive Committee please meet briefly following the meeting to take action on this slate of candidates? The chair next calls on Associate Professor George Hudler, Chairman of the Committee on Academic Freedom and Professional Status, for a resolution amending the Appeals Procedures."

#### 4. RESOLUTION AMENDING APPEALS PROCEDURES

Associate Professor George W. Hudler, Plant Pathology, Chairman of the Committee on Academic Freedom and Professional Status: "This is a resolution that I presented to you the last time and we didn't have a quorum then and I'm back again to present it and we still don't have a quorum. Every time that an Appeals Committee is convened to hear an appeal from an unsuccessful candidate for promotion, that committee is asked at the conclusion of their deliberations to comment on the appeals process. One committee chaired by Professor Lee Lee did that by way of a memo to Dean Lynn, April 1, 1990. So here we are, a little over two years later trying to act on it. Dean Lynn turned that matter over to our committee and I am here to present the resolution recommending several changes in the wording of the Appeals Procedures.

WHEREAS, the Committee on Academic Freedom and Professional Status of the Faculty received suggestions from an Appeals Committee to amend the wording of the Procedures for Appealing a Decision Not to Conduct a Tenure Review, the Procedures for Appealing a Negative Tenure Decision, and the Procedures for Appealing a Negative Tenure Decision on Promotion to Full Professor (Appendices 4, 5, and 6 in the Faculty Handbook), and

WHEREAS, the Committee on Academic Freedom and Professional Status of the Faculty recommended modifications in the appeals procedures,

THEREFORE, BE IT RESOLVED, that the Faculty Council of Representatives adopt the amendments to the Appeals Procedures, and

BE IT FURTHER RESOLVED, that the Dean of the Faculty forward these amendments to the Board of Trustees for their approval.

"The first amendment or change seeks to specify the role of the Dean of the Faculty in this process: (additions underlined, deletions in brackets)

Within two weeks. . .the Dean of the Faculty shall be responsible for forming and charging an Appeals Committee [to hear the appeal.] and facilitating its work by assisting in the gathering of information requested by the Committee to which it is entitled for its deliberations.

"The second amendment was an effort to clarify what is meant by arbitrary or capricious. Professor Lee's committee wanted to delete the section currently in parenthesis that attempts to clarify arbitrary or capricious and we felt that it wasn't a good idea to delete that footnote or parenthetical note entirely but rather to try to clarify it. So what we have done is to make several changes: (additions underlined, deletions in brackets)

The decision was so inconsistent with the evidence in the record that it must be judged arbitrary or capricious. (The term arbitrary [and] or capricious fundamentally describes [actions] a decision which [have] has no sound basis in [law,] fact or reason. [or are grounded solely in bad faith or personal desires.] A [determination] decision is arbitrary [and] or capricious only if it is one no reasonable [mind] person could reach. A decision is not arbitrary or capricious if it is one about which reasonable persons could disagree.)

"Amendment three was again a simple change in wording: (additions underlined, deletions in brackets)

The Committee's review shall be limited. . . The Committee may, if circumstances warrant, investigate and return findings concerning possible [violations of the] grounds for appeal (listed in Section IV.B) not raised by the appellant.

"Amendment four is where I want to make a minor change in the wording. Can I present it this way? The committee would have access to the promotion or tenure file of the appellant if the charges were arbitrary or capricious as defined under certain grounds for appeal. Our committee felt that if any of those grounds for appeal were deemed valid then the Appeals Committee should have access to the documentation that they need so that rather than specifying three of the grounds, we recommended a revision that says: (additions underlined, deletions in brackets)

The Committee shall have access to the tenure (promotion) file of the appellant. [If the appellant charges that the decision was arbitrary or capricious as defined in Section IV.B.5. (IV.B.4) or based on the inappropriate considerations listed in Sections IV.B.3. (IV.B.2) and IV.B.4. (IV.B.3) and i] If the Committee finds it absolutely essential to read the files of recent comparable cases within the college of the appellant to examine [that charge,] charges raised by the appellant, it shall have access to those files as well. . .

