



Compendium: Universitywide Review Processes for Academic Programs, Academic Units, & Research Units

**Drafted and Submitted by
The Joint Senate-Administrative Task Force
on the Compendium
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Preface

The Compendium was first prepared in 1993-94, under the auspices of the Academic Planning Council (APC). The APC Subcommittee for Expediting Systemwide Review Processes brought together and formalized a variety of Universitywide review processes and, to the extent possible within the established review framework, instituted changes to increase efficiency without reducing effectiveness. Subcommittee members strove to conform to, rather than change, existing rules, regulations, and policies. At that time, the APC Subcommittee adopted concurrent reviews, direct distribution of proposals to reviewing agencies, increased accountability of reviewing agencies, assignment of a coordinator for multiple reviewing agencies, feedback on campuses' preliminary plans, preapprovals, separation of extraordinary cases from routine handling, reduced reporting, and use of electronic communications. In addition to streamlining established systemwide review processes, the Compendium also formalized some review processes, most notably those for transfer, consolidation, disestablishment, and discontinuance actions.

In 1997-98, the APC established the APC Ad Hoc Compendium Review Subcommittee in order to learn how both the campuses and the systemwide office had received the Compendium. This resulted in the correction of problems resulting from the efficiencies established in 1994-95, and further increased efficiencies without reducing the effectiveness of the document.

In contrast to 1994-95, it was agreed that the 1997-98 Subcommittee could propose changes that moved outside the established review framework as well as changes that remained within it. This turned out to be an important agreement in that some major changes to the 1994-95 review framework were adopted. The most significant of these were the elimination of systemwide review and approval processes for actions involving undergraduate degree programs, departments, and organized research units (ORUs); simplification of the Five-Year Plans (renamed the “Five-Year Perspectives”); and clarification of “simple” name changes for graduate degree programs and multicampus research units (MRUs).

The 2009-10 review was characterized by renewed attention to large academic planning issues (e.g., new Schools and the Five-Year Planning Perspectives) and budget issues, as well as an acute need to update this important manual that had not been revised in over ten years. This was precipitated by the Senate’s review of four proposals for new schools in the 2007-08 academic year—a new School of Public Health at UC Davis, a new School of Public Policy at UC Riverside, a new School of Nursing at UC Davis, and a new School of Medicine at UC Riverside. Another theme that emerged from the review was the importance of reinvigorating the renamed *Five-Year Planning Perspectives*. This project was undertaken by a Task Force of 14 members that included faculty, Senate Directors, campus administrators and systemwide administrators and systemwide Senate staff (see below). The Task Force also acknowledged the parts of the Compendium that have worked well over the past ten years, such as the rigorous reviews of new graduate

programs. The review protocol that had been developed by CCGA for this purpose was also formalized into this edition of the Compendium.

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Introduction

The Compendium presents universitywide review processes for creating and changing academic degree programs, academic units, and research units, and is designed to serve as a manual to the wide range of administrators, faculty, and staff who participate in these processes. Specifically, the Compendium contains systemwide review processes for proposals to create, change the name of, transfer, consolidate, disestablish, and discontinue graduate degree programs, schools and colleges, and MRUs. It also covers the *Five-Year Planning Perspectives* on anticipated actions that the campuses prepare each year, which is required to meet planning needs of the California Postsecondary Education Commission (CPEC). In addition, it covers a variety of minor topics that sometimes arise with respect to systemwide review processes; for example, accelerated reviews and disagreements between Senate and the Administration.

The Compendium is supported by a few guiding principles that have served the University well over the last 15 years. *The most important is that academic programs, academic units, and research units work best when both faculty and administrators are supportive of them.* All review and approval processes should promote such mutual endorsement of any proposed action. At the same time, The Regents have explicitly delegated to the faculty responsibility for courses and curricula. The faculty, through the [Bylaws](#) of the Academic Senate, have placed authority for graduate programs with a systemwide committee (Coordinating Committee on Graduate Affairs) and authority for undergraduate programs with Divisional committees responsible for undergraduate education (including the approval of new courses). Administrators at the campus and systemwide levels retain authority for academic units and research units. The Compendium processes reflect these relative powers of the faculty and administration, on the campus and systemwide.

Compendium processes, most notably the *Five-Year Planning Perspectives*, are also intended to promote the coordination, synergy, and trade-off possible when UC operates as a system of campuses in one university while simultaneously recognizing the vigor and maturity of the individual campuses. Intercampus communication and systemwide perspectives are most valuable early in the campus process of developing a proposal. Compendium processes strive to place each anticipated proposal in the context of UC as a whole and to do so early in the campus process of developing any proposal.

In the previous version of the Compendium (1999), systemwide review processes were retained for those proposed actions that by their nature involve several campuses (e.g., creating an MRU), were more likely to have ramifications for other campuses (e.g., closing a school or college), or required more resources in order to carry them out successfully (e.g., creating a new graduate degree program). In these areas, the anticipation of a systemwide review can stimulate a broader perspective during the planning phase and the review itself can, as needed, further shape the proposed action to fit well into UC as well as into the proposing campus.

The Compendium refers to several individuals, committees, and agencies who participate in systemwide reviews. Their roles vary according to their mission, the proposed action, and the type of academic program, academic unit, or research unit involved. A glossary of titles and acronyms used in the Compendium can be found at the end of the text. The Compendium is divided into five principal parts:

1. Section I covers processes intended to provide a systemwide perspective on the various proposed actions campuses anticipate in the next five years.
2. Sections II through VI cover the Universitywide review processes for academic programs, academic units, and research units.
3. Sections VII through VIII cover miscellaneous special topics.
4. The Compendium Glossary (included among the appendices) provides explanations about the various people, committees, and organizations participating in systemwide review processes.
5. The other appendices provide flow charts, details of some review processes, and background documents.

The heart of the Compendium is Sections II through VI, along with the associated appendices. Section II covers undergraduate and graduate degree programs; Section III covers departments and schools and colleges; Section IV, Reconstitution, covers systemwide review processes for combinations and/or eliminations of two or more major actions considered part of a unified plan by the campus proposers; Section V covers organized and multicampus research units (MRUs); and Section VI covers systemwide entities.

In Sections II, III, and V, three major types of actions are described: (1) establishing a new program or unit, (2) changing the name of an existing program or unit, and (3) transferring, consolidating, discontinuing, and disestablishing existing program(s) or unit(s). Note that in this version of the Compendium the campus makes the final decision for all three types of actions when they involve undergraduate degree programs, departments, or organized research units. In addition, in certain circumstances, the campus makes the final decision about name changes for graduate degree programs and multicampus research units.

Each portion of Sections II through VI generally has the same format. It begins with an overview, followed by details of the process presented in rough chronological order. The processes continue to use the efficiencies adopted in the original Compendium and extend them wherever possible. In particular, there is increasing use of electronic mail and web sites either instead of paper transmission or in advance of a later, and perhaps more extensive, paper transmission. The UC Office of the President and the Academic Senate anticipate further changes in this direction and urge users of the Compendium to look for them.

I. Campus Five-Year Planning Perspectives for Academic Programs, Academic Units, and Research Units

The Five-Year Planning Perspectives, which each campus submits annually to UCOP in February, serve several purposes. They provide the information needed to prepare the Five-Year Planning Perspectives that UC is required to submit each year to the California Postsecondary Education Commission (CPEC), which uses this information in its annual review of the plans of all three public institutions of higher education (California Community Colleges, California State University, and University of California). The Five-Year Planning Perspectives also provides each campus with information that should be useful in its long-range planning. Moreover, analysis of the Five-Year Planning Perspectives from all UC campuses provides an opportunity to promote the coordination, synergy, and specialization possible when UC operates as a system of inter-related campuses. The preliminary picture that the Five-Year Planning Perspectives provide is especially useful, because intercampus communication and systemwide perspectives are most valuable early in the campus process of developing any proposal.

Overview of the Process

In the fall each campus, under the leadership of its Chancellor (or designee) will solicit input from their faculty and administration regarding proposed plans with a five year horizon. From this information a five year projection of anticipated actions to create, transfer, consolidate, disestablish or discontinue (TCDD) undergraduate degree programs, graduate degree programs, schools and colleges, ORU's and MRU's are submitted to the Divisional Senate by January 1 and then to UCOP and the systemwide Senate by February 1. By April 1, the combined Five-Year Planning Perspectives from the campuses are distributed to the campuses and to the systemwide Academic Senate, administrative, and joint Senate-administration committees concerned with academic degree programs, academic units, and research units. Systemwide committees, in a letter from the Chair of the Academic Council to the Provost, provide formal Senate comments on the five-year perspectives, prior to the start of the next academic year. CCGA, UCEP, UCORP, and UCPB are the primary committees that provide commentary on the Five-Year Planning Perspectives. Information from the campuses' Five-Year Planning Perspectives that pertains to projected new undergraduate and graduate degree programs and new schools and colleges is also submitted to CPEC (by April 30), which may also comment on them. By August 1, Academic Affairs will post each five-year perspective, its respective summary, and the comments received from the Senate and other units on a UCOP website in order to increase transparency. If summaries are not drafted, then the five-year lists and comments would suffice.

The campus submission includes a list of all such projected actions for the next five years and short descriptions of those actions for which proposals should be ready in the next year or two. The Five-Year Planning Perspectives are limited to those programs and academic units that are in active stages of planning for establishment or disestablishment. Also, academic units should only stay on these lists for a maximum of three years with no discernible activity or development. If proponents of a proposed program or school

request that a proposal stay on a Five-Year Planning Perspective longer than three years with no discernible activity or development, then a rationale for such an extension should be submitted, which should be attached to its Five-Year Planning Perspective submission. Note that in order to assist in systemwide planning and to participate in annual CPEC reviews, anticipated actions involving undergraduate degree programs and ORUs must be included in each campus's five-year projection, along with a detailed description, even though formal proposals to implement these plans are not subject to UC systemwide review and approval processes.¹

Details of the Process

1. By January 1, The Chancellor (or designee) submits the campus's *Five-Year Planning Perspective* to the campus's Senate Divisional Chair for review. The report includes the following:
 - a. A list of undergraduate degree programs, graduate degree programs, schools and colleges, ORUs, and MRUs for which the campus anticipates any action to create, transfer, consolidate, discontinue, or disestablish such a program or unit within the next five years. The list should be divided into four sections:
 - i. Anticipated creations of new academic programs, academic units, and research units. The number of years that these anticipated creations have been on the list should be indicated next to each item in parentheses. Anticipated actions to create new programs or other academic units (schools and colleges) must be evidenced by a pre-proposal to be added to the list. If an anticipated creation has remained on the list for more than three years, it should be removed unless there are extraordinary circumstances that warrant its retention on the list.
 - ii. Anticipated creations that appeared in last year's list and are not included in this year's list (identify those approved and those withdrawn).
 - iii. Anticipated transfers, consolidations, discontinuances, or disestablishments (TCDD) of academic programs, academic units, and research units.
 - iv. Anticipated TCDD actions that appeared in last year's list and are not included in this year's list (identify those approved and those withdrawn).
 - b. Concise descriptions for those items in the list (see Section IIa) that are likely to be submitted soon for campus review. Each description should follow the format described in Appendix 1.
 - i. For the creation of a new school or college, a 2- to 5-page pre-proposal should be submitted at least two years before the formal proposal would be ready for campus review.
 - ii. For every other anticipated action included in the Five-Year Planning Perspective list, a 1- to 2-page description should be submitted at least one year before a formal proposal would be ready for campus review.
 - iii. If a description was submitted in a previous year and is still accurate, it need not be submitted again.

¹ See Section II. Academic Degree Programs; and Section V. Research Units.

- iv. If a proposed action has remained on a list for more than three years with no discernible activity or development, and it is not removed (see above), then a one-page rationale must be enclosed documenting the reason(s) why it is still on the list.
2. By February 1, the Chancellor (or designee) submits the campus's Five-Year Planning Perspective to the Provost.
3. The Provost transmits the Five-Year Planning Perspectives to Academic Affairs staff and Office of Research and Graduate Studies (ORGS) staff who review them and update any relevant databases.
4. By April 1, the Provost distributes the combined Five-Year Planning Perspectives (lists and detailed descriptions) for all UC campuses to the Academic Council Chair and various other systemwide bodies, as well as to the campuses. ORU/MRU List URL (as of 10/2009): <http://patron.ucop.edu/ucaccess/rescenters/searchform.html>.
5. By April 30, the Provost transmits the Five-Year Planning Perspectives to CPEC.
6. In April, May, June, and July, the UCOP summaries of the Five-Year Planning Perspectives and the detailed descriptions in them are discussed by systemwide groups, including the systemwide Academic Senate. A particular anticipated action may be reviewed in order to provide early feedback about crucial issues to consider in the further development of the proposal. In general, however, reviews focus more on systemwide, than campus-specific issues. Among the issues that could be considered are the following:
 - Potential for cooperative planning
 - Similarities among anticipated actions and relationships between anticipated actions and extant programs and units, both within and across campuses
 - Extent of need for new resources or extent of freeing up of existing resources
 - Financial sustainability over time
 - Potential to enhance UC (or campus) character or reputation
 - Relationship to needs of the state and the nation
 - Involvement of both the Senate and the Administration in the development of proposals for anticipated actions and in their subsequent review

When the description for a proposed new school or college is first submitted, a similar but somewhat expanded and non-optional early feedback process is followed (see Section III.B.1).

7. Systemwide Senate committees that wish to comment on the Five-Year Planning Perspectives (normally CCGA, UCEP, UCORP, and UCPB) should send a letter to the Academic Council chair; the Council Chair will forward committee responses to the Provost.

8. By August 1, the Provost, or his or her designee, posts all Five-Year Planning Perspectives' lists, as well as their respective UCOP-generated summaries and comments from systemwide units (including the systemwide Academic Senate), on a UCOP website. If summaries from Academic Affairs are not drafted, then the five-year lists and comments will suffice.
9. In the fall, at the discretion of the APC Chair and Vice Chair, the Five-Year Planning Perspectives, as well as the Senate and administrative comments on them, may be placed on the APC agenda. If so, the APC may recommend how any Universitywide issues in need of attention over the upcoming year should be addressed. Further planning activities may include referral of the issue to existing groups, creation of an ad hoc group, a special staff study, or other approaches to gather expert advice. If the APC is going to pursue any such issues, the Chair and Vice Chair send a joint letter to the Chancellors (or designees) and relevant systemwide groups identifying the Universitywide issues that may affect campus planning.
10. Generally, campuses are expected to include anticipated actions in the campus Five-Year Planning Perspectives at least one year prior to the proposal being reviewed on campus (two years for proposed new schools and colleges). However, on occasion, a campus may identify and want to move very quickly on a particular action (e.g., a new ORU responsive to a federal initiative, a new intercampus graduate degree program, a reconstitution, or a change in a school arising from a TCDD action). If so, the usual Five-Year Planning Perspectives' description should be prepared and sent to the Provost at the time the proposal begins the campus review process. The Provost will notify everyone who would have learned of the proposed action via the usual Five-Year Planning Perspectives process and, in consultation with the Council Chair, will transmit any reactions back to the campus. If the proposed action would ordinarily be reviewed systemwide, then the systemwide review process will begin by addressing any systemwide perspective that would have been considered had the proposed action first been analyzed as part of a Five-Year Planning Perspective.

II. Academic Degree Programs

II.A. Undergraduate Degree Programs

With the exception of undergraduate degree programs involving a title unique to the campus or undergraduate/graduate hybrid degree programs, all actions involving undergraduate degree programs are administered by the individual campuses without systemwide review. These include creating a new undergraduate degree program, changing the name of an existing undergraduate degree program, and consolidating, transferring, or discontinuing an existing undergraduate degree program. Implementation of any of these actions is subject to approval by the respective Divisional Academic Senate authority and endorsement by the campus administration.

Anticipated actions involving undergraduate degree programs should be included in the Five-Year Planning Perspectives. All final campus actions involving undergraduate degree programs should be reported to systemwide offices in a monthly report to the Provost (or designee), copied to appropriate staff at UCOP.

The two actions involving undergraduate degree programs that do require systemwide review and approval are the creation of an undergraduate degree title unique to the campus (e.g., the first-ever B.F.A. program on the campus)²; and the establishment of hybrid undergraduate/graduate degree programs.³

II.A.1. Undergraduate/Graduate Hybrid Degree Programs

Overview of the Process

Undergraduate/Graduate hybrid degree programs are those degree programs that allow for a student to complete an undergraduate and graduate curriculum simultaneously. The approval of such programs requires that particular attention be paid to double-counting of units. Such a hybrid program must be sent to the Divisional Committee on Educational Policy (CEP) and Graduate Council simultaneously. Upon receipt of the proposal, a joint subcommittee of these two standing committees will review the hybrid program. If the hybrid program is approved, it will be forwarded to CCGA per the guidelines laid out in Section II.B.1., *Establishment of New Graduate Degree Programs*.

² See Section II.C.

³ See Section I.A.1.

Details of the Process

1. At least one year before a new undergraduate/graduate hybrid degree program proposal is approved on the campus, the anticipated action will have been included in the campus's Five-Year Planning Perspectives.
2. The proposal is sent to the Divisional Committee on Educational Policy (CEP) and Graduate Council simultaneously for review.
3. Upon receipt of the proposal, a joint subcommittee of these two standing committees will review the hybrid program.
4. If the hybrid program is approved, it will be forwarded to CCGA per the guidelines laid out in Section II.B.1., *Establishment of New Graduate Degree Programs*.

II.B. Graduate Degree Programs

II.B.1. Establishment of New Graduate Degree Programs

Overview of Process

At least one year before a new graduate degree program proposal is approved on the campus, it should have been included in the campus's Five-Year Planning Perspectives. Proposals for all new graduate degree programs, including self-supporting degree programs, degrees offered under the Master of Advanced Studies (M.A.S.) title, multi-campus degree programs, and degree programs jointly sponsored by UC campus(es) and other higher education institutions (e.g., CSU)⁴, are reviewed systemwide.

Once the new graduate degree program proposal is submitted for systemwide review, it is simultaneously considered by the Provost (or designee), CPEC, UC campuses with similar degree programs, and CCGA. The CCGA review typically requires several months and includes consultation with the campus and an evaluation of the written materials by two or more disciplinary experts. For a new degree to be offered by the campus, CCGA must approve the final version of the proposed degree program and the President must approve implementation of it.

Self-Supporting Graduate Professional Degree Program Proposals: Self-supporting part-time graduate professional degree programs must adhere to the same UC academic standards as do other graduate degree programs.

⁴ For the review and re-review of joint UC-CSU programs, see Section II.B.2.

