University of California, Berkeley
IT Strategic Planning Background Materials
March 31, 2004

This document includes the following context-setting background materials for the current IT strategic planning process:

UC Berkeley Guiding Principles

- "The Essence of Berkeley" from the Strategic Academic Plan, 2003
- The Chancellor's Priorities and Cabinet Goals, February 2004
- Budget Planning Principles, January 2003

IT Guiding Principles

- UC Berkeley's current "unofficial" IT guiding principles
- Implied IT principles from the Strategic Academic Plan
- Scope statement for the current IT strategic planning process
- Sample IT guiding principles

The Essence of Berkeley

UC Berkeley Strategic Academic Plan (2003)

At its heart, our academic strategy must reflect and further the values that make Berkeley both great and unique.

The integration and synergy of education and research. We strive to provide an education in which critical inquiry, analysis, and discovery are integral to the course work. Our students in turn participate in and contribute to research, under the guidance of a community and staff engaged in the creation of knowledge.

The breadth and quality of academic programs. We believe the rich variety of the academic enterprise at Berkeley creates a setting uniquely conducive to creative thought and insight, through the confluence of different perspectives and paradigms.

A comprehensive foundation in the liberal arts. We believe every Berkeley graduate should possess literacy and numeracy across a broad range of disciplines, and that a solid foundation in the liberal arts is as fundamental to leadership as specific knowledge within an individual discipline.

A passion for inquiry and discovery. Research provides the energy that drives the modern research university. We believe Berkeley must provide a research environment that optimizes creativity and productivity, and supports vibrant, cutting edge research.

The synergy of academic and professional programs. We believe professional education at Berkeley must be built on a strong foundation in the liberal arts, and that academic and professional disciplines are both significantly enriched by the insights they gain through interaction and collaboration.

A vital and diverse intellectual community. We believe social and cultural diversity are essential to the university. They stimulate creative thought and new paths of inquiry, ensure that the research questions we tackle address the whole of society, and enable us to train leaders who encompass the entire spectrum of Californians.

The value of contiguity. We believe a vital intellectual community can only thrive when the entire scope of the academic enterprise is located in close proximity, in order to foster the formal and informal interactions that lead to productive collaboration.

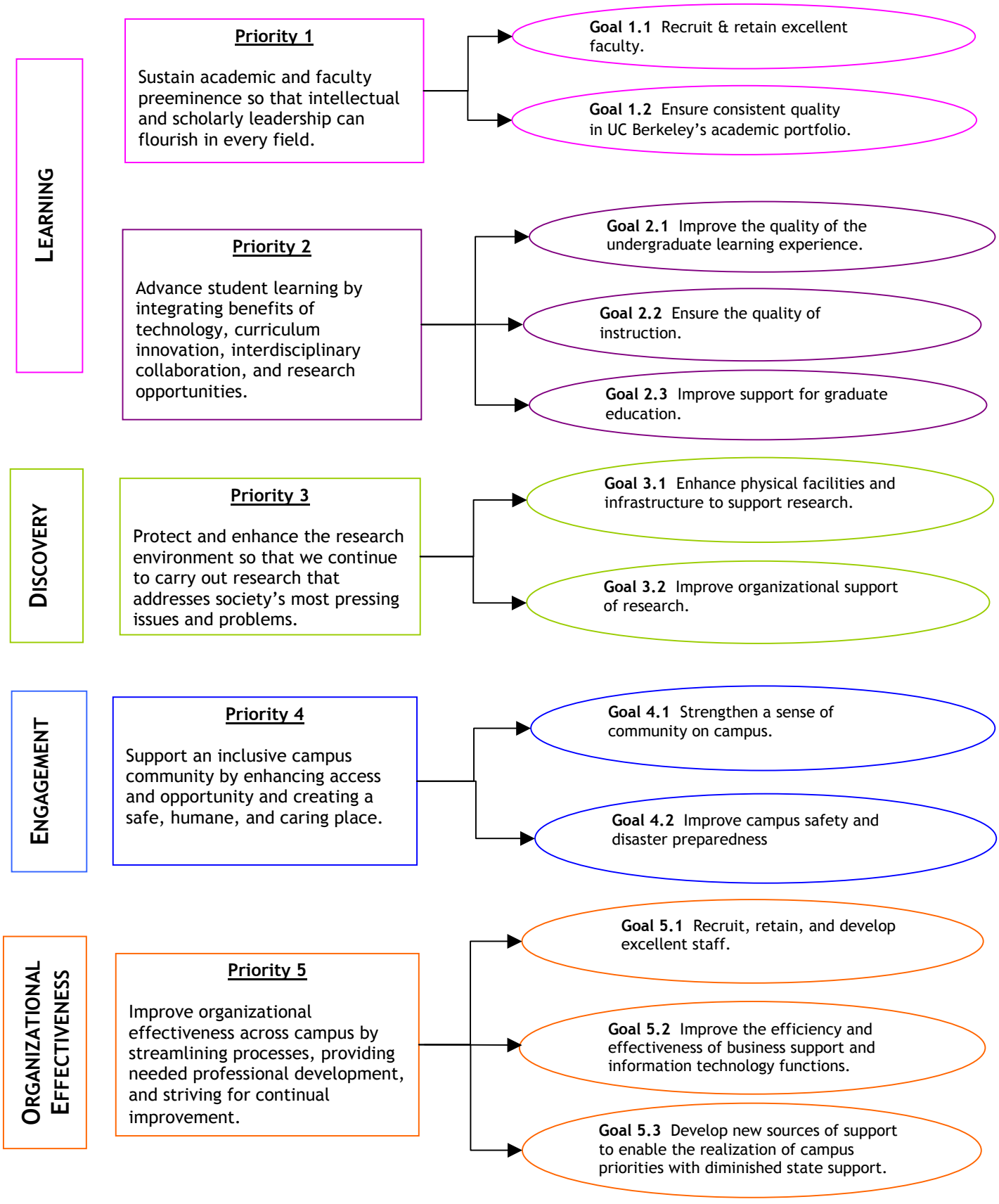
A partnership of students, faculty and staff. We recognize the contributions of each are both essential and inseparable: no group can excel without the support of the others, and each must have adequate resources for the enterprise as a whole to succeed.

