

UNIVERSITY POLICY COMMITTEES CHARTER

BACKGROUND

In the report of the "Faculty Task Force on Governance" (May 23, 1994) JOINT UNIVERSITY COMMITTEES (hereinafter referred to as University Policy Committees or UPCs) were discussed as a means of assuring collaboration in University policy. At a retreat in June between the Administration and the Task Force, issues surfaced regarding responsibility and respective competencies, relations to other University decision structures, and relations to other University stakeholders. A follow-up committee composed of Paul Locatelli, Steve Privett, Don Dodson, Ruth Davis, David Skinner, and André Delbecq was formed to clarify the character of UPCs and the many specifics that remained to be resolved. As of the first of January 1995, the group was expanded by inviting Bob Senkewicz and Tim O'Keefe of the experimental University Coordinating Committee (UCC), and Kathy Ferguson, chair of the Staff Personnel Committee, to join in the discussion. This charter was initially formed from weekly meetings during the winter and spring quarters 1995. It was revised in June 2003, to reflect changes in the governance system (such as the creation of the position of Provost) since it was first developed. This revision was suggested by Ruth Davis, then UCC chair, but not approved at the time. During its 2007-08 term, the UCC, chaired by Dan Ostrov, worked with all the UPCs to update the 2003 revision. The UCC approved this updated version in the spring of 2008.

CONTEXT AND AIM OF THIS REPORT

Key parameter concerns were to achieve a UPC formulation that would not create another layer of bureaucracy or impede timely decision making or innovation, but would be guided by principles of good practices in governance, would recognize legitimate differentiation of spheres of responsibility and competence, and would ensure collaboration.

To emphasize the policy responsibilities of these bodies, their name was changed from Joint University Committees to UNIVERSITY POLICY COMMITTEES.

The nine principles of good practices in governance that were outlined at the retreat in June and subsequently nuanced by the Faculty Senate leadership, will guide the formation or improvement of current University committees and the development of governance structures. These principles will also be used to measure the effectiveness and productivity of the UPCs. A formal review process of the UPCs will be developed.

The normative principles for good practices in governance that will serve as guides for developing structures and processes and for making decisions are

1. Strengthen academic excellence and the Catholic and Jesuit identity of the University in a mutually reinforcing way.
2. Ensure that the *Statement of Purpose* guides policy development, decision making, and

priority setting.

3. Exercise collaboration based on the recognition that Santa Clara University can flourish only if there is a healthy sense of community in which all members have a role in working for the common good.
4. Recognize the domains of primary authority and responsibility of the various University components and expect participants in the process to be held accountable for carrying out their responsibilities.
5. By means of clear and appropriate communication be open, accessible, and understandable to members of the University community.
6. Be efficient, effective, and productive.
7. Foster innovation and change.
8. Strive for continuous improvement and a culture of active participation.
9. Ensure timely and effective response to the changing external environment.

UNIVERSITY POLICY COMMITTEES

The UPCs will be the final collaborative bodies with the authority to:

- Formulate and recommend new University policy and major strategic change
- Review significant change in existing policy

UPCs will be established in the following areas, which do not necessarily correspond with existing committee structures:

ACADEMIC AFFAIRS
FACULTY AFFAIRS
PLANNING ACTION COUNCIL (formerly University Planning Council December 2007)
STAFF AFFAIRS
STUDENT AFFAIRS
UNIVERSITY BUDGET COUNCIL (Budget Advisory Committee - dissolved May 2004)

POLICY FOCUS

UPCs will recommend and monitor the effectiveness of major policies and major strategic initiatives. Examples of issues would include

- Policies relating to contractual obligations of faculty
- Substantive changes in departments, centers and overall structures
- Substantive changes in financial allocations
- Processes for evaluation of faculty, staff and administrators

Prudential judgment about what is substantive is dependent on the majority opinion of the

relevant UPC or the University Coordinating Committee.

