

THE DISTRIBUTION OF GOVERNANCE FUNCTIONS
WITHIN THE UNIVERSITY OF CALIFORNIA
AND
THE ROLES OF THE FACULTY IN THEM

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THE ESSENTIAL HISTORY OF UC

- Founded in 1868, under the Morrill Act
- Had one campus until the formation of the Southern Branch in 1919
- New campuses created nearly all from within, now totaling 10
- Chancellors created in 1952
- Much decentralization of governance but still one university

BOARD OF REGENTS

- A lay body (most not members of state government)
- 26 members:
 - 18 appointed members
 - Staggered 12-year terms, rarely renewed
 - Appointed by Governor, must be confirmed by state Senate
 - 8 *ex officio* members: Governor, Lieutenant Governor, Speaker of Assembly, Superintendent of Public Instruction, 2 Alumni officers, Student (appointed by Regents), President of University
- Broad responsibility, because of constitutional autonomy
- Meet 6 times per year, 3 days at a time
- Committee meetings, with actions brought to full Board

DIVISION OF RESPONSIBILITY: REGENTS

- Overall corporate responsibility for the university
- Approval of
 - State budget request
 - Major policies
 - Larger facilities projects
 - President's recommendations for senior officers
 - Major initiatives
 - Salaries for officers, highest campus leaders, and highest-paid faculty (typically medical)
 - New campuses (including site selection) and major new programs
- Search for, and appointment of, the President

DIVISION OF RESPONSIBILITY: PRESIDENT

- Overall administrative oversight of the university
- Preparation of the state budget request for consideration and approval by Regents
- State government relations (one voice)
- Coordination of policy development
- Approval of salaries of campus administrators
- Oversight of the UC-managed national laboratories
- Selection and recommendation of Chancellors and other senior officers
- Oversight of Treasurer, legal services and audit (joint with Regents)
- Union negotiations
- Retirement System and other employee benefits
- Media relations affecting the entire university

DIVISION OF RESPONSIBILITY: CAMPUS ADMINISTRATION

- Definition of academic program areas (shared governance)
- Private fund-raising and alumni relations; support for Deans
- Generation and oversight of non-state portions of the campus budget
- Allocation of budget to units
- Administration of facilities
- Faculty advancement and promotion (shared governance)
- Community relations
- Planning

DIVISION OF RESPONSIBILITY: CAMPUS ADMINISTRATION (continued)

- Student services
- Media relations
- Oversight of research; coordination and approval of research proposals
- Appointment of deans and department chairs
- Coordination of reviews of academic programs and organized research (shared governance)
- Interactions with agencies of federal government
- Allocation of space among campus units

SHARED GOVERNANCE:

PARTICIPATION OF THE FACULTY WITH THE
ADMINISTRATION IN GOVERNANCE

WHY HAVE SHARED GOVERNANCE?

- Faculty are the source of specialized knowledge and creativity. Use those abilities.
- Inclusion of faculty in governance enhances faculty allegiance to the university.
- Involving more minds systematically makes for better decisions.
- With shared governance, serious breaks between the administration and the faculty are much less likely.

DEVELOPMENT OF SHARED GOVERNANCE AT UC

- Academic Senate existed from the start, but without an independent governance role
- “Wheeler” revolution of 1919 – a reaction to a strong, authoritative president
- Regents, with the tacit assent of the new president, in 1920 gave the Senate
 - self-determination of structure
 - directly delegated responsibilities, and
 - expectation of consultation on other matters

ACADEMIC SENATE DESIGNATED RESPONSIBILITIES*

- Right of self-organization, including membership
- Set the conditions for admissions of students.
- Approve courses and degree requirements.
- Advise on all “appointments, promotions, demotions, and dismissals” of professors, and on the appointment of deans.
- Advise the president regarding “changes in the educational policy of the university.”
- Advise the President regarding budget issues.