Details of Process

1. At least one year before a new graduate degree program proposal is approved on the campus, the anticipated action will have been included in the campus's Five-Year Planning Perspectives. The Chancellor (or designee) will have received from the Provost (or designee) a summary of any issues raised by CPEC in its review. Systemwide Academic Senate, administrative, and joint Senate-administrative committees that have reviewed the Five-Year Planning Perspectives may also have sent comments to the Chancellor (or designee) with copies to the relevant parties.
2. If the proposed graduate degree program was not included in any prior Five-Year Planning Perspectives, then at the time the proposal becomes public on the campus, the campus prepares and submits the 1- to 2-page description that would have been in the Five-Year Planning Perspectives (see Section II.B.). The Provost notifies individuals who would have learned of the proposed action via the usual Five-Year Planning Perspectives process and, in consultation with the Academic Council Chair, transmits any feedback to the campus with a copy to the Divisional Chair. The CCGA and UCOP reviews also address the systemwide perspective that would have been considered had the proposed action first been analyzed as part of the Five-Year Planning Perspectives.

On approval by the Divisional Senate and the administration, the Chancellor (or designee) sends all required materials to systemwide reviewers. The elements required in a proposal for a new graduate degree proposal are found in the [CCGA Handbook](#), *Procedures for Proposals for New Graduate Degree Programs*. The Provost (or designee) analyzes the proposal and sends this analysis to the Academic Council Chair, CCGA Chair, and CCGA analyst.

4. The Provost (or designee) sends the CPEC Summary to CPEC for review that runs simultaneous to review by CCGA. If any issues remain unresolved before CPEC concurs with the proposal, the Provost (or designee) works with the campus to resolve them. CPEC reports its concurrence to the Provost (or designee).
5. CCGA carries out its review, which customarily takes into account the campus's Five Year Planning Perspectives. The review includes a full committee discussion; a dialogue with the campus administration and program proposers to clarify issues and make modifications to the proposal; a review of the proposal by at least two external disciplinary experts; and in rare instances, a site visit by the CCGA lead reviewer.
6. If CCGA approves the program, the CCGA Chair transmits the committee's approval and final report to the Provost, with copies to the Academic Council Chair, CCGA, CCGA analyst, the Divisional Chair, and the campus program proposers. **NOTE:** If the proposed graduate degree program uses a degree title (e.g., M.F.A.) that has never been used before on the campus, then additional reviews and approvals are needed following CCGA's approval of the degree program (see Section II.C.). The approval letter also needs to be sent to the Academic Council Chair who places authorization

of campus use of the new degree title on the agenda of the next meeting of the Assembly of the Academic Senate. If there is no scheduled meeting of the Assembly of the Academic Senate within 60 days of CCGA approval of the graduate degree program, then, and in accord with Senate bylaws, the matter is placed on the agenda of the Academic Council.

7. If CCGA and/or the Assembly of the Academic Senate approves the program proposal, the Provost recommends to the President that the proposed graduate program be implemented.
8. After the President approves implementation of the proposed program, the Provost (or designee) notifies the campus and CCGA of final approval by e-mail and then sends a hard copy of the President's formal recommendation to the campus and the Divisional Chair.

II.B.2. Joint Graduate Degree Programs

II.B.2.a. Establishment of New Joint Graduate Degree Programs

Overview of Process

The establishment of new joint graduate degree programs with other higher education institutions (usually CSU) mirrors the process laid out in Section II.B.1. above. Systemwide review is required and all sponsoring parties should approve the proposal. The lead UC campus should then submit the proposal for systemwide review. The review process is written as though the degree program were offered by a single UC campus; appropriate adjustments are made for other circumstances. Over time, a basic philosophy for the review of joint programs has emerged within the University. Joint doctoral degree programs (JDPs) are designed to combine the intellectual and physical resources in a discipline where a program is being proposed, to be mutually beneficial to both UC and CSU, and to meet a need not currently being met by UC. Students enrolled in such programs take advantage of the infrastructure and discipline/research expertise present in both systems. It is expected that the research interests and program strengths of the proposing UC and CSU academic departments complement and reinforce each other, rather than duplicate an existing program. Such a logical combination, therefore, broadens the base upon which the program is being developed and provides a wider breadth and depth of faculty and curricula. Final review and approval of all JDPs rests with the Joint Graduate Board (JGB).

Towards the end of developing robust joint degree programs, CCGA has identified the following criteria⁵ as important to guide the University's review and approval of these programs. First, once permission to negotiate is requested, the proposing UC campus should demonstrate: 1) The interest of faculty members from the proposing department or group to participate in the program and the potential benefits to be derived from the program by UC; 2) the adequacy of existing staff and facilities by showing that faculty, courses, equipment, and library and other facilities are already in place, and only minimal resources will be required; 3) that there is an existing or closely related Ph.D. program in the discipline in which the joint doctoral program is being proposed; and 4) there is an existing group of faculty whose expertise is in the discipline of the proposed joint doctoral program and who can and will exercise the same quality control over the proposed program that the campus applies to its own free-standing doctoral programs. Second, the proposal should include the rationale for a joint program (e.g., its uniqueness); that the combined faculty provides needed expertise and can meet societal demand; that the program provides opportunities for equipment sharing and research

⁵ For a full treatment of review criteria, as well as a list of what should be included in the actual proposal, see the [CCGA Handbook](#), Appendix H, Criteria for Reviewing Proposed Joint UC/CSU Doctoral Programs.

collaboration. Third, the responsibility for the administration of the doctoral program should be equally divided between the two systems. This entails that 1) UC and CSU are jointly responsible for admission of students; 2) each participating segment should have a faculty member (graduate advisor) responsible for and knowledgeable about the program (and a staff member to support him or her); 3) The proposal should be explicit about the location of registration and payment of fees throughout the program, and the location of student support services, including assistance in securing financial support; and 4) joint programs may require additional resources, beyond those required by any new program at start-up because of their joint activities.

II.B.2.b. Review/Re-Review of Joint Graduate Degree Programs

Overview of Process

With the passage of legislation permitting CSU campuses to offer unilateral doctoral degrees in education (Ed.D. degrees)⁶, there exists the likelihood that some CSU campuses partnering in programs with UC campuses may express an intent to withdraw or substantially reduce their involvement in the joint program. In addition, any partner in an existing joint graduate degree program may wish to formally withdraw for any reason. Such withdrawals have the potential to seriously impact the nature, quality, and curriculum of the UC program. Once a partner has formally withdrawn from a joint graduate degree program, a re-review proposal should be sent to CCGA.

Programs may admit up to two cohorts of students after the withdrawal, formal or de facto, of any partner, without further CCGA review. However, any program for which the participation of one or more CSU is withdrawn or significantly reduced will need to provide supplemental material for CCGA review before the third cohort is admitted. Any program wishing to cease operation should follow the procedures for the Transfer, Consolidation, or Discontinuance of Graduate Degree Programs, as delineated in Section II.B.4.

There are two classes of review. Class I review criteria apply to programs that will retain their original, approved academic focus with no changes to the curricular and degree requirements. Class II review criteria apply to programs for which there are changes to the academic focus and/or degree requirements in which case the determination for Class I or Class II status will be made by CCGA in consultation with the program chair. The recommendation of whether a program merits a Class I or Class II re-review shall be made by the Divisional Graduate Council, in consultation with the chair of CCGA. CCGA retains the final authority over the determination.

Class I Review

Class I programs are reviewed by the members of CCGA, without recourse to expert reviewers. The supplemental material may make reference to the existing, approved JDP

⁶ SB 724 (2006) authorized CSU to award a specific Doctor of Education (Ed.D.) in educational leadership.

proposal, which should then be provided as background material. The thrust of the supplemental material shall be to demonstrate that the academic goals of the original proposal can be met with the new configuration. The supplemental material shall include sections on the following topics:

- Enrollment targets
- Changes to the nature of delivery (increase or reduction to online/remote learning, change of daytime to nighttime classes, etc.)
- Description of how anticipated resources will be sufficient to meet curricular and advising needs, including faculty, space, staffing library, and computing resources. Where resources additional to those already available are required, timelines and letters of commitment for providing those resources should be provided. An amended five-year budget should be prepared.
- Student support

If one or more CSUs (or other institutions) will remain a partner, appropriately modified program bylaws, and a draft of a renegotiated MOU, should be provided. If no CSUs (or other institutions) remain partners, but the degree requires interdepartmental or interdivisional cooperation, revised bylaws should be provided.

Letters of support from the overseeing Dean(s), including commitments to provide ongoing resources, as well as whatever additional resources will be necessary, should be provided. The committee report from the most recent program review should be provided, as well as responses to the report from the program and administration.

Class II Re-Review

Class II programs will be subject to full external review, and the re-review will proceed essentially along the lines of a full CCGA review, as if the program were being proposed anew. The supplemental material should take the same form as a full proposal, although reference may be made, as appropriate, to the prior proposal. The prior version of the proposal should be made available to CCGA, and the rationale for the changes to the academic focus, degree requirements, and curriculum should be discussed.

Re-Review Process

For both Class I and Class II reviews, the review process should unfold similarly to that for new proposals. Materials should be developed by the program, and be submitted to the Divisional Graduate Council. After approval by the Divisional Graduate Council, the materials should be forwarded to CCGA by the appropriate administrator.

For Class I review, at the discretion of the program's proponents and the Divisional Graduate Council, materials may be sent to CCGA for informal review at any point before the approval of the Divisional Graduate Council is obtained. The purpose of this informal review is to improve the likelihood of smooth passage of the re-review materials

through CCGA, although CCGA’s eventual formal review will be no less rigorous than that for programs that do not request informal review.

II.B.3. Name Changes of Graduate Degree Programs

Overview of the Process

All proposed name changes must be forwarded to CCGA for systemwide review. In making this request, certain supporting materials must be provided, such as email correspondence and other documentation, showing that the proposal has been approved by the Divisional Graduate Council and received favorable review by the campus administration. CCGA has the authority deem the name change as either a “simple name change” or one that requires an expedited review of the program. The faculty member responsible for the degree program is encouraged to consult with the Divisional Graduate Council Chair before formal submission. If CCGA feels that the name change is associated with a fundamental change in the nature of the graduate degree program, a change in the degree requirements, or a need for substantial new resources, then CCGA will conduct an expedited review of the program. Such an expedited review will consist of an evaluation by one internal and one external reviewer; submission of a full program proposal (as if the degree program is being proposed for the first time) by the lead faculty members is also required.⁷

Details of Process

When requesting a name change of a graduate degree program, the responsible faculty member should consult with the Divisional Graduate Council Chair to determine whether or not the request constitutes a “simple” name change. A “simple” name change only applies when the name change does not also involve (or signal) a change in the degree requirements of the program and/or the graduate degree program does not require substantial new resources. If either condition pertains, CCGA may request an expedited review (see above).

Note also that the process is described as though the degree program were offered by a single UC campus. If it is a joint degree program, then the other participating campuses or higher education institutions must also approve the name change and confirm that it does not signal a fundamental programmatic change or need for substantial new resources. The proposed name change of graduate degree program must also conform to the Regents’ *Policy on Naming Facilities to Include Full Name of Individual*.⁸

⁷ See Section II.B.1., Establishment of New Graduate Degree Programs.

⁸ *Policy on Naming Facilities to Include Full Name of Individual* (approved February 18, 1966 and updated September 22, 2005). It is the policy of The Regents that when a facility or program is named in honor of an individual, the complete name of that individual will be used as the official name of the facility or program. The last name of the individual so honored may be used in referring informally to the facility and

The responsible faculty member prepares a brief proposal describing the rationale for requesting a new name for the graduate degree program and certifying that there is no associated change in the degree requirements of the program and/or any need for substantial new resources; the proposal is submitted to the Divisional Graduate Council.

1. The Divisional Graduate Council approves the name change and confirms that the action does not involve a change the degree requirements and/or require substantial new resources and so informs the Chancellor (or designee). If the Divisional Graduate Council concludes that the name change does involve a fundamental change in the nature of the graduate degree program or a need for substantial new resources, it will then ask CCGA to do an expedited review of the program. [Go to Step 3.]
2. The Chancellor (or designee) favorably reviews the name change and confirms that the action does not involve a fundamental change in direction or require substantial new resources.
3. The campus transmits all materials from the responsible faculty, Divisional Graduate Council, and Chancellor (or designee) to CCGA for review and confirmation of a simple name change. If CCGA deems that the request is indeed “simple” name change, then the systemwide review is complete, and the campus decision is final. However, if CCGA concludes that the name change signals a change in the degree requirements of the program and/or a need for substantial new resources, then it will conduct an expedited review, thereby asking the Divisional Graduate Council to facilitate the process whereby the campus will submit a full program proposal (as if the degree program is being proposed for the first time) by the lead faculty members.⁹ The new program proposal must be approved by the Divisional Council before being submitted to CCGA for review.
4. After approval by the Divisional Graduate Council, CCGA will engage in an expedited review, which by definition, only requires one external review and one internal review¹⁰. The elements required in a proposal for a new graduate degree proposal are found in the [CCGA Handbook](#), *Procedures for Proposals for New Graduate Degree Programs*, and Appendix B, Format for the Graduate Degree Program Proposal.

may be used on the name plaque affixed to the facility or in statements made regarding the facility or program.

⁹ See Section II.B.1., Establishment of New Graduate Degree Programs.

¹⁰ The internal review should be included in the proposal.

II.C. Undergraduate and Graduate Degree Programs with Unique Titles

Most proposed actions involving undergraduate and graduate degree programs are complete after the procedures described in Sections II.A. and II.B. However, those actions that would create a new degree title on a given campus or would remove the last degree program carrying a particular degree title on that campus are subject to additional review and approval procedures, all of which are described in this section.

Undergraduate and graduate degree programs are identified both by the title of the degree conferred and by the disciplinary area in which the degree is awarded. As one example, an undergraduate degree program such as a B.S. in Mathematics is offered in the disciplinary area of mathematics with the Bachelor of Science degree title. As another example, a graduate degree program such as an M.F.A. in Theater is offered in the disciplinary area of theater with the Master of Fine Arts degree title.

The Standing Orders of the Regents contain a section that specifies the degree titles, but not the degree programs, that each campus is authorized to offer. Accordingly, when a campus proposes a new undergraduate or graduate degree program that bears a degree title whose use by that campus is not already authorized in the Regents' Standing Orders, additional review and approval procedures are necessary in order to authorize the campus to offer that degree title. Similarly, when a campus proposes to discontinue an undergraduate or graduate degree program that is the only one on the campus bearing that degree title, additional procedures are necessary in order to remove that degree title from the Regents' Standing Orders. If all approvals are granted, these additional procedures result in the campus either being authorized to offer a new degree title (for the proposed degree program and for future degree programs bearing that degree title) or no longer being able to offer any degree program using that degree title. After a degree title on a campus has been removed from the Regents' Standing Orders, the campus must go through the entire establishment process if it wishes to use the degree title again.

Details of Process to Create a New Undergraduate Degree Title

1. The responsible Divisional Academic Senate committee approves the undergraduate degree program and sends the approved proposal to the Divisional Chair who places authorization of campus use of the new degree title on the agenda of the appropriate Senate body (ordinarily a legislative assembly or a governing board).
2. Campus use of the new degree title is approved by the appropriate Divisional Senate body.
3. The Divisional Chair notifies the Chancellor (or designee) who notifies the Provost of the Divisional committee's approval of the undergraduate degree program, the approval of the degree title by the appropriate Divisional Senate body, and the

administration's favorable review of the undergraduate degree program and new degree title.

4. The Provost (or designee) prepares the recommendation that the President authorize use of the new degree title, which The Regents have delegated authority to authorize campus use of a new degree title (SOR 110.1).
5. The President authorizes campus use of the new degree title and the Provost notifies the campus Chancellor (or designee), with a copy to the Divisional Chair.
6. The Secretary to the Regents changes the Standing Orders of the Regents to reflect campus authorization to use the new degree title henceforward.

Details of Process to Discontinue a Unique Undergraduate Degree Title

1. The responsible Divisional Academic Senate committee approves discontinuance of the undergraduate degree program and notifies the Divisional Chair, Chancellor (or designee), Academic Council Chair, and Provost that there are no longer any undergraduate degree programs using the particular degree title on that campus.
2. Five years after the discontinuance becomes effective, if the degree title is still not being used on the campus, the Provost notifies the Chancellor (or designee), with copies to the Academic Council Chair and Divisional Chair, that in three months the President intends to authorize removal of the degree title from those the campus is authorized to use under the Standing Orders of the Regents.
3. If the Chancellor (or designee) concurs or does not respond, then at the designated time, the President, to whom the Regents have delegated authority, approves removal of the degree title from the Standing Orders of the Regents and the Secretary to the Regents changes them. The Academic Council Chair and the Divisional Chair are copied on this correspondence.
4. If the Chancellor (or designee) does not concur, then the Chancellor (or designee), Divisional Chair, Academic Council Chair, and Provost confer to determine a (short) timetable for the campus to establish a new undergraduate degree program utilizing that title or to agree that the title should be retired from those the campus is authorized to use.

Details of Process to Create a New Graduate Degree Title

1. CCGA approves the graduate degree program and sends the approved proposal to the Academic Council Chair who places authorization of campus use of the new degree title on the agenda of the next meeting of the Assembly of the Academic Senate. If there is no scheduled meeting of the Assembly of the Academic Senate within 60 days of the CCGA approval of the graduate degree program, then in accord with Senate bylaws the matter is placed on the agenda of the Academic Council.

2. Campus use of the new degree title is approved by the Assembly of the Academic Senate or by the Academic Council acting on behalf of the Assembly of the Academic Senate.
3. The Academic Council Chair notifies the Provost of CCGA's approval of the graduate degree program and of Assembly of the Academic Senate (or Academic Council) approval of the degree title and copies the CCGA Chair, CCGA analyst, and the Divisional Chair.
4. The Provost (or designee) prepares the recommendation (including CCGA's and Assembly's (or Academic Council's) recommendations to approve the new degree title) that the President, to whom the Regents have delegated authority to authorize campus use of a new degree title (SOR 110.1), to formally authorize the use of the new degree title.
5. The President authorizes campus use of the new degree title and the Provost notifies the campus Chancellor, with copies to the Academic Council Chair, CCGA Chair, and Divisional Chair.
6. The Secretary to the Regents changes the Standing Orders of the Regents to reflect campus authorization to use the new degree title henceforward.