ROLE OF UNIVERSITY POLICY COMMITTEES

UPCs are, therefore, the final locus of dialogue in collaborative policy formulation prior to approval by University administration and, in the case of contractual changes to the Faculty Handbook, by the Faculty Senate. Each UPC will meet as often as necessary to carry out its charge, but at least twice each year. It is expected that faculty, staff, students, and administrators will work closely to resolve differences and that the normal outcome of UPC deliberations will be the approval of their recommendation by the appropriate administrator. The administrator is expected to provide a response to the recommendation within 45 days, and before a policy goes into effect.

In rare instances where a UPC and appropriate administrator are unable to reach agreement, even after further discussion following the administrator's response, the UPC may submit its position document to the President or through the President to a Trustee Committee for consideration.

Trustees hold the ultimate legal and moral responsibility and authority for the University, and therefore, must ultimately determine and approve University policies and major strategic changes.

SOURCES OF POLICY INITIATIVES BY UPCs

Policy concerns could be initiated bottom up from individual constituents within the University community, top down from UPCs or administration, or laterally from committees and councils of the University community. UPCs will decide whether an issue falls within their domain.

In instances where there is dispute or lack of clarity regarding which UPC is the appropriate policy body, the University Coordinating Committee will make a domain decision (which could involve forming a special purpose University policy task force).

COMPOSITION OF UNIVERSITY POLICY COMMITTEES

BACKGROUND LOGIC

There are two classical approaches to composition of policy making bodies: a *representational* approach with maximum feasible participation, or a *competency-based* approach with smaller, efficient problem-solving groups.

We have selected the *competency-based* approach in light of several weaknesses of large representative committees: the glacial slowness of such decision structures, their tendency to increase political behavior as opposed to problem-solving behavior, and the excessive costs in time and energy of a large number of people in a relatively small university having to be extensively involved in the multiple UPCs.

The competency- based model for UPCs has a typical size of five to nine members (normatively the optimal size in the theoretical literature for effective problem solving), and has several features that ensures that the decision making will reflect rich input from relevant stakeholders:

- Careful attention to the composition of each UPC so that appropriate domains of legitimate responsibility are recognized and competencies of members match the policy concerns of the specific UPC, both in general and relative to the agenda of a UPC during a particular year.
- Staggered terms to allow for some continuity of membership to ensure efficient processes.
- Decision sequence norms that ensure that stakeholders have an opportunity to review major policy decisions at three critical points: the definition of problems, the formulation of tentative solutions, and a review of the final recommendations.
- Identification of specific second-level resource individuals with whom a UPC will consult relative to major agenda items.

CONSEQUENT COMPOSITION

The membership of each UPC will be defined according to its charge and the expertise and perspectives required for it to function effectively. The University Coordinating Committee is responsible (jointly with the President in the case of the Planning Action Council) for appointing competent members to each UPC. The UCC will seek information from constituent groups and administrators involved in making the appointments, and will need to develop an "interest/expertise" database to allow for efficient selection (or replacement) of members. The UCC may remove any of its appointed UPC members if warranted. For example, a member with three consecutive unexcused absences from their UPC meetings would generally warrant removal.

The administrator who regularly receives a policy recommendation from a UPC will serve on

the Committee or appoint a designate. The administrator will be available also for consultation and collaboration with the committee as necessary throughout their deliberations.

Each UPC will have a clearly defined second level of consultants representing those whose perspectives, information resources, and concerns are likely to be needed in committee deliberations (for example, University Librarian, Associated Student Government (ASG) President, Director of Information Technology, department chairs, program and center directors, Faculty Senate/Staff Assembly Council members, etc.). In the case of major policy matters each UPC will be responsible for publicly defining additional second level advisors with whom they will consult in the process of their deliberations.

This does not preclude any constituent group from requesting that a UPC provide them an opportunity to share information or to discuss a policy initiative under consideration by a UPC.

UPCs will have different compositions to reflect the legitimate differentiation of spheres of responsibility and principles of good practices in governance, and to ensure timely decision making and innovation.

