

**UNIVERSITY OF CALIFORNIA**

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External Relations Workgroup

Final Report

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April 24, 2008

External Relations Workgroup  
Final Report

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## UC EXTERNAL RELATIONS WORKGROUP FINAL REPORT

In October 2007, as a part of the University's systemwide restructuring efforts, President Robert C. Dynes and Provost Wyatt R. Hume convened a workgroup to review the overall UC External Relations program. The workgroup consisted of Regents, campus and University of California Office of the President (UCOP) personnel.<sup>1</sup> The charge of the workgroup was to:

- *Define a comprehensive strategic vision for Universitywide external relations.*
- *Articulate a short and long-term strategic plan for a (comprehensive) external relations program across the University.*
- *Clarify and articulate the appropriate roles and relationships between UCOP and the campuses.*
- *Vet the plans with stakeholder groups inside and outside the University.*
- *Identify the highest priority redesign initiatives and a sequence for their completion.*

The field of External Relations has numerous names such as Advancement, Public Affairs, etc. For the purposes of this report, the term External Relations is used to encompass Governmental Relations, Communications, Alumni Relations and Development/Fund Raising.

Provost Hume requested that the UCOP State Governmental Relations (SGR) unit in Sacramento be the initial focus of the work group due to the imminent retirement of the Assistant Vice President – State Governmental Relations and the start of the next legislative session in January 2008. The External Relations Workgroup sent a report and recommendations regarding SGR to Provost Hume in January 2008 (See Appendix I).

### UNIVERSITY AFFAIRS

University Affairs (UA) is the unit in UCOP with the primary responsibility for the University's interface with external audiences of alumni, friends, the media, elected officials, donors as well as providing liaison with internal UC audiences of faculty, staff, students and administration. The mission of University Affairs is as follows:

“University Affairs seeks to build enduring public trust, support and understanding for the University, maintain UC's constitutional autonomy and academic freedom, and communicate UC's value to California and the nation.”

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<sup>1</sup> The working group's membership includes UCLA Assistant Vice Chancellor Keith Parker (Convener), Regent Eleanor Brewer (Advisor), Regent Ben Allen, UC Berkeley Vice Chancellor Scot Biddy, UC Riverside Associate Vice Chancellor Marcia McQuern, UC San Diego Associate Vice Chancellor Stacie Spector, UC Santa Barbara Executive Director and Assistant Vice chancellor George Thurlow, Regents Secretary and Chief of Staff Diane Griffiths, and UCOP Director Todd Greenspan with staff participation by Deputy to EVP Darling Jenny Kao, and Special Assistant to Provost Hume Jan Corlett.

The units in University Affairs are:

- State Government Relations
- Federal Government Relations
- Alumni Affairs and Protocol
- Institutional Advancement
- Strategic Communications
- Administrative and Financial Services

Each of the campuses has similar external relations functions. While the structure and reporting relationships may vary by campus, these units are positioned to work with students, faculty, staff, alumni, donors, elected officials, friends, key opinion leaders and the media.

The Workgroup spent a considerable amount of time examining governmental relations, alumni relations and communications issues to identify key challenges and areas of improvement. The resulting analysis and recommendations were vetted with colleagues at the UCOP and campus level and with critical stakeholders. The Appendices section contains more detailed reports on:

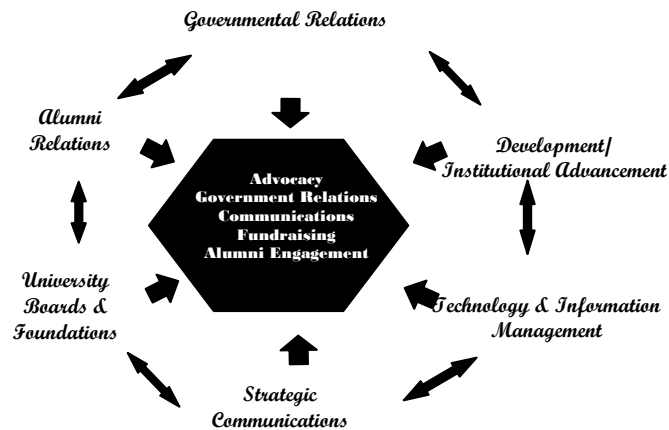
- State Government Relations
- Strategic Communications
- Alumni Relations

## **EXTERNAL RELATIONS STRATEGIC VISION**

The workgroup began its work in a time when UC is facing significant budget pressure and organization change. In this context, the University must build and maintain an integrated external relations organization at the Office of the President and campus level in order to effectively build support for UC in the short- and long-term. An integrated external relations organization is one that leverages the strengths and capabilities of external relations units across the disciplines of alumni relations, development, government relations and strategic communications. This type of integrated approach requires:

- Leadership at the UCOP and campus level
- Collaboration and communication on a consistent basis
- Division of labor based on prioritization of issues

The following chart illustrates how an effective External Relations Organization should operate at UCOP and the campus level. The core functions of External Relations (ER) are shown at the center of the chart. Each ER unit may take leadership on a particular core function, but the other ER units are also involved and make a contribution. This model seeks to leverage the strengths of the total External Relations organization rather than working in “silos.” For example, in taking the lead to promote alumni engagement, Alumni Relations will collaborate with Government Relations to encourage alumni participation in advocacy, with Development to encourage philanthropy, and with Communications on messaging to alumni. This level of synergy is critical at the campus level and must be supported and encouraged at the UCOP level. An integrated External Relations organization will be more effective at implementing the priorities set by The Regents, the President and the Chancellors for the UC system.



The level of involvement between UCOP and the campuses in regards to External Relations varies depending upon the core function. There is greater direct involvement and coordination in terms of government relations and communications with far more campus autonomy in the areas of alumni relations and fundraising. The Chief External Relations Officer in conjunction with the campus External Relations Vice Chancellors must take the leadership responsibility to build an integrated External Relations organization.

**Recommendation**

*The Work group recommends that UCOP and the campuses work toward building an integrated, collaborative External Relations organization that maximizes and leverages the benefits of partnership and respects the necessary autonomy needed for efficacy.*

**LEADERSHIP**

The key to the strategic vision proposed by the Workgroup is leadership. The Workgroup concluded that the University needed to retain a Chief External Relations Officer to provide leadership on behalf of the University with external audiences. The importance of this position within UC is comparable to that of the Chief Academic Officer and the Chief Administrative Officer in serving the President. The Chief Academic Officer must represent and advise the President on student and academic matters. The Chief Administrative Officer provides support related to the internal operation of UC. Likewise, there remains a need to represent and advise the President with regards to alumni, donors, elected officials, friends, key opinion leaders, major business and educational associations and the media. The Chief External Relations Officer must be “at the table” on the “front end” of decisions to ensure that the political, alumni or media aspect of decisions are fully considered.

The importance of the role of Chief External Relations Officer cannot be understated. It is an important responsibility that provides critical support and advice to the President. UC must retain this type of role at UCOP and the Chief External Relations Officer must provide

leadership and coordination with the campus External Relations Vice Chancellors to enable greater synergy between the UCOP and campus external relations units. It also provides an opportunity for the external relations concerns of the campuses to be represented at the highest levels of decision making.

**Recommendation**

***The Work group recommends that a Chief External Relations Officer function be retained at UCOP with the responsibility for coordinating with the campuses and supporting the President with regards to the University's external constituencies.***

**TRANSPARENCY**

One of the outcomes of the Executive Compensation issue was the need for the University to become more open and transparent in its actions. Transparency is a critical element of a successful Universitywide External Relations Program. If UC is going to build support with external audiences of donors, alumni, friends, elected officials and the media, then it is essential that there be a high degree of trust in the integrity of the institution. UC must be ethical, open and responsive to these constituencies. While transparency may have become an over used cliché in the past two years, it is vital for UC to function in a much more publicly visible and understandable fashion.

A recent example of where UC has been successfully transparent was the visits by UC leadership with key legislative leaders concerning the FY 2008-09 UC budget. By sharing the University's needs and priorities in advance of finalizing the UC budget, members had an opportunity to provide their perspectives and feedback to UC leadership. These meetings help to build and sustain support for UC in a tough budget climate. It is evident that UC is better served when the development and implementation of the overall UC budget strategy is a collaborative process that involves key stakeholders such as the Budget Office, State Government Relations, and Strategic Communications working closely together.

**Recommendation**

***The Work group recommends that in its role as a public trust, UC continue to be more transparent in its actions and communications of policies, significant exceptions to policies, challenges and accomplishments.***

**STATE GOVERNMENT RELATIONS**

There are basic principles to guide UC governmental relations organization and staffing. UC's governmental relations program should reflect the University's overall mission and its role in serving the people of California. UCOP State Governmental Relations (SGR) should serve as the primary interface with the Legislature with regards to budget and legislative policy matters in conjunction with the campus governmental relations units and UCOP budget office. The leadership's commitment at UCOP and on the campuses is essential to a successful governmental relations/advocacy program due to UC's economic impact on the state and its

reliance on the State of California for critical core funding. SGR and the campuses must maintain a productive and close relationship with the advocacy team that is based on a comprehensive short- and long-term strategy. SGR should function as a service center and clearinghouse for the campuses and for legislators and their staff. SGR should work to identify the legislative interests and priorities of each member to determine where UC has a mutual interest and can be supportive. SGR should continue to:

- Manage the process for developing and advocating formal University positions to the Administration and Legislature. This includes managing the existing legislative bill monitoring, analysis, coordination, and system-wide advocacy mobilization functions;
- Serve as the front-line responders to legislative and state agency requests for information and assistance with constituent issues; and
- Manage “hot” issues arising from the Legislature or Governor’s Office or other state agencies.

UC Day is related to the advocacy issues facing the system. UC Day began as the major alumni event for the University in the Capitol sponsored by the Alumni Associations of the University of California (AAUC). It provided an opportunity for alumni from throughout the system to meet with legislators on behalf of UC. In the ensuing years, and especially with the advent of term limits, UC Day has taken on a much greater legislative imperative. In trying to be all things to all parties, UC Day has often failed to meet both alumni and governmental relations expectations.

Currently, there are several major questions that need to be answered:

- What is the purpose of UC Day? Alumni engagement or advocacy?
- Who is the “owner” of UC Day? AAUC / Alumni Relations or SGR?
- Is this a cost effective activity in a period of constrained and diminishing resources?

Answering these questions does not negate the ability of the responsible parties to work together, but it would clarify why UC Day is held each year, the goals and objectives of UC Day, when it should be held, who is accountable, and how to measure success. At the campus level there are partnerships between government relations and alumni relations each year to collaborate on UC Day. However, the key questions related to the purpose of UC still need to be resolved. This is the right time to reassess UC Day to ensure it is aligned with an overall UC strategic vision for advocacy.