* See Standing Order of the UC Regents: <http://www.universityofcalifornia.edu/regents/bylaws/so1051.html>;
Academic Senate Bylaws and Regulations: <http://www.universityofcalifornia.edu/regents/bylaws/so1051.html>

ACADEMIC SENATE: STRUCTURE

- All faculty eligible for tenure are members, plus some others.
- University-wide:
 - Academic Assembly (legislative)
 - Academic Council (executive)
 - Chair and Vice (incoming) Chair -- sit and participate fully with Regents
 - Committees
- Campus Divisions:
 - Division Councils
 - Chair and Vice (incoming) Chair
 - Committees
 - Meetings of Division membership

COMMITTEES OF THE ACADEMIC COUNCIL

Academic Council	Education Policy
Agriculture & Natural Resources	Faculty Welfare
National Laboratory Issues	Investment and Retirement
Academic Freedom	Future of UC Health Care Plans
Academic Personnel	International Education
Affirmative Action and Diversity	Inter-segmental Academic Senates
Online Instruction	Library and Scholarly Communication
Admissions & Relations with Schools	Planning and Budget
Committees	Preparatory Education
Computing & Communications	Privilege and Tenure
Graduate Affairs	Research Policy
Doctoral Education Conference Steering	Rules & Jurisdiction
Editorial	

BERKELEY CAMPUS SENATE COMMITTEES

Academic Freedom	International Education
Academic Planning and Resource Allocation	Library
Admissions, Enrollment, & Preparatory Education	Memorial Resolutions
American Cultures Breadth Requirement	Ombudsperson for Faculty
Assembly Representation	Panel of Counselors
Budget and Interdepartmental Relations	Privilege & Tenure
Committees	Prizes
Computing and Communications	Research
Courses of Instruction	Rules and Elections
Demonstrations and Student Actions	Senate Athletics Council
Divisional Council	Status of Women & Ethnic Minorities
Educational Policy	Student Affairs
Faculty Awards	Student Diversity and Academic Development
Faculty REP to the ASUC	Teaching
Faculty Research Lecture	Undergraduate Scholarships, Honors & Financial Aid
Faculty Welfare	University-Emeriti Relations
Graduate Council	

SENATE ROLES



- Direct Authority
 - Courses, curricula, conditions for admission, self-organization
- Shared Authority (Primary influence, but administration actually decides)
 - Academic advancement, program review
- Soft Power
 - The right to be consulted, but not to decide, on other major issues

THE SPEED OF THE PROCESS

- The path to a decision can be long.
- Joint Administration-Senate task forces can be created for fast-moving issues and/or for joint deliberations.

ACADEMIC PROMOTIONS AND ADVANCEMENT

- Salary advances are obtained by review and advancement from step to step within the professorial ranks.
- Reviews occur every 2 to 4 years, and must occur in the 5th year.
- The review process is primarily the responsibility of the Academic Senate.

THE ADVANCEMENT REVIEW PROCESS

- Candidate assembles file : teaching, research, service
- *Department seeks outside letters of evaluation
- *Department analyzes and votes
- Chair prepares analysis and recommendation
- Dean reviews and comments
- *Ad-hoc committee reviews and provides report
- Senate Committee on Academic Personnel reviews and recommends
- Associate Provost/Provost/Chancellor decides, almost always accepting the Senate advice

* - only for certain reviews

ACADEMIC PROGRAM REVIEWS

- All departments and ORUs; 8-year intervals
- Senate and administration select committee composed of UCB faculty members
- Department prepares self-review
- Committee obtains advice from external reviewers
- Report of review committee is reviewed by Senate committees

GENERAL WORKING METHODOLOGY

- Committees feed into Academic Council or Division Council, who then recommend to administration, typically via memo.
- Monthly meetings of Academic or Division Council with top administration
- Working meetings of Council leaders with Provost and President/Chancellor

TWO EXAMPLES OF SHARED GOVERNANCE IN ACTION

- Closure of School of Library School and Creation of School of Information, Berkeley, 1991-95
- Reorganization of Biological Sciences, Berkeley, 1978-90

CREATION OF SCHOOL OF INFORMATION (1992-96)

Substance:

- Disestablishing School of Library and Information Studies
- Establishing School of Information Management and Systems
– now School of Information