"Then there is a fifth amendment on the back having to do with appointing a panel at the recommendation of the committee. It reads: (additions underlined, deletions in brackets)

If the Committee finds that the tenure review process continues to have serious deficiencies and that an independent academic evaluation is appropriate, a panel of professionally qualified and not previously involved expert scholars from inside or outside Cornell shall be appointed to review the case and make a recommendation as to the granting of tenure... The panel shall be appointed jointly by the chair of the Appeals Committee, the Dean of the Faculty, and the President of the University. The panel shall [be entitled to] receive all of the evidence [on which the original substantive] made available to the Dean of the appellant's college and upon which the Dean's decision was based and shall be entitled to collect such further evidence deemed necessary to reach a new substantive judgment. The recommendation. . .

Mr. Speaker: "We cannot vote on this matter today but we will take any questions or discussion."

Professor Steven H. Shiffrin, Law School: "As I recall from the last meeting there was some substantive dispute as to the relationship between the committee and the Dean of Faculty in terms of what information should be gathered and who should make the decisions. Who decides whether the committee is entitled to the material?"

Professor Hudler: "The issue here in fact is that the committee should be the one to decide the information to which it is entitled in view of other parts of the legislation as it appears in the current Faculty Handbook."

Mr. Speaker: "Are there other questions or comments?"

Professor Mary Beth Norton, Mary Donlon Alger Professor of American History: "I think I'm the only person here who was on the original committee that wrote this language for the Appeals Procedures, and I think all these amendments are in accord with what we intended."

Mr. Speaker: "The chair next calls on Associate Professor Alan McAdams, Chairman of the FCR Executive Committee, for a report on the Cornell Faculty Commission on Higher Education."

## 5. REPORT ON CORNELL FACULTY COMMISSION ON HIGHER EDUCATION

Associate Professor Alan McAdams, JGSM and Chairman of the FCR Executive Committee: "At the last meeting we announced that the Cornell Faculty Commission on Higher Education had been approved in principle. We now have that Commission formally approved by the FCR Executive Committee. The document that you have in front of you (Appendix C, attached) is draft four or five of the discussion of the Faculty Commission.

"At the last meeting, we discussed the concept map which lays out the relationships among the various entities that are required for the proper functioning of the Cornell Faculty Commission on Higher Education. The Executive Committee serves as its effective Board of Directors. We have created a Council of Senior Advisors to provide advice to the Commission. All of the persons asked to serve on the Council of Senior Advisors have agreed to do so. And as I pointed out the last time, the only question was whether a former administrator should serve and we were assured there were no such problems on the part of the administration. We also noted that the Faculty Commission is to function through task forces that it appoints. Those task forces will provide white papers on appropriate topics. Many people have indicated their willingness to serve and work with the Commission. We are proceeding deliberately but we recognize on the other hand, we need to avoid the loss of momentum.

"As you can see from the write up, we are attempting to establish a Commission which is broadly representative of the Cornell Faculty. We expect to have at most, twelve members also broadly representative of the Faculty. Each of the task forces will be established on particular topics and we expect to have an opportunity for anyone who is interested to serve on the task forces. What we need is the interest of the individuals and a willingness to contribute. At this point, we are asking the Faculty to make recommendations for task force topics, for task force members and it would be nice if those two were matched. We are also interested in your recommendations on who you think would be appropriate as chair for this Faculty Commission and we hope to have the chair in place at the earliest possible time.

"On behalf of the Faculty, however, the Executive Committee intends to act. What we intend to do and will do is to convene the Council of Senior Advisors and we will establish the first task force. Note that in the write-up we suggest that at least two such task forces be created. We think it inappropriate to go beyond what I'm about to announce because we want the task forces to be creatures of the Commission itself but again, we do not want to lose momentum. What we are looking for is a doable, important, sub-task to be accomplished over the summer. From former discussions, I am confident that we will find people to work on that sub-task and we will go forward with that in discussion with our Senior Advisors. At the end of the summer or early September, we hope to have the first draft of a white paper with at least a sub-topic.

"You will note that there is a great deal of emphasis here on the availability of higher education at Cornell to students from all walks of life. We recommend that the Commission, as one of its earliest activities, create a task force focussed on the issue of access by undergraduates to a Cornell education. That is my formal presentation, with one exception.

"There are a number of other topics that have been suggested:

- Efficiency, productivity, and cost containment appropriate to a university environment.
- Factors determining the desirability of centralization versus decentralization at this University.
- The feasibility of early integration of electronic media into the library and our archival material in a user friendly way.
- The role of emeritus professors, instructors, and administrators. A lot of work has been done on that and we could build an excellent white paper that would be useful to all who are concerned.

