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Chair of the Assembly of the Academic Senate  
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University of California  
1111 Franklin Street, 12th Floor  
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August 25, 2015

**PRESIDENT JANET NAPOLITANO  
UNIVERSITY OF CALIFORNIA**

**Re: Senate Consultation and Shared Governance**

Dear Janet:

The Academic Council has reviewed a statement from the University Committee on Planning and Budget (UCPB) expressing the committee's dismay that it has "rarely been consulted during this past academic year (14/15) on any policy concerned with the UC Budget." We forward this statement from UCPB, and join the committee in expressing our own concerns on the subject of shared governance.

This past year has been an extremely challenging one for our University, and we greatly appreciate your leadership in helping to steer us through it. We also fully recognize that state agencies have increasingly placed extraordinary pressures on the normal lines of communication between the administration and the Senate. But in our view the current unfavorable climate for our University calls on us to work together even more closely than before. To help improve communication and strengthen the great tradition of shared governance at UC, we wish to highlight four notable instances from this past year in which we believe that the Senate was insufficiently consulted on issues where its advice would have made a positive difference.

*Presidential Initiatives*

UCOP launched Presidential Initiatives on Food, Global Impact, and Sustainability without meaningfully consulting the Senate on either their scope or their implementation. This lack of consultation was seriously counterproductive for two reasons. First, these initiatives depend on the faculty to see them to fruition, and faculty are far more inclined to join an initiative they have helped to shape than one that comes to them fully formed already. Second, many of our faculty are internationally renowned experts on the subjects of the initiatives, and the Senate could have gathered the advice of these experts on the feasibility of the initiatives, their impact on other University programs, and their best chances for success.

*Programmatic Initiatives*

Negotiations between the governor and the administration resulted in several programmatic initiatives whose primary aims were to reduce the time to degree and to simplify transfer from

community colleges. While the Senate supports most of these initiatives, we were not consulted about them, but rather asked to implement them. The Senate has a better understanding of barriers to student success than does the Governor's office, and may have been able to suggest programmatic initiatives that would be more effective.

### *Rand Health Report*

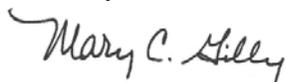
The June 2015 Rand Health Report on "Governing the University of California Health System" has far-reaching implications for UC academic centers and for the university at large, yet it was commissioned and conducted with no Senate input, and it was presented to the Regents in July 2015 without first being circulated to any Senate committee. As scholars, we are of course strongly committed to ensuring that every program in the University undergoes careful and regular review. But, given that the current administrative structure of the UC health system has been in place for many decades, we do not understand how the governance of that system could have been thought to be in such crisis that there was no time to consult the Senate about it. One regrettable effect of such unnecessary haste was to create the impression that the Senate was being purposefully circumvented.

### *UC Retirement Plan*

Our August 6, 2015 letter to you has already conveyed our deep concerns about the drastically lowered cap on the Defined Benefit portion of UC pensions for employees hired after July 1, 2016; we appreciate that the letter was shared with the Retirement Options Task Force at its first meeting. We point out here that the decision to impose so consequential a change to the Defined Benefit plan was reached without any Senate consultation. This omission stands in stark contrast to the two-year period of consultation and analysis that led to the development of the 2013 UCRP tier.

In conclusion, we share with UCPB the hope that the lack of consultation with the Senate we have documented here was the unforeseeable result of difficult negotiations with the State government this past year. To help us jointly confront the challenges ahead for our University, we invite you to meet with the incoming Academic Council in a special session to discuss the urgent question of how shared governance might be strengthened in the coming year. In particular, we look forward to working with you on improving communication between UCOP and the Senate and on devising better methods for responding to timelines that are external to UC.

Sincerely,



Mary Gilly, Chair  
Academic Council

Encl. UCPB Letter on Budget Consultation during 2014-15

Cc: Executive Vice President and Chief Financial Officer Brostrom  
Executive Vice President and Chief Operating Officer Nava  
Associate Vice President Obley  
Chief of Staff Grossman  
Academic Council  
Executive Director Baxter  
Senate Executive Directors



UNIVERSITY COMMITTEE ON PLANNING AND BUDGET (UCPB)  
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August 11, 2015

**MARY GILLY, CHAIR  
ACADEMIC COUNCIL**

**RE: Budget Consultation during 2014-15**

Dear Mary,

UCPB wishes to convey to Academic Council our concern and dismay that we have rarely been consulted during this past academic year (14/15) on any policy concerned with the UC Budget. We have received reports on decisions already made, but, with rare exceptions, have been unable to have any advisory influence, and this is a matter of great concern to UCPB.

A number of important policy decisions have been made during this past year, beginning with the November budget that was presented and approved by the Board of Regents, and continuing with agreements with the governor and the State government during the recent budget negotiations. These decisions have significant academic and monetary impacts on the university and on the university faculty, but have been made without any input from UCPB or other faculty Senate committees so far as we are aware. In particular, the November budget was *actively withheld* from UCPB until the day before it was presented to the Regents. The change in UCRP was agreed via the Committee of Two without any communication with UCPB, and the same is true of the additional conditions that were imposed upon UC via the budget negotiations. Finally, the negotiated agreement with the legislature that UC should increase resident undergraduate enrollment by 5000 students in return for \$25M is an issue that is of great concern to UCPB.

There are other issues that UCPB has continuously identified as critical, such as the total remuneration problem, and the need for an enrollment management policy (to complete rebenching), without any obvious actions, or even proposed plans. Even for the 3% salary increment, where we (and other Senate committees) had very strong recommendations, the actions were quite different and the rationale was not explained or discussed either ahead of time or after the fact. We understand that administrative actions are not subject to negotiation and that our role is strictly advisory, but it still appears to us as though the spirit of "shared governance" is nowhere near as active as it should be.

UCPB has, in the past, been an important source of knowledgeable advice to the University administration. This year, some of our most important UC consultants have been available only on rare occasions, and this has made it very difficult for UCPB to contribute to academic planning and budget considerations. It is our hope that this is a one-year consequence of the difficult budget negotiations with the State. It is decidedly not in the interests of the university to marginalize the role that UCPB plays in the future, and we are open

to changes in both our operating style and schedule that could facilitate a greater degree of active consultation.

Sincerely,

L. Gary Leal, Chair  
UCPB

cc: UCPB  
Hilary Baxter, Executive Director, Systemwide Academic Senate