Independence of mind in the pursuit of knowledge. Notwithstanding the inherently political nature of a public institution, we believe the pursuit of knowledge must not be constrained by temporal economic or political considerations. The research university is by definition a place where perceived truth is under constant challenge.

The primacy of public service. Notwithstanding the growing pressure to seek private resources, we recognize our core purpose is to serve and benefit the people of California through the creation, dissemination and application of knowledge, including outreach to underserved communities.

Excellence in every endeavor. We must ensure each element of the academic enterprise – teaching, research and service – continues to maintain the Berkeley standard of excellence. This requires us to recruit and retain the best people from the full talent pool, and to provide the resources they need to excel.

DRAFT – UC Berkeley
The Chancellor's Priorities and Cabinet Goals
Revised February 2, 2004



FY 2003-04 Budget Planning Principles
Executive Budget Steering Committee
University of California, Berkeley
January 31, 2003

The campus's financial planning decisions will preserve and enhance the institutional values that make Berkeley both great and unique: the integration and synergy of education and research; a comprehensive foundation in the liberal arts; a passion for inquiry and discovery; the synergy of academic and professional programs; a vital and diverse community; the value of contiguity; a partnership of students, faculty and staff; independence of mind in the pursuit of knowledge; the primacy of public service; and excellence in every endeavor. Source: "The Essence of Berkeley," Strategic Academic Plan (2003)

Within the context of these core institutional values, the Executive Budget Steering Committee has adopted the following set of operating principles to guide the budget planning process for FY 2004. The process will:

1. Sustain and enhance the excellence of Berkeley's academic and professional programs as the top priority. Consistent with a presumed full funding of enrollment growth, maintain the long-term campus student-faculty ratio target at approximately 18.7:1.

2. Articulate and implement a transparent process for making budget decisions.

3. Implement budgetary decisions with full consultation with appropriate Senate, staff, and student representatives.

4. Base strategic decisions on data, analysis, and evaluation, thereby resisting reactive, short-term, and crisis-driven decisions.

5. Delegate decisions to the lowest practical operational level, striking a balance between flexibility and control, responsibility, and authority.

6. Leverage improved and streamlined processes, organizational restructuring, and more effective use of information technology to maintain and improve the quality of administrative support and student services.

7. Avoid reductions in support of extramurally funded programs - to the extent that they do not require state or mandated student fee (e.g., registration fee) fund expenditures.

8. Seek new sources of revenue to mitigate necessary reductions.

9. Minimize layoffs.

10. Communicate information and decisions in a clear, concise, and timely manner to all segments of the campus community (faculty, staff, students, alumni, and friends).

Strategic IT Planning for UC Berkeley

Draft Illustrative Current IT Guiding Principles for UC Berkeley

March 5, 2004

- The campus data network will be ubiquitous and serve as a major tool supporting learning, research, outreach, management, and all forms of scholarly and personal communication.

- Students are strongly encouraged to own their own computers, but the University will provide a broad set of information resources freely available to all including email, Internet access, web services, computing labs, and digital library materials.

