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January 5, 2011

ACADEMIC COUNCIL CHAIR SIMMONS

Dear Dan:

Thank you for your letter of December 14. I have now had a chance to review both "A Framework for Excellence: Investing in Shared Governance for the New Century," the white paper prepared by UC Senate Directors, and the endorsement of this report by the Academic Council.

You ask that I circulate the paper to the Council of Chancellors and the Council of Vice Chancellors for review, and I will be pleased to do so by copy of this letter. It is important to have their input on the optimal operation of the Divisional Senates on their campuses and how to best approach further discussion of the Guiding Principles that have been proposed.

Many of the issues in the white paper speak to the overlap of Senate work with the work of other offices on the campuses and at the Office of the President, particularly during a time of changing budget practices. The Chancellors and the Executive Vice Chancellors, who understand the campus operations of their Divisional Senates, will be instrumental in the effort to improve the effectiveness of shared governance and appropriate budgeting processes to support this work.

Once I have input from the Council of Chancellors and the Council of Vice Chancellors, I will be in a position to respond further to the "Framework for Excellence."

With best wishes, I am,

Sincerely yours,

Mark G. Yudof
President

cc: ✓ Chancellors
Provost Pitts
Vice President Lenz
Executive Vice President Brostrom
Vice Provost Carlson
Associate Vice President Kelman
Council of Vice Chancellors

UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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SANTA BARBARA • SANTA CRUZ

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*Chair of the Assembly and the Academic Council
Faculty Representative to the Board of Regents
University of California
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Oakland, California 94607-5200*

December 14, 2010

**MARK YUDOF, PRESIDENT
UNIVERSITY OF CALIFORNIA**

Re: Funding for divisional Senate offices

Dear Mark:

At its meeting on November 22, the Academic Council unanimously endorsed a white paper written by the Senate Directors describing the functions of divisional Senate offices and the resources necessary to carry out those functions. Adequate staff support is critical to the Senate's ability to fulfill its responsibilities under shared governance; and the white paper illustrates how the divisional Senate offices provide this support.

The aim of the paper is to highlight the work of the Senate and provide a framework to facilitate campus discussions between divisional Senate leaders and campus administrators regarding the appropriate level of funding to sustain the Senate offices. We request that you disseminate the paper to the Council of Chancellors, and through them, to the EVCs, for review, concurrence and implementation.

While the guiding principles for the allocation of resources to support Senate operations listed in the paper are equally important, Council asked me to emphasize one example of the budgetary trade-offs facing Senate Chairs. That is, chairs should not be asked to choose whether to provide adequate resources for research grants or to employ staff to support the work of Senate offices.

Please do not hesitate to contact me with any questions.

Sincerely,

A handwritten signature in cursive script that reads "Daniel L. Simmons".

Daniel L. Simmons, Chair
Academic Council

Copy: Academic Council
Martha Winnacker, Academic Senate Executive Director

Encl. (2)

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November 12, 2010

DANIEL L. SIMMONS, CHAIR
UC ACADEMIC SENATE

Re: A Framework for Excellence: Investing in Shared Governance for the New Century

Dear Dan:

As requested by the Academic Council in July, the Senate Directors have completed the attached paper to describe the resources necessary to operate an Academic Senate Office and provide a framework to facilitate local discussions between divisional leaders and campus administrators. We have emphasized principles rather than prescriptive itemization of resources in order to allow for flexibility within the specific contexts of each campus.

This version of the paper has been revised in response to comments by the division chairs and vice chairs at their September retreat.

As the officers of the Senate charged with maintaining the Senate's infrastructure, we ask that the Academic Council consider these principles for adoption and implementation at all 10 campuses. Should the Council approve the principles, we recommend sending them to the President with a request that he disseminate them to the Council of Chancellors for review, concurrence and joint implementation.

We appreciate your attention to this matter and hope we have provided the document in time for the November 2010 Academic Council meeting.

