

# SRI Governance Plan

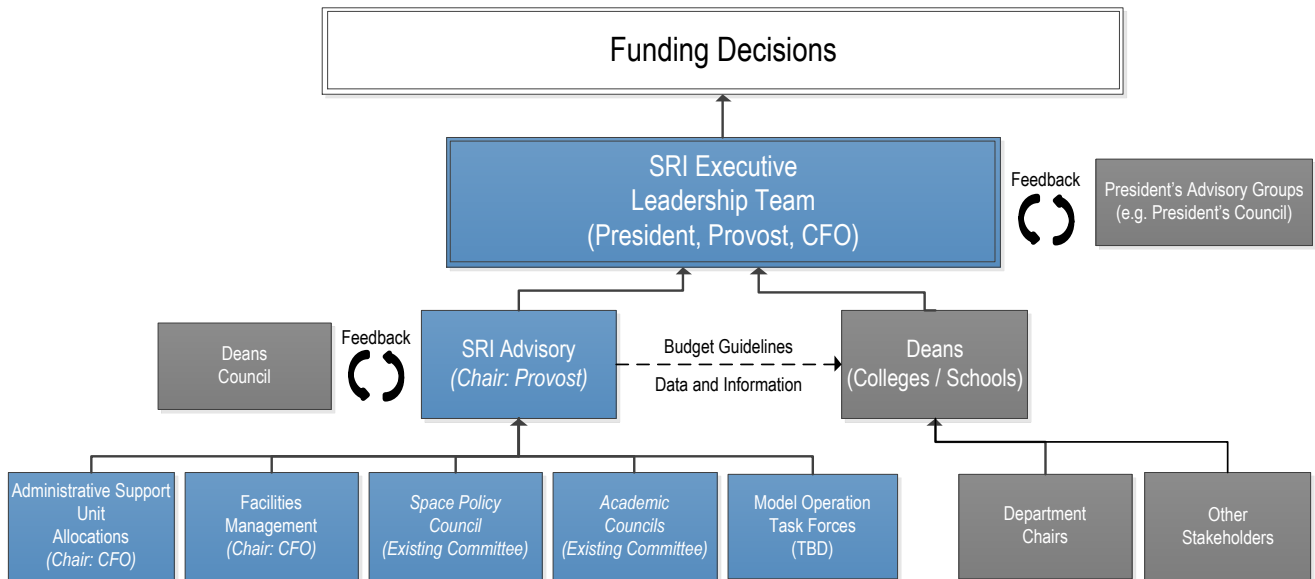
## Function and Purpose

Governance will play a critical role in the success of the SRI Model. While processes and infrastructure will be in place to develop the SRI Model upon implementation, governance – involved and transparent – will evaluate the SRI Model so that resource allocation can consistently align with the University’s strategic goals over time. Strong governance will build trust among stakeholders to demonstrate that the SRI Model is working in the best interest of the University, and it will serve as a system of “checks and balances” that safeguard against unintended consequences that may hinder the model’s success.

This document outlines a governance structure for the SRI Model upon implementation. The structure consists of several committees and stakeholders that will shape decision-making under SRI. The recommended structure detailed in this document is based on model governance structures at institutions operating models similar to SRI, but it has been refined by the Budget Process and Model Governance Development Committee to meet specific needs at the University of Memphis upon implementation.

## Draft Governance Structure

The graphic below depicts how funding decisions will be made under SRI. Blue boxes represent the governance committees detailed in this document, while the grey boxes represent other stakeholders that will contribute to funding decisions.



Recommended Governance Committees

Additional Participants in Developing Funding Requests / Decisions

**SRI Executive Leadership Committee**

The SRI Executive Leadership Committee will have final authority over all University funding decisions, including allocations from the SRI Fund. At the onset of the budget development process, this committee will approve budget guidelines that are distributed to units. This committee will then receive recommendations from the SRI Advisory Committee regarding administrative support unit funding levels and will review budget requests from the deans of the colleges and schools. After requests are collected, the Executive Leadership Committee will decide how to allocate the centrally-controlled SRI Funds – with input from the SRI Advisory Committee and other advisory groups – and ultimately will finalize all budget decisions before the budget is submitted and approved for the upcoming fiscal year.

