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OFFICE OF THE PRESIDENT

Robert C. Dynes
President

September 21, 2004

CHANCELLORS

Dear Colleagues:

I enclose a copy of *Framework for Establishing a Divisional Senate Office*, which was prepared by the Academic Senate Executive Directors as a guide for Academic Senate operations on UC campuses. I believe you will find this very useful. In his letter to me sending this report, then-Academic Council Chair Pitts noted that the report sets a normative floor for campus senate operations, and that it could serve as a guideline for determining the appropriate resource needs of campus senate offices. I ask that you consider the needs of the Senate, as a vital participant in the shared governance of the University, when allocating resources across your campuses.

Sincerely,

/s/ Robert C. Dynes

Robert C. Dynes

Enclosure

cc: Academic Council Chair Blumenthal
       Provost Greenwood

Framework for Establishing a Senate Operation
As Endorsed by the Academic Council on July 21, 2004

The Senate Executive Directors were asked to present a framework for the establishing a Senate operation at the new UC Merced campus. We propose building the framework on the concepts presented in the attached July 23, 2003 document *Academic Senate Operations: Structure and Resources*, which was prepared and presented by the Senate Executive Directors, unanimously endorsed by the Academic Council, and forwarded to former President Atkinson. It was also presented to the Chancellors and Divisional Senate Chairs by Academic Council Chair Pitts at their joint meeting held on March 3, 2004. The paper's concepts were developed to guide divisions and respective administrations in the allocation of resources to support a fully functioning Senate operation.

It is most important to apply these concepts in the early stages of the Merced Division's development to ensure that the new Senate operation fully supports the development of the faculty governance organization and its administration of the duties assigned by the Board of Regents.

Conceptual Framework

The Merced Division Senate operation should be developed in accordance with the following concepts.

A.   The Senate must have sufficient resources to independently manage its operations, as would a senior administrative office (e.g., office of the chancellor, office of the executive vice chancellor).

Note: The intent is not to replace or duplicate administrative functions, but to have sufficient resources to be an active and informed participant in shared governance. Resources may be leveraged through joint Senate/administration efforts when it is agreeable to both parties.

B.   The Senate must have access to the resources needed to make fully informed decisions and provide timely, sound advice.

C.   All Senate operations, committees and programs must be fully supported by 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.

D.   Senate operations must be supported by sufficient administrative FTE to support its administrative functions and sufficient analytical FTE to conduct *independent* analyses *when needed*. Staff positions must be classified at the appropriate level to provide Senate leaders the same *level* of administrative support and analysis as that provided to senior administrators at each campus.

E.   In addition to staff FTE, Senate operations must be supported by sufficient fiscal resources, office space and equipment, including:

1.   Funds for programs, projects and special events, faculty training/leadership retreat and other operational needs.

2.   Dedicated office space and administrative and analytical support for all divisional Chairs.

3.   Dedicated office space for staff, and meeting space (e.g., dedicated access, regular cleaning and refurbishing) sufficient to conduct meetings of the division, standing committees and other official Senate functions.

4.   Furniture and office equipment appropriate to conduct the business of each division.

5.   Computing equipment and ongoing information technology/programming support (e.g., hardware, software, database development, online resource development).

6.   On-campus storage facilities or a permanent budgetary appropriation to fund off-site storage of essential, historical Senate records, and an archiving system, with the ability to implement and maintain an electronic archiving system.

F.   Upon request by the Division, the Senate operation should be its own budgetary control unit, with a direct reporting line to the chancellor (or designee) on budgetary matters.

Note: The process by which resources are requested, negotiated and obtained will vary by division.

Start-up Organization

While these concepts will guide the development of the Senate operation, consideration must be given to the special needs of a start-up organization. The resources necessary to establish and support a Senate operation are not dependent on the number of Senate members served, but rather on organizational need. The initial phase will require dedicated, talented staff with a solid understanding of shared governance to assist in creating the organizational structure, policies and procedures; requesting fiscal resources and establishing budget systems; designing a staffing plan and recruiting staff; and obtaining space, equipment and computing resources.

Senate operations must have sufficient FTE to support its functions as well as sufficient FTE to provide professional (analytical, technical and administrative) support for its operations.

The demands of this developmental phase will require, minimally, the following staff positions.