Respectfully submitted,

Heather Alden, UC San Francisco

Gina Anderson, UC Davis

Jaime Balboa, Ph.D., UC Los Angeles

Luisa Crespo, UC Irvine

Sellyna Ehlers, UC Riverside

Andrea Green Rush, UC Berkeley

Diane Hamann, M.A., UC San Diego

Mary-Beth Harhen, UC Santa Cruz

Deborah Karoff, M.P.A., UC Santa Barbara

Susan Sims, Ed.D., UC Merced

Martha Winnacker, J.D., UC Academic Senate

A Framework for Excellence: Investing in Shared Governance for the New Century

A White Paper by the Executive Directors of the Academic Senate:

Heather Alden, Academic Senate Executive Director, UCSF
Gina Anderson, Academic Senate Executive Director, UCD
Jaime Balboa, Ph.D., Academic Senate Chief Administrative Officer, UCLA
Luisa Crespo, Academic Senate Executive Director, UCI
Sellyna Ehlers, Academic Senate Executive Director, UCR
Andrea Green Rush, Academic Senate Executive Director, UCB
Diane Hamann, M.A., Academic Senate Executive Director, UCSD
Mary-Beth Harhen, Academic Senate Executive Director, UCSC
Deborah Karoff, M.P.A., Academic Senate Executive Director, UCSB
Susan Sims, Ed.D., Academic Senate Executive Director, UCM
Martha Winnacker, J.D., Executive Director, Systemwide Academic Senate

October 28, 2010

Amended November 22, 2010

The Academic Senate is a distinctive and important organizational element of the University of California – a feature that distinguishes the UC from other major research universities nationally and internationally. Formally established by Regent's Standing Orders, the Academic Senate is the organization through which faculty share in the operation and management of the university. UC's contemporary practice of consultative decision making and shared governance reinforces the notion that it is the faculty who are at the center of the academic mission of the university: teaching, research, and public service.

It is the faculty, individually as scholars and collectively through the Academic Senate, who maintain the quality of the university's academic program. The Regents have delegated to the Academic Senate authority over all curricular matters: degree requirements and academic programs, admissions standards, and the review, establishment, and disestablishment of all academic programs.¹ It also has a formal advisory role in academic personnel actions, faculty welfare, budget and a myriad of other matters. This authority and advisory role are the foundation for the Academic Senate's unique relationship with the university's senior administration and provides opportunity to communicate valuable faculty viewpoints, enhancing the academic excellence of the institution. The Academic Senate's efforts derive from the premise that the university's excellence cannot be sustained without faculty, administration, staff, and students all making substantive contributions to the university in an involved, respectful, and collaborative fashion.

¹ There are a few exceptions to this delegation of authority, including MD, JD, and DDS, inter alia.

In order to meet the Regents' mandate, the Academic Senate has organized itself into a number of committees. These committees are comprised of Senate faculty from the various disciplines and function within each campus Division and at the system-wide level. Committee work is supported by professional analysts through the Academic Senate Offices. In order for the Senate to perform its duties efficiently and effectively, necessary resources must be provided in the Senate infrastructure to sustain highly functional Senate operations.

Senate Operational Efficiencies

Given the economic realities facing UC, all Senate operations have focused internally to improve processes, eliminate redundancies and focus efforts on delegated authorities. Each Senate Division office has worked to streamline operations, while simultaneously remaining responsive to the ever changing issues facing UC. Each Division has and must tailor its responses to local needs and mandates when determining how to streamline its operations and increase efficiency.

Most Divisions have reduced staff and many of us have realigned staff to better meet workflow demands. In some cases, Divisions have restructured operations by reviewing committee structures including consolidation or elimination of standing Senate committees.

With few exceptions, every Division has improved operational efficiency through the use of technology. There are many examples of Divisional offices partnering with campus administrative offices to facilitate system improvements that benefit the entire campus. Other examples involve Divisional staff working independently to develop web-based solutions to enable more effective Senate operations. Many Divisions employ on-line distribution of agenda, meeting materials, and minutes. By doing so, Divisions have increased staff productivity, reduced reliance on paper copies and helped reduce or eliminate paper filing systems freeing staff time and precious physical space.