COMMUNICATION WITH CAMPUS COMMUNITY

In the case of major policy matters, each UPC will be responsible for publicly defining processes by which they will obtain review comments from key stakeholders at critical decision points (problem definition, solution elements, final recommendation) in their deliberations.

Since there are numerous points from which new policies may be initiated, UPCs would have a special responsibility to ensure sufficient communication with the University community by

1. Publishing agenda prior to UPC meetings,
2. Briefing other key decision makers and constituent groups,
3. Soliciting input from the University community, and
4. Systematically reporting its actions to the University community.

The agenda visibility fostered by this model provides an opportunity for constituency groups, such as the Faculty Senate Council and the Staff Assembly Council, to make their views known at any of the critical decision points mentioned above.

UNIVERSITY COORDINATING COMMITTEE

A. PURPOSE

The purpose of the University Coordinating Committee (UCC) is to make governance more efficient, effective, and responsive.

B. CHARGE

The University Coordinating Committee's charge is twofold:

1. To coordinate the work of the University Policy Committees and
 - a. to develop and maintain information on faculty and staff regarding their expressions of experience, expertise, interest, and sensitivities on the range of issues considered by the various UPCs.
 - b. to appoint members of the UPCs on the basis of (i) the information so collected and maintained and (ii) continuing consultation with all segments of the campus, especially with the Faculty Senate Council, the Staff Senate Council, the ASG, and the various graduate student associations.
 - c. to be aware of the work of the various UPCs, and to ensure that the communication between the UPCs and the University community is regular and systematic.
 - d. to assess the issues that may be brought to its attention by any member of the campus community and to assign important policy issues to an appropriate UPC or to a joint task force bridging more than one UPC.
2. To guarantee appropriate consultation and efficiency in the overall process of university governance and
 - a. to maintain regular and systematic contact with the Faculty Senate Council, the Staff Senate Council, the ASG, and the various graduate student associations, and, based on the input received from these bodies, to allocate to the respective UPCs various initiatives, proposals, concerns, etc. not already under active consideration by a UPC.
 - b. to ensure that effective communication between the UPCs and the University community systematically occurs at the critical decision points of the definition of the problem, the formulation of tentative solutions, and the review of final recommendations.
 - c. to establish needed ad hoc committees and/or task forces, and to establish

specific terms for the completion of the work of these bodies.

- d. to appoint members to major University committees in addition to the UPCs, monitor their effectiveness, and dissolve those no longer needed.
- e. to receive and preserve annual summary reports of the activities of UPCs and other University committees.

C. MEMBERSHIP

The University Coordinating Committee is composed of the President of the Faculty Senate, the Provost, the President of the Staff Senate, the past President of the Staff Senate, the Associated Student Government President, and two members of the faculty (tenured or Senior Lecturer), elected at large by the entire faculty and staff to staggered two-year terms. The chair of the UCC shall be the tenured faculty member or Senior Lecturer in their 2nd year of service and the chair-elect shall be the tenured faculty member or Senior Lecturer elected in their 1st year, who will become the chair in their 2nd year.

UCC Membership Amendment approved July 2020.
UCC Membership Amendment approved May 2022.

ACADEMIC AFFAIRS COMMITTEE

A. PURPOSE

The Academic Affairs Committee (AAC) works with the Provost to improve teaching and learning and the quality of academic programs. In that capacity, it serves as the final locus of dialogue in the formulation of University policies, procedures, and guidelines that relate to academic affairs.

The Academic Affairs Committee makes its recommendations to the Provost, the senior administrator overseeing academic affairs.

B. CHARGE

1. Promote continued improvement of academic programs and of teaching, learning, scholarship or artistic expression, and service within the University and/or the community at large.
2. Review and evaluate proposals for new academic programs to ensure their academic rigor and contribution to goals and mission of Santa Clara as a Catholic and Jesuit university.
3. Review and evaluate proposals for substantive restructuring of academic programs or departments within the University.
4. Review and evaluate proposals for substantive changes in the academic calendar.
5. Review and evaluate the work of those committees charged with specific responsibilities for various aspects of the University's academic affairs, for example, student advising, academic integrity, assessment, etc.
6. Ensure appropriate consultation with students, faculty, and staff in the Committee's deliberations.

