

CUCEA

Council of University of California
Emeriti Associations

NEWSLETTER

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The 2015 Constantine Panunzio Distinguished Emeriti Awards

CUCEA extends sincere congratulations to the 2015 Constantine Panunzio Distinguished Emeriti Awardees, **Professor Emerita Elizabeth Colson (UCB)** and **Professor Emeritus Pavel Machotka (UCSC)**. They are the thirty-fourth and thirty-fifth UC emeriti professors to receive this award. Both have especially long and notable records of research teaching, and service to the University of California. A brief profile of each is given on pages 6 -7.

The newsletter is privileged to feature the following article by awardee **Pavel Machotka, Professor of Psychology, UC Santa Cruz**. The article presents the reader with insight into how the psychological sciences connect with aesthetic expression in art.

PSYCHOLOGY AND ART. A Retrospective Account

By **Pavel Machotka**, University of California, Santa Cruz

It is a significant honor to receive the Constantine Panunzio Award, and I am deeply grateful to have my work appreciated in this way. At the same time, if I may, I should like to turn the logic of the award around, and say that it implicitly recognizes the role of the university in making the work possible. The university provides material support for free inquiry, and also -- above all -- an intellectual context in which to work. A lifetime's habit of free inquiry within that context has no reason to stop for milestones such as retirement, and this is what makes possible the very existence of a distinguished award such as this one.

So this is an occasion both to salute my university and to reflect on the work I have done. My work has spanned two disciplines, psychology and art, which means that it was rooted both in the sciences and the humanities. In normal universities this can be a problem, but exceptions do occur, and they did occur for me at UC Santa Cruz.

Shortly after it was founded, UC Santa Cruz had the distinction of offering membership for its faculty both in a college and a department. This worked well in colleges where a common intellectual theme could unite the faculty -- as in the college of the arts, where I received my appointment, because many faculty had art as an avocation; they could contribute their knowledge and their teaching to the college's curriculum. For me, with art as my principal object of psychological inquiry, it was an ideal setting. It allowed me to develop lines of research in the arts that I might not have thought of in a purely disciplinary context.

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Recognizing now the support I have received, and looking back at the kind of work it made possible, I come to the principal questions of this essay. How fruitful is the attempt to integrate psychology with the arts? Where does it work best and where the least well? Can the gap between humanistic understanding and the scientific method be closed? I shall try to answer these questions not abstractly, but by citing examples of research that provide clear answers – at the risk, of course, of opening up further questions.

The matter of aesthetic judgment

The popular understanding of aesthetic tastes is confused: taste is either deeply personal and not to be further discussed, or it is a quality possessed by some but not others. Has psychology anything to say about the matter? If we divide the question into two manageable ones, I believe it does. The first is the question of aesthetic judgment, that is, of whether some works of art are clearly better than others, and, if so, whether some people are better equipped than others at recognizing them. To measure the degree of agreement, one can verify it on experts, as the psychologist Irvin Child demonstrated. Having assembled a very large collection of works of art, paired by style and subject but seemingly very different in aesthetic quality, he showed them to a group of fourteen experts (artists and art historians), and asked for their judgments. (See Fig. 1 for an example of an item, with one work presumed to be better than the other.) The result was simple and dramatic: he found high agreement on a surprisingly large proportion of the items¹. A test of aesthetic judgment could then be made up of items where the judgments were unanimous or nearly so.



Now this procedure only defines judgment; it invites a host of further research questions. Can it be validated on other populations? Child was quite thorough in the matter and in series of cross-cultural studies on groups of artists and craftsmen unfamiliar with western art (the studies were carried out in the 1960s and 1970s when such

*Fig. 1*¹ craftsmen were still relatively common), he found that, indeed, the artisans always scored better than non-artists on the test, and their answers (that is, their choices of the better work) were well above chance. In other words, aesthetic judgment transcended culture².

There was more: in the U.S., high scores were connected with certain personality characteristics – especially tolerance of complexity – which seemed on the face of it understandable: they were more open to experience. Replicating the personality measures in Japan, he discovered the same correlations³. But there is yet a more convincing correlate of judgment and it is behavioral, not verbal, and it has to do with the ability to notice changes in the visual field⁴. Donning so-called aniseikonic lenses, which create a slight distortion in each visual field, and which everyone's eyes resist for a short time, poor judges take considerably longer to see the changed field than better judges. The better judges accept the visual field as it is, while the poorer ones hold on to vision as they have known it. Better judges essentially have an active style in coping with the world, while poorer judges are passive⁴.

¹ Child, Irvin L, *Personality Correlates of Esthetic Judgment in College Students*, *Journal of Personality*, 1965, v33 (n3):476-511. In Fig. 1, the "better" work is on the left. In an independent study of the dimensions distinguishing the "better" from the "worse" (unpublished), raters judged the left image to offer a greater "challenge": tension, movement, abstraction.

² Ford, C. S.; Prothro, E. Terry; Child, Irvin L., *Some Transcultural Comparisons of Esthetic Judgment*, *Journal of Social Psychology*, 1966, v68 (n1):19-26.