Details of Process to Discontinue a Unique Graduate Degree Title

1. The Divisional Graduate Council (or the Divisional Academic Assembly) must approve all discontinuances of all unique graduate degree titles.
2. CCGA receives notice from the campus of the discontinuance of the graduate degree program or CCGA initiates the process to approve the discontinuance of the graduate degree program.¹¹ CCGA notifies the Divisional Chair, Chancellor (or designee), Academic Council Chair, and Provost that there are no longer any graduate degree programs using the particular degree title on that campus.
3. Five years after the discontinuance becomes effective, if the degree title is still not being used on the campus, the Provost notifies the Chancellor (or designee), with copies to the Academic Council Chair and Divisional Chair, that in three months the President intends to authorize removal of the degree title from those the campus is authorized to use under the Standing Orders of the Regents.
4. If the Chancellor (or designee) concurs or does not respond, then at the designated time the President, to whom the Regents have delegated authority, approves removal

¹¹ CCGA might initiate the process to approve the discontinuance of the graduate degree program if it learned that the degree program had essentially been dormant for 10 years or more (e.g., no students, etc.), or if it learned that a campus had plans to restart a dormant degree program with the same name but a different curriculum, thereby potentially bypassing a Divisional and CCGA review.

of the degree title from the Standing Orders of the Regents and the Secretary to the Regents changes them. The Academic Council Chair, CCGA Chair, and Divisional Council Chair are copied on this correspondence.

5. If the Chancellor (or designee) does not concur, then the Chancellor (or designee), Divisional Chair, Academic Council Chair, and Provost confer to determine a (short) timetable for the campus to establish a new graduate degree program utilizing that title or to agree that the title should be retired from those the campus is authorized to use.

II.D. Interdepartmental Graduate Programs

Overview of Process

CCGA requires that all interdepartmental graduate program (IDP) or graduate group proposals shall include a set of governance bylaws in addition to a number of guarantees from campus academic officials (e.g., teaching-assistant, library resources, courses, etc.).

II.E. Graduate Academic Certificate Programs

Overview of Process

[Senate Regulation \(SR\) 735](#) authorizes Graduate Divisions to grant certificates of completion of graduate curriculum, also known as Graduate Academic Certificates (GACs). SR 735 requires that these certificate programs be approved by both the Divisional Graduate Council and by CCGA. Note that certificates offered by University Extension are not covered by SR 735. A GAC is defined as a certificate program that:

- a) Does not require its students to be enrolled in another graduate program;
- b) Is not offered solely through a UC Extension Program;
- c) Has an independent admissions process, which requires at least a Bachelor's degree for admission; and
- d) Carries a minimum of 3 quarters (or 2 semesters) of full-time resident study.

Certificate program proposals that meet the above criteria and are approved by CCGA according to SR 735 will be recognized as the only GACs that bear the Official Seal of the University of California. Certificates that do not conform to the requirements of SR 735 (e.g., are offered in conjunction with other types of professional or academic degrees,

and are not considered stand-alone programs), should be critically reviewed on the local campus.

Details of the Process

New GACs should be reviewed/approved first at the local campuses by the Divisional Graduate Council before being submitted for systemwide Senate review by CCGA. The systemwide review of GACs typically includes the following elements:

1. New GAC program proposals will be submitted to CCGA for review as full proposals similar to those for the Master's and Ph.D. programs.
2. The review of a new GAC program at CCGA will involve at least one expert reviewer.
3. Current and active GAC programs, which have not received approval from CCGA or their Divisional Graduate Council, should submit a proposal to their Divisional Graduate Council, which should include a 2-3 page summary briefly describing the Program, admission requirements, curriculum, completion requirements, student assessment, faculty expertise, number of students admitted and graduated and normative time. After approval from the Divisional Graduate Council, the summary will then be directly forwarded to CCGA.
4. CCGA will expedite the review of current and active GACs such that after CCGA approval, they will be in line with SR 735.

III. Academic Units

Any aggregation of academic programs organized as a school, college, division or another title, that appoints faculty members who are members of the Academic Senate and who vote as a unit under Academic Senate [Bylaw 55](#) shall be treated as an academic unit.

III.A. Departments

Actions involving departments are carried out on the ten established campuses, and do not involve review by the systemwide office. Such actions include creating a new department, changing the name of an existing department, and consolidating, transferring, or disestablishing an existing department. If approved by the appropriate agencies of the Divisional Academic Senate and approved by the campus administration, an action involving an academic program that appoints faculty members who are members of the Academic Senate and who vote as a unit under Academic Senate [Bylaw 55](#) shall be reviewed as an action involving a department. Any proposed actions involving undergraduate or graduate degree programs associated with affected department(s) should be handled according to the procedures described for the proposed action for either undergraduate or graduate degree programs. All final campus actions involving departments should be reported to systemwide offices within a month of the action.

III.B. Schools and Colleges

III.B.1. Establishment of New Schools and Colleges

Overview of Process

The establishment of new schools or colleges represents a significant outlay of resources, and should be given careful consideration by the campus administration, Divisional Academic Senate, universitywide administration, systemwide Academic Senate, and ultimately, the Regents. In the face of limited state support for new endeavors, rigor in the reviews of proposed new schools and colleges is very important. The process for establishing a new school or college is a two-step process and takes at least two years to complete. At least one year before a full proposal is submitted, the proponents of the new school are expected to submit a pre-proposal initially to the Divisional Academic Senate, and subsequently to the systemwide Academic Senate and systemwide Administration.¹² The pre-proposal should receive approval from the Divisional Senate before being forwarded to systemwide entities. Once the pre-proposal has been received by the

¹² A pre-proposal is required in all cases except when a substantial philanthropic gift is offered, deemed necessary for establishment, and contingent on the school's approval. In such cases, this requirement may be waived, and full attention will be paid to the full proposal.

systemwide Senate, it will be reviewed by CCGA, UCEP, and UCPB, as well as by any other systemwide standing committees that the Academic Council Chair wants to request review of it. After the campus proponents of the school have received comments on the pre-proposal from both the systemwide Senate and the systemwide Administration, the campus should prepare a full proposal. Once the full proposal is ready, it is sequentially reviewed by 1) the Divisional Academic Senate; 2) and then simultaneously considered by UCOP, CPEC, and the systemwide Senate (includes CCGA, UCEP, UCPB, as well as any other systemwide Senate committees the Academic Council Chair chooses to involve). For a new school or college to be approved, the Universitywide Senate favorably reviews, CPEC concurs, and the President recommends approval to the Board of Regents, which must give its final approval. If a campus fails to establish a new school or college within seven years of the date of its Regental approval, it must submit a post-proposal. The post-proposal updates the original proposal, and must provide a clear and compelling justification for the school or college in the context of a changed budgetary and curricular environment that may not have existed when the original proposal was approved.

Categories of Review

Every proposal and corresponding Senate review should address each of the following categories of review:

- A. **Academic Rigor:** The academic rigor of the proposed academic unit is of utmost importance. Equal weight should be placed on the academic merits of the program as well as on its financial aspects.
- B. **Financial Viability:** The proposal should stress the financial stability of the proposed school or college and provide multi-year budget and contingency plans. A detailed budget including revenue sources, start up costs, build out costs, steady state funding expectations, personnel costs, and capital costs/space needs must be provided. Failure to provide a detailed presentation and discussion of the budget will be viewed as a cause for rejection of the proposal.
 - i. **FTE Requirements:** The proposal should include a clear plan for faculty FTE requirements for each stage of development. The proposal should clearly list the number of faculty FTEs needed at start-up, the various stages of the school's build-out, and steady-state; the balance of full-time faculty at various ranks with lecturers and other temporary or part-time teaching help should also be detailed. The school's financial plan should describe in detail how FTEs will be funded, including whether any faculty will be shared with other departments or schools. The proposal should also pay particular attention to both the amount of time and resources needed to hire new FTEs as well. Finally, the need for particular specialties and sub-specialties should also be articulated and should fit with the curriculum.
 - ii. **Capital Requirements:** All capital requirements must be carefully detailed and analyzed.

- iii. **Sources of Revenue:** All sources of revenue, including state-support and philanthropic revenue must be detailed. It is also expected that a development plan will be submitted with the proposal.

C. Need for the Program: The proposal should clearly state and make the case for a distinct need for the new school. Towards that end, the following should be clearly documented in the proposal: 1) A clear societal need for professionals, researchers, faculty, or academics in the field; 2) the demand is not being fully met by existing facilities; and 3) clear student demand for the new school. Additionally, the proposal should 1) define how the school will address this unmet need; 2) lay-out how the school would attract qualified, fully-competitive students; and 3) show projections of employment opportunities for the school's graduates. If there are other schools of the same type in the UC system, planning should include a clear analysis of how this new facility would assume a needed, and perhaps even unique place, in the University's portfolio. In this and in other respects, comparisons with existing UC or other schools of the desired rank should be included.

- i. **Student Demand:** In addition to societal and workforce needs, student demand for programs that will be situated in a proposed school need to be detailed. Demand can be documented in a proposal by citing current and projected enrollments in other similar programs.

D. Fit within the UC system and within the segments: The proposal should clearly articulate the school's or college's fit within the UC system and the other segments in California. The proposal should stress how the school will fit in with the overall academic profile of the campus, including how existing programs will be enhanced by the new school and, likewise, how these existing programs will enhance the quality and development of the new school. The capital plan should also show how it fits with academic and strategic plans.

Overview of the Pre-Proposal

The Compendium requires a pre-proposal at least one year before the full proposal. Although more cursory than the full proposal, the pre-proposal should address the categories of review. The pre-proposal is also separate from any documents that accompany the Five-Year Planning Perspectives. Even though it will be shorter than the full proposal, it must contain sufficient detail to allow the Divisional and systemwide Senates to complete an initial evaluation of the proposed academic unit. In particular, the pre-proposal should answer the following: Why does the State need the school? Where will its students come from? How does it fit within the priorities of the campus, as well as the UC system, as a whole? What resources are currently available to fund the development of the new school? Is a school the most appropriate curricular form to meet the proposed need? How will the proposed academic unit impact other schools, departments, and programs on the local campus?

Details of the Pre-Proposal Process

1. If the proposed new school or college has not been added to the Five-Year Planning Perspectives, it should be added to the planning lists and a description should be

prepared and sent to the Provost at the time the pre-proposal begins the campus review process. The Provost or designee will notify everyone who would have learned of the proposed action via the usual Five-Year Planning Perspectives process.

2. At least one year before a new school or college proposal is approved on the campus, a pre-proposal is submitted to the local Divisional Academic Senate. If the pre-proposal is approved by the Divisional Senate, the Chancellor submits it to the Provost, who forwards the pre-proposal to both Academic Affairs and the systemwide Academic Senate.
3. CCGA, UCEP, and UCPB, as well as any other committees that the Council Chair deems necessary, will provide formal comments on the pre-proposal to Academic Council.
4. Comments from Academic Affairs will be forwarded to the proponents of the new school proposal, with a copy to the Academic Council Chair.
5. Academic Council's comments, along with a cover letter from the Academic Council Chair, will be sent to the proponents of the school with copies to the Provost and the Divisional Senate Chair.

Overview of the Process for Submission of the Full Proposal

After the campus proponents of the new school or college have incorporated the comments on the pre-proposal into a full proposal, it should be submitted to the Divisional Senate for approval. If the proposal is approved by the Divisional Senate, the Chancellor forwards it to the Provost and systemwide Academic Council Chair for systemwide review. After a thorough systemwide review, three outcomes are possible: 1) Approval of the proposal by Academic Council; 2) Rejection of the proposal by Academic Council; and 3) Academic Council makes its approval contingent upon particular changes in the proposal (budgetary, curricular, etc.). If the proposal is accepted or rejected, the Provost makes his/her recommendation to the President based on the Senate's review. If Council approves the proposal conditionally, the Provost works with the Chancellor to resolve the outstanding issues.

Details of Process

1. After approval by the campus administration, the full proposal is submitted to the Chair of the Divisional Academic Senate for review and comment.
2. If the Divisional Senate approves the full proposal, the Chancellor (or designee) submits the proposal for systemwide review to the Academic Council Chair and the systemwide Provost. A concurrent review (e.g., a simultaneous review of the proposal by the Divisional Senate, the systemwide Senate, and Academic Affairs) is not permitted.¹³

¹³ The Chancellor should send the proposal to the Provost, systemwide Senate/Council Chair, CCGA Chair, UCEP Chair, and UCPB Chair.

3. Designated staff from Academic Affairs complete an independent financial and budgetary analysis of the proposal, which is sent to the Academic Council Chair, the chairs of CCGA, UCPB, and UCEP; the Council Chair is responsible for distributing the UCOP analysis to any other Senate committees reviewing the proposal.
4. UCOP sends necessary materials to CPEC for review that runs simultaneously with the Senate's. CPEC reports its concurrence/non-concurrence to UCOP.
5. A Senate subcommittee consisting of the Chairs of CCGA, UCEP, and UCPB, and any other participating Senate committees, to be convened by the Chair of CCGA, expedites the Senate review, by coordinating their committee reviews, as appropriate. Ordinarily, the Senate committees will be expected to complete their reviews within 60 days of receipt of the proposal.
6. The proposal should include at least two internal reviews from experts within the UC system. If there are less than two internal reviews, or if the internal reviews are not rigorous enough, the CCGA Chair may request additional internal reviews.
7. Although CCGA, UCEP, and UCPB have latitude in the structure of their review of the proposal, all reviews should comment on the *categories of review*¹⁴, which are noted above.
8. Senate review committees report their recommendations to the Academic Council. The Academic Council Chair acts as an arbiter if there is not a concurrence among the review committees on their final recommendations.
9. The Academic Council Chair reports the Senate recommendations to the Provost, with copies to the Divisional Chair, the chairs and analysts of the committees that reviewed the proposal, and Academic Affairs.
10. If the proposal is rejected by Academic Council, the Provost informs the Chancellor. The Chancellor decides whether to resubmit a revised proposal to the Divisional Senate or withdraw the proposal completely. If Academic Council makes its approval contingent on the resolution of key issues raised by the reviews, the Provost works with the Chancellor to resolve these issues.
11. The Provost recommends approval or rejection of the proposal to the President.
12. If Academic Council approves the proposal, the President's Office prepares a Regents' Item for the next Regents' meeting recommending approval of the school or college to the Regents. The Academic Council Chair is responsible for checking the Regent's item for accuracy.

¹⁴ These include academic rigor, financial viability, FTE requirements, capital requirements, sources of revenue, need for the program, student demand, and fit within the UC system and within the higher education segments.

13. If the Regents approve the proposal, the Provost reports the approval to the Chancellor and others.¹⁵

Process for Submission of the Post-Proposal

If a campus proposal to establish a new school or college was approved by The Regents, but not established within *seven* years of the date of the Regental approval, the campus is required to resubmit the original proposal along with a post-proposal to its Divisional Senate. If the Divisional Senate approves the post-proposal, steps #2-13 are followed above. The post-proposal addresses the changes in the budgetary environment, the academic field(s) and related curriculum, as well as the need and fit of the proposed school or college since the submission of the original proposal.

III.B.2 Name Changes of Schools and Colleges

Overview of Process

Simple name changes of schools and colleges are usually initiated to accommodate popular and accepted changes in the nomenclature of the academic field or study (e.g., the terminology used by current scholars in the field). A simple name change is not used to accommodate substantial curricular changes or resource requirements to the school or college. If substantive programmatic changes are associated with the name change, the campus should follow the procedures in Section IV. (Reconstitution of Academic Programs and Academic Units). In order to initiate the process for a simple name change, the Dean of the school or college submits a rationale and justification of the name change to the Divisional Chair for approval. If the simple name change is approved by the Division, it is forwarded to the Academic Council Chair, who, after consultation with UCOP, determines the Senate's review process. In the simplest process, the proposed name change is put directly on the Council agenda, reviewed favorably, recommended by the Provost for approval, and approved by the President. If major curricular changes in program or needed resources accompany the proposed name change, the proposal will be submitted to Academic Affairs, CPEC, Academic Council, CCGA, UCEP, UCPB. The Council Chair is free to forward the proposal to other systemwide committees, as deemed necessary. Upon favorable review by the Senate, the Provost recommends approval of the name change, and the President approves it.

Details of Process

1. Upon approval by the campus administration and the Divisional Senate, the Chancellor (or designee) sends the proposal to the Provost and the Council Chair. CCGA, UCEP, and UCPB assess whether the change is substantive and advises the Council Chair. The review process is determined by whether the name change is accompanied by major curricular changes in the program or substantial need for new resources. If substantive programmatic changes are associated with the name change,

¹⁵ The Provost sends notice of the approval to the Chancellor with copies to the Senate/Council Chair, CCGA Chair, UCEP Chair, UCPB Chair, Senate Executive Director, CCGA analyst, UCEP analyst, UCPB analyst, campus registrar, and campus contacts (include faculty proposer).

the campus should follow the procedures in Section IV. (Reconstitution of Academic Programs and Academic Units).

2. If in the judgment of the Council Chair there are not substantive changes associated with the name change, he or she puts the change directly on the Academic Council agenda and then notifies the Provost of the Council's favorable review. The next step in this "simple name change" process is # 8.
3. If in the judgment of the Council Chair substantive changes are associated with the name change, the Council Chair notifies the Provost that the Senate wishes to review the proposal and CCGA, UCEP, UCPB, and any other Senate committees designated by the Council Chair, are instructed to conduct a full review of the proposal.
4. If the program will change substantially or there are major new resources required, UCOP sends the proposal to CPEC for review that runs simultaneously with the Senate's.
5. A Senate subcommittee consisting of the Chairs of CCGA, UCEP, and UCPB, and any other participating Senate committee, to be convened by the Chair of CCGA, expedites Senate review by coordinating their committee reviews, as appropriate.
6. The Senate committees report their recommendations to the Academic Council, which serves as arbiter if there is not concurrence among the committees. The Council Chair notifies the Provost of the outcome of the review by the Senate committees.
7. The Provost recommends approval or rejection of the proposal to the President.
8. Upon approval by the President, the Provost notifies the campus and others.¹⁶

III.B.3. Transfer, Consolidation, or Disestablishment of Schools and Colleges

Overview of Process

Ordinarily, a proposed transfer, consolidation, or disestablishment (TCD) is initiated in one of three ways: 1) it is included in a *Five-Year Planning Perspective*; 2) it results from a formal Senate review; or 3) it is initiated by the local campus administration.

Reviews of schools and colleges involve a systemwide process. Schools and colleges are evaluated not only for their academic achievements, but also for the adequacy of their support. The results of the evaluation should help determine whether more or fewer resources are appropriate and may even, if necessary, lead to a recommendation that a

¹⁶ The Provost sends notification of the outcome of the review to the Chancellor, with copies to the Council Chair, CPEC Director, CCGA Chair, UCEP Chair, UCPB Chair, Senate Executive Director, CCGA analyst, UCEP analyst, UCPB analyst, campus registrar, and campus contacts (including faculty proposer).

program be terminated. The absence of proper funding could lead to the decline of existing programs and/or sacrificing of the quality of new programs. One central tenet is that comparable programs should be comparably funded across the system.