C. MEMBERSHIP

Faculty members for the Academic Affairs Committee shall be selected from tenured members of the faculty and senior lecturers. The size of the committee should not exceed nine members, and shall include one undergraduate student. The UCC shall appoint the faculty members of the Academic Affairs Committee. Membership should be broadly constituted to adequately represent a wide spectrum of viewpoints, for example, disciplinary divisions within the University, an emphasis on both teaching and scholarship, the University's graduate and undergraduate character, the Catholic and Jesuit tradition, the core curriculum, and any other

perspectives, experiences, or expertise that may enrich the Committee's deliberations.

The Provost will serve on the Academic Affairs Committee or appoint a designate to serve on that Committee. The Provost will also be available for consultation and collaboration with the Committee as necessary throughout their deliberations. The Undergraduate Core Curriculum Director will also serve on the Academic Affairs Committee.

The Committee's second level of consultants includes, but is not limited to, the University Librarian, the Chief Information Officer, the Director of Media Services, the Dean of Enrollment Management, and the Registrar.

Faculty members of the Committee shall serve staggered three-year terms, renewable once. Student terms will be determined by the appropriate body but are normally one year, renewable once.

FACULTY AFFAIRS COMMITTEE

A. PURPOSE

The Faculty Affairs Committee (FAC) works with the Provost to promote the professional development of faculty. In this capacity it serves as the final locus of dialogue in the formulation of University programs, policies, and procedures pertaining to the responsibilities and compensation of the faculty.

The Faculty Affairs Committee makes its recommendations to the Provost, the senior administrator overseeing faculty affairs.

B. CHARGE

1. Initiate and/or review proposals, University initiatives, and programs for faculty development.
2. Review and evaluate proposals on compensation/benefits so that they promote faculty achievement and reflect sound personnel practice.
3. Promote adequate support for faculty teaching, advising, scholarship, creative work, and service.
4. Review and recommend policies governing sabbaticals.
5. Ensure that guidelines and criteria for recruitment and hiring of faculty, and for promotion and tenure advance the mission and goals of the University.
6. Ensure the fairness and efficiency of University appellate and judicial procedures for faculty.
7. Oversee faculty committees charged with responsibility for policies, procedures, programs, or issues pertaining to the responsibilities or compensation of faculty.
8. Collaborate with the Staff Affairs Committee on issues, policies, guidelines, and programs that affect all University personnel.

C. MEMBERSHIP

The Faculty Affairs Committee shall be selected from tenured members of the faculty and senior lecturers. The size of the committee should not exceed nine members. The UCC shall appoint the members of the Faculty Affairs Committee. Membership should be broadly constituted to adequately represent a wide spectrum of perspectives, for example, disciplinary divisions within the University, an emphasis on teaching, scholarship and creative works, the University's graduate and undergraduate character, the Catholic and Jesuit tradition, and other perspectives, experiences, or expertise that may assist the Committee in its deliberations.

The Provost will serve on the Faculty Affairs Committee or appoint a designate to serve on that Committee to provide an administrative perspective. The Provost will also be available for consultation and collaboration with the committee as necessary throughout their deliberations.

Committee members shall serve staggered three-year terms, renewable once.

PLANNING ACTION COUNCIL

A. PURPOSE

The general purpose of the Planning Action Council is to promote, coordinate, and oversee planning at the University level. It will attempt to link the University's programs and services with its mission, markets, and resources. In meeting the challenges of external as well as the internal environment, it will strive to display and foster strategic thinking, timely action, effective implementation, and adequate communication.

The Planning Action Council makes its recommendations to the President, the senior administrator overseeing planning at the University level.