Analyses could provide a reasonable understanding of relationships that could be among major assets of the university. These assets are its faculty, staff, it's students, it's building and facilities, it's infrastructure and it's endowment. When you really get in and analyze these things there are some very clear and direct trade-offs that don't appear to a casual observer. Are there questions?"

Mr. Speaker: "Are there questions or comments for Professor McAdams?"

Associate Professor Ann T. Lemley, Textiles and Apparel: "I'm just a little confused by this whipping up a task force already when the Commission has not yet been established. You're moving quickly with the Commission and then with the task force? What is your time line for that?"

Professor McAdams: "You're very perceptive! What we intend to do is to insure that there is activity this summer. If we are able to complete the naming of the full Commission, we will leave it to the Commission to get activities underway for the summer. If we have not completed our task of putting the Commission together, then the Executive Committee will act to get this first activity going, to show our resolve and to also provide a demonstration project. So right now we are talking about things in abstract. If we go forward, we should be able to provide a product that others can look at and we hope the product will be one that others will want to emulate, certainly not in the same topic area but certainly we can do a quality job and get a quality job done, then that will give a much better sense of what this Commission is likely to be able to do."

Professor Debra Castillo, Romance Studies: "The sub-topics that you gave in the outline seem rather vague and the question that I have is largely, who is the audience? What will happen to the product? There will probably be a need for more direction for the university."

Professor McAdams: "I would say that the audience is dependent upon the quality of the paper. It seems to me that if we do a definitive paper on something like the role of land grant universities in the 21st century that that would be of interest to all land grant universities, all persons associated within land grant universities, within the nation at large. If we have a study on the particulars of centralization and decentralization in say admissions or financial aid or something of that kind at Cornell University, that's going to be much less of an appeal and the audience would probably be faculty, students and administration."

Professor David A. Levitsky, Nutritional Sciences: "I think the intent of this Commission is a big concern when I think about the reality that the task forces will meet. I am thinking in my own reality that I'm being squeezed by larger classes, being squeezed by a larger number of task forces and it worries me. I'm worried that if the job is not done with excellence, it will affect the morale of the faculty itself, this body itself and other bodies. And I'm wondering if this is a good time to introduce yet another set of duties to the faculty."

Professor McAdams: "There is a great deal of sympathy for the concerns you express. The way we feel about those concerns to be addressed is by assuring that at least one or two things are present. Number one is that the scholarship interests of the particular faculty members working on a task force will be served by the white paper on which they are working. And the second would be that established faculty members who have burning concerns, and there are some on particular topics, will have an avenue for their concerns and those for Cornell University. May I offer a related observation. I'm in the Business School, and what I see is that other societies are doing better than we. One of the main ways they are doing better is by recognizing that you need to do what is referred to as 'capture intelligence of the ant hill'. And that means pull together every element that the organization has and get that contributed to the organization. American businesses are trying to do this. Other countries are doing it much better. This is an opportunity for us, in a very talented ant hill, for people to bring their expertise to bear. Our hope is that the scholarship will be served through these task forces. Ron Ehrenberg is up in back and he is publishing books on some of the related topics here. So we know that there are people here within the University that have such interests."

Professor James Gillett, Natural Resources: "Serious task forces like this are acutely aware of the need for resources, fiscal resources, access to data, the ability to remodel free of charge. Is there going to be any real allocation appropriate for staffing another task force? We are already overstuffed."

Professor McAdams: "Another excellent point. There are a number of things that can be done without taxing the staff of the University. A number of activities have already taken place. A number of partial papers already exist and can be pulled together. But it is also the case that it would be publicly viewed as inhumane to ask someone to

chair something like this Commission without having administrative support to arrange meetings, keep schedules, maintain databases, etc. I am confident enough that when we find real needs of that kind that the resources can also be found. There are ways to do it. One last comment, one resource that we have is our students. They know a lot about the University and have a lot of energy. They also have the latest educational techniques because you give it to them. So they can bring a lot of that to bear. Thank you."

Dean Lynn: "Mr. Speaker, Professor McAdams, Chairman of the Executive Committee, would welcome any expression of interest on the part of any faculty member who is here or faculty members who know should be in touch with him after this meeting. I just want to echo that the Executive Committee is seeking to get faculty members to recognize that we may be at a threshold for higher education in general. There are reasons to worry about this enterprise. I think the Executive Committee is struggling to address some of those questions on behalf of Cornell and to get committed and interested faculty to raise those questions themselves. I suspect they need help and if they don't get lots of help, this may dissolve."