Once a decision has been reached to initiate a TCD, the proposal is submitted for systemwide review, and it is simultaneously considered by Academic Affairs staff, CPEC (if it requests it), CCGA, UCEP, UCPB, and any other Senate committees that the Council Chair selects. On approval by the Academic Council, CPEC's concurrence (if it has requested a review), and the President's recommendation to approve, the Regents approve the proposed TCD.

Details of Process

1. The proposed TCD action of a school or college is immediately and formally submitted for Divisional review if the proposed TCD action is included (listed and described) in the previous Five-Year Planning Perspectives (it must appear at least one year before the action is formally submitted for campus review).
2. If a proposed TCD of a school or college is initiated by the local administration, then the Chancellor (or designee) transmits to the Provost and the Academic Council Chair the 1- to 2-page description that would ordinarily have been included in the Five-Year Planning Perspectives. The Provost immediately notifies everyone who would have learned of the proposed action via the usual Five-Year Planning Perspectives process.
3. If a proposed TCD action results from a Senate review of the existing school or college, the Chancellor (or designee) e-mails to the Provost and the Academic Council Chair a 1- to 2-page description of the proposed action.
4. If the first formal description of the proposed action becomes available immediately before or at the time the proposed action is announced publicly on the campus, the Chancellor (or designee) e-mails to the Provost and the Academic Council Chair a 1- to 2-page description that would ordinarily have been included in the Five-Year Planning Perspectives. The Provost immediately notifies everyone who would have learned of the proposed action via the usual Five-Year Planning Perspectives process.
5. Based on the 1- to 2-page description provided either in the Five-Year Planning Perspectives or immediately before the proposed action becomes public, one or more Senate committees (generally CCGA, UCEP, or UCPB) must notify the Academic Council Chair of any concerns regarding potential Universitywide impacts or inadequate Divisional Senate involvement. The Academic Council Chair is responsible for sending the Provost a recommendation on the proposed TCD action. Subsequently, the Council Chair and Provost are responsible for investigating the concerns and, as needed, determining how to address them.
6. Upon approval by the campus administration and the Divisional Senate, the Chancellor submits the TCD proposal to the Provost and designated staff; CCGA,

UCEP, and UCPB chairs and analysts; and the Academic Council Chair, who may distribute it to additional Senate committees.

7. UCOP analyzes the proposal, and sends its analysis to CCGA, UCEP, UCPB, and the Academic Council Chair.
8. A Senate subcommittee consisting of the chairs of CCGA, UCEP, and UCPB, as well as any other participating Senate committees, which will be convened by the Chair of CCGA, expedites the Senate review by coordinating their committee reviews, as appropriate.
9. The Senate committees report their recommendations to the Academic Council, which serves as arbiter if there are differences among the final recommendations of the review committees.
10. If CPEC has requested that it review the proposal, UCOP arranges that the CPEC review proceed concurrently with the Senate review and that any CPEC questions are conveyed to and answered by the campus.
11. The Academic Council Chair conveys the Senate's comments and recommendations to the Provost, who makes a recommendation to the President.
12. The President recommends approval of the TCD action to the Regents.
13. Upon Regental approval, the Provost notifies the campus, copying others.¹⁷

¹⁷ The Provost sends notification of the outcome of the review to the Chancellor, with copies to the Council Chair, CPEC Director, CCGA Chair, UCEP Chair, UCPB Chair, Senate Executive Director, CCGA analyst, UCEP analyst, UCPB analyst, campus registrar, and campus contacts (including faculty proposer).

IV. Reconstitutions of Academic Programs and Academic Units

Overview of Process

A reconstitution refers to any combination of actions treated as a unified plan and intended to transfer, consolidate, discontinue, disestablish (TCDD), or change the name of¹⁸ an academic program or academic unit¹⁹. Although the establishment of a new academic unit or program may result from a reconstitution, the process for establishments of programs and academic units are addressed in sections II and III respectively. The reason for a reconstitution often includes improved administrative efficiencies and/or financial exigency, name clarity, image, and fund-raising opportunities. In difficult budgetary times, some reconstitutions may result from deep and unforeseen budget cuts. Disestablishments and discontinuances are two actions that are usually inter-related. For example, the reconstitution of an academic unit more often than not results from (or may result in) the discontinuance of one or more academic programs.

A reconstitution will include one or more TCDD actions (transfer, consolidation, disestablishment, and discontinuance), which are defined below:

- Transfer: Moving a program or unit into another one that subsumes it.
- Consolidation: Combining two or more programs or units to form a new unified program or unit.
- Disestablishment: Eliminating an academic unit or research unit.
- Discontinuance: Eliminating an academic program.

Reconstitutions of undergraduate degree programs are a Divisional matter, and systemwide involvement is not necessary. As noted in Section II.a., “*Academic Degree Programs*”, all actions involving undergraduate degree programs are administered by the individual campuses without systemwide review. The only exception to this rule is if the program being eliminated is the last one of its kind in the UC system. However, CCGA is responsible for the review of reconstitutions of graduate degree programs and graduate groups at the systemwide level. With respect to the reconstitution of an undergraduate degree program, if the Divisional Senate is appropriately involved in campus process, and if any Universitywide implications are satisfactorily being addressed, then the campus’s decision is final and there is not any systemwide review. However, either CCGA and/or Academic Affairs can request systemwide review if there are concerns that the Divisional Senate has not been appropriately involved and/or that Universitywide implications are not being addressed satisfactorily (both more likely if there is late announcement of the proposed TCD action). Once the proposal is submitted for systemwide review, it is simultaneously considered by the Provost (or designee), CPEC (if it requests it), UCEP

¹⁸ A simple name change does not involve a reconstitution. A simple name change refers to a situation in which the field has moved on, and refers to itself by a different name that is currently used by a program,

¹⁹ Any aggregation of academic programs organized as a school, college, division or another title, that appoints faculty members who are members of the Academic Senate and who vote as a unit under Academic Senate Bylaw 55 shall be treated as an academic unit.

(if CCGA requests it), and CCGA. If systemwide review has been requested, then CCGA must approve the final plan for a TCD action and the President must approve implementation of it.

This section is divided into two parts: A) the transfer, consolidation, or discontinuance (TCD) of graduate degree programs and graduate groups; and B) reconstitutions of larger academic units (e.g., schools, colleges, and departments).

IV.A. Transfer, Consolidation, or Discontinuance of Graduate Degree Programs and Graduate Groups

Overview of Process

The process varies according to three factors: when the campus first informed systemwide bodies of the proposed transfer, consolidation, or discontinuance (TCD), whether or not it has Universitywide implications, and whether the Divisional Senate is appropriately involved in review and approval process. If the proposed TCD action was included in the campus' Five-Year Planning Perspectives, if the Divisional Senate is appropriately involved in campus process, and if any Universitywide implications are satisfactorily being addressed, then the campus's decision is final and there is not any systemwide review.

However, either CCGA and/or Academic Affairs can request systemwide review if there are concerns that the Divisional Senate has not been appropriately involved and/or that Universitywide implications are not being addressed satisfactorily (both more likely if there is late announcement of the proposed TCD action). Once the proposal is submitted and accepted for systemwide review, it is simultaneously considered by the Provost (or designee), CPEC (if it requests it), UCEP (if CCGA requests it), and CCGA. If systemwide review has been requested, then CCGA must approve the final plan for a TCD action and the President must approve implementation of it.

Details of Process for All Proposed TCD Actions

1. Ordinarily, a proposed transfer, consolidation, or discontinuance (TCD) of a graduate degree program or graduate group is included (listed and described) in a Five-Year Planning Perspectives that is submitted by the campus at least one year before the action is formally submitted for campus review. Occasionally, however, CCGA may learn of a proposed TCD by other means:
 - a. If the proposed action is approved by the Divisional Graduate Council, it is reported to CCGA members by the Divisional Graduate Council representative, who sits on CCGA (usually the Graduate Council chair).
 - b. Immediately before or at the time the proposed action is announced publicly on the campus, the Chancellor sends the 1- to 2-page description that would

ordinarily have been included in the Five-Year Planning Perspectives to the Provost, the CCGA Chair and analyst, and the Academic Council Chair.

2. If the first formal campus description of the proposed action occurs as described in 1b above, then the Provost immediately notifies individuals who would have learned of the proposed action via the usual Five-Year Planning Perspectives process.
3. Based on the 1- to 2-page description provided either in the Five-Year Planning Perspectives, or immediately before the proposed action becomes public, Academic Affairs notifies the campus of any concerns it has regarding potential Universitywide impacts and decides whether it wishes to review the TCD proposal after the completed campus review. If the first notice is consistent with 1.b., then Academic Affairs responds to the campus within 30 days.
4. As soon as CCGA learns of the proposed action, it considers Universitywide implications and appropriate involvement of the Divisional Senate. CCGA conveys any questions or concerns in these two areas in writing to the Divisional Senate and/or campus administration, with copies to the Academic Council Chair and Provost. If the first notice to CCGA is consistent with 1.b., then CCGA responds to these matters within 30 days.
5. CCGA notifies the Provost, with a copy to the Academic Council Chair, whether or not it wishes to review the TCD proposal after it has completed campus review.

Details of Process When Systemwide Review Is Not Required

6. If neither CCGA nor Academic Affairs requests a systemwide review, then on approval of the Divisional Senate and the campus administration, the Chancellor (or designee) notifies the Provost, the CCGA Chair and analyst, and the Academic Council Chair of the final TCD action. The campus decision is final, no systemwide review occurs, and the process ends here.

Details of Process When Systemwide Review Is Required

6. Upon approval of the Divisional Senate and the campus administration, the Chancellor (or designee) forwards the TCD proposal to CCGA with a copy to the Provost for systemwide review. The Provost informs the Chancellor (or designee) and provides guidance about what should be submitted for systemwide review, copying the CCGA Chair and analyst and the Academic Council Chair.
7. When actions involving graduate degree programs are likely to affect the functioning of associated undergraduate degree programs, CCGA refers the proposal to the UCEP Chair and analyst. UCEP reviews it, and the UCEP Chair notifies the CCGA Chair and analyst of its opinions.
8. CCGA completes its review of the proposal and reports its findings to the Provost, with a copy to the Academic Council Chair.

9. If CPEC has requested that it review the proposal, the Provost (or designee) arranges that the CPEC review runs simultaneously with CCGA's. CPEC reports its findings to the Provost (or designee).
10. If needed, the Provost works with the campus to resolve any Universitywide issues identified in reviews by Academic Affairs, CCGA, or CPEC. CCGA must approve the final resolution.
11. The Provost (or designee) notifies the campus, CCGA, and the Divisional Chair of final approval.

NOTE: If the graduate degree program uses a degree title (e.g., M.F.A.) that is the only one of its kind on the campus, then additional reviews and approvals may be needed (see Section II.C.).

IV.B. Reconstitutions of Academic Units

Any aggregation of academic programs organized as a school, college, division or another title, that appoints faculty members who are members of the Academic Senate and who vote as a unit under Academic Senate [Bylaw 55](#) shall be treated as an academic unit. All actions proposed in a reconstitution should have been included in the campus's Five-Year Planning Perspectives. If not, appropriate steps should be taken to ensure that systemwide perspectives are introduced into the review. Once the reconstitution proposal is submitted for systemwide review, it is simultaneously considered by Academic Affairs, CPEC (if so requested), and the relevant Senate committees (ordinarily CCGA, UCEP, and UCPB). Usual review processes are followed; however, the various actions involved in the reconstitution are considered as part of a unified plan and reviewers' reports address all portions of that plan. Proposed actions that CCGA would ordinarily approve continue to require CCGA approval. All other proposed actions would be endorsed by the reviewing Senate committees/Academic Council, and approved by the President and, if needed, the Regents.

Details of Process

1. In general, all proposed actions in the reconstitution should be included in the campus's Five-Year Planning Perspectives, at least two years in advance for any proposed new school or college and at least one year in advance for other proposed actions that are ordinarily included in the Five-Year Planning Perspectives. The Chancellor (or designee) will receive from the Provost a summary of any issues raised by CPEC in its review of any proposed new graduate degree program. He or she will also receive from the APC Chair and Vice Chair feedback on any proposed new school or college. Systemwide Senate, administrative, and joint Senate-administrative committees that have reviewed the Five-Year Planning Perspectives may also have sent comments to the Chancellor (or designee) with copies to the relevant parties.

2. If the proposed reconstitution was not included in any Five-Year Planning Perspectives, then the systemwide Senate and administration reviews also address the systemwide perspective(s) that would have been considered had the proposed reconstitution actions first been analyzed as part of a Five-Year Planning Perspective.
3. If the proposed reconstitution includes any actions that would ordinarily be included in any Five-Year Planning Perspective but have not been included, then the Chancellor (or designee) sends notice to the Divisional Chair, Graduate Council Chair, Provost and Academic Council Chair immediately before or at the time of public release. The Provost circulates the notice immediately to everyone who would have learned of the proposed action via the usual Five-Year Planning Perspective process. He or she indicates that the proposed actions constitute a proposed reconstitution. Based on the notice, if the proposed reconstitution includes any TCDD actions, Academic Affairs and/or the Senate quickly notifies the campus and/or Division of any concerns regarding potential Universitywide impacts of or inadequate Divisional Senate involvement in the proposed actions.
4. Once the campus has completed a formal reconstitution proposal, it should be sent out for formal review by the campus administration and the Divisional Senate. If the campus administration and Divisional Senate approves the proposed reconstitution, the Chancellor (or designee) submits the proposed reconstitution to the Provost. Ordinarily, the Chancellor (or designee) will also send the proposal directly to the CCGA, UCEP, and UCPB chairs and analysts, and the Council Chair, who may distribute it to other Senate committees for review. However, if the proposed reconstitution involves actions all of which would ordinarily be considered only by certain committees, then the Chancellor (or designee) sends the proposal to only these committee chairs and analysts and the Council Chair.
5. Throughout the ensuing Universitywide review process, the various actions involved in the reconstitution are considered as part of a unified plan and reviewers' reports address all portions of that plan. However, no proposed action receives less review nor is reviewed with less documentation than would ordinarily occur if the action were not part of a proposed reconstitution.
6. Academic Affairs analyzes the proposal and sends the analysis to the Senate committee chairs and analysts reviewing the proposal and to the Academic Council Chair.
7. If CPEC has made a request to review the proposal, the Provost (or designee) submits it to CPEC. The CPEC review occurs concurrently with the Senate review. The Provost (or designee) works with the campus and Divisional Senate to resolve any issues raised by CPEC. Subsequently, CPEC submits its review report to the Provost.
8. In dealing with any proposed reconstitution, the chairs of all Universitywide committees participating in the review (ordinarily CCGA, UCEP, and UCPB

participate; the Council Chair may involve others) seek to coordinate their reviews and conclusions. If only undergraduate programs are affected by the proposed reconstitution, UCEP is the Senate's lead committee for reviewing the proposal. Otherwise, CCGA is the Senate's lead committee.

9. For any proposed graduate degree program actions for which CCGA would ordinarily act on behalf of the Senate (e.g., reconstitutions of graduate groups), CCGA's approval continues to represent final Senate action, and should be sent to the Divisional Graduate Council Chair, the Graduate Dean, and the Council Chair, among others involved in the proposal.
10. The Senate committees participating in the review report their comments, and ultimate approval or rejection of the proposal, to the Academic Council. The Academic Council serves as arbiter if there is not concurrence among the final recommendations of the review committees. The Council Chair conveys Senate comments, recommendations, and approvals to the Provost, who recommends authorization and approval to the President.
11. As appropriate for the proposed actions in the reconstitution, the President approves or authorizes implementation of or recommends approval of the proposed actions in the reconstitution and the Provost notifies the campus. If Regental approval is required for any portions of the proposal, the President recommends approval to The Regents and the Provost notifies the campus and the Divisional Chair of the Regental approval.

V. Research Units

V.A. Organized Research Units (ORUs)

Actions involving ORUs are carried out on the ten established campuses. That is, creating a new ORU, changing the name of an existing ORU, and consolidating, transferring, or disestablishing an existing ORU are campus decisions for which there is no systemwide review. If favorably reviewed by the relevant Divisional Academic Senate committee(s) and approved by the campus administration, a proposed action involving an ORU is implemented.

Anticipated actions involving ORUs should be included in the Five-Year Planning Perspectives, and all final campus actions involving ORUs should be reported to the Office of Research and Graduate Studies (ORGS), UCOP. A report should be submitted as soon as the action becomes final on the campus and again at the time the annual report is requested by ORGS.

Definitions and Terms²⁰

An ORU is an academic unit the University has established to provide a supportive infrastructure for interdisciplinary research complementary to the academic goals of departments of instruction and research. The functions of an ORU are to facilitate research and research collaborations; disseminate research results through research conferences, meetings and other activities; strengthen graduate and undergraduate education by providing students with training opportunities and access to facilities; seek extramural research funds; and carry out university and public service programs related to the ORUs' research expertise. An ORU may not offer formal courses for credit for students of the University or for the public unless it has been specifically empowered to do so by the President after consultation with the Academic Senate and the appropriate Chancellors. The terms 'Institute', 'Laboratory', and 'Center' are used most often for ORUs, but other titles may be employed in particular situations:

- *Institute*: A major unit that coordinates and promotes faculty and student research on a continuing basis over an area so wide that it extends across department, school or college, and even campus boundaries. The unit may also engage in public service activities stemming from its research program, within the limits of its stated objectives.
- *Laboratory*: A nondepartmental organization that establishes and maintains facilities for research in several departments, sometimes with the help of a full-time research staff appointed in accordance with the guidelines of Section 6.a. below. (A laboratory in which substantially all participating faculty members are from the same academic department is a departmental laboratory and is not an ORU.)

²⁰ As noted in the ORGS *Administrative Policies and Procedures Concerning Organized Research Units*.

- *Center*: A small unit, sometimes one of several forming an Institute, that furthers research in a designated field; or, a unit engaged primarily in providing research facilities for other units and departments.
- *Non-ORU Center*: The term Center may be used for research units not formally constituted as ORUs upon approval by the Chancellor after consultation with the divisional Academic Senate. Before approval is granted for a Center that is not an ORU, the campus may stipulate terms and conditions such as a process for appropriate periodic review, including administration, programs, and budget; appointment of a director and advisory committee; an appropriate campus reporting relationship; and progress reports.