³ Iwao, Sumiko; Child, Irvin L.; Garcia, Miguel, *Further Evidence of Agreement Between Japanese and American Esthetic Evaluations*. *Journal of Social Psychology*, 1969, v78 (n1):11-15.

⁴ Cooperman, Marc; Child, Irvin L., *Esthetic Preference and Active Style*. *Proceedings of the Annual Convention of the American Psychological Association*, 1969, v4 (nPt. 1):471-472.

Psychology's contribution to one of the questions about taste then, is this: yes, it can be defined and it is to a degree independent of culture; it is facilitated by certain psychological predispositions, which include recognition of complexity and the search for active involvement of the senses.

The matter of diversity in preference and its explanation

The second question about taste is independent of the judgment of quality; it instead accepts the diversity of our preferences but focuses on explaining them. For explaining varieties of behavior psychology naturally inclines toward questionnaire measures of personality, and there is a long history of research that correlates personality dimensions with preferences in art. I have always found this limiting, but thanks to the generous pace of research accepted by my university, I have had the freedom to pursue the measure of personality in a more meaningful and congenial way, that is, by means of clinical interviews. They are richer and more direct in the information they provide, but admittedly they must be used carefully to limit any vagueness.

For my research I chose an artistic object of emotional importance (the nude in art), which heightens involvement, and asked a large number of potential participants to indicate how much or little they liked each of about one hundred slides of representations of the nude. These varied on dimensions such as sentimentality, perfection, gender, and others, and when I wanted to study one of the dimensions, for example sentimentality, I would choose the ten (out of approximately 200) who liked the sentimental figures the most and ten who liked them the least. They would be interviewed double-blind, by assistants who did not know whom they were interviewing.

When analyzed, the responses gave us clear-cut results: the opposed extremes had quite different personal concerns⁵. I shall take the liking for sentimentality as an example (see Fig. 2 for an example of a sentimental sculpture). The preferrers of sentimental figures were anxious about aggression, strove to avoid depression, and—in response to a question about their prominent fears—were vividly

concerned about loss of love. Their opposites, those who disliked sentimentality, could on the other hand accept aggression at least in some contexts, had no difficulty in tolerating depression either in art or in their life, and were, on the basis of the quality of their answers, tolerant of complexity.

Psychology's contribution to the humanistic question about differences in tastes is then this: by selecting extreme preferences for further study, it isolates the variables at work, and describes the wishes that preference satisfies and the ego defense it protects. Thus the preference for sentimentality appealed to our participants' defenses against their fears. In clinical theory they would be called manic defenses because they simply deny the rougher aspects of reality (see Segal, 1952)⁶. Other dimensions of preference for the nude, which we also studied, may favor the satisfaction of needs (such as identification with idealized parents in the preference for perfection), or a particularly artful combination of wishes and defenses, as in the preference for exhibitionism (which satisfies both a rebellion against constricting parents and the wish to exhibit oneself.)



Fig. 2

The making of art and personality

If personality is that deeply involved in preferences, one can ask whether it is similarly involved in the making of art. To study this one simply needs an open opportunity for the making of artistic images and a meaningful measure of personality. We used the same clinical interviews, and we related them to the images the participants made rather than to their aesthetic choices. The main difference in the design was that all participants who volunteered for image making were also invited for the interview. Once again, the interview measures brought us a clear understanding of the processes involved: in creation, some processes were free; others were defensive, yet

⁵ Pavel Machotka, *The Nude: Perception and Personality*, New York: Irvington, 1979.

⁶ See Segal, H, (1952). *A psycho-analytical approach to Aesthetics*, International Journal of Psycho-Analysis, 33, 196-207.

others showed a healthy and productive coping with inner conflicts.

The participants were initially taught the rudiments of Adobe Photoshop software and then given the task of choosing a photograph of a landscape (one of seven offered) and transforming it into “art”, using whatever understanding they had of the term. All warmed to the task rather easily, and as they worked their progress was noted by a research assistant. Later they underwent the clinical interview, once again blind, with another assistant. The research team met to connect the information provided by the image making process and the interview, and in discussion reached a tentative conclusion about the personality dynamics involved. All material was recorded.

Let me emphasize that the aims of this study were two: to achieve a clinical understanding of each individual participant, and to go beyond the individual in search of general results. The images were next grouped by a cluster analysis program, which gave us a seven-cluster solution, that is, seven types of images. The crucial question was to match the tentative conclusions to the cluster types; the personality dynamics should correspond closely to the clusters. The results were gratifying: the dynamics were consistent within the groups and different between groups. We now had not merely seven types of image, but seven ways of creating them. We also had confirmations of the clinical interpretations. (The analysis was redone by two psychology students who were unconnected with the study, and they replicated our findings.)⁷

As an example, I may cite a defensive process. In a cluster whose images were defined uniquely by their reliance on abstraction, the pictures neither narrated a story nor represented things. (See Fig. 3) They were constructed by the mechanical tools of the software rather than by hands-on methods, and their space was flat; both the process and the resulting image gave an overall impression of detachment. Without exception the images either had very hard edges or on the contrary strongly blurred ones. This alerted us to the issue of personal boundaries.