Some Divisions have worked collaboratively with administrative units to automate the academic personnel process. The stage of each automation effort varies; however, all anticipate significant improvements in efficiency for faculty and staff. Additionally, some of the Divisions are in the midst of streamlining the academic personnel process through examination of workflow and a desire to assure that Senate standing committees are focused on transactions that add value to the peer review process.

A key feature of Senate operations is voting and balloting. Most Divisions employ on-line voting and balloting. On-line balloting processes allow member participation while performing on-site research, professional activities or traveling. In most cases, the time needed to conduct a ballot has been reduced.

Allocation of Resources for Senate Operations

Senate offices administer a myriad of functions which go to the heart of UC's academic mission:

- Admissions standards which assure UC admits qualified undergraduate students prepared for successful pursuit of a higher education.
- Graduate and undergraduate program reviews, which influence rankings and promote excellence.
- Review of establishment, transfer, consolidation, and discontinuance of academic programs assures the academic operation is in alignment with the overall academic mission.
- Curricular oversight such as major, degree and course approvals impact UC's ability to attract and retain excellent students who become active alumni and future faculty.
- Establishment and maintenance of a robust peer review process through management of academic personnel action reviews, grievances, and charges promote quality, excellence and a sense of fair play.
- Policy and budget reviews provide a link between the administration of the University in the allocation of resources for academic endeavors.
- Administration of research funds returns a measure of indirect cost recovery directly to the faculty who, in turn, use this funding to develop new research ideas and to travel to scholarly meetings where their presentations further enhance UC's reputation.

During this time of unprecedented cutbacks and efforts to find solutions to the numerous complex problems facing the institution, the Academic Senate is at the forefront of the problem-solving effort. The Senate and its staff have been asked to review and respond to an ever greater volume of policies and issues, including those generated by system-wide and local senior administrators, groups such as the UC Commission on the Future, the Post-Employment Benefits Task Force, and various cost cutting and streamlining efforts. Although the current economic realities impact UC's short-term stability and potentially threaten our long-term success, academic leaders are working tirelessly to ensure that the UC retains and builds on its identity as an excellent, robust, and accessible academic institution. As these plans develop, the Academic Senate must be positioned to facilitate the review and approval of proposals to begin new programs or consolidate existing programs, discontinue programs, and the like, often against the backdrop of pressing financial implications and compressed timelines. As the institution shifts focus to new initiatives, such as increased distance and online learning and reliance on revenue-generating programs, the responsibilities of the Academic Senate and its staff continues to expand.

In 2004, the Senate Directors proposed, and the Academic Council endorsed, a number of concepts designed to provide a rational basis for funding Senate operations. The Senate Directors have updated these concepts. They are meant to be flexible and to allow for the autonomy of Divisional Senate Offices and appropriate funding levels for each campus. The concepts are presented as a framework to guide the Divisions and the respective administrations on each campus.

As was the case in 2004, the Senate Directors are presenting revised principles to the Academic Council for consideration, adoption and implementation at all 10 campuses.

Should the Council approve the principles, the Senate Directors recommend sending them to the Council of Chancellors (via the Academic Council Chair and the President) for review, concurrence and joint implementation.

The Senate Directors have been careful to take into consideration Divisional differences in size, structure, programs and services. It is understood that flexibility is required when applying the principles to the development of Academic Senate budgets. Each Division will, therefore, apply concepts in unique ways to meet the varied requirements of the Division and campus.

Divisional offices have participated in campus budget reductions and are mindful that resources are limited across the institution. In anticipation of the fiscal outlook improving, now is the time to develop plans regarding how best to implement these principles over time to ensure appropriation of adequate resources in the future.

In 2004 we made a prescient observation "*It is perhaps most critical to consider these concepts now as far-reaching permanent fiscal decisions will soon be made that will impact the ability of the Senate to be a full partner in shared governance in the future.*" Even with the endorsement of the Council and President Dynes of these concepts at that time, the urgency of reiterating and elaborating upon them is not diminished.