V.B. Multicampus Research Units (MRUs)

A Multicampus Research Unit (MRU) is defined as an academic unit the University has established to provide a supportive infrastructure for interdisciplinary research complementary to the academic goals of departments of instruction and research. MRUs are all units with facilities and personnel on two or more campuses or locations associated with them, and (2) all units with facilities at a single location on or near one of the campuses if the participation of faculty or staff from other campuses is so extensive as to give such a unit a Universitywide character. They are formally established through the Compendium process.

V.B.1. Establishment of New Multicampus Research Units (MRUs)

Overview of Process

If the proposed MRU was not included in any prior *Five-Year Planning Perspective*, the host campus prepares and submits the 1- to 2-page description that would have been in the Five-Year Planning Perspectives. Once a full proposal is prepared, it must be reviewed by the Divisional Committee on Planning and Budget and the Divisional Committee on Research prior to being sent for systemwide review in order to ensure campus support for the proposal. When the proposal is submitted by the host campus for systemwide review, it is simultaneously considered by the ORGS, all UC campuses, UCORP, UCPB, and CCGA (with all three reporting to the Academic Council for the final recommendation). Proposals must demonstrate either that external funding is committed, or have a specific plan for how to obtain external funding. Review is based on the submitted written materials and answers to any questions reviewers may have. For a new MRU to be established, the Senate favorably reviews the proposal and the Vice President for Research and Graduate Studies must recommend approval to the Provost and to the President; the President must approve it.

Details of Process

1. If the proposed MRU (or branch) was not included in any prior Five-Year Planning Perspective, the host campus prepares and submits the 1- to 2-page description that

would have been in the Five-Year Planning Perspective. The Provost notifies everyone who would have learned of the proposed action via the usual Five-Year Planning Perspective process, and the UCORP, UCPB, CCGA, and UCOP reviews also address the systemwide perspective.

2. Proposal Development: The proposal for an MRU originates at the campus which will host the administrative headquarters of the unit. To establish an MRU, the faculty members concerned submit a proposal stating the proposed unit's goals and objectives. The proposal should describe what value and capabilities will be added by the new unit, and explain why they cannot be achieved within the existing campus structure. It should make clear how the MRU will be greater than the sum of its parts, for example, by fostering new intellectual collaborations, stimulating new sources of funding, furthering innovative and original research, or performing service and outreach to the public. The proposal must also demonstrate that external funding is committed, or have a specific plan for how to obtain external funding. In addition, it is recommended that the proposal include the following information:

- Experience of the core faculty in interdisciplinary and multidisciplinary research collaborations.
- Research plan for the first year of operation and projections for the five years following.
- Budget estimates for the first year of operation, projections for the five years following, and anticipated sources of funding.
- Names of faculty members who have agreed in writing to participate in the unit's activities.
- Projections of numbers of faculty members and students, professional research appointees, and other personnel for the specified periods.
- Statement about immediate space needs and how they will be met for the first year and realistic projections of future space needs.
- Statement of other resource needs, such as capital equipment and library resources, and how they will be met for the first year, and realistic projections of future resource needs.
- Statement about anticipated benefits of the proposed unit to the teaching programs of the participating faculty members' departments.
- Statement specifying the appropriate administrative unit's commitment of funds, space, and other resources necessary for the successful operation of the proposed MRU. Actual or potential availability of extramural funds shall not serve as the sole basis for proposing, approving, or continuing an MRU.

The proposal should also list similar units that exist elsewhere, describe the relation of the proposed unit to similar units at other campuses of the University of California, and describe the contributions to the field that the proposed unit may be anticipated to make that are not made by existing units.

3. The proposal is submitted to the appropriate administrative officer, normally the Vice Chancellor for Research. The Vice Chancellor for Research seeks advice from the

Divisional Academic Senate and other administrative committees. Upon approval by the campus administration and favorable review by the Divisional Senate (ordinarily, at a minimum, the Committee on Research, the Committee on Planning and Budget, and the Graduate Council, or their equivalents) on the host campus, the Chancellor (or designee) simultaneously sends all required materials to the systemwide Senate and UCOP administration.

4. ORGS reviews the proposal for completeness, collects any missing information from the host campus and distributes it to the UCORP, UCPB, and CCGA chairs and analysts and the Academic Council Chair with a letter including a due date for comments. The Vice President for Research and Graduate Studies also sends the proposal to the Chancellors (or designees) and Divisional Chairs of the non-host campuses and requests comments.
5. Review at non-host campuses includes consultation with the relevant Divisional committee(s) (ordinarily, at a minimum, the Committee on Research and the Graduate Council, or their equivalents) and appropriate administrators. The Chancellors (or designees) notify the Vice President for Research and Graduate Studies of all campus comments, both the Senate's and the administration's.
6. UCORP, UCPB, and CCGA review the proposal. UCORP is the lead committee. If additional information is needed from the campus by any of the reviewing Senate committees, the committee communicates in writing with the campus to request the additional information and copies the chairs and analysts of the other reviewing committees, the Academic Council Chair, and the Vice President for Research and Graduate Studies.
7. The Senate committees report their recommendations to the Academic Council, which serves as arbiter if there is not concurrence among the committees. The Academic Council Chair notifies the Vice President for Research and Graduate Studies of the outcome of the Senate review.
8. In cases of disagreement about whether to establish an MRU (or branch), the Vice President for Research and Graduate Studies, Academic Council Chair, and host campus Chancellor (or designee) establish a process of adjudication; however, the Vice President for Research and Graduate Studies retains final authority for the decision to recommend establishment of a new MRU (or branch) to the Provost and to the President.
9. After receiving all comments, the Vice President for Research and Graduate Studies makes a recommendation to the Provost and to the President.
10. After Presidential approval, the Provost notifies the host campus Chancellor (or designee) and others of the decision.

V.B.2. Procedure for Five-Year Reviews

Periodic reviews of MRUs are necessary to ensure that the research being conducted under the units' auspices is of the highest possible quality and that University resources are being allocated wisely and in line with University priorities. Each MRU should be reviewed at intervals of five years or less by an ad hoc review committee, appointed by the Vice Provost for Research from a slate nominated by the Chair of the Academic Council and the Chancellors or Chancellors' designees. The Quinquennial Review Committee should include at least one member from outside the University and may include one or more Vice Chancellors for Research from within UC. The review should address all the criteria and areas identified with reference to ORUs in Section 10.a. The Vice Provost for Research should assure that the quinquennial review of each MRU takes place at regular five year intervals. The review report is given to the Director for information. Each Quinquennial Review Committee should consider and make specific recommendations, if appropriate, for improvements in the mission, budget, administration, FTE or other resources, research focus, and programs and activities of the unit. It should also consider whether the unit should merge with another similar unit, or be disestablished. Justification for continuation of an MRU must be carefully documented by the review committee.

The Five-Year Review report is submitted to the Vice President for Research and Graduate Studies, who distributes it to the Academic Vice Chancellors for campus comment and the Chair of the Academic Council for comment by UCORP, UCPB, and CCGA. The MRU Director and the Chair of the Advisory and Executive Committees may also comment on the Five-Year Review Report. Based on the Five-Year Review Report and the comments on the Five-Year Review Report, the Vice President for Research and Graduate Studies approves continuation of the unit, implements changes in the structure or functioning of the unit, or recommends disestablishment of the unit to the President.

V.B.3. Name Changes of Multicampus Research Units (MRUs)

Overview of Process

If the proposed name change is not associated with a fundamental change in the nature of the MRU or a need for substantial new resources, then the decision making process by the participating campuses is final. There is no systemwide review, but the action must be reported systemwide to the Vice President for Research and Graduate Studies and certain supporting materials must be provided. Campus decision making need only involve approval by the MRU advisory committee, favorable review by the participating campus Committees on Research (or equivalent) and Graduate Councils (and any other Senate committees the Division stipulates), and approval by the appropriate participating campus administrators. If such a "simple" name change is contemplated, the MRU director should consult with the Vice President for Research and Graduate Studies and the UCORP Chair.

Details of Process

When faculty want to change the name of an MRU, the MRU director should consult with the Vice President for ORGS and the UCORP Chair to determine whether it is a "simple" name change. The process described here is for "simple" name changes and is relevant only when the name change does not also involve (or signal) a fundamental change in the nature of the MRU and the MRU does not require substantial new resources. If either condition pertains, particularly a fundamental programmatic change, most likely systemwide review process such as that for establishing a new MRU will be requested.

1. The director of the MRU prepares a proposal describing the rationale for requesting a new name for the unit, certifies that there is no associated fundamental change in the nature of the MRU nor any need for substantial new resources, and gets approval from the MRU advisory committee.
2. The director of the MRU submits the material to the participating campuses' Chancellors (or designees), Committees on Research (or equivalent), and Graduate Councils, with copies to the advisory committee of the MRU, Divisional Chair (in case other Divisional committees need to review the proposal), and the Vice President for ORGS, who consults with the Chair of UCORP to be certain the two agree it is an uncomplicated name change proposal.
3. After the participating campuses' Divisional Senates favorably review and appropriate administrators approve the proposal and communicate that to the host campus Chancellor (or designee), the Chancellor (or designee) of the host campus immediately notifies the Vice President for Research and Graduate Studies. His or her letter approves the proposed name change, confirms that the action does not involve a fundamental change in the nature of the MRU or require substantial new resources, and indicates that favorable reviews and approvals have been obtained. This notification also includes the MRU director's proposal and letters from the Divisional Senate committees (each letter indicating favorable review and confirming that the action does not involve a fundamental change in the nature of the MRU or require substantial new resources) and from the advisory committee of the MRU and from the participating campuses' Committees on Research (or equivalent), Graduate Councils, any other Divisional Senate committees asked to comment, and Chancellors (or designees) (each letter, as appropriate, endorsing or approving the name change). The Chancellor (or designee) copies the UCORP chair and analyst and the Council Chair on the notification letter only. The approved name change shall also be reported at the time the annual report is requested by ORGS.
4. The Vice President for Research and Graduate Studies informs all relevant parties of the name change.

V.B.4. Disestablishment of Multicampus Research Units (MRUs)

Overview of Process

The Vice President for Research and Graduate Studies prepares the disestablishment proposal following a formal review of the MRU (or branch). The proposal is simultaneously considered by the Chancellors (or designees) and Divisional Senate committees on campuses where the MRU has an active presence, UCORP, UCPB, and CCGA (with all three reporting to the Academic Council for the final recommendation). Review is based on the submitted written materials and answers to any questions reviewers may have. For an MRU (or branch) to be disestablished, the Senate favorably reviews the proposal and the Vice President for Research and Graduate Studies must recommend disestablishment to the Provost and to the President, and the President must approve it.

Details of Process

1. Following a five-year regular review²¹, a fifteen-year review, or other process of review established by the Vice President for ORGS, and following consultation with the advisory committee of the MRU, the Vice President for ORGS prepares a recommendation for disestablishment of the MRU (or branch). This recommendation will cover, at a minimum, all the information specified for a notice of a proposed disestablishment.
2. The Vice President for Research and Graduate Studies forwards the proposal and supporting materials to the chairs and analysts of UCORP, UCPB, and CCGA for comment, with a copy of the transmittal letter to the Council Chair. The Vice President for Research and Graduate Studies also requests comment from all Chancellors (or designees). On those campuses where the MRU has an active presence, the campus review should include consultation with the appropriate Divisional Senate committees (ordinarily, at a minimum, the Committee on Research or equivalent and Graduate Council). The campus Chancellor (or designee) should organize that consultation.
3. The Chancellors (or designees) submit all campus comments, including those from the Divisional Senate committees, to the Vice President for Research and Graduate Studies.
4. UCORP, UCPB, and CCGA review the proposal. UCORP is the lead committee. The committees report their recommendations to the Academic Council, which serves as arbiter if there is not concurrence among them. The Council Chair notifies the Vice President for Research and Graduate Studies of favorable review by the Senate committees.

²¹ For more information, see [Guidelines for Five-Year \(“Quinquennial”\) Reviews of Multicampus Research Units \(MRUs\)—Review Committee Guidelines](http://www.ucop.edu/research/policies/mrurev5com.html), (<http://www.ucop.edu/research/policies/mrurev5com.html>).

5. After receiving all comments, the Vice President for ORGS recommends disestablishment of the MRU (or branch) to the Provost and to the President.
6. After Presidential approval, the Provost notifies the host campus Chancellor (or designee) and others of the decision.

VI. Systemwide Academic Units

Overview of the Process

Any aggregation of academic programs organized as a school, college, division or another title, that appoints faculty members who are members of the Academic Senate and who vote as a unit under Academic Senate [Bylaw 55](#) shall be treated as an academic unit. If a new systemwide academic unit or entity emerges that does not fit precisely into the existing categories in the Compendium, the review of the proposed systemwide academic unit must follow existing guidelines as much as possible. Specific proposals will not be reviewed until a) the campus review process has been specified; and b) the Divisional Senates have been consulted about the review process. If current review processes are deemed inappropriate by Academic Council for any new systemwide academic entity, the Academic Planning Council (APC) should be responsible for formulating the review process for new systemwide academic entities, based on existing guidelines for similar entities.

VI.A. Systemwide Schools

Overview of the Process

Any systemwide school must be piloted as a joint academic degree program/research institute prior to undergoing review to become a school.

VII. Accelerated Review Schedule for any Action

Overview of Process

The campus may request that the systemwide Senate and UCOP initiate Universitywide review simultaneously with campus review. Such a request would be most likely to occur when very rapid action is needed; for example, to institute budget reductions that might be achieved through reconstitution. Campus and systemwide representatives of the Senate and administration agree on the schedule, materials, distribution procedures, and problem resolution processes. Usual campus and systemwide review and approval processes are carried out simultaneously. If the campus proposal begins to diverge markedly from that under review systemwide, systemwide review can be suspended. Final systemwide approvals are given after the campus has approved the proposal and it is verified that the approved campus proposal is consistent with that reviewed systemwide.

Details of Process

1. The campus administration and Divisional Senate leadership initiate a discussion with the Academic Council Chair and Provost. The purpose of the discussion is to reach agreement on a schedule for concurrent campus, systemwide Senate, Office of the President--Office of Academic Affairs, and, when necessary, CPEC review; materials to be included in the review package (normally, the same proposal that is circulating for review on campus); procedures for distributing proposals; and a preliminary plan for how to resolve potential roadblocks to a faster conclusion of reviews.
2. As necessary, Academic Affairs staff negotiate with CPEC a schedule for concurrent review and assures that all CPEC questions are answered by the proposing campus.
3. Upon sending notice of the proposed academic program or academic unit action(s) to the Provost, the Chancellor (or designee) also sends review materials to the reviewers, as agreed to in step 1.
4. The Senate review committees that would ordinarily review the proposed action, and any other committees the Academic Council Chair designates, convey questions regarding the proposal directly to the campus for response, copying other reviewing committees and appropriate Academic Affairs staff.
5. The Chair of the systemwide committee that would ordinarily be the lead Senate committee for the proposed action (e.g., the CCGA Chair for a school that would offer graduate degree programs, the UCORP Chair for an MRU) is responsible for coordinating the systemwide committees participating in the accelerated review. As necessary, this Chair convenes the Chairs of the other systemwide Senate committees participating in the review. The Chair of the Divisional Senate may be included in these discussions.

6. The systemwide Senate committees make their final recommendations only after the Divisional Senate and campus administration have variously approved and completed favorable review of the proposal. If the proposal undergoes significant change in the course of campus review, the systemwide Senate may suspend further review until the fully revised proposal is available and near campus agreement. If any systemwide Senate committee suspends review under these circumstances, the committee Chair informs the relevant parties.
7. The Senate review committees report their comments, final recommendations, and any required approvals to the Academic Council. If CCGA would ordinarily act on behalf of the Senate with regard to all or part of the proposed action, then its decision is also final in an accelerated review. If there is not concurrence on other actions among the reviewing committees, the Academic Council serves as arbiter. If any part of the proposal requires Assembly action, the Academic Council Chair makes appropriate arrangements. The Council Chair reports the Senate comments and recommendations to the Provost.
8. The Provost reviews the Senate materials, resolves any issues arising from the reviews with the campus, and makes a recommendation to the President who, depending on the proposed action(s), approves, approves implementation, or recommends to the Regents approval of the action(s).
9. If Regental action is required, the President recommends approval to the Regents who approve it.
10. The Provost informs the Chancellor (or designee) of final approval, copying others involved in the process.

VIII. Role of the Academic Planning Council

The Academic Planning Council (APC) was established in 1994 to provide guidance on planning issues of Universitywide concern. It is chaired by the Provost, with the Academic Council Chair serving as Vice Chair. Membership includes the Chairs of CCGA, UCPB, and UCEP, which are the key Senate committees responsible for academic planning issues, plus the Academic Council Vice Chair; key administrators, including the Vice Presidents for Health Affairs and for the Division of Agriculture and Natural Resources (DANR), and representative Academic and Student Affairs Vice Chancellors; and faculty and students. Key Academic Affairs planning staff support the work of the APC.

Although the APC may take actions that may have implications for individual campus proposals that are reviewed systemwide, the APC does not take any direct action on such proposals. Section I describes the APC's optional role in reviewing the annual Five-Year Planning Perspectives for academic units, academic programs, and research units and/or any planning issues arising from their review. Moreover, throughout the Compendium, there are references to routes by which the Senate or Academic Affairs can identify potential Universitywide issues to be referred to the APC for deliberation. These are mechanisms by which APC may bring a systemwide perspective to the attention of those on the campuses who are developing proposals that will ultimately be submitted for systemwide review and approval; the composition of the APC and of its staff assures that the process of referral and disposition can be handled efficiently.

While most questions raised by the Senate or Academic Affairs can be resolved by interactions with the campuses, some may be of a magnitude that goes beyond the single-campus resolution. Universitywide issues of this sort usually have implications for efficient use of the University's resources across the system and can include:

- Potential for cooperative planning/cost-effective alternatives
- Disappearance of programmatic area from the entire system
- Appropriateness of a major new programmatic direction to campus mission
- Student interest in various programmatic areas
- Needs of the state and nation
- Resource needs and opportunities

Such planning issues should be referred to the APC for discussion and advice on how to proceed with resolving them. The APC might recommend referral to existing groups, creation of ad hoc groups, a special staff study, convening of an APC subcommittee, or other approach to gather information and expert advice. At the conclusion of the planning activity, the Chair and the Vice Chair of the APC would determine how to transmit the results to the campuses. The composition of the APC assures ready incorporation of results into future deliberations and planning activities.