Mr. Speaker: "For our final item, the chair calls on Professor Donald Holcomb, Chairman of the Financial Policies Committee, for a resolution to reorganize that committee."

#### 6. RESOLUTION REORGANIZING THE FINANCIAL POLICIES COMMITTEE

Professor Donald Holcomb, Physics and Chairman of the Financial Policies Committee: "Mr. Speaker, since we do not have a quorum, could you advise me as to the nature of the activity I am engaged in?"

Mr. Speaker: "Good question, Don. Present your resolution and then we will open the floor for comments and discussion but we cannot take a vote."

Professor Holcomb: "I will try to suppress my latent paranoia. Every time the Financial Policies Committee has something on the agenda, there is no quorum. There is a primary and secondary purpose behind this reorganization of the Financial Policies Committee:

WHEREAS, the legislation of the Financial Policies Committee, adopted December 9, 1987, charges its members with the responsibility of participating in the endowed budget planning process, and

WHEREAS, the members of the Dean of Faculty's Committee on the Economic Status of Statutory Faculty have been charged with the responsibility of formulating and monitoring the statutory budget, and

WHEREAS, the Financial Policies Committee, with the concurrence of the Committee on the Economic Status of Statutory Faculty, proposes that the Financial Policies Committee be restructured to provide a more comprehensive view of the endowed and statutory budget-planning processes,

THEREFORE, BE IT RESOLVED, that the Dean of Faculty discharge the Committee on the Economic Status of Statutory Faculty, as of July 1, 1992, and

BE IT FURTHER RESOLVED, that the FCR approve the reorganization of the Financial Policies Committee, effective July 1, 1992, as follows:

(additions underlined, deletions in brackets)

#### COMMITTEE ON FINANCIAL POLICIES

##### Charge to the Committee

1.[4.] Undertake a continuing and comprehensive analysis of the financial condition and policies of the University[.] and [2. D] develop priorities, based on educational considerations, which should be reflected in the [University Budget] budgets of the endowed and statutory units.

2.[3.] Participate, with the cooperation of appropriate administrative officers, in the endowed and statutory budget-planning process.

3.[5.] Consider the financial implications of all issues for which responsibility is also assigned to other FCR Committees (e.g. financial aid and retirement policies).

4.[1.] Examine and make recommendations concerning issues and considerations that affect the economic status of the faculty. Such examinations shall include, but are not limited to, the improvement of the conditions of employment including salary levels, fringe benefits, leaves, consultation and interdepartmental compensation.

Composition of the Committee (\*Except as noted specifically below, the Committee shall be organized and operate under the Rules and Procedures governing standing committees of the Faculty Council of Representatives as amended.) [Note: The Dean of the Faculty and the Secretary of the Faculty are ex-officio members of the Committee.]

[Nine] Eleven members of the faculty, [three] four elected from the FCR and [six] seven [who are not FCR members] elected by and from the University Faculty for three-year terms. At least one of the committee members shall be non-tenured and the Nominating Committee is directed [, insofar as possible,] to ensure that the committee membership [is roughly equal in number] consists of five statutory and five endowed members of the faculty [between statutory and non-statutory members of the faculty]. The eleventh member can be from either the statutory or endowed units.

The Vice President for Planning and Budgeting, the Vice President for Finance and Treasurer, and the Director of Statutory College Affairs as [an] additional ex-officio non-voting members.

"The other thing which is much more subtle in these recommendations and not even visible to anyone except a close examiner is that the committee's mind has shifted to emphasize more long range issues rather than excessive emphasis on the budget for the next academic year. The committee has spent an enormous amount of time in the Fall term trying to understand as well as we could the Endowed General Purpose Budget. We will probably in the future not bring recommendations to this body for formal action. We propose to assemble some recommendations on the yearly budget to deliver to the administration, to bring a report to this body as to what we are proposing to forward, but not go through the procedure of trying to establish a formal vote of the FCR. I think the motivation for that practice was sound - that if the FCR put itself on the line it would carry weight - but on the other hand, the effect as we look back over three or four years, was to consume a lot of time.