In their interviews, what leaped to our eyes was the distance that the participants maintained from others – from their parents earlier and from their peers now. All of them had distanced themselves from their parents or were trying to do so now (with a parent who remains intrusive). All but two sought neither involvement, romance, nor sex; one of those who did had only brief relationships while the other, after an early promiscuous period, found sex unimportant. Their personal style seemed avoidant, and some, in addition, were vague about themselves. In the broadest sense we saw the abstraction of their images as symbolizing their distance from others, and the attention to edges as reflecting issues of merging and separation⁸.

Here too psychology contributes to understanding an artistic process. Its conclusions are of course only suggestive; while confidently backing what it has found, it does not claim to know what it has not found or cannot find. In the psychology of abstraction, for example, it does not exclude other mechanisms that might be at work beside those of merging and separation, nor does it exclude that the choice to paint abstractly may be purely conscious. But it will not deny that the issue of merging and separation is central.

Given psychology’s most successful method – that is, isolating the personality variables at stake by discovering what is common to a group of individuals -- can it do as well in explaining the individual artist? In my experience, the reply has to be a cautious yes, in view of two examples I shall describe. They point out, essentially, the limitation of any intellectual

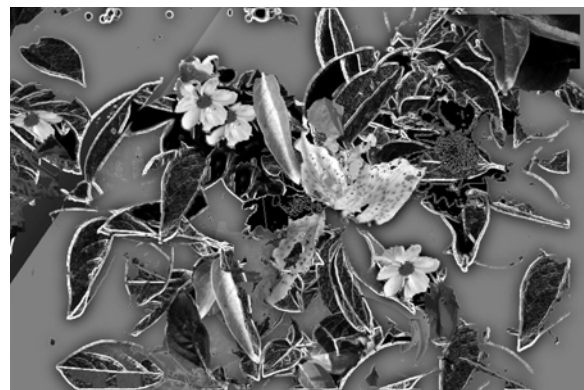


Fig. 3

⁷ Pavel Machotka, *Painting and Our Inner World: The Psychology of Image Making*, Kluwer Academic Publishers, New York, 2003.

⁸ It might be pointed out that both the style and the personal configuration are illustrated in the world of art by Piet Mondrian, the inventor of flat, straight-lined abstractions, who was abstemious and fastidious, avoided sensuality and even round movements in his life.

scheme that tries to understand an individual fully; it is not the scheme that is inadequate but the complexity of humans that is elusive. The closer we come to dealing with the individual case, the closer we are to merging the interests of psychology and the humanistic disciplines.

Psychology and the individual artist

To understand what impels a painter to paint in one way rather than another, I had to take advantage of something akin to a natural experiment. Two professional painters, whom I knew well, for having painted with them regularly, aroused my curiosity. They met once a week with friends, colleagues and students in order to just paint outdoors together. Our sessions were without plan but intense, given the heady atmosphere: we worked individually, later shared our successes and frustrations, returned back to work, and inevitably learned much about painting. Perhaps a year after the sessions began it occurred to me that there was a question about the two professional painters waiting to be asked. They always worked together on the same site, which meant that their landscape subjects were similar; what was very different about them, I felt, was their style, not the subject. Would it be possible to explain the difference in style by psychological means?

They, too, were interested in the question and allowed me to draw up their biographies and to take careful notes on their approach to painting. When done, I had much material on their development and art training which was fascinating in itself – but impossible to pin to their painting styles. It was not until I asked them if they would take the Rorschach test with a professional administrator that matters became clear. The administrator was specialized in artists' protocols but knew neither these painters nor their paintings. She wrote precise accounts of their styles of cognitive and perceptual processing which resembled uncannily the notes I had taken on their approach to painting. Hoping to take the matter one step further, I asked her to predict what their painting style might be. Her prediction was prescient and exact: it matched the painting styles -- and indirectly made clear that it was the painters' cognitive styles that distinguished their paintings⁹.

⁹ Pavel Machotka, *Style and Psyche: The Art of Lundy Siegriest and Terry St. John*. Hampton Press, Cresskill, NJ (1999).

I suspect that had I chosen only one painter to study, I may never have chosen to look at a Rorschach protocol, and if I had, that I might not have seen its importance. This then underscores one difference between the psychological methodology and that of the humanistic disciplines: the latter are not discouraged by the single case.

Psychology, humanistic disciplines, and the single case

Yet the single case has also fascinated psychology -- not the experimental kind, but the kind that focuses purely on the individual, namely clinical psychology. Some of its assertions have been criticized, and justly so, for reducing the artist's creation to psychological dimensions of particular interest at the moment. But this difficulty disappears as soon as the investigator takes a broad enough point of view.