IX. Appendices

- A. Glossary of Terms
- B. 2009 Five-Year Planning Perspectives
- C. Format for the Graduate Degree Proposal
- D. Information Required by CPEC for Academic Degree Program Proposals
- E. Draft Flow Chart of the Approval Process for New Graduate Academic Programs
- F. Draft Flow Chart of the Approval Process for New Academic Units (New Schools)
- G. Systemwide Professional School Planning: Recommended Guidelines and Model, Endorsed by the Academic Council - July 2004
- H. Summary of CPEC's Program Review Principles and Guidelines, 2006
- I. UCOP Policy on Transfer, Consolidation, Disestablishment, and Discontinuance of Academic Programs and Units, 1979
- J. Role of CCGA in the Transfer, Consolidation, Disestablishment, and Discontinuance of Academic Programs and Units
- K. Re-Issuance of Memo (#93-4) on University Policy and Procedures Concerning Organized Research Units, Research Administrative Office, March 12, 1993
- L. Administrative Policies and Procedures Concerning Organized Research Units (established 1999)
- M. Guidelines for Five-Year ("Quinquennial") Reviews of Multicampus Research Units

Appendix A: Glossary of Terms

Term	Definition
Academic Assembly	<p>The Assembly of the Academic Senate consists of the President of the University; a Chair and Vice Chair (who are also ex officio Chair and Vice Chair of the Academic Council); a Secretary/Parliamentarian; 16 ex officio members (the Chairs of the nine Divisional Senates; the Chairs of the same six systemwide committees included in the Academic Council membership; and the Vice Chair of UCEP) and 40 Divisional Representatives allocated proportional to faculty in each Division. The Assembly is authorized to consider any and all matters of concern to the Academic Senate as a whole and has the power to take final action concerning all legislation substantially affecting more than one Division or the statewide University. In the Compendium processes, it approves the establishment of new graduate degree titles.</p>
Academic Council	<p>The Academic Council consists of a Chair and Vice Chair, the Chairs of the ten Divisional Senates, and the Chairs of six systemwide Senate committees (University Committees on Academic Policy, Educational Policy, Faculty Welfare, and Planning and Budget, the Board of Admissions and Relations with Schools, and the Coordinating Committee on Graduate Affairs). The Academic Council advises the President of the University on behalf of the Assembly of the Academic Senate. When more than one committee reviews a proposal during the systemwide review process, the Council integrates responses and serves as arbiter if the committees do not agree in their recommendations. The Council may act on behalf of the Assembly in approving the establishment of new graduate degree titles.</p>
Academic Planning Council	<p>This systemwide administration-Senate committee consists of the Provost & Senior Vice President (Chair), Council Chair (Vice Chair), Vice President for Health Affairs, Vice President for Agriculture and Natural Resources, Council Vice Chair, three campus administrators (Chancellor, Academic Vice Chancellor, Student Affairs Vice Chancellor), Chairs of UCEP, CCGA, and UCPB, two faculty at large, an undergraduate student, and a graduate student. APC provides universitywide guidance and advice on academic and strategic planning, coordinates universitywide academic planning activities with pertinent related activities, guides innovation and redirection of academic efforts within UC as a whole, and advises on interactions with CPEC. Any issues arising from review of the Five-Year Planning Perspectives would be brought to APC. APC also reviews the early announcement of an anticipated proposal for a new school or college and makes recommendations to the President on</p>

Term	Definition
CCGA	<p data-bbox="488 233 976 262">approval of new schools and colleges.</p> <p data-bbox="488 285 1373 716">The Coordinating Committee on Graduate Affairs (CCGA), within the Academic Senate, consists of the President, one representative from each Divisional Graduate Council, and two at large members, one serving as Chair and the other as Vice Chair. CCGA reviews and approves proposals for new programs for established and graduate degrees, and recommends approval for new graduate degree titles. It also comments on proposed actions involving schools and colleges and MRUs, as well as the proposed actions in the Five-Year Planning Perspectives, particularly those involving graduate degree programs. CCGA advises the President of the University and all agencies of the Senate regarding the promotion of research and learning related to graduate affairs.</p>
Chancellor	<p data-bbox="488 741 1341 953">Chancellor of a UC campus or his or her designee. In most Compendium actions, the Academic Vice Chancellor or Executive Vice Chancellor acts as designee. The Chancellor (or designee) approves proposals involving departments, schools and colleges, ORUs, and MRUs, and favorably reviews proposals involving undergraduate and graduate degree programs.</p>
College	<p data-bbox="488 978 1373 1297">A college is an academic unit typically comprising one or more departments offering academic degree programs. A college is headed by a dean or provost. The Faculty of the college is established by the Academic Senate. A “college” is distinguished from a “School” in that it does not house units that offer professional degrees (e.g., Law, MBA), but only “academic” degrees (e.g., PhD, MA, MS). A variation on this categorization is in place at UCSC and UCSD, where colleges denote academic communities for undergraduates. Although these colleges can offer courses, they cannot offer degrees.</p>
Consolidation	<p data-bbox="488 1323 1357 1423">For the purposed of a reconstitution of an academic unit or program, a consolidation entails combining two or more programs or units to form a new unified program or unit.</p>
(Academic) Council Chair	<p data-bbox="488 1449 1373 1730">The Council Chair is the Chair of the Academic Council and Assembly of the Academic Senate. The Council Chair is elected as Vice Chair by the General Assembly, serves one year as Vice Chair, and then one year as Chair. He or she organizes Council consideration of committee reactions to proposals involving schools and colleges and MRUs, manages Senate commentary on the Five-Year Planning Perspectives, and provides leadership as needed in the systemwide review processes.</p>
CPEC	<p data-bbox="488 1755 1373 1892">California Postsecondary Education Commission. This state agency coordinates postsecondary education, representing the public interest and serving the public good (Donahoe Higher Education Act, Section 66903 of the Education Code). It prepares a five-year state plan,</p>

Term	Definition
	drawing in part from the UC Five-Year Planning Perspectives and reviews and concurs with actions involving UC graduate degree programs, schools, and colleges.
Degree Program	A degree program is an approved set of course, examination, and other requirements within a discipline or across disciplines, that leads to a degree, commonly referred to as a “major” at the undergraduate level. The names of degree programs are posted on transcripts and diplomas.
Degree Title	A degree title is the type of degree associated with the academic program. Examples include B.A., B.S., M.A., M.F.A., M.S., EdD, and PhD. When a new degree title is introduced on a campus, specific review procedures must be followed. ²²
Department	A department is an academic unit that typically offers baccalaureate, master’s and doctoral degree programs, headed by a chair. A department typically represents a field of knowledge that is well established. Departments usually exist within the framework of a college or school. ²³ Actions involving departments are carried out on the campuses, and do not involve review by the systemwide office.
Discontinuance	For the purposes of a reconstitution of an academic program, discontinuance means eliminating an academic program. It does not refer to academic units.
Disestablishment	For the purposes of a reconstitution of an academic unit, disestablishment means eliminating an academic unit or research unit. It does not refer to academic programs.
Division	For the purposes of the Compendium, a division is an academic unit comprising a portion of a college or school. A division is typically headed by a dean. In rare instances, when there is a distinct delineation within the discipline, a department may be divided into administrative components called divisions. Many campuses also use the term “division” to group all of its graduate education programs (e.g., graduate division). While headed by a Graduate Dean, this is more of an administrative structure, rather than an academic one. ²⁴
Divisional Senate(s)	The ten Campus Divisions of the Academic Senate. Under authority from the Regents, faculty belong to an Academic Senate that is organized into divisional Senates, one for each campus, and a systemwide Senate. On each campus, review processes for academic programs, academic units, and research units are similar to those used systemwide, with committees of the divisional Senate variously

²² See section II., Academic Degree Programs.

²³ Exceptions to this rule include UCI’s Department of Education (which seems to stand alone from any School or College).

²⁴ In lieu of administrative “division”, some campuses use the terms “office of...”.

Term	Definition
Emphasis	<p>approving and favorably reviewing proposed actions in these three areas. Divisional Senate committees also have the opportunity to review the UC Five-Year Planning Perspectives. Divisional Senates are sometimes called “Divisions”, but should not be confused with administrative Divisions (see above).</p>
Graduate Academic Certificates	<p>An emphasis is a focused area of study that may be offered as a track within a department's degree program, or as an optional interdisciplinary addition to an existing graduate degree program in one or more departments. An emphasis is noted on transcripts but does not appear on diplomas.</p> <p>A graduate academic certificate (GAC) program is an approved set of courses and other requirements in a specific area of enquiry, not covered by a degree program, which leads to a formal certificate of completion of graduate studies. Senate Regulation (SR) 735, which authorizes Graduate Divisions to grant certificates of completion of graduate curriculum requires that these certificate programs be approved by both the local Graduate Council and by CCGA. Certificates offered by University Extension are not covered by SR 735. A GAC is defined as a certificate program that: a) Does not require its students to be enrolled in another graduate program; b) Is not offered solely through a UC Extension Program; c) Has an independent admissions process, which requires at least a Bachelor’s degree for admission; and d) Carries a minimum of 3 quarters (or 2 semesters) of full-time resident study.</p>
Hybrid Undergraduate/ Graduate Degree Programs	<p>Undergraduate/Graduate hybrid degree programs are those degree programs that allow for a student to complete an undergraduate and graduate curriculum simultaneously.</p>
Interdisciplinary Group or Graduate Group	<p>An interdisciplinary group is headed by a chair, and composed of a number of participating faculty from various departments, that offers at least one interdisciplinary degree program. The Group is governed by an advisory committee and has no permanent faculty. The area of study offered by a Group typically represents a new direction in teaching and scholarship. CCGA requires that all interdepartmental graduate program (IDP) or graduate group proposals shall include a set of governance bylaws in addition to a number of guarantees from campus academic officials (e.g., teaching-assistant, library resources, courses, etc.).</p>
Interdisciplinary Program	<p>A program is an academic unit that usually offers at least one interdisciplinary degree program. It is headed by a chair and has permanent faculty. The interdisciplinary area of study offered by a program is of a more established nature than that of an interdisciplinary group.</p>

Term	Definition
Joint Doctoral Graduate Degree Program	Joint doctoral degree programs (JDPs) are designed to combine the intellectual and physical resources of UC and CSU in a discipline where a program is being proposed, to be mutually beneficial to both UC and CSU, and to meet a need not currently being met by UC. Students enrolled in such programs take advantage of the infrastructure and discipline/research expertise present in both systems. It is expected that the research interests and program strengths of the proposing UC and CSU academic departments complement and reinforce each other, rather than duplicate an existing program. Such a logical combination, therefore, broadens the base upon which the program is being developed and provides a wider breadth and depth of faculty and curricula.
Minor	A minor is a set of courses that taken together provide a systematic understanding of a subject or some specified part of it, but provide less depth and breadth than a degree (major) program. Minors are posted on transcripts and on diplomas.
President	The President of the University of California. He or she is responsible for the overall organization, budget, and well functioning of all components of the University of California. In the Compendium processes, he or she approves establishment and disestablishment of MRUs; under a delegation from the Board of Regents, approves the creation of a new graduate degree title, and recommends to the Board of Regents their approval of the establishment and disestablishment of a school or college.
Provost	The Provost, who is located at UCOP reports directly to the President and is responsible for all systemwide engagement with UC academic life. The UCOP portions of all systemwide review processes are managed by the Provost, acting as the President's designee.
The Regents	Officially known as the Board of Regents of the University of California. The Regents consists of 7 members ex officio (Governor, Lieutenant Governor, Speaker of the Assembly, Superintendent of Public Instruction, President and Vice President of UC Alumni Association, and UC President), 18 members appointed to 12-year terms, and one student appointed for one year. Two alumni regents designate, two faculty representatives, and two staff advisors also participate in meetings of the Board of Regents. The Regents have ultimate responsibility for the well being of the University. Many responsibilities have been delegated to the President, Chancellors, other administrators, and the faculty. In the Compendium processes, The Regents approve the establishment and disestablishment of schools and colleges.
School	A school is an academic unit typically comprising one or more

Term	Definition
Senate	<p>departments that also offer one or more professional degree programs. A school is headed by a dean or provost. The Faculty of the school is established by the Academic Senate. A “school” is distinguished from a “college” in that it typically offers professional degrees (e.g., Law, MBA), and does not offer “academic” degrees (e.g., PhD, MA, MS).²⁵ However, on some campuses a school will include <i>both</i> professional and academic programs (e.g., UCI’s Claire Trevor School of the Arts, which includes both the PhD and the MFA).²⁶ For some campuses, a school represents a naming opportunity and is a source of philanthropic giving. Finally, there is at least one precedent for maintaining a school within a school. This occurs at UCLA, where the UCLA Herb Albert School of Music is housed within the School of Arts and Architecture.</p>
TCDD	<p>The Universitywide Academic Senate. Under authority from the Regents, faculty belong to an Academic Senate that is organized into Divisional Senates, one for each campus, and a systemwide Senate. In the Compendium, the term Senate refers to this formal faculty structure. Whether it is systemwide or divisional will be clear either because that is explicitly stated or because the context makes it clear. In the Compendium processes, either on the campus or systemwide, the Senate has approval authority for actions involving academic degree programs and consults on actions involving academic units and research units.</p>
Transfer	<p>Transfer, Consolidation, Disestablishment, and Discontinuance. These four processes substantially transform academic programs, academic units, and/or research units, and usually involved in reconstitutions. Transfer involves moving a program or unit into another one that subsumes it. Consolidation involves bringing together two or more programs or units to form a new unified program or unit. Disestablishment involves doing away with an academic unit or research unit. Discontinuance involves doing away with an academic program.</p>
UC	<p>For the purpose of a reconstitution of an academic unit or program, a transfer involves moving a program or unit into another one that subsumes it.</p> <p>University of California. UC refers to the University as a whole and to any part of the University -- students, faculty, staff, and</p>

²⁵ Exceptions to this rule include UCI’s Claire Trevor School of the Arts, School of Biological Sciences, School of Humanities, Donald Bren School of Information & Computer Sciences, School of Physical Sciences, School of Social Ecology, and School of Social Sciences; UCM’s School of Engineering, School of Natural Sciences, School of Social Sciences, Humanities, and Arts;

²⁶ In addition to UCI’s Claire Trevor School of the Arts, other hybrid schools include UCSD’s School of International Relations and Pacific Studies, UCSD’s Jacobs School of Engineering, and the UCSD’s Skaggs School of Pharmacy & Pharmaceutical Sciences.

Term	Definition
UCEP	<p>administrators on the nine campuses and systemwide.</p> <p>University Committee on Educational Policy, Academic Senate. UCEP consists of a Chair, a Vice Chair, the Assembly Chair, and a representative from each Divisional Committee on Educational Policy. UCEP initiates appropriate studies and reports on the establishment or disestablishment of curricula and academic units, and on legislation or administrative policies involving educational policy. In the Compendium processes, it comments on and recommends approval of proposed actions involving schools and colleges. UCEP also analyzes the Five-Year Planning Perspectives, particularly those involving undergraduate degree programs.</p>
UCOP	<p>University of California, Office of the President. UCOP refers to the systemwide administrative arm of the University, including senior administrators and staff.</p>
UCORP	<p>University Committee on Research Policy, Academic Senate. UCORP consists of a Chair and a representative from each Divisional Senate, one of whom is Vice Chair. UCORP considers matters pertaining to fostering research, general research policies, and procedures. In the Compendium processes, UCORP comments on and recommends approval of proposed actions involving MRUs. UCORP also analyzes the ORU and MRU proposed actions included in the Five-Year Planning Perspectives.</p>
UCPB	<p>University Committee on Planning and Budget, Academic Senate. UCPB consists of a Chair, a Vice Chair, the Assembly Vice Chair, the UCORP Chair, and a representative from each Divisional Committee on Planning and Budget (or equivalent). UCPB advises university administration on policy regarding planning and budget matters and resource allocations. In the Compendium processes, UCPB comments on and recommends approval of proposed actions involving schools and colleges and MRUs. UCPB also analyzes the Five-Year Planning Perspectives.</p>

Appendix B; 2009 Campus Five-Year Perspectives

UNIVERSITY OF CALIFORNIA

MW

→ Todd

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

OFFICE OF THE PROVOST AND EXECUTIVE VICE PRESIDENT --
ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

RECEIVED

April 14, 2009

APR 23 2009

EXECUTIVE VICE CHANCELLORS ACADEMIC COUNCIL

Dear Colleagues:

As part of a variety of efforts related to planning, I am writing to request submission of your campus list of new programs and schools to be proposed over the next five years. Enclosed is the summary of information provided last year. The lists—sometimes referred to as the "five-year perspectives"—are collected annually and submitted to the California Postsecondary Education Commission.

Beyond the reporting requirement, this information provides an opportunity to review and analyze program trends for individual campuses as well as for the University's collective academic enterprise. It allows us to track plans for undergraduate programs under the purview of each Chancellor and to anticipate proposals for graduate and professional programs or schools. Since the latter are subject to systemwide review, it is helpful to understand in advance what proposals are in the pipeline.

While the Office of the President has requested five-year plans for a number of years, the documents have new significance as we move forward from this point. In the recent reorganization of Academic Affairs, we created a new systemwide planning unit. That unit—Academic Planning Programs and Coordination (APPC) led by Vice Provost Dan Greenstein—will use the five-year plans to inform development of new systemwide planning efforts as well as program review protocols. The plans will complement long-range and near-term goal statements forwarded to President Yudof by the Chancellors in December.

These materials and upcoming conversations involving APPC, the OP Budget Office and individuals each of you has designated from your respective campus are components of a new approach to planning. Given severe budget constraints, the University must act strategically to foster unique academic strengths of each campus while remaining alert to opportunities for collaboration. From a more thorough understanding of campus priorities, we can better integrate the plans of each institution into a collective vision for the system.

Your contributions to an enhanced planning effort for the University are vital. The five-year perspectives were recently requested from campus staff members who annually assist in providing us with this information. I look forward to receiving the lists of new academic programs and schools by May 20.