"There will be some insurance of equal representation from faculty members from the endowed and statutory units. We have also added some ex officio members to the legislation: the Vice President for Finance and Treasurer, presently Mr. Fred Rogers, and Director of Statutory College Affairs, presently Nathan Fawcett. In the hope that the body would eventually approve the re-structuring let me say that the committee has been in action this spring to move towards this joint operation. Professor Jennifer Gerner who is the present chair of the Dean's Committee on the Economic Status of Statutory Faculty, and I have worked together. We have met with Nathan Fawcett to try and begin to understand how the committee might have an input into the statutory college budget planning process. So we are moving into that direction in hopes that the body would approve this recommendation. Let me just mention that we attempt to emphasize long range considerations. In item one there is a phrase 'develop priorities based on educational considerations which should be reflected in the budgets.' That's really the charter of the Faculty Committee on Financial Policies and so for example, the statutory colleges' dollar pool is clearly much more serious than the endowed colleges and almost inevitably over the next year the committee will focus on lots of those activities. And also matters of the importance of the extension

and research activities in the statutory colleges. So that's where we are headed and we would like to ask the body to act and approve this resolution reorganizing the Financial Policies Committee and would gladly answer any questions."

Mr. Speaker: "Are there any questions for Professor Holcomb? Comments?"

Professor Shiffrin: "Is it the intent of the committee to report to the faculty the reports with respect to the budget?"

Professor Holcomb: "Certainly."

Mr. Speaker: "Is there anything further to come before the body? If not then we are adjourned."

Adjourned: 5:20 p.m.

Mary Morrison, Secretary of the Faculty

Note: See Appendix D for actions taken on agenda items by the Executive Committee of the FCR.

## **REPORT ON UNIVERSITY FACULTY ELECTION Spring 1992**

### **FACULTY TRUSTEE - 1 seat, 613 ballots cast**

Joseph M. Calvo, William T. Keeton Professor of Biology

### **AT-LARGE MEMBER, FCR - 3 seats, 571 ballots cast**

Josephine A.V. Allen, Associate Professor, Human Service Studies  
Jennie T. Farley, Professor, Industrial and Labor Relations  
John L. Lumley, Willis H. Carrier Professor of Engineering

### **COMMITTEE ON MEMBERSHIP OF THE UNIVERSITY FACULTY - 1 seat, 501 ballots cast**

Dorothy Mermin, Professor, English

### **NOMINATIONS AND ELECTIONS COMMITTEE - 5 seats, 547 ballots cast**

Harold Bierman, Jr., Nicholas H. Noyes Professor of Business Administration  
John J. Clark, Professor, Hotel Administration  
Richard A. Ledford, Professor and Chairman, Food Science; Director,  
Institute of Food Science  
Pamela M. Ludford, Associate Professor, Fruit and Vegetable Science  
Anil Nerode, Goldwin Smith Professor of Mathematics; Director,  
Mathematical Science Institute

### **REVIEW AND PROCEDURES COMMITTEE - 3 seats, 489 ballots cast**

Alice M. Isen, S.C. Johnson Professor of Marketing and Professor of Psychology  
Joseph D. Novak, Professor, Education  
Walter M. Pintner, Professor, History

### **UNIVERSITY-ROTC RELATIONSHIPS COMMITTEE - 2 seats, 483 ballots cast**

John W. Sherbon, Professor, Food Science  
Virginia Utermohlen, Associate Professor, Nutritional Sciences

### **COMMITTEE ON ACADEMIC FREEDOM AND PROFESSIONAL STATUS OF THE FACULTY - 3 seats, 539 ballots cast**

Michael E. Gold, Associate Professor, Industrial and Labor Relations  
William G. Tomek, Professor and Chairman, Agricultural Economics  
James E. Turner, Associate Professor, Africana Studies and Research Center

**COMMITTEE ON ACADEMIC PROGRAMS AND POLICIES - 2 seats,  
474 ballots cast**

Jon M. Conrad, Professor, Agricultural Economics  
Paul R. McIsaac, Professor, Electrical Engineering

**COMMITTEE ON ADMISSIONS AND FINANCIAL AID - 1 non-tenured  
seat, 441 ballots cast**

Gail Scott White, Assistant Professor, Art

**COMMITTEE ON AFFIRMATIVE ACTION - 1 seat, 475 ballots cast**

Margarita Suner, Professor, Modern Languages and Linguistics

**COMMITTEE ON AFFIRMATIVE ACTION - 1 non-tenured seat,  
464 ballots cast**

Margaret E. Smith, Assistant Professor, Plant Breeding and Biometry

**FACULTY ADVISORY COMMITTEE ON ATHLETICS AND PHYSICAL  
EDUCATION - 2 seats, 450 ballots cast**

Jonathan R. Macey, J. DuPratt White Professor of Law  
Charles E. Short, Professor, Clinical Sciences