One particularly persuasive analysis of an artist has been done by author Mary Gedo who was trained equally in art history and clinical psychology¹⁰. She showed equal sensitivity to the particular profile of the painter's personality and to the records of his work. The resulting analysis is complex, critical, and sympathetic in equal measure. The complexity of her book cannot be done justice in a brief essay, but her central tenet is quite direct. The painter was Pablo Picasso. Examining the dates on the artist's paintings and comparing them to what is known of his life, she concluded that his art was essentially revelatory, giving us a record of each day's events, and serving to leave behind him something akin to a diary or biography. This is to say that it was less governed by a need for an aesthetic program than for an immediate and vivid recording of events. The disintegration of his wife Olga, toward the end of his first marriage, when she screamed at him all day, was portrayed sometimes gracelessly (see Gedo, pp. 136-7). An aesthetic program did guide him once, in fact in his very fertile Cubist period, but only while working with a fellow painter (Georges Braque).

Reading Gedo's analysis critically, I find her arguments carefully documented and her picture of the art and personality of the painter convincing. We come to understand the painter's relationships, personal strengths and weaknesses, and, to a degree, their relation to his art.

¹⁰ Mary Gedo, *Picasso: Art as autobiography*. Chicago: University of Chicago Press, 1980.

But as with all writing, one tries to imagine what is missing; and one finds it in what eludes most critical writing about artists, though less here than in many other writings, whether art historical or psychological: the mystery of what makes their best work great. If one addresses the question, as one should, one may point to circumstances that may stimulate it. This is what I have done in my work with the landscape motifs of Paul Cézanne,¹¹ and in so doing I had erased any distinction between the approach of the psychologist and that of the humanist. Explaining the talent or genius that made the greatness possible remains as inexplicable as always, to the psychologist and to the humanist equally.

I close on a modest note of satisfaction. Psychology, and to a degree my work within it, contributes significantly to understanding our aesthetic preferences and our creativity, and it can work well in tandem with art history and other humanistic approaches. It is probably fortunate that there are questions none of us can answer. Art would cease to be art if it were completely understandable; it would then become easily produced and fully predictable. For my part, I accept the limits of what psychology has been able to accomplish.

Pavel Machotka, 2015

The 2015 Panunzio Awardees



Pavel Machotka, UC Santa Cruz, Professor Emeritus of Psychology, is the seventh retired professor at UC Santa Cruz to receive the Constantine Panunzio Award. He joined the UC Santa Cruz faculty in 1970 and founded the Aesthetics Studies Major. He also served as provost of Porter College when it was known as College Five, and served as chair of the Psychology Department and of the Academic Senate in 1992-94.

Professor Machotka is considered one of the great scholars in the field of psychology of aesthetics. His life-long love of Cezanne's art has driven the focus of much of his research. Since retiring from UCSC in 1994, he has continued his scholarly work, concentrating on the psychology of artistic creativity in general and the genius of Cezanne's paintings in particular. As a painter himself, he offers many insights into Cezanne's working methods. Most notable is his approach to examining artworks using psychological means and analyzing how artist, context, and art medium all interact. Another important contribution was the identification of numerous Cezanne motifs, especially in and around Aix-en-Provence, to form as complete a directory as possible of Cezanne's sites in Provence, Savoie, and Ile de France. His strong interest to locate these sites and to compare them to the artist's realization on canvas led to the publication of a highly praised scholarly work, "*Cezanne: Landscape into Art.*" This and his other art books, including "*In Cezanne: The Eye and the Mind,*" have become scholarly assets for research in the field of Art and Personality. Since 1994, Professor Machotka has become part of the Czech psychological community as an art psychologist. He has worked in several ways to strengthen the scholarly capacities of two universities in the Czech Republic.

¹¹ *Cézanne: Landscape into Art*, second edition, Prague, Arbor Vitae, 2014.

Elizabeth Colson, UC Berkeley, Professor Emerita of Anthropology, is the fourth UC Berkeley retired professor to receive the Constantine Panunzio Award since the awards program began in 1983-84. She is best known for the



classic long-term study of the Tonga people of the Gwembe Valley in Zambia and Zimbabwe. It began early in her career when, in 1956, she was sent by the Rhodes-Livingstone Institute to study the potential effects that the construction of a dam and hydroelectric power plant would have on the Gwembe Tonga people of Northern Rhodesia (now Zambia). In partnership with graduate student Thayer Scudder, the focus of the work was on the consequences of forced resettlement on culture and social organization, on familial relationships, rituals, religious life and other social patterns. Her report revealed social upheaval, hostility towards the government, loss of legitimacy of local leaders who supported resettlement of the Gwembe, and general

instability in the Gwembe social structure. She has followed the sequence of events from the original upheaval to the present, from the point of view of those coping. Professor Colson is a consequence specialist, and her research has directly contributed to the ongoing discussions in applied and developmental anthropology of resettlement, migration, and refugee communities

Since retiring in 1984, she has continued research, publication, and participation in academic meetings and conferences, in addition to serving on dissertation committees, reading manuscripts, and working with anthropology students and scholars at Berkeley and from around the world. Professor Colson has also generously shared her time and expertise with the University of Zambia, the Refugee Studies Programme at Oxford University, and the National Academy of Sciences as well as contributing to research collections at the UC Berkeley Bancroft Library, Phoebe Hearst Museum and the University of Zambia. She has received a number of recognitions and honors for her post-retirement work on three continents including being named Emerita of the Year by the UC Berkeley Emeriti Association in 2014. She has recently returned to Zambia where her many contributions continue to enrich that society.