Sincerely,

Lawrence H. Fuchs
Interim Provost and Executive Vice President
Academic Affairs

Enclosure

UNIVERSITY OF CALIFORNIA
Proposed Degree Programs
2008 - 2013
BERKELEY

Proposed Programs	Degree	Status
UNDERGRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Urban and Metropolitan Studies	B.A.	2
Information	B.S.	1
Materials Chemistry	B.S.	1
GRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Education Leadership (jt. w/ SFSU, CSU East Bay, SJSU)	Ed.D.	discontinue 2011
Professional Accountancy	M.P.Acc.	3
Accounting	M.S.	2
Epidemiology (w/ UCSF)	Ph.D.	1
Leadership in Early Childhood Studies	M.A.	1
Product Development	M.S.	1
Public Health/Engineering	M.P.H./M.S.	1
Public Health/Journalism	M.P.H./M.J.	1
Public Health/Nursing (concurrent with UCSF)	M.P.H./L.S.	1
Transnational Feminist Studies	M.A./ Ph.D.	1

- 1 suggested for list
- 2 department review
- 3 campus administration review
- 4 CCGA CPEC review

UNIVERSITY OF CALIFORNIA
Proposed Degree Programs
2008 - 2013
DAVIS

Proposed Programs	Degree	Status
UNDERGRADUATE PROGRAMS		
(none for 2008 update)		
GRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Chemical Engineering (Jt. w/ Middle East Technical University, Turkey)	Jt. Ph.D.	3
Communication	Ph.D.	3
Ecology (formerly Plant Ecology) w/ CSU Chico	Jt. Ph.D.	3
Environmental Policy & Management	M.S.	3
Health Informatics	Ph.D.	2
Bioinformatics	M.S./Ph.D.	1
Community Development	Ph.D.	1
Computational Science & Engineering	M.S. & Ph.D.	1
Energy Graduate Group (formerly Energy, Systems, Technology, & Policy)	M.S. & Ph.D.	1
Family Nurse Practitioner/Physician Assistant Program	M.H.S.	1
Health Services in Family Nurse Practitioner (MPAS)	MPAS	1
Medical Speech/Swallowing	Ph.D.	1
Nursing	M.S.	1
SCHOOLS and COLLEGES		
School of Nursing		4
School of Public Health		4
Graduate School of the Environment		2

1 suggested for list
2 department review
3 campus administration review
4 CCGA CPEC review

UNIVERSITY OF CALIFORNIA
Proposed Degree Programs
2008 - 2013
IRVINE

Proposed Programs	Degree	Status
UNDERGRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Business Administration	B.A.	3
Business Information management	B.S.	3
History Subject Matter Preparation	B.A.	3
Korean Language & Culture	B.A.	3
Biotechnology	B.S.	2
Chinese Studies	B.A.	2
Engineering Design Software	B.S.	2
Latin	B.A.	2
Legal Studies	B.A./M.A.	2
Literary Journalism	B.A./M.A.	2
Nursing Science	B.S.	2
Statistics	B.A.	2
Bioinformatics	B.S.	1
Information & Computer Science	B.A.	1
Exercise & Rehabilitation Medicine	B.A.	1
Urban Studies	B.A.	1
GRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Public Health	M.P.H.	4
Information & Computer Science & Business Administration	M.B.A./M.S.	3
International Studies	M.A.	3
Molecular Medicine & Therapeutics	Ph.D.	3
Public Policy	M.P.P.	3
African American Studies	M.A.	2
Clinical Sciences	M.S./Ph.D.	2
Criminology, Law & Society	Ph.D.	2
Engineering Design Software	M.S./Ph.D.	2
Environmental Health	Ph.D.	2
Informatics	M.S./Ph.D.	2
Medical Social Sciences	M.A.	2
Nursing Practice, Doctor of	D.N.P.	2
Nursing Science	M.S./Ph.D.	2
Pharmaceutical Sciences	M.S./Ph.D.	2
Political Consultancy & Government Relations	M.A.	2
Spanish	M.A.	2
The Americas	M.A.	2
Business Administration Master's & J.D.	M.B.A./J.D.	1
Computer Science and Engineering	M.S./Ph.D.	1
Environmental Engineering	M.S./Ph.D.	1
Epidemiology	M.S./Ph.D.	1
Exercise Science & Rehabilitation Medicine	M.S./Ph.D.	1
Master's of Art in Teaching w/ Biological Sciences	M.A.T.	1
Mathematics, Computational & Systemic Biology (MCSB)	Ph.D.	1
Mathematics, Computational & Systems Biology	Ph.D.	1
Physical Therapy (w/ CSU Long Beach)	D.P.T.	1
Psychology & Law	M.A./Ph.D.	1
Public Health & M.D.	M.P.H. & M.D.	1
Software Engineering	M.S./Ph.D.	1
Software Engineering (ICS)	M.S./Ph.D.	1
Urban Planning	M.A./J.D.	1
SCHOOLS		
School of Education		1
School of Nursing Science		1
School of Public Health		1

- 1 suggested for list
- 2 department review
- 3 campus administration review
- 4 CCGA CPEC review

UNIVERSITY OF CALIFORNIA
Proposed Degree Programs
2008 - 2013
LOS ANGELES

DRAFT

Proposed Programs	Degree	Status
UNDERGRADUATE PROGRAMS		
Armenian Studies	B.A.	2
Complex Human Systems	B.A.	2
Computational & Systems Biology	B.S./M.S.	3
Music	B.M.	2
Social Complexity	B.A.	2
Dance	B.A.	2
Art	B.F.A.	1
Art	B.F.A.	1
GRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Bioinformatics	M.A./Ph.D.	4
Nursing Administration	M.S.N.	3
Chicana/Chicano Studies	M.A./Ph.D.	2
Geographical Information Systems	MSGIS	2
Health Education & Promotion	M.P.H.	2
Healthcare Management & Policy	M.P.H.	2
Translational Research	Ph.D.	2
Afro-American Studies	Ph.D.	1
Applied Statistics	M.S.	1
Applied Statistics	M.S.	1
Asian American Studies	Ph.D.	1
Communication Studies	M.A.	1
Design & Media Studies	Ph.D.	1
Electronic Arts	M.S.	1
Law & Medicine	J.D./M.D.	1
Law & Philosophy	J.D./M.A.; J.D./Ph.D.	1
Museum & Curatorial Studies	M.A.	1
Public Administration (school-wide)	E.M.P.A.	1
Risk Management	M.S.	1
Systems Engineering	M.S.	1
Teaching of Statistics	M.S.	1

- 1 suggested for list
- 2 department review
- 3 campus administration review
- 4 CCGA CPEC review

UNIVERSITY OF CALIFORNIA
Proposed Degree Programs
2008 - 2013
MERCED

Proposed Programs	Degree	Status
UNDERGRADUATE PROGRAMS		
Anthropology	B.A.	3
Electrical Engineering	B.S.	3
Global Arts	B.A.	3
Aerospace Engineering	B.S.	1
Art Studies	B.A.	1
Chemical Engineering	B.S.	1
Civil Engineering	B.S.	1
Comparative Ethnic & Cultural Studies	B.A.	1
Engineering Economics & Management	B.S.	1
Entrepreneurship	B.A.	1
Global Studies	B.A.	1
Integrative Biology	B.S.	1
Management of Technology	B.S.	1
Sociology	B.A.	1
Spanish	B.A.	1
Spatial Analysis	B.S.	1
World Heritage	B.A.	1
GRADUATE PROGRAMS		
Aerospace Engineering	M.S./Ph.D.	1
Anthropology	M.A./Ph.D.	1
Biochemistry, Molecular/Cell Biology	M.S./Ph.D.	1
Chemical Engineering	M.S./Ph.D.	1
Chemistry	M.S./Ph.D.	1
Civil Engineering	M.S./Ph.D.	1
Cognitive Science	M.S./Ph.D.	1
Critical Studies	Ph.D.	1
Economics	M.A.	1
Electrical Engineering	M.S./Ph.D.	1
Engineering Economics & Management	M.S./Ph.D.	1
History	M.A./Ph.D.	1
Literature	M.A./Ph.D.	1
Management	M.S./Ph.D.	1
Museum Studies	Ph.D.	1
Physics	M.S./Ph.D.	1
Political Science	M.S./Ph.D.	1
Psychology	M.S./Ph.D.	1
Security Studies	M.A./M.S.	1
Sociology	M.S./Ph.D.	1
SCHOOLS		
Gallo School of Management		1
School of Medicine		1

1 suggested for list
2 department review
3 campus administration review
4 CCGA CPEC review

UNIVERSITY OF CALIFORNIA
Proposed Degree Programs
2008 - 2013
RIVERSIDE

Proposed Programs	Degree	Stat
UNDERGRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Engineering (combined 5-year program)	B.S./M.S.	3
Business Administration: integrated 5-year program	B.S./M.B.A.	2
Bioengineering	B.S.	2
Foreign Languages/Administrative Studies	B.A.	2
Civil & Construction Management Program	B.S.	1
Digital Arts (Art & Engineering)	B.S.	1
GRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Management	M.S./Ph.D.	4
Environmental Sciences	M.S./Ph.D.	3
Evolution, Ecology & Organismal Biology (Jt. w/	Ph.D.	3
Materials Science & Engineering	M.S.	3
Public Policy	M.A./Ph.D.	3
Accounting	MAcc	2
Astrophysics	M.S./Ph.D.	2
Engineering	M.Eng.	2
Engineering Management	M.S.	2
Executive Master of Business Administration	M.B.A.	2
History of Art	Ph.D.	2
Linguistics	Ph.D.	2
Media & Cultural Studies	M.A./Ph.D.	2
Women's Studies	M.A./Ph.D.	2
English & Children's Literature (Jt. w/ SDSU)	Ph.D.	1
Theatre	M.A.	1
SCHOOLS		
School of Law		suspended
School of Medicine		4
School of Public Policy		4

- 1 suggested for list
- 2 department review
- 3 campus administration review
- 4 CCGA CPEC review

UNIVERSITY OF CALIFORNIA
Proposed Degree Programs
2008 - 2013
SAN DIEGO

Proposed Programs

Degree

Status

UNDERGRADUATE PROGRAMS

Proposals added for 2008 update are shown in **BOLD**

Electrical Engineering & Sociology	B.A.	3
Environmental Systems (Environmental Technologies)	B.S.	2
Engineering Science -- Integrative Engineering	B.S.	2
Marine Biology	B.S.	1
Marine Science	B.S.	1
Visual Arts (specialization in Public Culture)	B.A.	1
Forensic/Analytical Chemistry	B.S.	1
Mathematics (integrated 5-year program)	B.A./M.A.; B.S./M.S.	1
Middle Eastern Studies	B.A.	1
Nano Engineering	B.S.	1

GRADUATE PROGRAMS

Proposals added for 2008 update are shown in **BOLD**

Human Development	Ph.D.	4
Computational Science, Math & Engineering	M.S.	4
Architecture-based Enterprise Systems Engineering	M.A.S.	3
Bioengineering, Electrical & Computer Engineering & Structural Engineering (Jt. w/	Ph.D.	3
Computational Science, Mathematics & Engineering	M.S./Ph.D.	3
Geophysics -- Earthquake Science & Applied Geophysics (w/ SDSU)	Ph.D.	3
Management	Ph.D.	3
Management/Business Education	M.B.A./Ph.D.	3
Public Health -- Global Public Health	Ph.D.	3
International Affairs	M.A.S.	3
Biostatistics	Ph.D.	1
Critical Gender Studies	Ph.D.	1
Distributed Learning & Leadership	Ph.D.	1
Management	Ph.D.	1
Information Technology Innovation	M.Eng., Ph.D.	1
Pharmacy	D. Pharm	1
Projection/Multi-media/Animation/Film	M.F.A.	1
Climate Science	M.S.	1
NanoEngineering	Ph.D.	1

SCHOOLS & COLLEGES

Seventh College		1
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- 1 suggested for list
- 2 department review
- 3 campus administration review
- 4 CCGA CPEC review

UNIVERSITY OF CALIFORNIA
Proposed Degree Programs
2008 - 2013
SAN FRANCISCO

Proposed Programs	Degree	Status
GRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Global Health Sciences	M.S.	4
Dental Hygiene	M.S.	3
Science & Technology Studies in Medicine	M.S.	3
Audiology (w/ CSU San Francisco)	AuD.	2
Epidemiology	Ph.D.	2
Bioengineering (w/ UCB)	M.Engr., D. Engr.	1
Global Health Sciences	Ph.D.	1
Global Health Sciences	Execcutive M.A.	1
Health Psychology & Behavior Neurosciences (w/ UCB)	Ph.D.	1
Nursing (w/ UCD)	Ph.D.	1
Biological and Medical Informatics	M.S./Pharm.D.	on hold
Cancer Pharmacogenomics	Pharm.D.	on hold
Clinical Informatics & Modeling of Complex Systems	Pharm.D.	on hold
Health Policy Research -- Trans-disciplinary	Ph.D.	on hold
Health Psychology & Behavior Neurosciences	Ph.D.	on hold
Physical Therapy (w/ CSU Northridge)	Jt. D.P.T.	on hold
Post Baccalaureate Doctor of Pharmacy	Pharm.D.	on hold

SCHOOLS

School of Global Health Studies	2
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- 1 suggested for list
- 2 department review
- 3 campus administration review
- 4 CCGA CPEC review

UNIVERSITY OF CALIFORNIA
Proposed Degree Programs
2008 - 2013
SANTA BARBARA

Proposed Programs	Degree	Status
UNDERGRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Language, Culture and Society	B.A.	3
Biotechnology and Pharmacology	B.S.	2
Childhood Studies (Graduate School of Education)	B.A.	1
Conservation Biology	B.S.	1
Cultural Studies	B.A.	1
Electrical & Computer Engineering	B.S.	1
Materials Chemistry	B.S.	1
Mathematics & Empirical Finance	B.S.	1
Native American Studies	B.A.	1
Probability and Statistics	B.S.	1
Religious Studies	B.A./M.A.	1
GRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Materials Chemistry	B.S./M.S.	3
Applied Linguistics	M.A.	2
Art	M.A.	2
Biotechnology and Pharmacology	M.S.	2
Earth Surface Sciences	Ph.D.	2
Financial Mathematics & Statistics	M.S.	2
Geophysics	M.S./Ph.D.	2
Materials (w/ Ecole Polytechnique, France)	Ph.D.	2
Technology Management & Commercialization	M.S.	2
Asian American Studies	M.A./Ph.D.	1
Bioengineering & Bio-Physical Science	M.S./Ph.D.	1
Black Studies	M.A./Ph.D.	1
Dance	M.F.A.	1
Writing for Performance	M.F.A.	1

- 1 suggested for list
- 2 department review
- 3 campus administration review
- 4 CCGA CPEC review

UNIVERSITY OF CALIFORNIA
Proposed Degree Programs
2008 - 2013
SANTA CRUZ

Proposed Programs	Degree	Status
UNDERGRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Biomolecular Engineering	B.S.	2
Computer Game Engineering	B.S.	2
Jewish Studies	B.A.	2
Mechatronic Engineering	B.S.	2
GRADUATE PROGRAMS		
Proposals added for 2008 update are shown in BOLD		
Applied Mathematics & Stochastic Modeling	M.S./Ph.D.	2
Autonomous Systems	M.S./Ph.D.	2
Coastal Policy	M.S.	2
Comparative U.S. Studies	Ph.D.	2
Engineering	M.Eng.	2
Feminist Studies	Ph.D.	2
Latin American & Latino Studies	Ph.D.	2
Planetary Sciences	M.S./Ph.D.	2
Remote Sensing/Geographic Information Systems	M.S.	2
Software Engineering	M.S./Ph.D.	2
Visual Art	M.F.A.	2
Biomolecular Engineering	M.S./Ph.D.	1
Computer Game Design	M.S.	1
Engineering Management	M.S./Ph.D.	1
SCHOOLS		
School of Management		2

1 suggested for list

2 department review

3 campus administration review

4 CCGA CPEC review

Appendix C

Format for the Graduate Degree Program Proposal

Title

A proposal for a program of graduate studies in (e.g., English) for the (e.g., M.A., Ph.D.) degree(s).

Date of Preparation

Contact Information Sheet

A contact information sheet with the lead proponent clearly identified.

Section 1. Introduction

A statement setting forth the following:

1. Aims and objectives of the program. Any distinctive features of the program should also be noted.
2. Historical development of the field and historical development of departmental strength in the field.
3. Timetable for development of the program, including enrollment projects. Consistency of these projections with the campus enrollment plan. If the campus has enrollment quotas for its programs, state which program(s) will have their enrollments reduced in order to accommodate the proposed program.
4. Relation of the proposed program to existing programs on campus and to the Campus Academic Plan. If the program is not in the Campus Academic Plan, why is it important that it be begun now? Evidence of high campus priority. Effect of the proposed program on undergraduate programs offered by the sponsoring department(s).
5. Interrelationship of the program with other University of California institutions, if applicable. The possibility of cooperation or competition with other programs within the University should be discussed. Proponents should send copies of their proposal to all departments on other campuses offering similar degrees. Review letters should be obtained from chairs of such departments and these letters should be attached to the proposal.
6. Department or group which will administer the program.
7. Plan for evaluation of the program within the offering departments(s) and campus wide.

Section 2. Program

A detailed statement of the requirements for the program including the following:

1. Undergraduate preparation for admission.
2. Foreign language. "The CCGA recognizes that foreign language competence may be an important element of graduate education of doctoral programs. It is the responsibility of the Divisional Graduate Councils to insure that the proponents of new doctoral programs have carefully considered the value of a foreign language requirement. We shall assume that when a proposal for a new doctoral degree has been forwarded to CCGA, this issue has been addressed and resolved to the satisfaction of the Division. Divisional Graduate Councils should apply the same standard adopted for new programs in reviewing existing doctoral programs" (CCGA Minutes, 5/14/85, p.6)

3. Program of study:
 - a) Specific fields of emphasis
 - b) Plan(s): Masters I and/or II; Doctors A or B
 - c) Unit requirements
 - d) Required and recommended courses, including teaching requirement
 - e) When a degree program must have licensing or certification, the requirements of the agency or agencies involved should be listed in the proposal, especially the courses needed to satisfy such requirements (CCGA Minutes, 1/17/78, p.5)
4. Field examinations – written and/or oral.
5. Qualifying examinations—written and/or oral.
6. Thesis and/or dissertation.
7. Final examination.
8. Explanation of special requirements over and above Graduate Division minimum requirements.
9. Relationship of master's and doctor's programs.
10. Special preparation for careers in teaching.
11. Sample program.
12. Normative time from matriculation to degree. (Assume student has no deficiencies and is full-time.) Also specify the normative lengths of time for pre-candidacy and for candidacy periods. (If normative time is subsequently lengthened to more than six years, prior approval of CCGA is required.) *Other incentives to support expeditious times-to-degree:* what policies or other incentives will assure that students make timely progress toward degree completion in the proposed program?

Section 3. Projected need

A statement setting forth the following:

1. Student demand for the program.
2. Opportunities for placement of graduates. UC anticipates that CPEC in particular will expect detailed and convincing evidence of job market needs. This will be especially true for programs in graduate fields now well represented among UC campuses and California independent universities, as well as programs in the same field proposed by more than one campus. IF UC already offers programs in the field, what are their placement records in recent years? What recent job listings, employer surveys, assessments of future job growth, etc. can be provided to demonstrate a strong market for graduates of this program, or for graduates of specialty areas that will be the focus of the program?
3. Importance to the discipline.
4. Ways in which the program will meet the needs of society.
5. Relationship of the program to research and/or professional interests of the faculty.
6. Program Differentiation. How will the proposed program distinguish itself from existing UC and California independent university programs, from similar programs proposed by other UC campuses? Statistics or other detailed documentation of need should be provided.