### **Recommendations**

***The Workgroup makes the following recommendations:***

- ***Prioritize SGR’s workload in the area of legislative relationship management to focus on key legislative leadership starting with the “Big Five”<sup>2</sup> and members of their leadership teams.***

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<sup>2</sup> The Governor, Speaker, President Pro Tem, the Assembly and Senate Republican leaders.

- *Prioritize the campus governmental relations workload to focus on those legislators who have campuses and medical centers in their districts as well as members of the Legislature who are UC alumni.*
- *Strengthen and focus the internal structure of the SGR unit and its working relationships with its key stakeholders and External Relations colleagues to develop a collaborative, yet centralized, source of information, expertise, resources, etc.*
- *Clarify the SGR needs to provide clear direction to the President, Chancellors and other UC and campus senior leadership in support of UC Governmental Relations/Advocacy goals and objectives.*
- *Assess the resource needs of SGR and the campus governmental relations units to ensure that the UC system has a well supported governmental relations program that is capable of meeting UC's budgetary and legislative goals.*
- *UCOP/ URVCC review UC Day to determine whether it should be continued and if so, how UC Day should be designed.*

The complete report on State Government Relations is included as Appendix I.

## **FEDERAL GOVERNMENT RELATIONS**

While the Workgroup did not spend an extensive amount of time examining Federal Government Relations, there were important FGR funding, policy and legislative issues discussed. The prominence of the UC research program is a vital contributor to innovation in California and in the nation. The reduction of state funding has made federal research support even more critical for UC. UC has the highest number of Pell Grant eligible students among major research institutions, which requires constant attention to financial aid policies. There are extensive regulatory policies that impact the UC managed national laboratories. All of these issues and others require that UC have a strong federal governmental relations program.

To address the pressing federal issues identified above, UC needs a strong federal advocacy program. The engagement of volunteers at the federal level can be as important in Washington as it is in Sacramento. Through the technology available for electronic advocacy, it is possible to engage alumni and friends throughout the nation on behalf of UC and higher education.

### **Recommendation**

*The Work group makes the following recommendations:*

- *UCOP develop a dedicated federal advocacy position in the FGR Washington office.*
- *FGR work to increase and diversify representation and presence of all UC campuses in Washington, D.C. through providing hearing testimonies, participation in national higher education associations, and meetings with key members of Congress, the Administration and funding agencies.*

## STRATEGIC COMMUNICATIONS

The Office of Strategic Communications must be a voice at the table when publicly sensitive decisions are being made by university leaders. Information requested by the media must be made available to the Office of Strategic Communications by other units of the Office of the President in a timely manner so that Strategic Communications can respond promptly to media requests for information and put that information in context. It is important that in addition to responding to the crisis issues, Strategic Communications also focus on its broader responsibilities of developing and communicating UC messages to the people of California. Strategic Communications must proactively convey the positive impact of the University of California on ordinary people through traditional and new media, both paid and unpaid. UCTV is an underutilized asset that should be more fully integrated into the strategy for communicating the value of the University to the public.

To assure prompt response to the requestor, partial information should be released if some information will be delayed. If absolute precision is not possible in a timely manner, but accurate estimates or ranges can be determined, the estimates should be made public as soon as possible.

For example, when a major development (criticism, new issue, leaked info, etc) is disclosed regarding the university that has impact in Sacramento or Washington, a strategy for handling it should be established by a small group that includes the top leadership of the university, the Assistant Vice President of Strategic Communications and the Assistant Vice President for State Government Relations and/or Assistant Vice President for Federal Government Relations and legal counsel. When a campus is involved, the chancellor should be immediately consulted and/or notified.

### Recommendations

*The Workgroup makes the following recommendations:*

- *Sustained investment should be made in marketing the message that the University of California positively impacts the lives and futures of Californians and people worldwide.*
- *A communications liaison person should be assigned to the State Government Relations office in Sacramento.*
- *The Office of Strategic Communications should promote national/international trend story development.*
- *The operations of underutilized UCTV should be assessed and connected to Office of Strategic Communications activities.*

The complete report on Communications is included as Appendix II.

## **ALUMNI RELATIONS**

To advance the mission of The University of California the majority of its 1.5 million alumni must play a critical role. Through lifelong engagement that begins the day a student steps onto a UC campus, until the end of their life, our alumni are our chief advocates, our major donors and our fiercest allies. To increase alumni advocacy efforts, alumni giving and the inculcation of students into a lifelong relationship with UC, alumni efforts will need a stronger business model and more resources. The Alumni Association of the University of California (AAUC) has produced a bold five-year strategic plan to achieve these goals, but The Regents, President and Chancellors must make a commitment to fund and execute this strategic plan.

The five goals of the AAUC Strategic Plan are:

- Maximize alumni engagement
- Increase alumni philanthropic support
- Increase alumni involvement as UC advocates
- Invest strategically in UC alumni relations
- Increase the collective understanding of alumni contributions

### **Recommendation**

***The Workgroup recommends that UCOP adopt the AAUC Strategic Plan for Alumni Relations and provide the resources to accomplish its objectives.***

The Alumni Association Strategic Plan is included as Appendix III.

## **DEVELOPMENT/INSTITUTIONAL ADVANCEMENT**

One of the outcomes of UC's successful fundraising campaigns has been the engagement of donors who have become important advocates and voices for the University with elected officials and other external audiences. The partnerships between the campus Development units in the areas of governmental relations, strategic communications and alumni relations are a critical element of an integrated external relations organization.

The Institutional Advancement Office of the University Affairs Department is a specific unit that has developed a well-regarded, service-oriented model supporting the fundamental recognition that fundraising is largely the purview of individual campuses and programs. To that end, the primary activities of Institutional Advancement should continue to be:

- Providing support to UC leadership and The Regents in the execution of their responsibilities for policy-setting and oversight.
- Providing support to the campuses in the implementation of the policies and procedures of The Regents.
- Providing specific technical expertise in areas where it is not always possible to have that expertise on each campus.
- Providing appropriate coordination of fundraising activities among the campuses.

- In the limited ways in which Office of the President programs engage directly in fundraising, providing support and coordination and oversight of those activities (examples include Agriculture and Natural Resource (ANR) programs and UC Press).
- Providing support to the President and key UCOP leaders for their investment in promoting the role of philanthropy in the UC system, including advocacy for appropriate State and Federal legislation supporting our philanthropic interests.

**Recommendation**

***The workgroup recommends that the Office of the President continue to support the current model of Institutional Advancement in University Affairs.***

Due to the limited involvement of UCOP with the fundraising responsibilities of Institutional Advancement, no separate report was prepared on this aspect of External Relations.

**ADVOCACY**

There are important synergies between State Government Relations (SGR), Federal Government Relations (FGR) and Strategic Communications. These three areas at UCOP and the campus level must have strong partnerships due to their interdependence. The development and delivery of UC messaging to key external audiences must be done in a much more strategic manner given the challenges UC faces in Sacramento and Washington. These three areas form the strategic foundation of UC’s advocacy efforts.

Advocacy is a critical area for the UC system. Much of the work of the current advocacy program takes place at the campus level in terms of recruiting, cultivating and deploying third party advocates such as alumni, students, faculty, donors, staff, friends, and industry leaders in governmental relations related activities. A number of critical advocacy issues are local and are best handled at the campus level. Volunteers need ongoing training and information to provide them with the tools to be effective advocates. Partnerships among campus governmental relations, alumni relations, communications and development units should manage third party advocates on behalf of UC and the individual campuses. UC wide mobilizations are coordinated through SGR and FGR to address specific legislative issues. The broader messages that are communicated electronically to third party advocates previously were coordinated through Strategic Communications. These models were based on SGR, FGR and Strategic Communications making “strategic” decisions regarding advocacy matters and the UCOP and campus advocacy and alumni units being engaged in “tactical” implementation and mobilization of third party advocates.

The current model of having Advocacy as a “stand alone” unit based in Oakland does not fully meet the needs of SGR or FGR. Both SGR and FGR have distinct advocacy needs that are best served by having a staff person dedicated to advocacy “on the ground” in Sacramento and in Washington to work closely with the campuses as a permanent part of the SGR and FGR units. The strategic decisions regarding advocacy should rest with the SGR and FGR units that have the primary responsibilities for delivering the University’s message to policy makers in conjunction with Strategic Communications. Advocacy should primarily be a tactical unit that is

an asset to the campuses and other Office of the President External Relations units, in the identification, cultivation, and deployment of third party advocates. The work of the Advocacy unit in University Affairs at UCOP should be primarily in support of SGR in Sacramento and FGR in Washington and at the direction of Strategic Communications.

**Recommendation**

***The Work group recommends that the current University Affairs Advocacy unit be placed under Strategic Communications, and that there be specific advocacy positions be established in SGR and FGR.***

## **PROFESSIONAL DEVELOPMENT AND TRAINING**

Ongoing professional development and training contributes to building a successful integrated external relations organization. There are professional development and training needs by external relations professional at both the UCOP and the campus level.

Whether it is direct training provided by UA personnel or other training that is facilitated by UA, the campuses and UCOP would benefit greatly to learn and adopt “Best Practices” across the Advancement field. As the campuses bring on new staff that will be collaborating with UA units, the orientation and training provided regarding working in a highly complex environment would be invaluable. Outside training in other aspects of the Advancement field could be facilitated by UA. Training has occurred from time to time and should be a regular support function that UA provides to the campus and the UA staff. Developing a rotation where periodically a campus person works in UCOP for a period of time and a UA person works at a campus will provide a cross training and professional development. SGR has done this type of rotation on a limited scale in the past and found it to be helpful, both in terms of campus government relations staff coming to Sacramento and SGR staff spending time on a campus.

**Recommendation**

***The Work group recommends that University Affairs consult with the URVCC to develop an ongoing professional development and training model to build a stronger external relations team at the campus and UCOP level.***

## **CONCLUSION**

This is a serious period of change and transition for the University. The workgroup has sought to learn from the successes and challenges that UC has faced in the past few years to make recommendations that will strengthen public support for UC in the future. The current budget crisis facing California has a significant impact on UC’s ability to maintain quality, ensure access and fulfill its mission for California. The workgroup recognizes that the current fiscal climate makes it difficult for UCOP or the campuses to fund new positions. The workgroup’s recommendations for investment in External Relations may be met by reassignment of current UC staff and/or reallocation of existing resources.

Strong, visionary leadership is critical if the External Relations functions at UCOP and the campuses are to be coordinated in an integrated fashion. A stronger, more strategic, more collaborative, more integrated External Relations organization can make an important contribution to sustaining and increasing public and private support for UC.