The 2015 Edward A. Dickson Emeriti Professorships

We are pleased to recognize the recipients of the 2015 Dickson Emeriti Professorships. CUCEA extends congratulations to all awardees.

UC Berkeley: **Alan Nelson**, Emeritus Professor of English, a specialist in paleography, bibliography, and the reconstruction of the literary life and times of medieval and Renaissance England from documentary sources; **Joseph A. Wolf**, Emeritus Professor of Mathematics, with research interests in Lie groups and homogeneous spaces, harmonic analysis, complex manifolds, and Riemannian geometry.

UC Davis: **Dan Anderson**, Professor Emeritus of Wildlife Biology, for his work on “Age and cranial-ossification/bone density characteristics in brown pelicans: potential applications for demographic and nutritional analysis; **Hugh Dingle**, Emeritus Professor of Entomology, for work on “Monarchs in the Pacific: Is contemporary evolution occurring on an isolated island?” **Martha Macri**, Emerita Professor of Linguistics, for research on “Cultural evolution of human communication systems: investigating linguistic diversity and social change with Mayan hieroglyphic writing.”

UC Los Angeles: **Francis F. Chen**, Professor Emeritus of Electrical Engineering, whose work since retirement has focused on the physics of low-temperature plasmas, which is crucial for advancing the state-of-the-art in

semiconductor circuit manufacturing; **Leonard Kleinrock**, Professor Emeritus of Computer Science, is considered one of the “founding fathers” of the Internet. The Dickson award recognizes his continuing work on wireless communication development. He is a 2006 recipient of the prestigious Presidential Medal of Honor; **Anthony R. Orme**, Professor Emeritus of Geography, in recognition of his continuing scholarly contributions since retirement, and for his service in rescuing the UC White Mountain Research Center in the Owens Valley from closure. As its Director, he modernized and refurbished the center, and made it financially solvent.

UC Riverside: **Irwin M. Wall**, Professor Emeritus of History, for his continuing research on European-American relations during the era of détente in the cold war, from the late 1960’s through 1980; **Michael Pollack**, Professor Emeritus of Physics and Astronomy, for his ongoing research on the glassiness of cytoskeleton to construct a realistic microscopic model that may lead to providing physical justification for heuristic theories; **Ronald H. Chilcote**, Professor Emeritus of Economics, for fieldwork involving historical research and photography of the Santa Margarita river, the only free-flowing river in California. The work will raise awareness of the need to ensure its conservation.

UC San Diego: **Wayne Cornelius**, Emeritus Professor of Political Science, Emeritus Director of the UCSD Center for Comparative Immigration Studies, and specialist in Mexican immigration and border issues; and **Richard Somerville**, Emeritus Professor, UCSD Scripps Institute of Oceanography, specialist in Climate Change, Atmospheric Science and Physical Oceanography.

UC Santa Cruz: Emeriti Professors **Nicole Paiement** (Music) and **Chip Lord** (Film and Digital Media) were awarded Edward A. Dickson Professorships in recognition of their outstanding contributions and achievements in artistic scholarship and teaching.

UC San Francisco: **Kathleen Puntillo**, Professor Emerita of Physiological Nursing, for her work “Translating research into practice: palliation of thirst in intensive care unit patients”; **Louis F. Reichardt**, Professor Emeritus of Physiology and Biochemistry/Biophysics, for research on “Web production of videos illustrating scientific approaches to major medical challenges through collaboration with iBioSeminars”; **Robert H. Levin**, Professor Emeritus of Clinical Pharmacy, for his work on “Implementation of California SB 493 for students, residents, faculty, & alumni.”

Annual Distinguished Emeriti Awards

Neil Smelser, Professor Emeritus of Sociology, has been named Distinguished Emeritus of the Year by the UC Berkeley Emeriti Association.

Robin Thorp, a world authority on bumblebees and other native bees, has been honored with the UC Davis Distinguished Emeriti Award for 2015.



UC MERCED ON THE CUSP OF EXPANSION THE 2020 PROJECT

By Marjorie C. Caserio, Newsletter Editor and Professor Emerita UC San Diego

The tenth and newest UC campus - UC Merced - is poised to embark on a significant expansion of facilities and enrollments, pending Regental approval of a plan known as the *2020 Project*. Given that state support for UC has withered alarmingly since the financial crash of 2008, expansion plans on any UC campus are certain to be closely questioned. Yet Merced's *2020 Project* makes a compelling case for expansion and offers a non-traditional method of funding capital projects.



Fig. 1 Students march through the "Beginnings" sculpture (an annual tradition for every entering and graduating class).

As a founding faculty member of a different campus (UC Irvine, 1965), I am keenly aware that it has been 50 years since another new UC campus opened. I was eager to visit the newest campus and learn more about its development and its plans for the future. The opportunity came earlier this year, in March. It was a wonderful time to visit as the campus was at its springtime best and preparing to honor its 10th graduating class of 1,116 students. I am pleased to include here a brief account of my impressions and understanding of the proposed *2020 Project*. But first a little background history.