**FACULTY ADVISORY COMMITTEE ON ATHLETICS AND PHYSICAL  
EDUCATION - 1 non-tenured seat, 393 ballots cast**

J. Thomas Brenna, Assistant Professor, Nutritional Sciences

**COMMITTEE ON FINANCIAL POLICIES - 1 seat, 487 ballots cast**

J. Mayone Stycos, Professor, Rural Sociology; Director, Population  
and Development Program

**COMMITTEE ON FINANCIAL POLICIES - 1 non-tenured seat,  
432 ballots cast**

Steven C. Kyle, Assistant Professor, Agricultural Economics

**COMMITTEE ON MINORITY EDUCATION - 3 seats, 518 ballots cast**

William E. Cross, Associate Professor, Africana Studies and Research Center  
Jane Mt. Pleasant, Assistant Professor, Soil, Crop and Atmospheric Sciences  
David B. Wilson, Professor, Biochemistry, Molecular and Cell Biology

**RESEARCH POLICIES COMMITTEE - 2 seats, 536 ballots cast**

George P. Hess, Professor, Biochemistry, Molecular and Cell Biology  
Watt W. Webb, Professor, Applied and Engineering Physics;  
Director, Biophysics Program

**RESEARCH POLICIES COMMITTEE - 1 non-tenured seat,  
417 ballots cast**

Thomas G. Owens, Assistant Professor, Plant Biology

**UNIVERSITY ASSEMBLY - 4 seats, 522 ballots cast**

Marvin I. Adleman, Professor, Floriculture and Ornamental Horticulture  
Jennifer C. Greene, Associate Professor, Human Service Studies  
Dennis Miller, Professor, Food Science  
Ray T. Oglesby, Professor, Natural Resources

**ADVISORY COMMITTEE ON RESPONSIBLE SPEECH AND EXPRESSION -  
1 seat, 483 ballots cast**

Njoku E. Awa, Associate Professor, Communications

## **SLATE OF CANDIDATES FOR FCR SEATS ON COMMITTEES\* Spring 1992**

### **COMMITTEE ON ACADEMIC PROGRAMS AND POLICIES - 1 vacancy**

George W. Hudler, Associate Professor, Plant Pathology  
Joseph Laquatra, Jr., Assistant Professor, Design and Environmental Analysis

### **COMMITTEE ON ADMISSIONS AND FINANCIAL AID - 1 vacancy**

David C. Dunn, Associate Professor, Hotel Administration  
Gerald W. Feigenson, Professor, Biochemistry, Molecular and Cell Biology

### **EXECUTIVE COMMITTEE OF THE FCR - 4 vacancies**

Josephine A.V. Allen, Associate Professor, Human Service Studies  
Ross W. Atkinson, Assistant University Librarian  
James W. Gillett, Professor, Natural Resources  
Robert W. Kay, Professor, Geological Sciences  
David A. Levitsky, Professor, Nutritional Sciences  
John L. Lumley, Willis H. Carrier Professor of Engineering

### **EXECUTIVE COMMITTEE OF THE FCR - 1 non-tenured vacancy**

Geoffrey Brown, Assistant Professor, Electrical Engineering  
John W. Hermanson, Assistant Professor, Anatomy

### **COMMITTEE ON FINANCIAL POLICIES - 1 vacancy**

Donald T. Farley, Professor, Electrical Engineering  
Robert C. Lind, Professor, JGSM

\*All terms commence July 1, 1992 and are for three years with the exception of the Executive Committee, which are two-year terms.

From: FCR Executive Committee May 13, 1992  
To: The FCR and The Faculty  
Subject: Creation of the Cornell Faculty Commission on  
Higher Education

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Cornell University was founded to pursue Ezra Cornell's vision:

I would found an institution where any  
person can find instruction in any subject

In pursuit of Ezra Cornell's vision the University has achieved a worldwide reputation for academic excellence. But these are perilous times in higher education. The quality of higher education, and broad access to it, are both imperiled by matters of attitude as well as substance. The CEO of Hewlett-Packard on his recent visit to the campus observed that our Nation is in crisis. "It lives on borrowed funds, borrowed talent (foreign students, especially graduate students)--and perhaps on borrowed time." The same could be said for the universities.