**APPENDIX I**  
**STATE GOVERNMENT RELATIONS**

# Rethinking State Governmental Relations (SGR) in Sacramento

## EXECUTIVE SUMMARY

### *Background*

In October 2007, as part of the University's systemwide restructuring efforts, President Dynes and Provost Hume convened a workgroup to review the overall UC External Relations program. Provost Hume requested that the UCOP State Governmental Relations (SGR) unit in Sacramento be the initial focus of the work group due to the imminent retirement of Steve Arditti as Assistant Vice President – State Governmental Relations (AVP-SGR) and the start of the next legislative session in January 2008. The primary purpose of State Governmental Relations in Sacramento is to achieve the University's budget and legislative priorities and goals. In conjunction with the campuses, SGR works on passage of a budget that meets the needs of the University and to advance an agenda with the Legislature and the Administration that supports the University. The following proposed redesign and restructure plan for SGR is the first step in developing a more comprehensive assessment and recommendations regarding UC External Relations.

Often, UC leadership has tended to view issues in isolation, while members of the Legislature tend to connect issues together. For example, some among the UC leadership considered executive compensation as a singular, stand alone issue. Members of the Legislature responded to executive compensation in the context of their ongoing concerns regarding student fee increases, access and diversity issues, ongoing labor union issues, and the residual fallout from the budget compact agreement. Whether senior leaders feel these issues are related or not, members of the Legislature make connections and SGR—and arguably, the entire University—must be responsive to the Legislature. A critical element of a re-energized, more effective systemwide external relations program is ensuring that SGR has a presence “at the table”—at the front end—in order to provide the political and legislative perspective and advice as important policy decisions are being made. Whether at the President's Cabinet, the University Relations Vice Chancellors Council, or the Council of Chancellors, the AVP-SGR must be able to provide a context regarding the political implications of the University's major decisions.

The proposal to redesign SGR is predicated on a long-term plan of building an integrated External Relations function at the UCOP and campus level that leverages the assets of strategic communications, alumni relations, and development in support of UC-wide governmental relations and advocacy goals. If this plan is to be successful, it is imperative that UCOP and campus leadership make appropriate investments in staffing and infrastructure at the SGR and campus level. UC leadership cannot expect SGR or the campuses to succeed in the current Sacramento environment with inadequate resources and support from the leadership at UCOP and the campuses.

## ***Recommendations***

The External Relations Workgroup proposes the following:

1. Prioritize SGR's workload in the area of legislative relationship management to focus on key legislative leadership starting with the "Big Five" and members of their leadership teams. In this role, SGR should work to identify the legislative interests and priorities of each member to determine where UC has a mutual interest and can be supportive. In addition, SGR should continue to manage the process for developing and advocating formal University positions to the Administration and the Legislature – this includes managing the existing legislative bill monitoring, analysis, coordination, and mobilization workload, as well as serving as the front-line responders to legislative requests for information and managing "hot" issues arising from the Legislature or Governor's Office.
2. Leverage campus strengths, contacts and networks in building productive relationships with the SGR priority group legislators.
3. Prioritize the campus governmental relations workload to focus on those legislators that have campuses and medical centers in their district as well as members of the Legislature that are UC alumni.
4. Strengthen and focus the internal structure of the SGR unit and its working relationships with its key stakeholders and External Relations colleagues to develop a collaborative, yet centralized, source of information, expertise, resources, etc.
5. Identify appropriate roles for members of the Board of Regents in support of UC advocacy efforts with members of the Legislature, the Administration, and other state office holders.
6. Clarify the role of the President, Chancellors and UC and campus senior leadership in support of UC Governmental Relations/Advocacy goals and objectives.
7. While the Workgroup proposes various organizational models for SGR, the decision on how to ultimately structure SGR should be left to the new AVP-SGR.
8. Assess the resource needs of SGR and the campus governmental relations units to ensure that the UC system has a well supported governmental relations program that is capable of meeting UC's budgetary and legislative goals.

## **RETHINKING STATE GOVERNMENTAL RELATIONS**

### *Historical and Political Context*

The retirement of longtime AVP Steve Arditti, who joined SGR in 1969, provides an opportunity to rethink the structure and the responsibilities of SGR in Sacramento. (For purposes of this document, the term “SGR” refers to the work of the Sacramento office. The term “UCOP” refers to the work done in Oakland.) The University’s State Government Relations function was initially developed to do two things:

1. Ensure that the budget passed by the Legislature met the needs of the University; and
2. Advance the University’s legislative agenda by securing passage of legislation that has a positive effect on UC and defeating or amending legislation that could negatively impact UC.

For many years of his tenure, AVP Arditti and a small staff were responsible for interfacing with the entire 120-member Legislature, because there were no campus governmental relations units at that time. In the ensuing years, individual campuses began to build their governmental relations units, but the governmental relations responsibilities remained fairly centralized in SGR. The base and level of support built over the years by AVP Arditti provides a strong foundation for examining areas in which the SGR unit can be redesigned to enhance its overall impact and effectiveness.

With the passage of term limits in 1990, the context of governmental relations in Sacramento has changed significantly. Turnover of legislative members, the loss of higher education champions in the Legislature, the increase in power of organized labor, the presence of more minorities and women due to legislative demographic change, and the revolving door of State Assembly Speakers has complicated SGR’s role and work and that of the campuses. From the end of the Willie Brown Era until the selection of Fabian Núñez as Speaker, the average tenure for the Speaker has been less than two years. In this context, it is difficult to build strong relationships with all members of the Legislature, particularly when fewer are UC alumni, fewer have made higher education a priority, and with such limited terms of office, many are focused more on shorter-term issues. In this political environment, it is also difficult to impossible to develop a long-term legislative strategy. Consequently, UC must be more flexible, more responsive, and as Provost Hume stated, “more nimble” than ever before. Moreover, the success of the entire UC governmental relations and advocacy program depends more than ever on building ongoing, solid, mutually beneficial relationships with a robust cadre of legislators.

### *Basic Principles for Governmental Relations Organization and Staffing*

Some basic principles should guide UC governmental relations organization and staffing, including but not limited to the following:

- UC’s governmental relations program should reflect the University’s overall mission and its role in serving the people of California.

- UCOP State Governmental Relations (SGR) should serve as the primary interface with the Legislature and the Administration with regards to budget and legislative policy matters in conjunction with the campus governmental relations units and UCOP budget office.
- Due to UC's reliance on the State of California for critical core funding, the commitment of senior leadership at UCOP and on the campuses is essential to a successful governmental relations/advocacy program.
- SGR and the campuses must maintain a productive and close relationship with the advocacy unit at UCOP; one that is based on comprehensive short- and long-term strategies.
- SGR should function as a service center and clearinghouse for the campuses and for legislators, state agency officials, and their staff.
- SGR should work to identify the legislative interests and priorities of each member to determine where UC has a mutual interest and can be supportive.
- SGR should continue to:
  - Manage the process for developing and advocating formal University positions to the Administration and the Legislature -- this includes managing existing legislative bill monitoring, analysis, coordination, and advocacy mobilization functions;
  - Serve as the front-line responders to legislative and state agency requests for information and assistance with constituent issues; and
  - Manage "hot" issues arising from the Legislature or Governor's Office or other state agencies.

### *UC Leadership Roles*

The commitment by UC leadership at the Regental, UCOP, and campus level is critical to advancing the University's legislative and budgetary agenda and, therefore, to UC achieving its state budget and policy goals.

### *Role of The Regents*

The Regents have been underutilized as a resource in Sacramento advocacy activities. Recent legislative visits to Sacramento by Regents Norm Pattiz and Monica Lozano, and by Regents Richard Blum and Leslie Schilling, demonstrate the value of engaging Regents in advocacy activities. While it is not necessary to engage the entire Board in advocacy, individual Regents could have a significant impact in Sacramento and Washington on particular issues strategically identified. There is a need to do a thorough assessment of Board members to determine:

- Legislative interests
- Existing and potential legislative contacts
- Contributions to state Assembly and Senate candidates
- Contributions to political action committees
- Identification of legislative representatives based on home and business residency of Regents
- Existing or potential relationships with members of the media

Another area for greater Regental involvement previously proposed by UCOP is for Regents to host local dinners for key members of the Legislature. This is an activity that can have great impact in terms of building and nurturing positive relationships with members. Those legislators that are identified as priority members should be targeted for dinners, with the campuses taking a leadership role in coordination with SGR. Chancellors, deans, other senior campus leadership, and key volunteers should participate in these dinners to provide a local context for key UC-wide messages and issues.

### *Role of the President*

The UC President plays a critical role in governmental relations for the entire University system. When UC must speak with one voice, the President is the person that speaks on behalf of the University on the highest-priority issues—budget and legislation. The President’s role transcends simply providing committee testimony: he or she must provide leadership to the overall UC governmental relations/advocacy efforts through:

- Building and cultivating relationships with the Governor and legislative leadership.
- Building and cultivating relationships with key opinion leaders throughout California and the nation.
- Providing leadership on higher education issues in California and the nation.
- Providing leadership and coordination of UC’s strategic initiatives that require legislative and Administration support.
- Providing leadership and coordination of participation by Chancellors in Sacramento on behalf of the UC system.
- Providing top-tier UC visibility in the form of op-ed’s, letters to the editor, legislative testimony, editorial board meetings, support for organizations that are “friends” of UC.

There may be times when it is necessary for the President to designate a “surrogate” such as the Provost, or the Chief Business/Finance Officer, or the Executive Vice President-University Affairs, as the public face for external audiences in, e.g., economic/innovation/education forums, with business and industry leaders (Silicon Valley, state Chamber of Commerce), or with elected officials, etc. The “surrogate” must be empowered to speak on behalf of the President and the University in public forums.

### *Role of the Executive Vice President – University Affairs*

The Executive Vice President-University Affairs (EVP-UA) should provide strategic and operational leadership for systemwide external relations, including SGR and Federal Governmental Relations (FGR). The EVP-UA is often called upon to be a surrogate for the President in Sacramento and with other important constituencies. The EVP-UA should provide leadership and support for UC governmental relations/advocacy through:

- Being a strong champion for governmental relations/advocacy at the President’s cabinet level, Council of Chancellors meetings, and with the University Relations Vice Chancellors Council (URVCC).
- Providing strong leadership to ensure the governmental relations, external, and media perspective is heard and considered in key University deliberations and decisions on issues with political implications, such as budget, executive compensation, land use planning, etc.
- Providing adequate resources to and support for SGR and FGR as well as to the campuses to support governmental relations/advocacy programmatic activities.
- Ensuring that the campus vice chancellors adequately staff and resource their campus governmental relations/advocacy units.

The EVP-UA has operational responsibility for the units that compose University Affairs and should provide leadership to the University Relations Vice Chancellors Council.