B. CHARGE

The Planning Action Council will

1. Oversee the development and revision of the University's Strategic Plan and work to advance its initiatives.
2. Oversee and monitor the plans of major academic and administrative units to implement the University Strategic Plan.
3. Coordinate the work of other groups involved in planning and integrate their products into a coherent set of action plans.
4. Identify strategic issues and options through ongoing analysis of the University's internal strengths and weaknesses in relation to its external opportunities and threats.
5. Prepare and periodically update planning assumptions to guide planning.
6. Ascertain the need for outside planning expertise and retain consultants as appropriate.
7. Promote continuous assessment and benchmarking of planning efforts.
8. Ensure adequate communication about planning issues and processes with the University community.

C. MEMBERSHIP

The Planning Action Council will be chaired by the President and include the President's Cabinet, the president of the Associated Student Government, directors of the Centers of Distinction, the academic deans, the dean of the University Library, and six members selected

by the President and the University Coordinating Committee. These additional members will be selected for their relevant expertise, creativity, and University perspective, at least one will come from the Leavey School of Business, at least one from the School of Engineering, and at least one from the College of Arts and Sciences. They will serve staggered three-year terms, renewable once.

PAC Membership Amendment approved March 2023.

STAFF AFFAIRS COMMITTEE

A. PURPOSE

The Staff Affairs Committee works to promote staff development and improve the quality of service and support provided. In this capacity, it serves as the final locus of dialogue in the formulation, review, and recommendation of policies and initiatives pertaining to the responsibilities, rights, and compensation of non-union staff members.

The Staff Affairs Committee makes its recommendations to the senior administrator overseeing Human Resources.

B. CHARGE

1. Initiate, review, and/or recommend policies affecting the rights and responsibilities of all non-union staff.
2. Initiate, review, and/or recommend proposals, University initiatives, and programs for staff development.
3. Review and evaluate proposals on compensation/benefits to ensure that they promote staff achievement and reflect sound personnel practice.
4. Review and recommend changes to the salary grade classification system.
5. Initiate, review and recommend changes to the Staff Policy Manual.
6. Collaborate with the Faculty Affairs Committee on issues, policies, guidelines, and programs that affect all University personnel.
7. Ensure the appropriate consultation with staff, faculty, and students in the Committee's deliberations.
8. Monitor and invite feedback on the effectiveness of staff policies and strategic initiatives.

C. MEMBERSHIP

No more than nine staff serve as members on the committee. Seven are appointed by the UCC. Ex officio members include the Assistant Vice President for Human Resources, or the acting head of Human Resources, and an elected member from the Staff Senate who serves a one-year term.

Members are appointed by the UCC to serve staggered three-year terms, renewable once.

Staff serving on the Committee represent the collective non-union staff rather than a particular

constituency or themselves personally.

Staff are chosen on the basis of merit, as determined by the UCC.

STUDENT AFFAIRS COMMITTEE

A. PURPOSE

The Student Affairs Committee will contribute to the improvement of student learning and the quality of the Santa Clara educational experience as related to co-curricular programs and student support services. The Committee will help monitor the effectiveness of, and serve as the final locus of, dialogue in the formulation and recommendation of major policies and program initiatives that affect student life and that contribute to the satisfaction and success of Santa Clara students.

The Student Affairs Committee makes its recommendations through the Vice Provost to the Provost, the senior administrator overseeing student affairs.

B. CHARGE

1. Promote continued improvement of co-curricular programs, student support services, and other aspects of integrated learning.
2. Review, evaluate, and improve policies and programs related to student life to ensure their consistency with, and contribution to, the mission and goals of Santa Clara as a Catholic and Jesuit university.
3. Review and evaluate proposals for substantive changes in programs or departments that affect student life.
4. Ensure that the University regularly reviews and assesses the quality and effectiveness of services to students.
5. Ensure appropriate consultation with students, faculty, and staff in the Committee's deliberations.
6. Advise the Provost on issues identified by either the Provost or the Committee.

C. MEMBERSHIP

Students, faculty, and student development and other appropriate staff will serve on the committee. Recommended membership will consist of one graduate student and five undergraduates, including the ASG President and Senate Chair (or designee), the Director of the Multicultural Center, and two at-large representatives, appointed to one-year renewable terms. Membership will also include two faculty and two staff, appointed to three-year terms, renewable once, and the Vice Provost for Student Life as the Provost designee to the Committee.