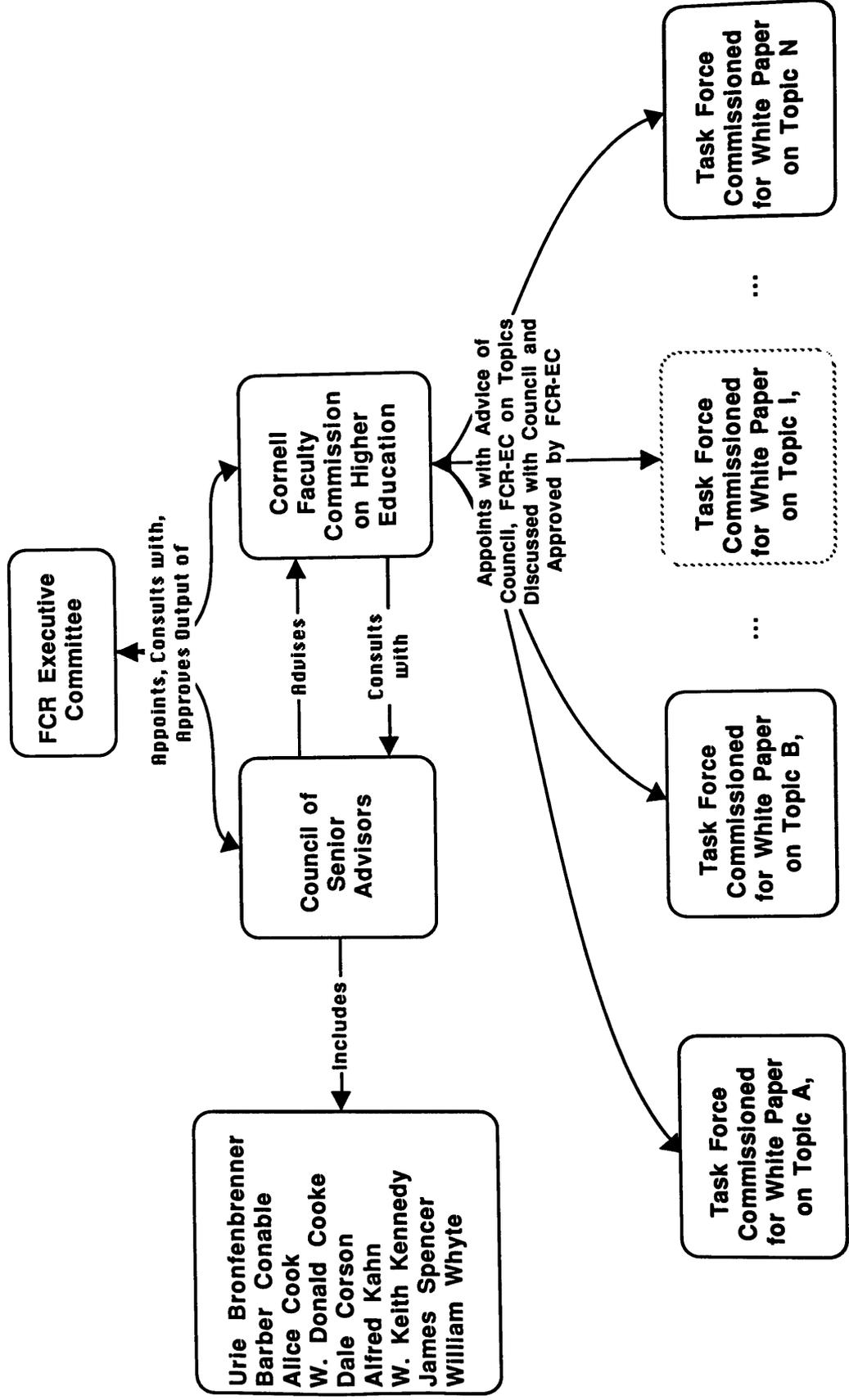
A closely related central concern is the perception that many sons and daughters of New York and other States, will find it increasingly difficult to aspire to an education at Cornell, the University that many have thought of as the "People's Ivy League University." This, despite the fact that Cornell is the Land Grant University of the State of New York.

The rapid escalation of the costs to the student of a Cornell education--despite the best, and truly admirable efforts of the University to provide "full need" financial aid and retain "needs blind" admission policies--inevitably is pushing a Cornell education beyond the reach of many students. All but those who are sufficiently wealthy or very foresighted--and fortunate--are likely to find Ezra Cornell's vision remote from, or closed to them.