### *Role of the Assistant Vice President – State Government Relations*

The Assistant Vice President – State Government Relations (AVP-SGR) should continue to serve as the point person for governmental relations in Sacramento. In this role the AVP-SGR should be responsible not only for representing the UC in Sacramento but also for the following:

- Providing advice and counsel to the President and senior leadership on budget, legislative, and political issues.
- Serving as “team leader” to the governmental relations team at both the UCOP and campus level.
- Providing leadership and professional development to the campus governmental relations directors group,
- Serving as the liaison with key internal and external UC stakeholder groups, such as Academic Affairs, the Budget Office, industry leaders regarding governmental relations.
- Developing and maintaining a strategic legislative calendar that integrates systemwide government relations and advocacy efforts.
- Managing the process for developing and advocating formal University positions to the Administration and the Legislature.

The Assistant Vice President – Federal Governmental Relations (AVP-FGR) should have a similar role in the federal arena. In addition, the AVP-SGR and the AVP-FGR must have regular, ongoing opportunities to interact and communicate with the URVCC so that the Vice

Chancellors receive regular updates on governmental relations/advocacy issues in Sacramento and Washington.

### *Role of the Vice Chancellors – External Relations*

The campus Vice Chancellors – External (University) Relations (URVCC) are important members of the UC governmental relations team. The Vice Chancellors should provide overall leadership and integration of government relations at the campus level through:

- Being an advocate for governmental relations with campus leadership.
- Ensuring that campus governmental relations operations are adequately staffed and resourced.
- Providing leadership with internal stakeholders, including external relations units and other campus units such as academic affairs, student affairs, budget and planning, etc.
- Representing the campus governmental relations perspective in URVCC and other leadership discussions on important matters.

### *Role of Campus Government Relations Directors*

The campus Governmental Relations Directors (GRDs) serve as the point persons for UC's state governmental relations program at the campus level. In this role each campus has a geographical assignment of legislators and their alumni members. The campus GRDs provide leadership to the overall UC budget and legislative agenda through the following:

- Participating in the development of UC budget and legislative strategy.
- Working with priority legislative members in conjunction with SGR.
- Representing UC with members of assigned federal, state, and local delegations and their staff.
- Providing governmental relations related updates, briefings and support to campus leadership.
- Coordinating campus advocacy efforts with those of UCOP and other UC campuses.
- Managing campus specific legislative issues and inquiries.
- Providing advocacy training programs for volunteers.
- Managing advocacy databases.

### *A Proposed Model for Managing Legislative Relationships*

With the departure of AVP Arditti and his experience, contacts, and institutional history, SGR has insufficient staff resources to work extensively with all 120 members of the Legislature. Further, term limits have made it even clearer that “all politics are local,” which would argue for not having SGR try to manage all 120 member relationships. Currently there are a number of significant vacancies in the SGR office. The unit is structured with legislative directors with broad assignments and one legislative director providing specific expertise in the health affairs area. Each UC campus has legislator assignments that are based primarily on geographic boundaries. Additionally, campuses work with their respective alumni who serve in the

Legislature. Prioritization of responsibilities in managing legislative relationships is needed in order to more clearly define and clarify roles between the campuses and SGR.

The recommended model for consideration is based on a greater partnership between SGR and the campuses to leverage more of each other’s strengths and abilities to provide the breadth and depth of relationships that the UC governmental relations and advocacy program need in order to be successful. Communication and collaboration are integral for this proposed model. Good government relations operations are based on the understanding that relationship building is the key to success. To this end, UC must maximize and manage the wealth of relationships that exist among its many stakeholders. Therefore, it is important for SGR and campus staff to share information regarding contacts with leadership members that are joint assignments. While the AVP-SGR must interact with all members of the Legislature, the proposed model seeks to enable the AVP-SGR and the SGR staff to focus more strategically on key members and issues. The model is predicated on greater ongoing collaboration and collegiality among SGR, the campuses, and other UCOP units in Oakland.

While the diagram below assigns primary responsibilities for legislative priorities to SGR and to the campuses, it should be understood that SGR and the campuses will work in close partnerships to address most if not all of these responsibilities.

	<b>SGR</b>	<b>Campus</b>
<b>Priority Groups</b>	“Big Five” Members	Members with campus, medical center or major UC facility in their district
	Legislative leadership team members	Campus alumni members
<b>Secondary Groups</b>	Key committee chairs and vice chairs	Other members of campus assigned delegation
	Emerging leadership for future legislative sessions	Forecast potential legislators that may be elected in the future

*SGR’s Primary Legislative Relationships*

The AVP-SGR and SGR staff should focus primarily on managing relationships with the Administration and key leadership of the Legislature:

- The “Big Five”: the Governor, Speaker, President Pro Tem, the Assembly and Senate Republican leaders.
- Key members of the Legislature: those who serve on the leadership teams of the Speaker, President Pro Tem, and the Assembly and Senate Republican leaders (e.g.,

Assembly Majority Floor Leader, Democratic and Republican Caucus Chairs, Majority and Minority Whips).

- The Chairs and Vice Chairs of key committees such as:
  - Budget
  - Higher Education
  - Education (and the education budget subcommittees)
  - Appropriations
  - Health
  - Agriculture

The proposed priority leadership group and their key staff members assigned to SGR represents about one-fourth of the Legislature. Appendix I contains a complete list of prioritized members. SGR should work to identify the legislative interests and priorities of each member of this high-level leadership group to determine where UC has a mutual interest or can be supportive. Too often UC comes to these leadership members with an “ask” on behalf of the University when threatened with budget cuts or adverse legislation. Rarely does the University seek members to provide support for their interests. If the University expects support from legislators, then UC will need to give support as well. These members should be considered SGR’s priority targets. SGR should take the lead on building these relationships, which will be critical to influencing budget and legislative decisions. These priority group members should be targeted for meetings in Sacramento and in their districts with the President, the Provost, campus Chancellors, members of the Board of Regents, and key corporate/industry leaders.

SGR, in conjunction with the campuses, would provide support for and build relationships with members in their priority legislator group through the following responsibilities and activities, some of which currently occur:

- Developing an individualized plan, in consultation with campus Governmental Relations offices, for building relationships with each priority group member, taking into account input from campuses and other UCOP units as appropriate;
- Providing regular updates to the campuses and UCOP/Oakland on the individualized plans for priority group members;
- Soliciting feedback and input from campuses regarding the implementation of the individualized plans for each priority group member;
- Assessing the priorities and intents of the legislators in the priority group;
- Partnering with campuses to make regular contacts with priority group members on a wide range of issues important to UC and to the member; on some issues, it may be appropriate for the President to take on an active and significant role in making contact with some priority group members; and
- Coordinating, with campuses, the advocacy efforts aimed at the priority legislative group.

Similarly, the campuses would provide support in SGR’s work with this group through:

- Identifying “A” level contacts for each member of the SGR priority leadership group. “A” level contacts are people of considerable influence with a strong personal relationship with a legislator;
- Partnering with SGR in the implementation of the individualized plans for each member;
- Coordinating campus and district office visits;
- Identifying opportunities for local interactions between key alumni, donors, Regents and campus leadership with SGR priority group members; and
- Following up on specific requests as needed.

### *Campuses’ Primary Legislative Relationships*

The priority group members for the campuses should be those legislators with a campus, medical center, or major UC facility in their district. Campuses should be seen as one of the legislator’s most important constituents. UC is a major employer and contributor of revenue to the economy of their district, and a major source of meaningful community service activities occurring in the district. Campuses must work to make sure that this recognition is clear and is reinforced by contact with and on behalf of the campus. Campuses need to continue the work of building robust and mutually beneficial relationships with those members that represent campuses, medical centers and major facilities to build support for the University.

Much of this relationship building currently occurs at the campus level through activities such as:

- Regular communication and visits from the Chancellor and senior campus leadership
- Briefings with legislative representatives and their key staff members
- “Heads up” communication on major events and important issues including sensitive and/or timely issues
- Participation in campus events
- Coverage in campus media and publications

The other priority groups for campuses are alumni who serve in the Legislature. Alumni members should be UC’s most natural support group. More work is needed to grow and build these relationships. The programmatic efforts of Alumni Affairs, participation in UC Day as well as other advocacy-related activities provide excellent opportunities for engagement of alumni legislative members. Alumni publications and other campus media can also enhance relationships by highlighting alumni legislators and those members that represent campuses.

The remaining members of the Legislature should be the primary responsibility of the campuses. Campuses need to be staffed and resourced appropriately to support their assigned delegations to fulfill this responsibility. This is a critical issue for the EVP-University Affairs and the University Relations Vice Chancellors Council (URVCC) members to address. Campuses must be adequately resourced and staffed in order for this proposed redesign of SGR and its work to be successful. It is imperative that UCOP and the campuses make appropriate investments in

staffing and infrastructure at the SGR and campus level. There will always be immediate requests, questions, needs, and issues from this larger group of members that must be addressed by SGR staff, but the primary responsibility to educate and develop meaningful relationships with this larger group of legislators will rest with the campuses.

### *Flexibility and Agility in Potential Models*

The proposed model for sharing the responsibility for managing key relationships must be flexible and agile, depending on the issue, the member, and the context for contact with members. For one thing, there is intentional overlap between SGR and campus responsibilities for managing certain key relationships. For example, Assembly member Karen Bass represents UCLA and is the number two person in the Assembly hierarchy. The overlap is not negative, or an unnecessary redundancy, rather it provides focused attention on key members of the legislative leadership. Another example is Senator Dick Ackerman, the Senate Republican leader. Senator Ackerman is assigned to UC Irvine and is a UC Berkeley alumnus. SGR should take primary responsibility for relations with Senator Ackerman, with significant support from and in coordination with the Irvine and Berkeley campuses. The goal is to optimize the relationship between the University and Senator Ackerman so that he becomes a UC champion and ally. In those instances where the legislator is assigned to one campus, and is an alumnus of another campus, the assigned campus provides the leadership role, with the alumni campus providing support. This is the current practice among campus governmental relations directors. The proposed model requires much greater communication and collaboration between SGR and the campuses, as well as among the campuses. The new electronic advocacy system should facilitate sharing of information from contacts with members. Governmental relations staff can learn a great deal from the donor contact management model used by UC Development staff to track interactions.

Finally, it is inevitable that at certain points of the legislative session and on certain budget and/or legislative issues, SGR may need to make decisions very quickly, sometimes at odd hours of the day and night. In these instances, advance adequate consultation with campuses may not be possible and while SGR should be encouraged to act consistently with the intent of campus leaders, prior consultation should not be required at the risk of a measure failing passage. SGR should make every effort to bring in campus governmental relations offices as soon as is practicable.