*Committee Charge:* Maintain responsibility for evaluating and finalizing all funding decisions.

*Activities Include:*

- Approve budget development guidelines
- Evaluate budget recommendations from SRI Advisory Committee regarding administrative and support unit funding levels
- Evaluate budget requests from college and school deans
- Control redistribution of SRI Funds
- Communicate funding decisions and finalize budget for Board review
- Approve recommended model revisions
- Delegate authority for activities throughout the budget development process

*Recommended Composition:* 3 members

<b>All (3)</b>	<ul style="list-style-type: none"><li>▪ President</li><li>▪ Provost</li><li>▪ CFO</li></ul>
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*Time Investment:*

This Committee will have responsibilities throughout the budget development process, and will be most engaged in March-April when funding decisions will need to be finalized.

**SRI Advisory Committee**

The SRI Advisory Committee will correspond with the SRI Executive Leadership Committee and oversee budget development activities. This committee, representative of both deans and administrators, will be facilitators throughout the budget development process, and will have the opportunity to provide input on progress. In addition to being a sounding board for budget development, the SRI Advisory Committee will also support SRI Executive Leadership by advising on University-wide strategic investments. Additionally, this committee will be charged with conducting a periodic review of the SRI Model and recommending potential revisions to the allocation methodology, governance structure, budget process, etc. to better enable the model to align with University goals as they change over time.

*Committee Charge:* Maintain oversight of the mechanical development of the budget under SRI Model and advise the SRI Executive Leadership Committee.

*Activities Include:*

- Distribute budget guidelines and relevant data to units
- Review governance committee recommendations and advise SRI Leadership with affirmations / objections
- Advise SRI Leadership on the use of SRI Funds for University-wide strategic initiatives
- Appoint a task force to evaluate the SRI Model periodically (e.g. 3-5 years)
  - Evaluation involves the assessment of the allocation methodology and drivers

*Recommended Composition:* 12 members

<b>Chair (1)</b>	<ul style="list-style-type: none"> <li>▪ Provost</li> </ul>
<b>Academics (6)</b>	<ul style="list-style-type: none"> <li>▪ Deans (3)</li> <li>▪ Project Champion</li> <li>▪ Faculty Senate representatives (2): President and President-Elect (Note: Academics should have majority vote)</li> </ul>
<b>Others (3)</b>	<ul style="list-style-type: none"> <li>▪ Research Representative</li> <li>▪ Business and Finance Representative</li> <li>▪ Student Services Representative:</li> </ul>
<b>Support (2)</b>	<ul style="list-style-type: none"> <li>▪ Office of Financial Planning representative (non-voting)</li> <li>Academic Affairs Finance representative (non-voting)</li> </ul>

Note: All academic representatives should come from different colleges

Note: Appointments for deans and administrative representatives could rotate on 3-year terms.

*Time Investment:*

This Committee should be willing to meet monthly to maintain oversight of budget development activities, as well as meeting as needed to address immediate budget development needs.

**Administrative Support Unit Allocations Committee**

This Committee will evaluate the financial plans proposed by administrative and support units. Each unit's financial plans (i.e., budget proposals) should outline its mission and services provided, as well as the costs for providing its services. Upon review of the financial plans, the Committee will make recommendations to the SRI Advisory Committee. If the Committee does not approve of a unit's financial plan or feel comfortable approving a significant change in funding levels, the Committee will elevate requests to the SRI Executive Leadership Committee.

*Committee Charge:* Evaluate administrative support unit budget proposals annually based on unit service levels and their associated costs.

*Activities Include:*

- Develop an understanding of administrative support services and funding levels
- Collect feedback from units on administrative support services
- Review administrative support unit funding requests
- Develop recommendations for the SRI Advisory Committee regarding administrative support unit financial plans

Note: Facilities management and Athletics will not present their financial plans to this committee

*Recommended Composition:* 15 members

<b>Chair (1)</b>	▪ CFO: David Zettergren
<b>Academics (8)</b>	▪ Deans or Associate Dean representatives (4) ▪ Project Champion ▪ Department chairs (2) ▪ Faculty Senate representative: Faculty Senate Budget Advisory Committee Chair
<b>Others (5)</b>	▪ Student Services representative ▪ Research representative ▪ Project champion ▪ IT representative ▪ Staff Senate representative: Staff Senate Chair
<b>Support (1)</b>	▪ Office of Financial Planning representative (non-voting)

Note: All academic representatives should come from different colleges

Note: Deans, department chairs, and administrative representatives should rotate on 3-year terms.