Ways must be found to change the current dynamics. Current trends must not be allowed to continue. Higher education is one of the few areas in which this Nation retains an undisputed world leadership position. The survival of Cornell and other leading Universities must be assured if the Nation is to remain a world leader into the next century.

Wed, Apr 8, 1992

Faculty Commission



Given the gravity of the situation, we conclude that it is time to raise another strong voice, a voice that draws on the independent expertise of the Faculty, in partnership with those already raised, to address the central concerns of the university.

**Therefore:**

**The Executive Committee of the Faculty Council of Representatives hereby establishes the Cornell Faculty Commission on Higher Education.**

**The charge to the Commission is:  
To investigate and report back on matters of strategic importance to the survival of, and access to, quality Higher Education at Cornell and in the Nation.**

The The Executive Committee of the Faculty Council of Representatives (FCR-EC) creates The Commission and will serve as its quasi-board of directors. The Commission, made up of up to twelve Faculty members broadly representative of the Faculty, will have a Council of Senior Advisors (The Council) to provide broad perspective, advice and counsel. The Commission will function through Task Forces. The relationships among the various entities is as outlined in the accompanying exhibit.

The focus of each Task Force, its make-up, desired time-table, and its charge will be recommended to the FCR-EC by The Commission after discussion with The Council. The Commission must ensure that the functioning of each Task Force is complementary to both the existing structure of committees of the FCR and their functioning, and to the activities of the Administration of the University. Each also should make maximum use of pre-existing scholarship and/or analysis on its assigned topic. Task Force reports in the form of White Papers, are to be recommended by The Commission, after discussion with The Council; for approval, publication, and distribution by the FCR-EC as appropriate to the particular report.

The FCR-EC recommends that The Commission begin its work immediately with the creation of at least two Task Forces. It recommends further that one of the Task Forces be focused on the issue of the access by undergraduates to a Cornell Education.

**MINUTES OF A SPECIAL MEETING OF THE  
FACULTY COUNCIL OF REPRESENTATIVES EXECUTIVE COMMITTEE  
May 13, 1992**

**Present:** L. Edmondson, A. McAdams, S. Riha, S. Shiffrin, M. Walter and ex officio members W. Lynn, R. Martin, M. Morrison

**Absent:** D. Brown, R. Ehrenberg, M. Jarzombek, E. Wethington

The special meeting was held following the regularly scheduled meeting of the Faculty Council of Representatives. There was no quorum at the FCR meeting and the Executive Committee met to act on the following issues:

**1. Slate of Candidates for the FCR Committees.** Action on this was needed so that the ballots for the spring elections for FCR representatives on committees could be sent out. Motion to approve the slate was passed.

**2. Resolution Reorganizing the Financial Policies Committee.** This resolution was intended to request the Dean to discharge the Committee on Economic Status of the Statutory Faculty as of July 1, 1992, and to reorganize the Financial Policies Committee with a specific charge for both the statutory and endowed budget and other financial issues. Aspects of the statutory and endowed budget process occur throughout the year and in the case of the former, some issues are raised in the summer or very early in the fall. To form an effective working group it was considered very desirable to establish the reorganized committee as soon as possible, to be effective July 1, 1992. No regular FCR meeting was scheduled until September, and given the attendance at recent FCR meetings it seemed counter productive to schedule a special meeting. It was moved that this issue be considered. Motion passed. Motion to approve the resolution was then passed.

**3. Resolution Amending the Appeals Procedures.** This resolution was previously brought to the FCR for action in April 1992 by the Committee on Academic Freedom and Professional Status. The changes had been suggested by the members of one of the appeals committees. These amendments had been discussed by this Committee during the last two academic years, and had also been taken to the Deans of the Colleges and reviewed by the Executive Committee. Since there had been no quorum of the FCR for two consecutive months and no issues raised at either of the meetings in the discussion period, and since the committees would be changing at the end of the semester, the issue was raised whether this constituted the need for some action by the Executive Committee to make the recommendations of the Committee available for the faculty. Since this did not fit into the category of an "emergency", no action was taken. The resolution will be brought back to the FCR at its next scheduled meeting.

Meeting adjourned: 5:45 p.m.

Mary A. Morrison  
Secretary of the Faculty

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