Many will recall the long and protracted plans to establish the tenth UC campus followed by years of a repressive economy that hindered its growth. It is, therefore, encouraging now to see the campus expand and flourish. The road travelled since 1988 when the Regents first authorized planning for the campus has been formative for Merced. The San Joaquin Valley was the region chosen by the Regents for the campus for reasons that are as valid today as they were then. It was argued that the population in the region was growing and in need of better access to a UC education. A UC campus presence would ultimately benefit the entire region through diversifying the economy and increasing employment opportunities.

Since then, campus development has been far from straightforward. The site originally chosen by the university in 1995 was a 2000-acre parcel near Merced within the Virginia Smith Trust property; but the choice proved to be fraught with unanticipated problems. By 2001, major environmental concerns required relocating the campus to a smaller 810-acre parcel within which was a golf course on 104 acres deemed developable and, it was hoped, expandable to 355 acres of development. As a result of the relocation, scheduled construction was seriously disrupted and the projected campus opening in 2004 delayed. When the campus officially opened in September 2005 with an enrollment of 875 students, the main campus structures at the new site were not fully completed and multiple other locations remained in use as campus annex facilities in Fresno, Castle Air Force Base, Merced and Bakersfield.

By 2009, a revised Long-Range Development Plan (now the *2020 Project*) was prepared based on the campus academic vision, enrollment considerations, and economic and environmental constraints. Enrollments were targeted to reach 10,000 by 2020, and the proposed campus footprint (buildable area) was reduced from 355 to 219 acres. The project has undergone several iterations since then - driven primarily by deteriorating state support (especially for physical development) and increasing enrollment demand. Today, ten years since opening, enrollment is almost maxed out at 6200 within the 104 acres of the main campus (the former golf course). Further increases in enrollment are unlikely unless the campus can expand its footprint and build new facilities. The current revisions to the *2020 Project* address this problem.

To accommodate 4000 more students by 2020, the campus facilities need to double in size. This is not achievable using UC's traditional procurement approach of sequential individual projects. Instead, the campus proposes to contract with a single private



Fig. 2 Lake and fountain is all that remains of the original golf course.

development team to construct the entire project at once.

How will this work? The developer will front some of the construction costs to be repaid by the campus over time in the form of three “milestone” payments. The campus will retain full ownership of the land and the facilities. When construction is complete, the development team will continue to be responsible for the operation and maintenance of the facilities for which the campus will make additional payments, referred to as “availability” payments. As a safeguard against substandard performance, the campus may reduce payments or even opt-out of the contract. (The method goes by the acronym DBFOM or Design, Build, Finance, Operate and Maintain). It is difficult for a visitor to follow quite how the debt to the developer will be financed, but it appears inevitable that the university will have to make a substantial investment in the project (probably through General Revenue Bonds). Additional low cost financing could come from private sources and campus revenues.

Six bidders have already responded to the campus RFP and the field narrowed to three from which a final selection could soon be made subject to project-approval by the Regents. There is some skepticism about having a single developer construct all the facilities simultaneously rather than in phases. Also, the Regents would like to see more evidence that the DBFOM method will compare more favorably and with less risk than UC’s traditional methods of planning capital projects. Following further review of the project in September, the Regents will consider final approval in November 2015.

Nonetheless, the Regents have already approved financing and design plans for a campus facility to be built in downtown Merced. The objective is to consolidate administrative functions in the downtown location to free up more space for development on the main campus - and to strengthen campus-community relationships.



Fig. 3 Kolligian Library and Student Services

There are many noteworthy features about Merced. The facilities are planned as “mixed-use” to maximize their utility and avoid creating dedicated or specialized spaces, although this is hard for a visitor to appreciate during a cursory tour of the campus. More evident is the commitment to environmental preservation. The campus goal is to integrate development with the natural environment, and minimize consumption of non-renewable resources. New standards for energy conservation aim at zero net energy use, zero waste, and zero net emissions through innovation in energy consumption, water use and generation. Architectural features are more than decorative and give emphasis to

“sustainability.” For example, the library/student services building (Fig. 3) has covered walkways, arcades, and exterior horizontal panels over walls of glass that create pleasant spaces protected from direct sunlight, control natural lighting and the atmosphere within the structures. As for the beautiful pastoral environment that surrounds the campus, few would deny that this precious natural resource is not worth preserving.

The student body is impressively diverse, more so than any other UC campus, and boasts a high percentage (97%) of California residents. About 67% are the first in their families to seek a four-year college education. UC Merced Chancellor Dorothy Leland makes a strong point in support of expansion by recognizing the importance of keeping the campus accessible for California residents and increasing the number of Central Valley students. The campus has an atmosphere of individuality and energy that is palpable. The small footprint brings everyone in close proximity, and the buildings and walkways appear to make the interior and exterior spaces seamless. The town of Merced has its own charm, but it is a few miles away, and the opportunities for activities outside of the campus are limited. Also, to reach the campus from other parts of the state is an all-day affair. This may change in time.