### *SGR Organizational Models and Staffing Issues*

At this point in time, there is little debate that the nexus of communications, policy and politics has never been more important. It is almost impossible for an organization to be successful if its governmental relations operation does not reflect this reality. In addition to reexamining external relationship management among SGR and the campuses, the current restructuring efforts and leadership transition provide an opportunity to explore how SGR might be better and more strategically organized *internally*. There are multiple possible organizational models that are worth consideration and discussion. The new AVP-SGR should be given the authority to decide how to best organize and structure SGR. Several proposed SGR organizational models for consideration are contained in Appendix II.

In each of these proposed models, it is understood that SGR would continue to be the primary interface with the Governor's Administration, key Cabinet secretaries, state agencies, and other higher education segments with support as needed from the campuses.

### ***SGR Staffing Issues and Needs***

SGR professional staff needs to be empowered and authorized to deal directly with leadership members, other priority legislators, and their staffs to allow the AVP-SGR to focus on the larger, big-picture issues facing the University. The AVP-SGR should not be the only contact with legislators on all issues.

SGR needs an in-house communications professional. A similar type of position exists in the UC Federal Governmental Relations unit in Washington, D.C. The obvious advantage would be to enable SGR to have the capacity to be more immediately responsive to members in Sacramento. Also, having a communications professional on the SGR staff would provide the communications person with a greater understanding of state governmental relations issues and their context and background. Additionally, the communications staffer will have to "live" with the outcomes of their work. To ensure consistency in message, the communications staff person should report dually to SGR and UCOP Strategic Communications.

The area of Health Affairs is a critical policy issue area for the University and for SGR. In the past, it has been extremely difficult to find suitable candidates for this position. The complexity of health care issues at the UC medical centers, health related professional schools, and the current health care crisis facing California requires that the Health Affairs legislative position be adequately staffed and supported.

Resource investment is vital for the success of UC's overall budget and legislative agenda. UC's agenda cannot be successful with a "shoestring" approach. UCOP and the campuses should invest sufficient human and financial resources to ensure that the UC system has a well supported governmental relations program that is capable of implementing UC's budget and legislative agenda. SGR and many of the campus GRDs are inadequately resourced in terms of staffing, technology, program support and training to fully meet the system's needs in Sacramento. The current funding and support levels need to be augmented by UCOP and the campuses to ensure that SGR and the campus GRDs can fulfill the expectations that are established. Stronger partnerships with other areas of External Relations will bring additional support; however, if governmental relations is a priority at the system and campus level, resources must be invested in these units. The workgroup will continue to examine these needs in more depth.

### ***SGR's Relationship to Other OP Units and Functions***

#### ***Advocacy***

Over the past few years, the systemwide advocacy unit has moved back and forth between SGR/Sacramento and UCOP/Oakland. While advocacy is a systemwide issue, with federal

advocacy responsibilities, there is a clear need for the advocacy operation to be closely aligned with SGR and for an advocacy staff person to be on the ground in Sacramento. Sacramento advocacy efforts should be coordinated with UCOP in Oakland. However, there is no substitute for an advocacy person to be located in SGR to coordinate campus and UCOP leader visits, alumni activities, and other advocacy activities such as Corporate Advocacy Day and those involving the President's Board on Science and Innovation and other research and industry groups.

### *UC Budget Office*

The relationship between SGR and the UC Budget Office is critical. The Budget Office is not only an External Relations stakeholder; it is a vital partner for SGR. There has not always been sufficient “front end” involvement by SGR in the budget process. This year, a major step forward has been undertaken by UCOP in initiating preliminary meetings with key legislators and UCOP leadership, the Budget Office, and SGR. Having an opportunity to identify legislative concerns regarding the UC budget at the outset of the budget process provides an opportunity to address these concerns earlier in the year, rather than at the eleventh hour in June or July, as a final vote nears.

SGR, in conjunction with the Budget Office, should develop a year-long coordinated strategy in which both units work hand in hand on every facet of the budget process, including advocacy. Furthermore, SGR must be better positioned to provide strategic advice and counsel to UCOP and Regental leadership in the development of UC budget priorities—in other words, SGR must have a “voice” in the budget decision-making process from the outset so that budget decisions, strategies, and tactics are informed by the political realities of Sacramento. The opportunity to make the budget process a partnership between the University, the Governor, and the Legislature will serve to “depoliticize” the UC budget, build legislative champions for UC, and begin to regain lost ground with the Legislature in terms of UC's credibility. In the ensuing years, SGR and the Budget Office should work closely to examine ways to redesign the budget process to be more inclusive and transparent.

### *Greater campus involvement in legislative policy making*

In addition to working explicitly with legislative members, there are other mechanisms by which to involve the various campus constituencies in Sacramento. SGR should devote more attention and resources to developing additional activities and events to have a greater UC presence in Sacramento. There are two goals here – one is to make UC and its faculty expertise more widely known and relied upon by state policy makers with the goal of improving the quality of the policy. The other is to expose University leaders and academics to the realities and constraints of legislative and budgetary processes in Sacramento. Each goal should have separately tailored activities. The first goal could be facilitated by increasing numbers of policy briefings and forums hosted by the UC Sacramento Center (UCCS) as well as by creation of policy advisory bodies by topic. The second goal could be facilitated by having key University constituencies hold meetings more often in Sacramento and devote some of their meeting time to interact with legislators, administration officials, and key agency staff. For example, various UC bodies such as the Council of Chancellors, the Council of Executive Vice Chancellors, the Vice Chancellors for Research, the University Relations Vice Chancellors Council, the Education Deans, *et. Al.*,

could meet once a year in Sacramento and ask SGR and the campus GRDs to facilitate these interactions.

### *UCOP/Oakland Legislative Analysts*

Finally, the working relationship between SGR and the legislative analysts in UCOP-Oakland requires greater clarity and coordination. Currently, the legislative analysts in Oakland report directly to their respective Vice Presidents and are responsible for representing their division in the legislative decision-making process as well as for conducting legislative analysis and recommending policy positions for their division. The political impact and potential consequences of the legislative analysts' analyses, policy recommendations, and bill positions can often be significant and therefore this work must be better coordinated with SGR.

Again, restructuring of UCOP provides an opportunity to consider whether the current model should be refined. Technological improvements make possible the consolidation of many of the bill analysis distribution and collection functions. In addition, new mechanisms for policy setting across the divisions could be established. In the past, the SGR office devoted more time to cross-divisional policy discussions to ensure that policy conclusions in one division were informed by experts in all divisions; the executive compensation "strike team" at UCOP is one such successful model. SGR and UCOP Oakland should work to develop a similar nimble model that cuts across traditional "silos" by division for rapid response to crises and decision-making in the legislative arena. The AVP-SGR must have a major voice in the final decision of which bills to support or oppose.

## **Conclusion**

The primary focus of the External Relations Workgroup has been to build upon the foundation established by AVP Arditti to enable SGR to have more meaningful impact on behalf of the University. In the view of the Workgroup, the critical issues facing UC in a term-limited political environment require a re-prioritization of SGR's workload and much stronger collaborative partnerships with the campuses, as well as a much better established and accepted external relations role in informing important policy decisions by UC leadership that have external impacts. By focusing SGR's attention on the leadership of the Legislature and by leveraging the strengths of the campuses, the Workgroup believes that "the whole will be greater than the sum of its parts." The Regents, UCOP leadership, and senior campus leadership play an integral role as advocates to build legislative support on behalf of the University. Greater clarity in the roles and responsibilities of The Regents, UCOP/Oakland, SGR, and the campuses is vital in developing a synergistic, effective, credible state governmental relations enterprise for the University.

## **Attachments to Appendix I**

- A. Legislative Members Priorities
- B. Proposed Organizational Models

**Appendix I**

Attachment A

**State Government Relations  
Legislative Members Priorities**

## 2008 SGR LEGISLATIVE MEMBER PRIORITIES

### LEGISLATIVE LEADERSHIP

Governor Arnold Schwarzenegger	Governor of California
Speaker Fabian Núñez	Assembly
Speaker-Elect Karen Bass*	Assembly
Minority Leader: Michael Villines	Assembly
President pro Tempore Don Perata	Senate
President pro Tem-Elect Darrell Steinberg**	Senate
Minority Leader: Dave Cogdill	Senate

\*will take office on May 13, 2008

\*\*will take office on date to be determined

### BUDGET COMMITTEES (Chairs & Vice Chairs)

John Laird (Chair)	Assembly
Roger Niello (Vice Chair)	Assembly
Denise Ducheny (Chair)	Senate
Robert Dutton (Vice Chair)	Senate

### EDUCATION BUDGET SUBCOMMITTEES

Jack Scott (Chair)	Senate Subcommittee No. 1 on Education
Bob Margett	Senate Subcommittee No. 1 on Education
Gloria Romero	Senate Subcommittee No. 1 on Education
Julia Brownley (Chair)	Assembly Subcommittee Number 2 on Education Finance
Michael Duvall	Assembly Subcommittee Number 2 on Education Finance
Jean Fuller	Assembly Subcommittee Number 2 on Education Finance
Gene Mullin	Assembly Subcommittee Number 2 on Education Finance
Sandre Swanson	Assembly Subcommittee Number 2 on Education Finance

### EDUCATION/HIGHER EDUCATION COMMITTEE (Chairs & Vice Chairs)

Anthony Portantino (Chair)	Assembly Higher Education
Shirley Horton (Vice Chair)	Assembly Higher Education
Jack Scott (Chair)	Senate Education
Mark Wyland (Vice Chair)	Senate Education

### HEALTH COMMITTEES (Chairs & Vice Chairs)

Mervyn Dymally (Chair)	Assembly
Alan Nakanishi (Vice Chair)	Assembly
Sheila Kuehl (Chair)	Senate
Sam Aanestad (Vice Chair)	Senate

### AGRICULTURE (Chairs & Vice Chairs)

Nicole Parra (Chair)	Assembly
Doug La Malfa (Vice Chair)	Assembly
Abel Maldonado (Chair)	Senate
Denise Ducheny (Vice Chair)	Senate

### APPROPRIATIONS (Chairs & Vice Chairs)

Mark Leno (Chair)	Assembly
Mimi Walters (Vice Chair)	Assembly
Tom Torlakson (Chair)	Senate
Dave Cox (Vice Chair)	Senate

**Appendix I**

Attachment B

**State Government Relations  
Proposed Organizational Models**

## *Organizational Models*

### **Existing Model**

The SGR model that has existed for many years:

- Strong AVP as relationship manager for all legislators, strategist, tactician, “face and voice” of UC;
- Legislative directors who are less visible with legislators but interact with legislative and agency staff, have some involvement in day-to-day tactics, are rapid responders to legislative and state agency requests, and work with UCOP and campus counterparts to develop policy arguments on legislation; and
- Campuses on command by issue/crisis

While this model has served the University well for many years, there are other models that should be strongly considered in the current political context.