Drivers:

- Rapid onset of information technology and its impacts on society
- Negative evaluations of existing School

CREATION OF SCHOOL OF INFORMATION (1992-96)

Difficulties:

- Large block of librarians in California
- Faculty resistance within School
- Budgetary Stringency
- What to do with faculty who do not fit

CREATION OF SCHOOL OF INFORMATION (1992-96)

Process:

- Scheduled review
- Delay of Dean Search; seek plan from School
- Review of plan by special committee
- Refer to Academic Planning Council (joint Administration-Senate)
- Committee to define a new School
- Review and adoption of proposal
- Approval of closure and new school by the Regents

CREATION OF SCHOOL OF INFORMATION (1992-96)

Significant Features:

- Heavy reliance on established process
- Positive roles of Academic Senate
- Defining committee as a final, rather than initial, step
- Dealing with budgetary constraints
- Relative permanency of a new School, as opposed to other, more tentative structures

REORGANIZATION OF BIOLOGICAL SCIENCES (1978-1990)

Substance:

Restructuring 20 biology departments into four, changing organizing mode from species to scale.

Driver:

Rapid advances in understanding and experimental techniques

REORGANIZATION OF BIOLOGICAL SCIENCES (1978-1990)

Difficulties:

- Entrenched interest of departments
- Suspicions that molecular biologists were “taking over”
- Influence of concerned faculty members and departments on Academic Senate
- What to do with faculty who do not fit

REORGANIZATION OF BIOLOGICAL SCIENCES (1978-1990)

Process:

- External reviewers identified slippage in rankings, associated with new, molecular methods
- Faculty administrative committee to define needs and consider new facilities
- Chancellor’s Advisory Council on Biology
- Senate informed and could initiate questions when it so desired

REORGANIZATION OF BIOLOGICAL SCIENCES (1978-1990)

Significant Features:

- New facilities were needed and were used as a lure
- Chancellor's Advisory Committee on Biology
- College of Letters and Science first; then College of Natural Resources
- Different uses of Academic Senate for the two Colleges

COMPARISON OF PROGRAM-REVIEW CASES

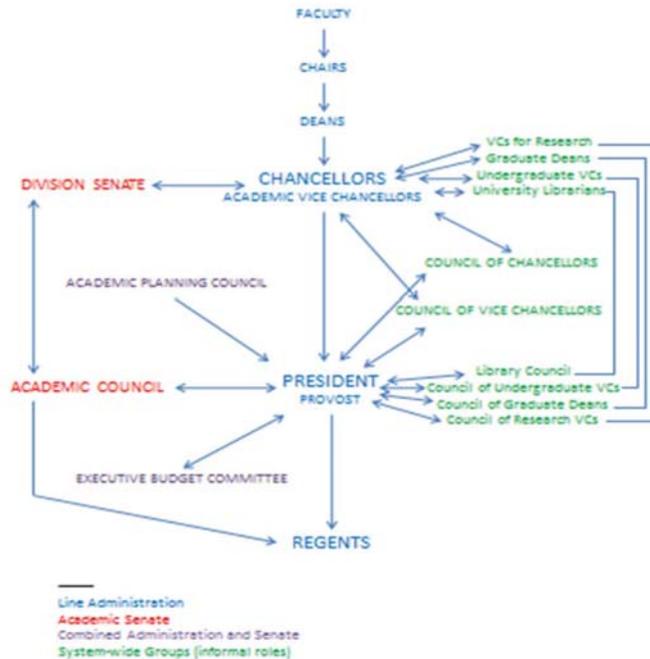
Common Features:

- Changes in the intellectual world; adapting to needs and opportunities
- New organizations of knowledge
- Coping with status quo interests of existing faculty

Contrasting Features:

- Ways in which interactions with the Academic Senate occurred
- Where the intellectual leadership came from and why

UNIVERSITY OF CALIFORNIA ACADEMIC GOVERNANCE



CLOSING THOUGHTS

- There is an art to working effectively with shared governance.
- Skilled leaders can adjust their uses of shared governance to be most effective for the situation at hand.