- Executive Director, (classified in the MSP series, equivalent) to independently manage the operation of the Divisional office, including but not limited to, organizational development, and fiscal and staff management. In addition, the Executive Director advises the Divisional Senate Chair and represents the Senate Office and Chair in interactions with other units.
- Administrative Specialist to support the Chair and Director on all administrative matters.

- Programmer/Analyst (classified in the programmer or analyst series (II or III)) to develop, program and implement integrated web sites, data bases and create as well as support a network infrastructure.

The staff must be provided the space, equipment, computing resources, and financial support to adequately conduct business.

Developing Organization

As the Senate organization develops and committees are established, resources must be available to provide for the growing organization in all areas as outlined in the framework. It is likely that the number of Senate members will be small in the early years, yet the organization's structure and responsibilities will require the support of a fully-developed division.

In addition to the three FTE identified above, senior policy analysts (classified at the Senior Analyst level) should be hired by the Executive Director, to begin staffing the constellation of committees deemed necessary by the Division and The Academic Council to begin operations For example, the Division could feasibly begin operations with the following standing committees established in the first year:

Committee on Academic Personnel
Graduate Council
Committee on Research Policy
Undergraduate Council (includes Committee on Courses, Admissions, Educational Policy)
Rules and Jurisdiction & Elections
Committee on Planning & Budget
Executive Committee or Board

Should this be the case, the Executive Director would staff the Executive Committee which typically provides oversight to all committees and advice to the Divisional Chair. The Executive Director could provide staff support for one or two smaller committees during this initial organizational development. The Executive Director should immediately hire one Senior Analyst to begin staffing and setting-up operations for the remaining core committees that would enable Senate business to begin. In this period, the Senior Analyst would fully manage the operations of the remaining four committees, and work in close consultation with the Executive Director and Programmer/Analyst to set-up the necessary information technology infrastructure which will require original programming. All administrative assistance would initially be provided by the Administrative Specialist. All staff should be computer literate and able to process their own communications and analyses.

As the number of faculty grows and standing committees are added or as the volume of existing committee work increases exponentially, the Executive Director should hire an additional Senior or Principal Analyst at roughly one FTE per the addition of 4-5 standing committees. As Senate operations develop, the office will also need to hire an individual to manage business operations (e.g., office management, fiscal issues, payroll/personnel). Senate Executive Directors from the established Divisions should be invited to participate in the selection and hiring of the Merced Executive Director and on a volunteer basis, provide whatever assistance and mentoring might be requested of the Executive Director during the formative years. The Executive Director should be responsible for hiring, training and supervising all Divisional staff, leaving the Divisional Chair available to concentrate on broader faculty and shared governance policy matters. It is recommended that staff be encouraged to participate in relevant training programs or classes provided by campus Human Resources as they become available, such as computer skills, payroll processing, etc. The associated costs are usually nominal; however, a commitment by the Divisional leadership to allow time away from the office for staff to acquire relevant training is essential for the Senate to operate professionally and efficiently. Commitment from both the Chancellor and Budget Office to adequately fund FTE and operational costs is critical to the Division's success. Without this commitment shared governance will remain only a concept.

Respectfully Submitted:

Gina Anderson, Executive Senate Director, Davis
Maria Bertero-Barcelo, Executive Senate Director, Systemwide Academic Senate
Claudia Chapman, Executive Senate Director, Santa Barbara
Andrea Greenbush, Executive Senate Director and Linda Song, Interim Executive Senate
    Director, Berkeley
Sue Grumbrecht, Executive Senate Director, Irvine
Judy Morales, Executive Senate Director, San Diego
Mary-Beth Hahren, Executive Senate Director, Santa Cruz
Tamara Maimon, Executive Senate Director, San Francisco
Marlene Odel, Executive Senate Director, Riverside
John Tucker, Executive Senate Director, Los Angeles

July 9, 2004

Academic Senate Operations
Structure and Resources
Endorsed by the Academic Council on
July 23, 2003

Introduction

In fall 2002 the Senate Directors met with Academic Assembly Chair Gayle Binion to discuss current issues. The challenge of managing Senate operations with limited and shrinking resources was identified as a continuing and significant problem. Chair Binion invited the Senate Directors to fully assess current operations and prepare a "white paper" on the subject for consideration by the Academic Council.