### **Model 1 – “Empowered Staff Model”**

A second model is one in which the AVP-SGR delegates some duties and responsibilities to an Associate Director and the legislative directors, and empowers the staff to “own” these responsibilities. This model also regards campus governmental relations offices as partners in relationship management, akin to the model described above for SGR/campus legislative relationship management. This model presumes that SGR’s current staffing shortage would be addressed. Elements of this model are:

- AVP as relationship manager with key leadership and other decision-makers in the Capitol; can access highest levels of legislative leadership;
- Associate Director as strategist/tactician on day-to-day operations; oversees advocacy; manages office staff;
- Legislative directors as sharing in relationship management (e.g., relationships with key committee staffers, some members); possible subject matter expertise as needed; and
- Campuses as partners, i.e., campuses “own” legislative relationships with members in their districts and alumni members and SGR plays a coordinating role (again, in some cases, e.g., Assembly member Karen Bass, campuses and SGR may share, or partner in, the relationship management role).

Variants on this second model are possible, such as greater subject matter expertise on the part of the Associate Director and legislative directors, the AVP-SGR as strategist while the Associate Director functions as day-to-day tactician, etc.

### **Model 2 – “Functional Unit Model”**

A third possible model is predicated on empowering functional heads under the AVP-SGR, so that there are multiple lobbyists among the staff while the AVP-SGR serves as chief strategist and lobbyist for the highest-priority members on the highest-priority issues. The success of this

model would depend on actual personnel and their strengths and available resources. This model envisions the following:

- Strong AVP-SGR, seasoned and senior professional who understands the workings of Sacramento as well as the University; functions as a lobbyist on the highest profile issues, but would be focused more on the overall strategic direction of the office and developing relationships with key influential actors in the state and senior UC leadership.

Under the AVP-SGR, there would be at least two functional units with a deputy heading each: a Legislation/Budget lobbying/policy unit and an Advocacy/Campus Relations/Communications unit. (In addition, there could be a unit or deputy responsible for office management/administration/events.)

- Deputy Director for Legislation/Budget/State Agency Relations: This person would be the key legislative strategist on major UC-related bills and represent UC in the budget hearing process along with the UC Budget Office. This person would be a highly visible lobbyist and “across the street” much more often than the AVP-SGR (the AVP would be reserved only for the highest priority contacts). This person would head a unit staffed with legislative directors (including the Health Affairs legislative director) and in-house policy analysts, depending on available resources. This structure would also provide a career ladder and development opportunities for both junior and more seasoned staff.
- Deputy Director for Advocacy/Campus Relations/Communications: The UCOP Advocacy unit would report to this person. The Deputy Director and the advocacy staff would be responsible for working with campus governmental relations directors to ensure coordination between advocacy and lobbying activities. This person would also be responsible for developing advocacy strategies and tools and for implementing systemwide advocacy activities and events. Further, this Deputy Director would oversee a communications staff person who would jointly report to the UCOP Communications office and be responsible for messaging, responding to Sacramento-related press inquiries and creating strategies for working with the media on issues of greatest concern in Sacramento.

### **Model 3 – “Desk System Model”**

Another model to consider is the “Desk System. A wide variety of national and statewide non-profit and advocacy/issue based organizations as well as political operations employ this structure.

A desk system would have the following structural responsibilities:

- The AVP-SGR focuses on overall strategy, overseeing the “Big Five” relations, utilization and communications with OP leadership, management of the overall SGR unit, coordination with key sister units within UCOP such as strategic communications, advocacy, Budget Office, FGR, etc.

- The Associate/Deputy to the AVP-SGR would manage the day-to-day workload, central calendaring for legislative and advocacy activities, leadership outreach and visibility, traffic control of targeted political visits and outreach for the “Big Five”, directional support to the legislative directors (“desks”), tracking committee chair relationships and communicating this information to all SGR staff, and developing other key internal communications practices to ensure that leadership and senior managers throughout OP are continually informed as necessary.
- The legislative directors who serve as “desks”, can be organized in a variety of ways. The premise is that what they oversee they “own” and all information about interactions with what areas they “own” flow through them, so there is accountability through consistent oversight of relationships.
- The desks’ primary functions would be to:
  - Interact with the campus governmental relations units to support what they need to get their jobs done by providing information to the campus staff;
  - Serve as a resource and activity clearinghouse and an advocate for the campuses within UCOP;
  - Create a central traffic control for the focus, growth, and activities taking place to reach the goals.

The desk role would also be to identify areas of improvement in building relationships with any priority member(s) and to highlight sensitive issues for the AVP-SGR based on intelligence picked up during the course of their work

The desks could be organized by:

- Region (three campuses and their targeted legislators—including committee leadership—per desk by geographic region),
- Legislative targets (both by key committees along with lower priority members) could be split up among the desks, or by simply splitting up the 120 members and giving 40 members to each desk and then the 40 would be prioritized by each legislative director under the direction of the AVP-SGR and in coordination with the campuses and SGR as a whole.

The desk system should be considered for several basic reasons:

1. SGR needs clarity about who is responsible for which relationships.
2. Such a system would make it much clearer to stakeholders internally and externally whom to go to when they either need information or have business to do with a specific member.
3. The potential for sensitive issues to bubble up to the AVP-SGR for relationship management are much greater, therefore not allowing problems to fester without a clear understanding of who is responsible for managing the situation.

4. It facilitates and helps to organize all other reporting mechanisms, including truly putting the new electronic advocacy program to its full use, working with so many key players in different locations (the campuses), so that meetings and conference calls are much more methodical, focused, and targeted.

Advocacy planning and activities would not change, but their efforts would be targeted, efficient, accountable and—again—people internally and externally would know where to go to find out where the relationship is being managed. Advocacy would provide services (strategy, activities, advocacy outreach, advocates) to the AVP-SGR, Associate Director, desks and the campus GRD's. Advocacy would essentially be an “overlay” on the overall desk system.

Lastly, under this model it would be recommended that the legislative analysts that now currently work for OP VP's could be organized similarly. The legislative analysts desks would be responsible for specific issues (possibly and hopefully more than one per legislative analyst desk). This is key to the success of the overall strategy and communication because:

- The legislative member desks and the legislative analysts work much more closely together on strategy and analysis of key issues and legislation impacting UC.
- The legislative analysts can help SGR and campus GRD's reach overall success on their key policy goals.
- The legislative member desks can support the legislative analysts in maintaining the integrity of the policy through understanding and sharing intimately the issues behind the policy for the legislator and then working together on ways to reach maximum success – i.e., creating a strategy of working together that the members appreciate and where UC still has the ability to meet its policy goals.

**APPENDIX II**  
**STRATEGIC COMMUNICATIONS**

## Office of the President – External Relations Working Group Office of Strategic Communications Review

### *Methodology*

Dozens of interviews were conducted with University of California employees both within the Office of the President and on each campus as well as with close external observers of the Office of Strategic Communications' (OSC) work. The interviews centered on the following questions and were the foundation of discussion for almost all interviews:

- What works in the relationship between the campuses and the OP strategic communications office? What its role is, services provided, structure, etc.
- A Case Study: Executive Compensation, What Went Wrong?
- What should OP Strategic Communications be doing on a short and long term basis to put out a more comprehensive positive UC message?
- What should be the key responsibilities, goals, and priorities for OP Strategic Communications?
- Based on these priorities, what could be done to improve operations without any significant infrastructure changes?
- What structural changes need to be made to make this a more effective and efficient unit and meet the strategic goals?

### *Historical and Political Context*

The communications office at the Office of the President was known from at least the mid-1980s as News and Communications. It was part of a division that was known as Budget and University Relations (under Vice President Bill Baker during the Gardner administration and that became University and External Relations in the Atkinson administration. Bruce Darling became vice president of University and External Relations in 1996.

As of the late 1990s, News and Communications was focusing largely on news media relations, publications, and related public affairs work.

With the hiring of a new associate vice president, Michael Reese, in 2001, the unit was renamed Strategic Communications to suggest a new emphasis on the strategic positioning of the University and to highlight the importance of alignment between the University's overall policy/external relations goals and its communications activities. The department undertook a first-ever system-wide economic impact study and extensive system-wide public opinion research, both of which helped frame a new set of overarching messages for the University focusing on the University's broad impact on the economy, health, and quality of life of California. In addition, the department reorganized to enhance its attention to employee/labor communications, web communications, and ethnic media outreach.

In 2003, a reorganization of the division – now known as University Affairs – gave Strategic Communications new responsibility for system-wide advocacy (third-party support-building) activities. This responsibility remained part of the Strategic Communications portfolio until 2007.

### *The Role of the Office of Strategic Communications (OSC)*

The primary role of the OSC is overall coordination and updating of campus communications offices, managing Regent communications issues at meetings, managing sensitive issues, providing campuses with all necessary information, working with campuses on issues that may have impact on UC, and resource sharing. This role manifests itself in the day-to-day responsibilities including, but not limited to:

- Clearinghouse for communications and media relations information, best practices, and all new media tools
- Information provider of system-wide activity to campuses and of campus activity to the rest of OP.
- Building, developing, enhancing, and maximizing relationships with local, national, and international media
- System issues management
- Servicing top university leadership and other OP units
- Providing overall strategy and story development by aggregating campus stories and broad impact concept storylines
- Telling system-wide story to national and regional press
- Collaborating with advocacy and other offices to identify, gather, and maximize third-party voices/supporters – both locally and system-wide
- Advising the president
- Providing campus support, when possible, on sensitive issues

### *Key Findings and Recommendations of Office of Strategic Communications (OSC):*

1. Finding: **Generally, the relationship between campus communicators and the Office of Strategic Communications is positive and productive.** Campus communication offices appreciate OSC's management of system-wide issues such as labor relations and Regents' actions, its preparation and distribution of fact sheets and talking points as well as its leadership in creating collegiality and information sharing among all campus AVC's for Communications with conference calls and face-to-face meetings.

Recommendation: Any changes in the office should preserve and enhance this level of cooperation among campuses and the Office of the President.

2. Finding: **Media requests to OSC for information are sometimes unnecessarily slow to be answered.** The hold up of information dissemination stems from other UCOP offices that possess and manage the information and have the area expertise. They may not fully appreciate how the stall affects the perception of the system as a whole.

Recommendation: First, the OSC must be able to work with other OP offices and provide requestors a sense of what information is available and a realistic timeframe for delivery of this information. Second, the OSC, where possible, must be able to convey information as it is made available – and not have to wait until all the information is gathered. Third, and most important, the culture at UCOP must change to appreciate that when information disclosure takes an unreasonable amount of time, the reputation of the entire University suffers as suspicion is engendered.