Guiding Principles

The Senate Directors propose the following guiding principles for the allocation of resources to support Senate operations:

1. Each Divisional Senate Office must have sufficient resources to independently manage its operations, as would any senior administrative office with campus-wide areas of responsibility (e.g., office of the chancellor, office of the executive vice chancellor, vice chancellors and vice provosts).
2. All Senate operations, committees and programs should be fully supported by professional staff hired and supervised directly by the Senate office (i.e., fiscal resources for these staff positions should be allocated on a permanent basis to the Senate budget) as determined by the Divisional Senate.
3. Senate operations should be supported by sufficient administrative FTE to support its administrative functions and sufficient analytical FTE to conduct independent analyses as needed. Staff positions should be classified at the appropriate level so that Senate leaders are provided the same level of professional support and analysis as that provided to senior administrators at each campus.
4. Senate agencies exercise delegated authorities and need access to timely data and analysis from campus and system-wide institutional research entities and staff. Response to Senate agency requests should be on par with response times for similar requests made by senior administration offices.

5. Information Technology resources are critical to efficient and effective management of Senate operations. Recognizing this, Senate operations have developed technology-based solutions to manage increasing workload in an environment of decreasing staff resources. Access to and the ability to manage priorities for information technology resources supporting Senate operations are integral to continued process improvement. It is important to remember that Senate operating systems and procedures often have unique requirements that do not routinely mirror the needs of other UC and campus administrative units. Thus, in order to develop solutions that facilitate Senate operations, systems often require an infrastructure designed specifically to meet Senate operational needs. Necessary information technology resources include web development, desktop hardware, equipment and ongoing information technology/programming support (e.g., hardware, software, database development, online resource development).
6. Senate Chairs must not be asked to choose whether to provide adequate resources for research grants, or Senate Office staff. The budgets for the research grants program and Senate Office operation must be viewed as mutually exclusive. Both are essential to the Senate's ability to carry out its authorities as delegated by the Regents and require sufficient and stable funding.²
7. The development of clustering, shared service centers and other forms of central administrative streamlining and central system implementation often impact Senate operations. As central systems or procedures are planned, the impact on Senate operations must be explicitly considered in consultation with the Senate office, including examination of adequate resources to support continued Senate involvement. Early involvement and needs assessment will minimize delays and system development budget overruns because all workload and resource impacts would be identified and managed during the development phase rather than during implementation.
8. In addition to an appropriate number of staff FTE, Senate operations should be supported by sufficient financial resources, office space and equipment, including:
 - Funds for regular meetings of Senate agencies (such as funding to rent adequate meeting space on campus, facilitate conference calls/online meetings, etc.).
 - Funds for programs, projects and special events, faculty training/leadership retreat and other operational needs as deemed necessary and appropriate by each Division.
 - Dedicated office space and administrative and analytical support for all Divisional Chairs.

² For an excellent statement on the budget impact of COR grants on just one campus, see UCLA's Council on Research's White Paper at http://www.senate.ucla.edu/committees/cor/documents/CORBudgetStatement-final_6_.pdf.

- **Dedicated office space for staff, and meeting space (e.g., dedicated access, regular cleaning and periodic refurbishing) sufficient to conduct meetings of the Division, standing committees and other official Senate functions.**
 - **Appropriate technology to meet the changing needs of University and Academic Senate workflow. This may include regular equipment replacement, and provision of up-to-date services or a combination thereof.**
 - **Furniture and office equipment appropriate to conduct the business of each division.**
 - **On-campus storage facilities or a permanent budgetary appropriation to fund offsite storage of essential, historical Senate records; funds to support development and maintenance of an electronic archiving system.**
- 9. Upon request by the Division, the Senate operation should be its own budgetary control unit, with a direct reporting line to the chancellor (or her or his designee) on budgetary matters.**