Fig.4 Grasslands surrounding the campus

The campus has already attracted talented faculty who have implemented an academic vision that creates opportunities for students to work closely with them in studies and research projects. Besides the core disciplines, the academic focus is targeted on select themes organized as Centers or Institutes engaged in *interdisciplinary* research studies. One of these, the *Sierra Nevada Research Institute* operates a research facility in the Yosemite National Park – the only UC research station in a national park – and has an enduring partnership with the park service for projects including groundbreaking research by faculty and students.

While this visionary academic development and infrastructure construction is exciting, it makes demands on the faculty over and above the normal expectations of high standards in teaching, research, and service. A task force of senate faculty from other UC campuses helped considerably in the early years, but responsibility now rests with the Merced faculty, a disproportionate number of whom are junior faculty. Their dedication to the development of the campus, especially considering the budgetary and environmental constraints of the last decade, deserves to be recognized and applauded.

No less challenging are the demands of a new campus on the administrative leadership. In this regard, a special word of appreciation must go to the founding Chancellor, Carol Tomlinson-Keasey, who devoted years to the planning of the new campus. Although her tenure as Chancellor was regrettably brief, she presided over the inaugural celebration of the campus in 2002 and gave the inaugural address. To honor her memory, the open quadrangle in the center of the campus (Fig.5) has been named in her memory. The Carol T-K quad, as it is affectionately called, is now graced by the striking sculpture “Beginnings,” and serves as a gathering place and crossroad to all parts of the campus.

The commencement celebration in 2009 honoring the founding graduates of the first entering class was memorialized by the nation’s First Lady, Michelle Obama , who gave the commencement address (Fig.6). In August 2015, the campus held a welcome ceremony on the Carol T-K quad site for 1400 new students - the largest entering class yet of undergraduate and graduate students. By the time these students graduate, the campus will hopefully be close to reaching the goals of the 2020 Project.



Fig. 6 First Lady Michelle Obama giving the commencement address honoring the founding class of graduates in 2009.



Fig. 5 The quad and “Beginnings”

Letter from the Chair

Roger Anderson, UC Santa Cruz

Last week I attended a luncheon meeting of the UCSC Emeriti Association, and the speaker, a young Associate Professor, said that he was very happy to be there in part as he was looking forward to eventually joining this Emeriti group after he retired. This started me to reflect on what it means now for me to be an emeritus of the University of California, and what will be his experience in 30 or more years. Unfortunately these musings introduce a far larger set of issues than I have any hope to cover in this letter. Instead I will provide some comments about changes presently considered that may greatly affect Emeriti in the future.

New Pension Tier

As Emeriti and Retirees may have heard there is likely to be a new pension Tier for UC employees hired after July 1, 2016. This is the result of the budget negotiations between UC President Napolitano and Governor Brown, whereby the University agreed to start the new Tier in exchange for a \$436 million State payment (spread over three years) toward the unfunded liability of State funded UC employees. UC will be able to leverage this payment with medical center and grant supported units to allow a substantial payment of about \$1.5 billion toward the unfunded liability of UCRS. However the net unfunded Actuarial liability for UCRS stood at \$12.3 billion on July 1, 2014, which is the difference between the Actuarial Value of Assets (\$48.3 billion) and the Actuarial Accrued Liability (\$60.4 billion). The Funding ratio is the ratio of the Actuarial Value of Assets to the Actuarial Accrued Liability - valued at 80% in 2014. If the \$1.5 billion is assumed to directly apply to the Actuarial liability (perhaps a questionable assumption) it appears that the University will be able to increase the funding ratio by about 2.5% to greater than 82%. The 2015 valuations should be available in November 2015, and this will allow a better assessment of the likely increase in the funding ratio due to the welcome State funds.

However the State contribution to UCRS comes with a cost! New employees must be offered either an income capped Defined Benefit (DB) plan or a



Defined Contribution (DC) plan. A big change from the present DB plan is that the maximum payment cannot exceed the PEPRA limit (the Public Employees Pension Reform Act limit). This limit is essentially the social security wage base, and is about \$118,000 per year. The DC plan may yield retirement income in excess of the

PEPRA limit but, unlike DB plans, DC plans place the investment risk on the employee and not the employer. Clearly a DB plan will cover the pension needs of many UC employees, but the problem comes for many if not most Emeriti who have pensions greater than the PEPRA limit. Under the new tier the DB pensions for such higher income people might be augmented with a supplementary DC plan.

The attractiveness of a DC plan depends greatly on the investment yield and assumptions about the salary growth rate. If the investment yield is greater than 7.5% (the value assumed until now for UCRS) then a DC plan will yield excellent pension payments. However the ten-year annualized return for UCRS investments was only 6.3% on June 30, 2015. Depending on who manages DC funds the investment yield will vary. Employees contributing to a DC plan may find their returns will be greatly influenced by the risks taken with their funds. I have written a simple Excel spreadsheet to model the attractiveness of DC plans. The model includes investment returns, growth rate of salary and pensions, years of employment, desired years and amount of payout, and fraction of salary used to fund the plan. I will send a copy to interested persons if you write to me at anderso@ucsc.edu. Please put "Defined Contribution" as the subject.