3. Finding: **Public attacks, criticisms, questions – whether in newspapers or in the Legislature -- about the university's actions are not always answered promptly and/or methodically.**

Recommendation: When a negative situation is identified as a potential public issue, a strategy must be immediately established by a small group of people that includes the leadership of the University, the AVP for Strategic Communications, the AVP for SGR, and legal counsel, when appropriate. If a campus is involved, at the Chancellor's recommendation a strategic team from the campus should be included via conference call. This strategy must evolve from an honest assessment of the facts and how the facts will be perceived by the media, elected officials, students, parents, donors, campuses, alumni, faculty, and other stakeholders. Once a strategy with a message is determined, the following must happen:

- i. A quick confidential heads up note should be sent to Regents and Chancellors, when appropriate.
  - ii. A set of talking points should be developed and vetted by the group with a timeline for approval and distribution.
  - iii. A determination should be made of the appropriate messengers to the public, the campuses and other stakeholders.
  - iv. A media plan should be developed which includes: when, if, and how the press will be briefed on the situation; what are the appropriate materials to provide the press and elected officials; whether third-party advocates should be deployed, drafts of letters to the editor, op-ed's, fact sheets, etc.
  - v. A roll out plan for informing stakeholders before they read or hear about the issue in the media must be developed.
4. Finding: The University of California is highly respected and has a great deal of support, but it has become quite evident that **the tremendous impact of UC on real lives -- on California, the Western Region and the world is not being promoted in the most effective way.** It is clear that marketing UC is not seen as a strategic investment or a priority.

Recommendation: As the University works to develop a strong message about how its work positively impacts the lives and futures of Californians and people world wide, it needs to make a commitment to aggressively convey that message. For the message to penetrate and leave an imprint on California public psyche, an investment needs to be made in marketing this message to the general public, University stakeholders and the Legislature not only in free media, but also in targeted paid media.

5. Finding: **The Strategic Communications office does not seem to be consistently part of the decision-making process and vetting of sensitive, big decisions and issues management.** While it may be involved in the original meeting on issues with a public consequence it seems that smaller meetings then take place, which change the strategy. This prevents the OSC from employing its expertise to help manage controversial issues, assessment of political maneuvers and next steps.

Recommendation: The Strategic Communications AVP must be part of political, policy, decision-making discussions. Most big decisions in today's environment have a public relations outcome and/or consequence. To successfully manage stories the AVP must be part of the process so it can successfully support the UCOP, Regental leadership -- and ultimately the campuses -- by providing strategic recommendations on difficult issues prior to decisions being made. Having someone at the table whose purpose is to confidentially and solely assess frankly the potential strategies, opportunities, tactics, messages, messengers -- as both the university defender and devil's advocate -- will help provide a more nimble, proactive, inoculation-based plan to position UC during challenging times as well as times of opportunity.

6. Finding: **The Strategic Communications office and the State Government Relations office do not collaborate at the level necessary for maximum success publicly or politically.** This lack of communication weakens the relationship UC can have with elected officials and the media. OSC could be a key strategic partner and is not currently employed as such.

Recommendation: A communications liaison position should be added that works closely within OSC, but services the office of SGR. This position would have a dual report to the AVP for SC and SGR. This person should physically sit in Sacramento most of the time with scheduled time monthly in Oakland for work with communications colleagues.

7. Finding: **The Strategic Communications office lacks the time and the necessary personnel to emphasize a few key areas more proactively and strategically.** Specifically, it does not have enough relationships with national media reporters, does not do enough national/international trend story development and does not maximize use of high-level resources and relationships of such people as regents, high-profile alumni, and chancellors.

Recommendation: The office needs an infrastructure that can support the assignment of these responsibilities to specific staff and needs to consider if the right people are in place to do this work. If the right people are not in place and the structure does not support clear focus, growth and accountability in relationship building with media and messengers, both redeployment of current staff and new hires must be considered.

8. **Finding: UCTV is a seriously underutilized resource that is not at all connected to OSC activities.** Reporting through the academic side of the house, it sees itself as a video UC Press with the mission to share the knowledge of UC faculty, often with small, targeted audiences.

Recommendation: OSC and UCTV should collaborate on both the content and marketing of television offerings. This can and should be done without compromising the integrity of faculty research or turning UCTV into a hard-sell vehicle for the university. Sharing research shows the public the results of its investment in UC and an occasional public-television style message about a campus or a university public service initiative, such as sustainability, will not sully the reputation of the channel.

9. **Finding: Communications functions are scattered among Office of the President units and their activities are not coordinated.** It seems inefficient to have totally separate communications functions in the student affairs, human resources and agriculture and natural resources units. It also seems inefficient to have separate web operations in different parts of OP.

Recommendation: **Coordinate the activities of the Office of Strategic Communications and communicators in the other units, perhaps with a dotted line reporting relationship between them and the AVP for Strategic Communications. Centralize web content responsibility in OSC.**

### *A Case Study: Executive Compensation, What Went Wrong?*

The University of California faced a public investigation and was criticized in the media and by the Legislature for lack of adherence to and enforcement of UC policies -- mostly in reference to hiring, salary packages, funding and expenditures of medical and research faculty, and other financial matters. This situation played out in the media for several months and UC was constantly on the defensive. Several campus leaders were used by the media as examples of OP ignoring policy and UCOP was perceived as not providing timely information. Consensus in the several dozen interviews was that in most cases UCOP had not followed policy or had made an excessive number of exceptions to policy and that specific individuals were not supported by the University so were left to fend for themselves.

The key problems were:

1. The university's salary and expense policies were outdated, which led to an excessive number of "work around" scenarios to attract high quality faculty and administrators. These exceptions, while legal, were not easily understandable and/or explainable to the general public.
2. University officials did not inform The Regents of these exceptions as policy required. The lack of public disclosure created an environment of mistrust and intrigue about many of UC's compensation actions. This lack of transparency and the number of undisclosed exceptions was indefensible, but a populist strain in the media and among many state legislators also challenged, and still does, the level of salaries paid by the university, which were, and are, defensible given market conditions.

It was primarily the factual situation, rather than a communication failure, that hurt the University on the compensation issue. However, once the San Francisco Chronicle story broke, the University made the situation worse by not responding in a timely or effective manner, despite the Office of Strategic Communication's best efforts. It took months to challenge the original report's \$871 million in "secret salaries and perks" because those who held the information refused to release it in a timely fashion to put out the fire that was growing daily – when in fact the UC had a strong explanation for these expenditures. But, by the time the information was available and released, precious time had been lost and a negative perception of the university's actions had hardened in the Legislature. By this time, few cared to review the facts; the media had little reason to carry this information prominently. The original, unexplained figure remains in the minds of our elite audience. It is safe to assume that the public saw UC as it does many other government entities – not trustworthy.

An early estimate of the amount of the undisclosed salaries would have made a difference. Other OSC suggestions for dealing with the issue (i.e. call for an independent audit immediately of expenses of top OP and campus officials, specific recommendations about smaller situations as they happened) were ignored. The public relations/crisis management perspective did not seem to be at the table when sensitive decisions were made, it was not sent up the decision-making ladder, or it was discounted.

What the OSC could have done better:

1. The office could have tried to prepare university officials by in a mock news story following the example of what the Chronicle did with salary information on state employees. This story's focus on highest paid employees would have led to a quicker explanation of why medical faculty members are paid as much as they are. Context should have been provided when the salary data was finally released.
2. Had a better strategy for managing the dissemination of information. It appears that the OSC did not have as strong relationships with the San Francisco Chronicle as it did with the Los Angeles Times reporters.
3. When it was decided at a Regent's meeting to make an example of two specific "exceptions/actions" involving chancellors' that should not have happened, OP/OSC did

not work closely with the campuses beforehand to determine strategy, talking points, and coordinate outreach to key stakeholders prior to the public receiving information. To the credit of the OSC, it tried to keep the two campuses up to speed, but did not itself have the information needed to support campus communicators appropriately. Therefore, tension between the overall Office of the President and campuses developed.

### ***Managing the Media and Relationships with Reporters in a Changing Media Environment***

As the print medium continues to face budget challenges, all media and public relations professionals must adjust how they move a message out to the public. The OSC does a very good job in attempting to pool stories for the system (i.e. avian flu, wildfire aftermath resources, sustainability, etc), but has to develop more creative avenues for pitching stories. New media can be an overused term and OSC has been effective in its use of the web and the university's home page. But now a more extensive plan needs to be developed where new media is employed in a creative way on a more routine basis.

- Social networking sites need to be explored as vehicles for potential system-wide messages
- Pod-casting is a tactic that all campuses are grappling with as to how far to go with this mechanism, some faculty members are embracing this technology and some are resistant, etc. This could be an area for OSC to provide some leadership, guidance, resources, best practices, and basic infrastructure support
- Relationships with reporters must be built as people to people, not just as UC staff pitching to journalists. In such a competitive market for what little print there is left to be had in the earned media market, there needs to be more emphasis on relationship building and informal gatherings with OSC staff and University leaders. This could be done in the form of informal happy hours at Regents meetings, inviting local reporters to an informal get together when the AVC's meet quarterly, etc.
- The international media market is ripe for placing stories. UC does a tremendous amount of work internationally and the more stories we can place with foreign press to compliment the national work, will help strengthen the perception and momentum of the work and impact of UC with elected officials and potential donors – if used effectively.