*Time Investment:*

This Committee will be fully participative in budget request discussions in the November-December time period. Some preparation work prior to this time period will be warranted.

**Facilities Management Committee**

This Committee will evaluate the financial plans proposed by the Facilities Management unit. These financial plans should outline its catalog of services and costs for providing its services. The financial plans should include support for additions or changes to the unit’s service and fee structure. The Facilities Management unit is managed separately from the other administrative support units based on the size and complexity of its operations across the University.

*Committee Charge:* Evaluate facilities management budget proposal annually based on service levels and their associated costs.

*Activities Include:*

- Review facilities management services and funding levels
- May collect feedback from units on facilities management services
- Develop recommendations for the SRI Advisory Committee regarding facilities management financial plans
- Collaborate on service level agreements as necessary, and support the development of new agreements for units requiring special facilities management services

*Recommended Composition:* 8-10 members

<b>Chair</b>	▪ CFO or Representative: David Zettergren
<b>Academics</b>	▪ Deans or Associate Dean Representatives ▪ Faculty Senate representative: Faculty Senate Chair or Chair Elect
<b>Others</b>	▪ Facilities Representatives ▪ Space Planning Representatives ▪ Business and Finance ▪ Project Champion ▪ Student Affairs
<b>Support</b>	▪ Office of Financial Planning representative (non-voting)

*Time Investment:*

This Committee will be asked to be fully participative in budget request discussions for facilities management. These discussions are likely to take place in November-December. Preparation work prior to these discussions will be warranted.

### **Space Policy Council**

In addition to its historical responsibilities, the Space Policy Council will be the broker of space in the SRI Model. Annually, this Committee will review how space is allocated across units in the SRI Model. The Committee will request changing space allocation data in the model, and it will base its recommendations for space allocation requests on how space is “owned” across campus. In the SRI Model, space will be used as a proxy for allocating facilities management costs across the colleges and schools, so consideration should also be given to whether space allocated to a unit is maintained by facilities management.

*Committee Charge:* Responsible for managing the space allocation data that is input into the SRI Model

*Activities Include:*

- Review space allocations represented in the SRI Model
- Distribute space data and solicit requests for revisions
- Review unit requests to change space allocations recorded in the SRI Model
- Develop recommendations for the SRI Advisory Committee regarding space management

*Recommended Composition: 20 members (existing Space Policy Council)*

<b>Academic</b>	<ul style="list-style-type: none"><li>▪ Deans (4, including Arts &amp; Sciences)</li></ul>	<ul style="list-style-type: none"><li>▪ Faculty Senate representative</li></ul>
<b>Others</b>	<ul style="list-style-type: none"><li>▪ Office of the President representative</li><li>▪ Office of the Provost representative</li><li>▪ IT representative</li><li>▪ Research representative:</li><li>▪ Student Affairs representative</li><li>▪ Business and Finance representative</li></ul>	<ul style="list-style-type: none"><li>▪ Advancement and Marketing representative</li><li>▪ Facilities and Services Committee representatives (2)</li><li>▪ Staff Senate representative</li><li>▪ Student Government Association representative</li><li>▪ Registrar representative</li></ul>
<b>Support</b>	<ul style="list-style-type: none"><li>▪ Director of Space Planning and Utilization (non-voting)</li><li>▪ Office of Financial Planning Representative (non-voting)</li></ul>	<ul style="list-style-type: none"><li>▪ Space Analyst for Space Planning and Utilization (non-voting)</li></ul>

*Time Investment:*

This Committee will be asked to meet during the data collection activities that are planned to take place in September – October of the budget development cycle.