- Computing to support sponsored research activities will be supported by grants and contracts and not funded through central campus IT allocations.

- Whenever possible, campus business transactions should be completed using the Web, and old paper-based administrative systems should be replaced with modern online systems.

- Individuals are responsible for the security of networked systems they control and for the protection of information stored on their computer systems.

- The IT support model for the Berkeley campus is a hybrid model in which the UC System provides some services (e.g. intercampus networking and payroll), the campus provides other services (e.g. intracampus networking, email), and departments provide additional services (e.g. desktop hardware and software support).

- Most computing services are financed by a budget model in which central campus funds are provided for base services used by all (e.g. network backbone, Internet connectivity, email, core financial systems) and departmental funds are used for local enhancements and local support staff.

- Information technology policies are developed by representative campuswide committees and approved by the e-Berkeley Steering Committee.

IMPLIED INFORMATION TECHNOLOGY PRINCIPLES

UC Berkeley Strategic Academic Plan and Responses from Academic Senate and Chancellor

March 30, 2004

- Information technology is essential for all fields and must be stable and reliable.

- Parts of the teaching, laboratory, and information technology infrastructure should be funded as capital investments.

- Powerful, easy-to-use technology is essential to move forward with Berkeley's new collaborative and interdisciplinary initiatives.

- IT (and other) support for faculty should be equalized so there are no "have-not" departments.

- Students expect and deserve active and collaborative learning opportunities, reflecting Berkeley's synergy of instruction and interdisciplinary research.

- As part of the University's public service mission, the IT infrastructure must support proactive engagement in K-12 education and continuing education.

Derived from the following sources and synthesized by Barbara Morgan, Director, Strategic Technology Planning, Information Systems & Technology

- UC Berkeley Strategic Academic Plan (June 2002)
- Berkeley Division of the Academic Senate's Comments on the Strategic Academic Plan (February 2003)
- Chancellor Berdahl's Response to the Academic Senate's Comments (May 2003)
- Chancellor Berdahl's Letter to the Campus Community (May 2003)
- Memo from Academic Senate Committee on Computing and Communications Recommending Development of a UC Berkeley Strategic Plan for Computing and Communications (April 2003)

Scope Statement for the Current IT Strategic Planning Process

March 5, 2004

The UC Berkeley IT Strategic Plan encompasses all information technology and systems of the UC Berkeley community. This includes information technology planned, developed, operated, supported, or explored by institutional, central, or distributed units including schools, colleges, administrative departments, and Organized Research Units (ORU's). The major goals and initiatives recommended by the UCB plan are strategically significant to all units of the University and are intended to be dynamic living objectives modified throughout the life of the plan.

Sample IT Guiding Principles

March 5, 2004

The following list of sample IT guiding principles was developed after reviewing strategic plans from a wide range of leading higher education institutions including but not limited to the following universities:

Carnegie Mellon University
Duke University
Georgia State University
University of California, Los Angeles
University of Colorado, Boulder
University of Texas at Austin

These are sample principles. Each principle below will not necessarily be included in the UC Berkeley IT strategic plan. The principles ultimately adopted will be used to help evaluate specific campus IT goals and objectives.

Accessible: Enable universal and seamless access for all members of the UCB community to information resources (including networks, servers, applications, productivity tools, and support) to provide access to underlying data.

Adaptable: Systems and communications architectures should support known paradigms supporting both communities and individuals as well as be capable of rapid and cost effective reconfigurations to enhance new ways of working.

Balanced: Research environments should strive for cautionary use of disruptive and advanced technology, but student, staff, academic and administrative solutions should be based on the most cost effective proven technologies available.

Data Driven: Systems design should begin at the data layer allowing for single source common and reusable data wherever possible. No information should be entered more than once and data should be freely shared among systems and individuals.

Managed: Architecture, security, funding, and implementation guidelines should be established to offer environments that meet the continually evolving technical needs of the community, while recognizing appropriate levels of support for backward compatibility. Like core campus infrastructures such as buildings and utilities, technology has a defined life span, and end of life and replacement strategies should be included in all planning.

Open: Systems will operate under an open framework, architected to easily make their information available to other systems and individuals. Single vendor dependencies should be eliminated wherever possible.

Process Centered: Process design and simplification are supported and enabled by open systems architectures. A balance should be created between supporting unique processes through technology customizations and modifying processes to use standard technologies.

Secure: Architected solutions must appropriately balance the individual privacy needs of the community with solutions that provide transparent and seamless secure computing.

Supportable: Technology support should be a seamless part of any environment and integrated into daily use of all provided technology. Tools, knowledge bases, and training should be consistently provided to and utilized by all members of the technical community with problem resolution provided by the widest possible pool of resources.