## ***Strategic Communications – Maximizing Resources, Messengers, Staff***

### ***UC Leadership Roles***

#### ***Role of The Regents in Communications***

The Regents have a tremendous amount of credibility, experience, and cache to bring to the communications process. It is suggested that their role be enhanced and deployed much more strategically and proactively as:

- Advocates
- Key Messengers on specific issues pertinent to either their background, their role on The Regents, their positions on subcommittees, any boards they sit on
- Support the message of the President and the system
- Foster mutual decision-making and work communicatively with OSC
- External Visibility
- Assist in Communicating objectives of the University

#### ***Role of the President in Communications***

The role of the President of UC is key to establishing a tone and an essence to the brand of the University. The President is the person who sells UC and passionately conveys the impact of UC on California and the world. When a strategic decision or message for the University is established in short and long term situations the President must stick to this message and not shy away from supporting it with strong belief and proof points. This person must be many of the following:

- Advocate- in-chief
- Collective advocate and voice of the Chancellors
- Communicator and coordinator between Regents and Chancellors
- Business and political Advocate
- Provider of clear and shared goals to Chancellors, OP, and the campuses
- Consensus builder for full support for agreed upon messages
- Participator in identifying how best to deploy and maximize the strengths of Regents in overall system
- Perpetuator and promoter of the strengths of the UC affiliation (values, goals, seal, slogans, etc)

#### ***Role of the Executive Vice President – University Affairs – in Communications***

The primary function of the EVP for University Affairs is to be the person that brings all the pieces of external work together so that maximum communication and efficiency is reached to enhance relationships and perceptions with University stakeholders inside and outside the University – and works to develop and project the University’s brand throughout all external networks to cultivate prospective supporters in all areas of interest (students, faculty, staff, alumni, elected officials, donors, etc). The EVP does this by:

- Uniting and maximizing the work and synergy of the GR/SGR/Communications/Advocacy/Development/Alumni efforts

- Being the primary leader who manages the strategy and focus on the nexus of communications, policy, politics and how to apply that to legislative, donor, media and all other relationship building
- Advocating, selling the impact and role of marketing and messaging on UC
- Being the coalition builder internally and externally -- focusing on building stronger relationships with key constituent groups that are/can be key strategic partners both with OP and the campuses.
- Being a political advisor and leader
- Supporting/lead the management of crisis, politically and publicly
- In conjunction with the President identifying and helping marshal key resources and opportunities to maximize Regent participation

### ***Role of the Assistant Vice President – Strategic Communications***

The AVP for OSC is the day-to-day manager of the University message, both proactively and reactively atmosphere. This position and the OSC office are the key liaisons to campus communicators by:

- Coordinating campus communications relationships with OP
- Developing the University of California’s public messages
- Coordinating opportunities for big issue messaging and collaborative media efforts
- Collaborating actively with State and National political, policy, and advocacy
- Leading the strategy and targeting of establishing and strengthening relationships with media
- Creating use and distribution of media tools by having the OSC at OP function as a clearinghouse for material, information, resources, etc
- Maintaining a two track operation that is pushing out positive messages, while managing crisis

### ***Role of the Chancellors in Communications***

The Chancellors on each campus set the tone and determine direction and strategy for brand management and managing sensitive issues. They are:

- Advocates-in-chief for their campuses
- Supporters of OP on system-wide issues that support the work of the individual campuses
- Conveyors of the President’s direction and intention on system-wide issues
- Local voices for the UC system

### ***Role of the Vice Chancellors for Advancement in Communications***

The VCAs are the key people to convey the Chancellor’s perspective to OP on system-wide issues. They are the best people to advocate and “cheerlead” the role and efforts of communications staff. The success of public relations work done proactively and reactively, is very hard to measure in specific numbers. The VCs can help demystify this area by:

- Advocating the presence of the campus AVC in all major campus decision making
- Developing campus senior management teams that coordinate and collaborate in the areas of GR, development, alumni, advocacy, and communications
- Creating a method of communication internally and externally with University leaders that shares the many message successes that happen on a daily basis



***Conclusion:***

There are four primary efforts that the UC system needs to focus on to improve all communications activities and to reap the benefits of the great work being done in University Affairs:

1. Clarify the goals of OP vs. the campuses
2. Increase and enhance personal relationships with reporters and proactively work to build a national network for positive and trend stories and maximize the international media market
3. Invest in a proactive paid marketing campaign, both short and long term
4. Move information out of UCOP much more quickly and communicate consistently with OSC staff to manage perception of UC by elected officials, supporters, the public, internal and external stakeholders.

**APPENDIX III**

**THE STRATEGIC PLAN  
OF THE UNIVERSITY ALUMNI ASSOCIATION**

# University of California Alumni Relations Strategic Plan (2008 - 2013)

## Executive Summary

Undoubtedly, the University of California is a premier educational institution. To date there are almost 1.5 million alumni who have benefited from a UC education. This critical mass means that the alumni body constitutes the single largest internal constituency of the UC. Moreover, this vital internal constituency is integrated throughout the external spheres that are essential for maintaining and strengthening this system: government, business, philanthropy, media, education, etc. UC alumni are invested stakeholders who hold positions of leadership and influence throughout the state, nation and world.

This strategic plan champions the potential of a vital strategic partnership between the UC and its alumni. The key strategic elements of the plan - mission, five-year vision, strategic goals and objectives – are presented in a one-page format at the end of the Executive Summary. It is unprecedented that all levels within UC Alumni Relations planned collaboratively to articulate a common purpose and strategic direction. Alumni Relations includes the offices of Alumni Affairs at the campuses, including its schools, the Office of the President (UCOP), as well as the Alumni Association of UC (AAUC) which is comprised of both volunteer (i.e., alumni) and staff leaders of campus alumni associations.

The right strategic plan can be transformational for an organization and its constituents. Three aspects summarized below highlight the potentially transformational characteristics of this plan.

### **1. Vision for Alumni Relations Is Vision for UC**

The Alumni Relations mission statement intentionally has two parts, implying a mutually beneficial relationship: the value to alumni (of enriched lives) and the benefits to the UC (from alumni engagement). The vision and strategic goals focuses on the ultimate result when alumni are engaged as advocates, contributors and volunteers: a more successful University of California.

This intended result of a more vibrant, influential and sustainable UC is a vision shared by all UC entities with whom Alumni Relations must partner for strategic impact: campus and UCOP leadership for government and community relations, development, communications, admissions, student affairs, etc. Therefore, the strategic objectives of this plan stress the importance of coordinated and targeted efforts at all levels. Because the potential impact will be system-wide, the commitment of leadership to realize this plan must come from throughout the UC.

### **2. Alumni as Vital Strategic Partners**

The vision is based on the unmistakable and untapped potential of alumni to be strategic partners in the success of the UC, through philanthropy, advocacy, leadership and other volunteer roles. This plan reflects discipline and focus, emphasizing only five strategic goals. Alumni Relations and its partners will strategically: 1) Maximize alumni engagement; 2) Increase alumni philanthropic support; 3) Involve alumni as advocates; 4) Invest in the infrastructure required to be strategic; and 5) Make known the significant impact of alumni to the UC and beyond.

### **3. Preparation for Successful Implementation**

The plan was generated through a process that proactively incorporated the factors that will be critical for successful implementation: broad buy-in, prioritization, detailed action planning, supportive infrastructure, commitment and investment from leadership, and coordinated implementation to leverage resources and results. Leadership and investment from UCOP will be essential for successful implementation.

As represented by the breadth of planning committee members – university relations, advancement, communications, and staff and volunteer leaders of campus alumni associations – and the range of participants in focus groups and interviews, there is a collective will to strategically transform alumni relations for the benefit of the UC. In addition, presentations have been made to communicate to other internal stakeholders the strategic vision and opportunities for mutual benefit.

# The Alumni Associations of the University of California

## The Mission *why we exist*

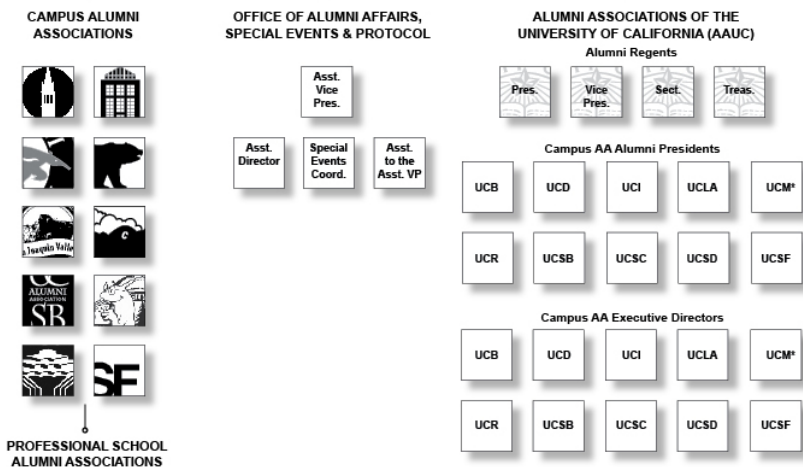
The mission of Alumni Relations is to enrich the lives of alumni and engage them as volunteers, advocates, and contributors who strengthen the University of California.

## The Vision *what are we striving for*

The vision of Alumni Relations is to be valued strategic partners in the success of the University of California.



Alumni Relations includes the Campus Alumni Association, the Office of Alumni Affairs at UCOP, and the AAUC



\*Non-voting member

## Strategic Plan 2008 - 2013

Strategic Goals <i>how will we reach our vision</i>	Objectives <i>how will we pursue our goal</i>
<b>Maximize alumni engagement</b>	<ol style="list-style-type: none"> <li>1. Ensure that the priorities of each campus and its alumni relations programs are aligned.</li> <li>2. Promote individual alumnus' meaningful involvement with the UC and/or a UC campus.</li> <li>3. Establish and strengthen collaboration among campus and UCOP entities who engage alumni.</li> <li>4. Pool efforts and resources to reach alumni regionally, nationally and internationally.</li> <li>5. Engage students to sustain university traditions and build lifelong relationships with the UC.</li> </ol>
<b>Increase alumni philanthropic support</b>	<ol style="list-style-type: none"> <li>1. Develop and implement coordinated strategic plans among alumni associations, advancement and foundations to increase the number and level of alumni donors to the UC.</li> <li>2. Employ methods of coordinated strategic relationship management that result in greater alumni engagement in campus priorities.</li> <li>3. Actively engage alumni in identification, cultivation, solicitation and stewardship efforts.</li> <li>4. Develop and nurture a philanthropic culture, beginning with students and young alumni.</li> </ol>
<b>Increase alumni involvement as UC advocates</b>	<ol style="list-style-type: none"> <li>1. Develop and implement coordinated strategic plans among alumni associations and government and community relations to meet shared advocacy goals.</li> <li>2. Increase the number and impact of alumni advocates for the UC.</li> <li>3. Capitalize on communications and events to further the advocacy strategy of the UC.</li> <li>4. Improve the use of technology to support alumni relations' efforts to partner on advocacy.</li> </ol>
<b>Invest strategically in UC Alumni Relations</b>	<ol style="list-style-type: none"> <li>1. Conduct and strategically disseminate research regarding the potential return of investing in alumni relations (including alumni giving).</li> <li>2. Disseminate effective strategies – from sources within and outside of UC – that improve the impact of campus alumni relations.</li> <li>3. Manage electronic information and shared technological infrastructure: web sites, online communities, databases, and other technology.</li> <li>4. Develop/Expand the shared infrastructure necessary to enable targeted communication based on segmentation of UC's large and diverse alum populations.</li> </ol>
<b>Increase the collective understanding of alumni contributions</b>	<ol style="list-style-type: none"> <li>1. Collect and analyze quantitative and qualitative measures of a vital strategic partnership with alumni and alumni relations.</li> <li>2. Communicate strategically and consistently to key UC and campus leaders about the impact of alumni relations.</li> <li>3. Utilize recognition programs more effectively to showcase alumni achievement.</li> <li>4. Gather and publicize the aggregate impact of UC alumni.</li> </ol>