I believe that the availability of an attractive DC plan will have significance for recruitment and retention. Prospective faculty members are likely to choose a DC plan if they think that they will want to move to another Institution. Such faculty may seek a better research or living environment, and the portability of a DC plan will fit better with plans for moving. Other faculty may choose a DC plan because they are worried about the fact that UC will have made two significant changes in its pension plans in a three-year period. When will the next change occur?

Financing of UC pension plans

For the past few years UCRS has been funded with employee and employer contributions, borrowing from STIP funds, and now by direct infusion of State funds. However the Regent's budget (Fall 2015) certainly cited the necessity of using some tuition increases to shore up UCRS. But the tuition increases are now off the table for two years, although this money would provide a more or less balanced method to cover pension shortfalls of the general campuses. But a major source of UC funds is now non-resident tuition. Just for the 2015 incoming freshmen this non-resident tuition might reach \$286 million. However the distribution of these funds is rather uneven with some campuses collecting twice or more money per freshman as other campuses. Such non-resident moneys are not going to be a reliable source of pension funds.

Retiree Health

For 2016, insurance plans are unchanged, but there is no information about the rates. However, coverage for high priced drugs is likely to drive higher premiums for the self-insured plans. There is a continuing discussion about prefunding retiree health care, and such prefunding would eliminate the present pay-as-you-go funding of retiree health. There are also continuing discussions about the establishment of a UC Care HMO plan, but as yet no plans have been published. Possibly more information may become available in the upcoming weeks prior to the beginning of Open Enrollment.

The 2012-2015 Survey of Emeriti Activity

This fall, CUCEA will launch its eighth survey of how UC emeriti contribute their time in retirement. Previous editions of this survey have shown that UC emerita and emeritus colleagues continue to be productive members of their local communities as well as their academic and professional organizations. Many continue to teach—either on their home campuses or elsewhere. Many continue their academic interests in research, writing, and creative work, and to publish and present their work in exhibitions and invitations as guest lecturers.

This important study and the reports that derive from it help to convey the breadth and depth of the contributions that retired UC faculty and other emeriti make to UC and society in active retirement. Most importantly, information gained from this inventory offers strong support for the value of emeriti to UC that justify to a significant extent the costs of their retirement benefits.

The survey will attempt to reach *all* members of the UC emeriti community—not just those who are members of their Emeriti Associations. Each campus Emeriti Association will be responsible for reaching out to its own emeriti population.

A large majority of emeriti have indicated a preference for online communication about emeriti activities. When the survey is launched, they will be given a link to an online site and a convenient format for completing it—no paper, no stamps, no mailing. But those who state a preference for the traditional approach will receive their surveys in the mail.

In previous years, this project was called the “Biobibliographic Survey” or the “Bio-bib Survey.” In the current version, CUCEA has given this project a new label, “Survey of Emeriti Activity.” The new title is a more descriptive one and more inclusive of the scope of scholarship and service that emeriti are involved in.

The survey will be launched within a few weeks. As before, the campus Emeriti Association presidents are hoping that there will be a high participation rate from each of the campuses.

Remembering Lyman Porter



Sadly, Professor Emeritus Lyman W. Porter, our esteemed colleague and CUCEA treasurer since 2003, passed away July 2, 2015. He will be sorely missed, not only by CUCEA members but by his many colleagues and former students at his home campus UC Irvine. The campus organized a memorial gathering as a tribute to his life held September 25, 2015 at the Merage School of Business, UCI. An obituary was published in the Los Angeles Times and can be viewed at:

<http://www.legacy.com/obituaries/latimes/obituary.aspx?pid=175355948>

The following excerpt from the tribute by UCI Chancellor Howard Gilman well describes Lyman's career:

Dr. Porter, a mainstay of the UCI faculty for well more than four decades, played a major role in the advancement of the university and had a profound influence on his discipline. Dr. Porter came to UCI in 1967 as professor of management (with a joint appointment in psychology) and assistant dean of what was then the Graduate School of Administration after rising from lecturer to full professor of psychology at our sister campus UC Berkeley. As assistant dean, he was instrumental in starting the Ph.D. program in the GSA. He served with great distinction as dean of the school from 1972 to 1983. His tenure was marked by the creation of strong connections between the school and the business community, primarily through the highly successful Corporate Partners Program, and the development of the MBA program. Long after becoming emeritus in 1992, he continued to teach, research, and serve his campus. The Dr. Lyman W. Porter Colloquia Room in the Paul Merage School of Business building was named in his honor this past year. Dr. Porter was one of the primary founders of the study of organizational behavior. His texts are considered classics in the field. He taught and mentored generations of academic and industrial leaders, and played a major role in ensuring that organizational behavior would become an important component of modern business education. Among his many honors, he was elected president of the Academy of Management in 1973-1974; president of the Division of Industrial and Organizational Psychology, American Psychological Association in 1975-1976; and a longtime member of the Board of Directors of the American Assembly of Collegiate Schools of Business. At UCI, he received the Lauds and Laurels University Service Award in 1975, the Lauds and Laurels Distinguished Research Award in 1985, and the Academic Senate Distinguished Faculty Lectureship Award for Research in 1989-1990. He is survived by his wife of 57 years, his two children, and four grandchildren.

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