**Academic Councils**

In addition to their historical responsibilities, the Academic Councils will be asked to monitor course and curriculum development across the University as it relates to the SRI Model. The role of the Academic Councils will be to ensure all programmatic decisions are made with good intent and not for model “gaming” purposes. Any courses that appear to be proposed for “gaming” the model (e.g., “English for Engineers”) should not be approved unless there is legitimate programmatic reasoning in support. Evaluating programmatic requests in the context of the SRI Model will serve as a “checks and balances” system so that incentives do not end up compromising academic quality.

*Committee Charge:* Responsible for evaluating curriculum changes and their impact on both University resources and academic quality.

- Review curriculum proposals and their financial impact in the context of the SRI Model
- Discuss curriculum / academic quality concerns stemming from the SRI Model
- Develop recommendations for SRI Advisory Committee based on observations

*Recommended Composition: Existing Academic Councils*

<b><i>Undergraduate Council (15)</i></b>	<ul style="list-style-type: none"> <li>▪ Arts and Sciences representatives (4)</li> <li>▪ Business and Economics representatives (2)</li> <li>▪ Communication and Fine Arts representatives (2)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Education representatives (2)</li> <li>▪ Engineering representatives (2)</li> <li>▪ Nursing representative</li> <li>▪ University College representative</li> <li>▪ Faculty Senate representative</li> </ul>
<b><i>Graduate Council (24)</i></b>	<ul style="list-style-type: none"> <li>▪ Directors of Graduate Studies* (10)</li> <li>▪ Arts and Sciences representatives (3)</li> <li>▪ Business and Economics representatives (2)</li> <li>▪ Communication and Fine Arts representatives (2)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Education representatives (2)</li> <li>▪ Engineering representatives (2)</li> <li>▪ Nursing representative</li> <li>▪ University College representative</li> <li>▪ Graduate Student Association representative</li> </ul>
<b><i>Support (1)</i></b>	Office of Financial Planning representative (non-voting)	

Note: Ex-Officio members not listed.

\*Represents all colleges with graduate programs

*Time Investment:*

This Committee will likely maintain the same time investment as it presently involves, with the potential for additional time commitment for model orientation.

**Model Operation Task Forces**

Model Operation Task Forces will be established to carry out unique functions for developing and operating the SRI Model. These functions will likely be tied to the functions carried out by the SRI Implementation Committees. Once these task forces are identified and in place, this section of the governance document should be updated to detail their charges and compositions.

*Committee Charge:* Responsible for activities related to the ongoing operation of the SRI Model; will leverage the existing Implementation Oversight committee.

*Activities Include:*

- Manage development and validation of SRI Model, including financial data and allocation variables
- Identify committees to carry out emerging needs throughout the operation of the SRI Model, including training, reporting, etc.

*Recommended Composition:* Implementation Oversight Committee

<b>Chair(s)</b>	▪ Provost Office	▪ Financial Planning
<b>Others</b>	▪ Finance ▪ Institutional Research ▪ Financial Planning ▪ Nursing ▪ Arts and Sciences	▪ Institutional Research ▪ ITS ▪ Accounting ▪ Education ▪ Graduate School

*Time Investment:*

This Committee will be engaged on an as-needed basis throughout the budget development process.



## **Membership Selection Process**

- The composition of each governance committee will be established as follows:
  - SRI Advisory Committee: Appointment by Executive Leadership
  - Administrative Support Unit Allocations Committee: Appointed by SRI Executive Leadership
  - Facilities Committee: Appointed by SRI Executive Leadership
  - Space Policy Council: Existing appointment process
  - Academic Councils: Existing appointment process
  - Operations Task Forces: Appointed as needed by SRI Executive Leadership to meet needs
  
- The recommended length of term for committee members appointed by SRI Executive Leadership is three years; however, SRI Executive Leadership reserves the right to alter appointments as needed.
  
- All committee representatives from the Faculty Senate will be selected by the Faculty Senate, and all committee representatives from the Staff Senate will be selected by the Staff Senate, unless appointment is specified by title.

## **Committee Review**

- The SRI Governance structure should be evaluated at regular intervals (e.g., annually) to review the role of each committee and to potentially refresh its charge, planned activities, etc. The SRI Advisory Committee will evaluate the structure and make recommendations to SRI Executive Leadership.