UNIVERSITY BUDGET COUNCIL

A. PURPOSE

The purpose of the University Budget Council (UBC) is to develop the annual macro budget in the context of long-range financial planning.

The University Budget Council makes its recommendations to the Vice President for Finance and Administration, the senior administrator overseeing the development of the University's annual operating and capital budgets.

B. CHARGE

The charge of the University Budget Council is to:

1. Prepare the annual macro budget for approval by the President prior to final approval by the Board of Trustees.
2. Ensure that the annual budget represents all major revenues and expenditures, is balanced, and is consistent with long-range financial projections based on careful analysis of program, enrollment, market, compensation, and other relevant trends.
3. Prepare and periodically update assumptions to guide financial planning.
4. Review and refine financial projections and planning scenarios developed by the Budget Office.
5. Ensure that adequate communication about budgetary issues and procedures occurs within the University community.

C. MEMBERSHIP

The University Budget Council reports to the President and is chaired by the Vice President for Finance and Administration. It includes the Provost, the University Relations Vice President, the Finance Associate Vice President, the Planning and Institutional Effectiveness Vice Provost, the University Budget Director, the Enrollment Management Vice President, the Faculty Senate President-Elect and the Staff Senate President-Elect. In addition, it includes one dean, one faculty member appointed to a three-year term, renewable once and one full-time staff member with at least two consecutive years of employment at SCU appointed to a three-year term, renewable once.

CHARTER AMENDMENT PROCESS

Any individual or group within the University community can propose an amendment to the *University Policy Committees Charter* (Charter).

A suggested amendment must be sent to the University Coordinating Committee (UCC), who will categorize it as described below. During the course of deliberating amendments, University Policy Committees (UPCs) and other relevant stakeholders should be consulted for feedback. Passage of the amendment requires the approval designated for each category.

Category 1: *Minor changes in wording.* Minor changes include:

- a. clerical changes and
- b. the addition of clarifying or descriptive text to keep the document consistent with the current University structure or practice (e.g., change in titles).

Such changes require the following approvals, and the University President will be informed of the change(s):

- UCC
- Each UPC affected by the change

Category 2: *Substantive changes.* Substantive changes include:

- a. changes to the charge of the UCC or individual UPCs and
- b. changes to the membership of the UCC or individual UPCs.

Such changes require the following approvals, with the suggested order as listed below:

- UCC
- Each UPC affected by the change
- Faculty Senate Council, if an affected UPC includes faculty
- Staff Senate, if an affected UPC includes staff
- ASG Student Senate, if an affected UPC includes students
- Senior administrator to whom the UPC reports
- University President

Category 3: *Fundamental changes.* Fundamental changes include:

- a. the addition or removal of a UPC,
- b. modifications to the purpose of the UCC or a UPC, and
- c. modifications to the following meta sections of the Charter:
 - i. University Policy Committees
 - ii. Composition of University Policy Committees.

Such changes require the following approvals, with the suggested order as listed below:

- UCC
- Each UPC affected by the change
- Faculty Senate, if an affected UPC includes faculty
- Staff Senate, if an affected UPC includes staff
- ASG Student Senate, if an affected UPC includes students
- Senior administrator to whom the UPC reports
- University President

The Board of Trustees will be notified of Category 3 changes.

In the case of a disagreement among those designated above over any proposed change, the UCC will attempt to reconcile any differences between the parties.

Some changes to the Charter would also require revisions of Section 2.9 of the Faculty Handbook. If the change involves an amendment to the Staff Policy Manual or the Student Handbook, this process should follow the amendment process as prescribed in the respective handbook/manual.

Charter Amendment Process approved June 2019.

Modification to Student Affairs UPC composition approved June 2, 2020.

UCC Membership Amendment approved July 2020.

UCC Membership Amendment approved May 2022.

PAC Membership Amendment approved March 2023.