The Senate Directors present this paper to the Academic Council for consideration. The paper includes a summary of the issues to be addressed and a proposal of broad concepts for the allocation of resources.

In 1998 the Academic Council convened the Senate Task Force on Governance to investigate and report on three major areas of concern: the university-wide Senate organization and operation (panel 1), the nature and health of shared governance (panel 2), and the availability of resources to the Senate to carry out its delegated responsibilities (panel 3). The task force formed three panels of faculty, staff and administrators to investigate each area of concern. The members of panel 3, which included long-time UC Regent Roy Brophy, focused on the organization, operation and resources of the nine divisions and the university-wide Senate.

Panel 3 members invited the Senate Directors to analyze FTE, space, budget, programs and services, and propose a model Senate operation. Following an extensive analysis by the Directors in consultation with the university-wide Senate Chair, it became clear that comparisons across divisions and the model Senate proposal would be problematic. Each division had developed a unique operating structure over time to meet its distinct needs. As a result, the definition of data elements varied widely by division, making it difficult to generalize findings and propose one model that was useful to all divisions.

Further study by panel 3 was later tabled following changes in leadership and staff. Until now, no follow-up review or action has been taken on this important matter.

The Academic Senate and Senate Operations

The Academic Senate is a critical, primary partner in the governance of the University. The Senate adds value to the entire University, working with the administration through faculty service to realize the University's mission of education, research and public service. Faculty participation in shared governance is vital and essential to the overall success and quality of the University.

The Senate operation on each campus is the support mechanism that enables faculty to participate actively in the governance of the University. For the Senate to perform its duties, efficiently and effectively, adequate resources are required to sustain a dedicated Senate operation. This operation must include sufficient professional staff FTE, classified appropriately and with solid expertise, and sufficient fiscal and other resources (defined below).

Allocation of Resources to Senate Operations

The Senate Directors are proposing concepts for the allocation of resources in support of Senate operations that are flexible and appropriate to each campus. The proposed concepts are presented as a framework to guide the divisions and respective administrations. The Senate Directors are presenting the proposed concepts to the Academic Council for consideration, adoption and implementation at all 10 campuses. With the approval of the Academic Council, the Senate Directors recommend sending these concepts to the Council of Chancellors (via the Academic Council Chair and the President) for review, concurrence and joint implementation.

The concepts take into consideration divisional differences in size, structure, programs and services. Each division may implement the proposed concepts as needed to meet the unique requirements of the division. Some divisions may choose to implement the concepts at a later time, others may choose to only implement some of the concepts. It's most important that each division has discretion to implement the concepts considering its unique organization and relationship to administration.

In the face of the current budgetary downturn it may not be feasible to implement all of the proposed concepts at this time. Still, it is valuable and important to begin to consider how best to implement the concepts over time and as resources become available. *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.*

Proposed Concepts

The Senate Directors propose the following concepts for the allocation of resources in support of Senate operations:

A. The Senate should have sufficient resources to manage independently its operations, as would a senior administrative office (e.g., office of the chancellor, office of the executive vice chancellor).

> Note: The intent is not to replace or duplicate administrative functions, but to have sufficient resources to be an active participant in shared governance. Resources may be leveraged through joint Senate/administration efforts when it is agreeable to both parties.

B. The Senate should have access to the resources needed to make fully informed decisions and provide timely, sound advice.

C. All Senate operations, committees and programs should have the ability to be fully supported by 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.

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> 1. Funds for programs, projects and special events, faculty training/leadership retreat and other operational needs as deemed necessary and appropriate by each division.
>
> 2. Dedicated office space and administrative and analytical support for all divisional Chairs.
>
> 3. Dedicated office space for staff, and meeting space (e.g., dedicated access, regular cleaning and refurbishing) sufficient to conduct meetings of the division, standing committees and other official Senate functions.
>
> 4. Furniture and office equipment appropriate to conduct the business of each division.
>
> 5. Computing equipment and ongoing information technology/programming support (e.g., hardware, software, database development, online resource development).
>
> 6. On-campus storage facilities or a permanent budgetary appropriation to fund off-site storage of essential, historical Senate records, and an archiving system, including the ability to implement and maintain an electronic archiving system.

F. 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.

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