Section 4. Faculty

A statement on current faculty and immediately pending appointments. This should include a list of faculty members, their ranks, their highest degree and other professional qualifications, and a citation of relevant publications; data concerning faculty should be limited to only that information pertinent to the Committee's evaluation of faculty qualifications. (For group programs only, one copy of letters from participating faculty indicating their interest in the program should be included. In addition, comments from chairmen of departments with graduate programs closely related to or affected by the proposed program should be included.)

Section 5. Courses

A list of present and proposed courses including instructors and supporting courses in related fields. The catalog description of all proposed courses should be appended. The relationship of these courses to specific fields of emphasis and future plans. How will the courses be staffed given existing course loads?

Section 6. Resource requirements

Estimated for the first 5 years the additional cost of the program, by year, for each of the following categories:

1. FTE faculty
2. Library acquisition
3. Computing costs
4. Equipment
5. Space and other capital facilities
6. Other operating costs

Indicate the intended method of funding these additional costs.

If applicable, state that no new resources will be required and explain how the program will be funded. If it is to be funded by internal reallocation, explain how internal resources will be generated.

State Resources to Support New Programs. The resource plan to support the proposed program should be clearly related to campus enrollment plans and resource plans. Campuses should provide detailed information on how resources will be provided to support the proposed program: from resources for approved graduate enrollment growth, reallocation, and other sources. What will the effects of reallocation be on existing programs? For interdisciplinary programs and programs growing out of tracks within existing graduate programs: What will the impact of the new program be on the contributing program(s)? When the proposed program is fully implemented, how will faculty FTE be distributed among contributing and new programs?

Section 7. Graduate Student Support

It is recommended that all new proposals include detailed plans for providing sufficient graduate student support. In fields that have depended on federal research grants, these plans should also discuss current availability of faculty grants that can support graduate students and funding trends in agencies expected to provide future research or training grants. Are other extramural resources likely to provide graduate student support, or will internal fellowship and other institutional support be made available to the program? Describe any campus fund-raising initiatives that will contribute to support of graduate students in the proposed program.

How many teaching assistantships will be available to the program? Will resources for them be provided through approved enrollment growth, reallocation, or a combination? How will reallocation affect support in existing programs?

Section 8. Governance

If the new program is being offered by a unit that does not/has not offer(ed) graduate degrees, then a setting forth of “the Department or Group that will administer the program” is required, and the proposal should include bylaws associated with the new program. Bylaws should also be included in with all proposals submitted by interdepartmental programs (IDPs). IDPs are graduate degree granting programs that are not offered by a single department, but administered by a group of faculty who are constituted for that purpose, and whose governance lies outside that of any single department.

Section 9. Changes in Senate regulations

The proposal should state clearly whether or not any changes in Senate Regulations at the Divisional level or in the Academic Assembly will be required. If changes are necessary (e.g., for all proposals for new degrees), the complete text of the proposed amendments or new regulations should be provided.

Appendix D

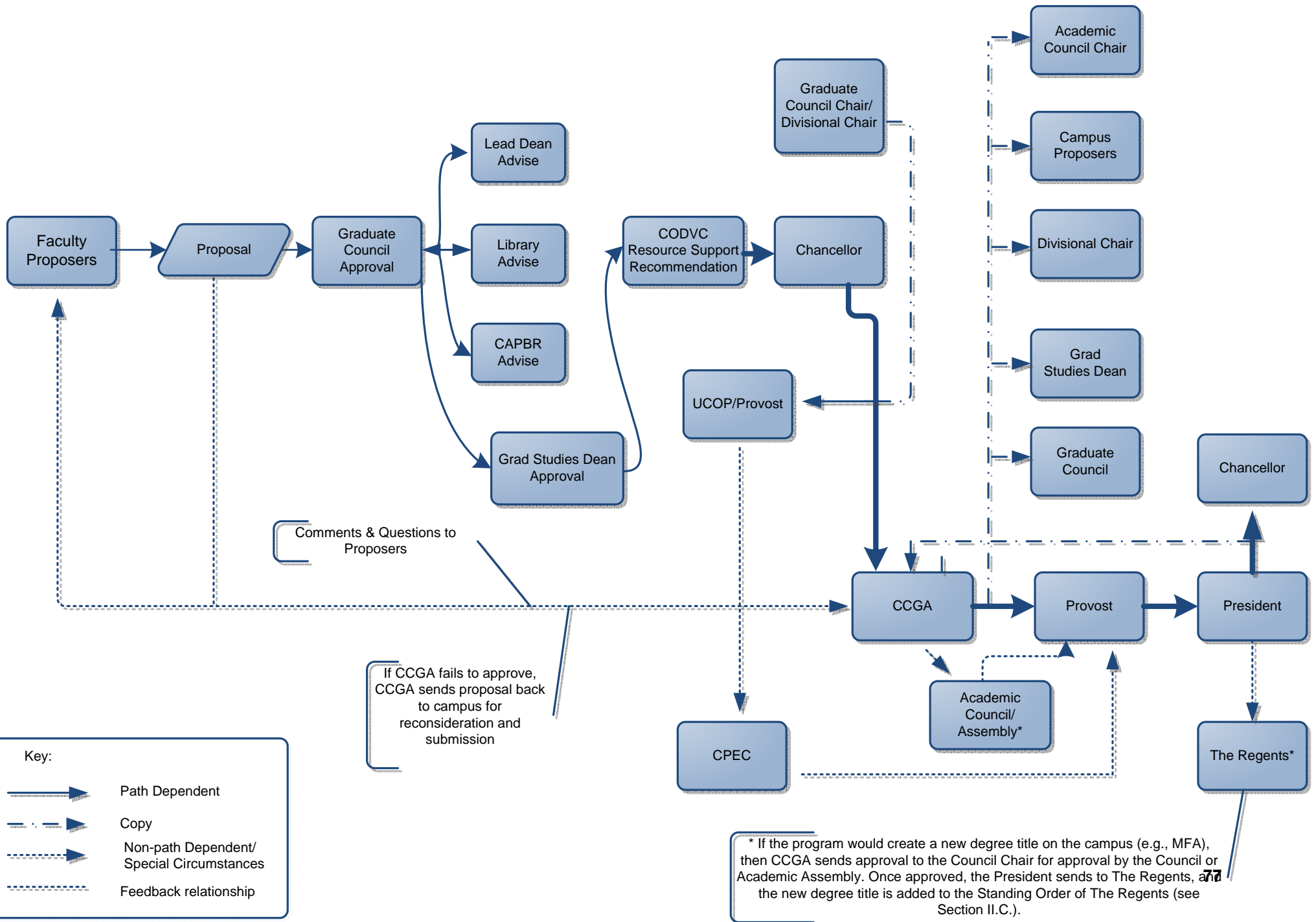
Academic Degree Program Proposals: Information Required by CPEC

This questionnaire is to be completed by sponsoring faculty (department or group). It will be used by UCOP to prepare a report to the California Postsecondary Education Commission. If more space is required, please attach as many additional sheets as necessary. Attach to full proposal.

1. Name of Program:
2. Campus:
3. Degree/Certificate:
4. CIP Classification (to be completed by Office of the President):
5. Date to be started:
6. If modification of existing program, identify that program and explain changes.
7. Purpose (academic or professional training) and distinctive features (how does this program differ from others, if any, offered in California?):
8. Type(s) of students to be served:
9. If program is not in current campus academic plan give reason for proposing program now:
10. If program requires approval of a licensure board, what is the status of such approval?
11. Please list special features of the program (credit for experience, internships, lab requirements, unit requirements, etc.)
12. List all new courses required:
Department, Course Number, Title, Hours/Week Lecture Lab.
13. List all other required courses:
Department, Course Number, Title, Hours/Week Lecture Lab.
14. List UC campuses and other California institutions, public or private, which now offer or plan to offer this program or closely related programs:
15. List any related program offered by the proposing institution and explain relationship.
16. Summarize employment prospects for graduates of the proposed program. Give results of job market survey if such have been made.
17. Give estimated enrollment for the first 5 years and state basis for estimate.
18. Give estimates of the additional cost of the program by year for 5 years in each of the following categories: FTE Faculty, Library Acquisitions, Computing, Other Facilities, Equipment. Provide brief explanation of any of the costs where necessary.
19. How and by what agencies will the program be evaluated.

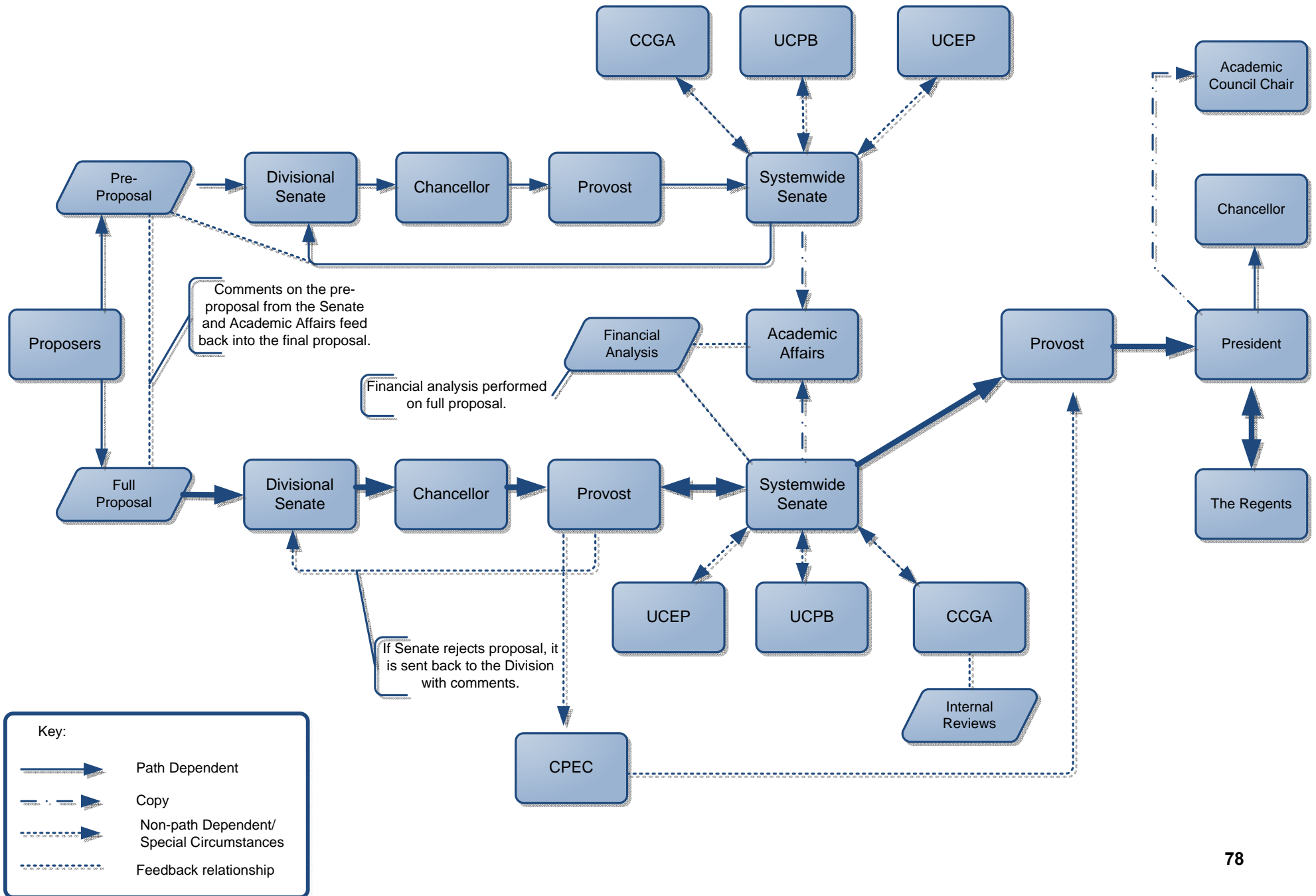
Appendix E

Approval Process for New Graduate Academic Programs - DRAFT



Appendix F

Approval Process for New Academic Units (New Schools) - DRAFT



Systemwide Professional School Planning: Recommended Guidelines and Model Endorsed by the Academic Council - July 2004

A significant and ongoing component of the UC response to the demand for increased post-graduate education is the development of new professional schools on the various campuses. Most will develop as a result of local campus initiatives in response to the academic vision, programmatic needs and strengths of the campuses, along with the community needs for trained professionals. To facilitate both the planning of these new schools and their review by the Academic Senate and administration, it is useful to articulate some of the general qualities and requirements for starting these schools and, likewise, to outline some of the general considerations in their initiation.

In viewing the development of new schools, three major issues dominate: 1) the local and system-wide *academic rationale*, 2) the *student and societal need* for the school and its graduates and 3) the feasibility from a *resource* standpoint. This document touches on each of these, though it focuses principally upon the third, and particularly on the planning process related to resource development and allocation.

ACADEMIC POSITION OF THE NEW SCHOOL

Because resources need to flow along pathways established by academic needs, it is important to emphasize that resource planning must necessarily align with a well-formulated academic plan. This background rationale needs to be clearly defined and described in the formulation and application process. A proposal for a new professional school should address and outline in some detail these points: Among the issues to be considered (and outlined in some detail when proposing a new school) are:

- How this new school fits with the overall academic profile of the campus, including how existing programs will be enhanced by the new school and, likewise, how these existing programs will enhance the quality and development of the new school. The new school should thus fit with the campus in its current configuration and its longer-term vision.
- How it will develop into a top-ranked school with an academic program consistent with a research university of UC quality.
- An outline of a proposed curriculum that can be evaluated by those in the field.
- Planning should include a clear vision of the faculty of the new school and indicate their number during the different phases of development (see below), and the balance of full-time faculty at various ranks with lecturers and other temporary or part-time teaching help. The need for particular specialties and sub-specialties should also be articulated and should fit with the curriculum.
- The eventual size of the school should fit with this academic vision and with its aspirations of achieving high national ranking.
- Facilities and space need to be adequate for the enterprise. Before considering their costs, their academic rationale needs to be clearly defined.
- The administrative structure and staffing must be adequate for the needs of the school.

STUDENTS' AND SOCIETY'S NEED FOR THE NEW SCHOOL

Development of professional schools also must be considered in the context of the need of both students and society. These should be consonant – the school should fill a manifest need for training of qualified students who wish to fill a contemporary (and future) demand for qualified professionals in field. Thus,

- There needs to be clear societal need for professionals in the field; a demand that is not being fully met by existing facilities. Projections of employment opportunities for the graduates must / should be defined.
- This unmet need may be regional, national or international, or relate to particular social or demographic factors that the new school will address. The plans should clearly define how the school will address this unmet need.
- Similarly, there should be a clear student demand for the new school. It should be shown that the school would attract qualified, fully-competitive students.
- If there are professional schools of the same type in the UC system, planning should include a clear analysis of how this new facility would assume a needed, and perhaps even unique place in the University portfolio, whether related to the assets of the campus, other local opportunities or particular local demands. In this and in other respects, comparisons with existing UC or other schools of the desired rank should be included.
- Access to the new school, including opportunities for qualified students who might otherwise be less likely to avail themselves of higher-level training in the field, should be considered.

FINANCIAL PLANNING FOR THE NEW SCHOOL

Since a new school most commonly will develop over several years, it is useful to define the timeline of its development and some of its critical landmarks. The attached “Financial Table for New Professional School” provides a general guideline for modeling this timeline and the needs at various points in development. The major landmarks of the school’s development are its size on opening day (year ‘X’ in the sheet) and at maturity (not necessarily its ultimate size, but the targeted size for a University-quality school). The year of maturity also marks the time when the school is in financial balance, with revenues equaling expenses.

The timescale of development may vary with different schools, and the template can be adjusted accordingly. The years before the first landmark (X-n) span the time from the plan’s approval to opening day. During this period the specific and detailed academic plans will be developed and the administrative structures established. Faculty will be hired or shifted to this school and administrative staff and structures put in place to meet the planning requirements and the opening needs. The years between opening day and maturity (X+n) describe the period of initial growth to the target; the faculty, administration and student enrollment will increase over this period in synchrony.

The attached planning template outlines the evolution over this timeline of the details of student enrollment, faculty and staff requirements, facilities needs and costs, and funding from various sources (page one), along with a summary of the costs and revenues (page two). This provides an outline for planning and a summary. Each individual item needs a clear rationale based upon realistic projections of needs and assets.

Financial Table to be Submitted by the Campus to the Office of the President

With Any Proposal for a New Professional School

Please provide on a separate sheet, for each item, an explanation of the assumptions used to produce all of the numbers entered here.

	<u>Pre-opening Phase</u>		Year X <u>First Enrollment</u>	<u>Expansion Phase</u>				(add years as necessary)	<u>Mature Phase</u>
	<u>X-2</u>	<u>X-1</u>		<u>X+1</u>	<u>X+2</u>	<u>X+3</u>	<u>X+4</u>		<u>Steady State</u>
Academic Year =									
<u>Workload information</u>									
Student Total FTE by level									
Undergraduate									
Graduate									
Total									
Student Headcount by degree level									
(e.g., Ph.D., MBA, BA and Total)									
Faculty FTE									
TA FTE									
Staff FTE									
<u>Professional differential fee: proposed level</u>									
<u>Facilities Costs</u>									
New Space									
Renovation									
Total									
<u>Capital Funding</u>									
State Funds									
Gift Funds									
University Funds									
Other									

Financial Table to be Submitted by the Campus to the Office of the President

With Any Proposal for a New Professional School

Please provide on a separate sheet, for each item, an explanation of the assumptions used to produce all of the numbers entered here.

	Year X								
Academic Year =	<u>X-2</u>	<u>X-1</u>	<u>First Enrollment)</u>	<u>X+1</u>	<u>X+2</u>	<u>X+3</u>	<u>X+4</u>	(add years as necessary)	<u>Steady State</u>
<u>Operating Revenue (1)</u>									
Campus General Funds (i.e., State, Educational Fee, other 19900 funds)									
Professional differential fee									
Self-supporting program fees									
Sales and service									
Gifts and endowments									
Other (explain)									
Total									
<u>Operating Expenditures</u>									
Salaries and benefits									
Faculty									
Deans									
TAs									
Staff									
Recruitment & start up									
Operating costs for facilities (e.g., moving, renovation, leases)									
not counted under recruitment									
Supplies, indirect, and related costs									
Library									
Financial support for prof. students									
Total									
<u>Revenue Less Expenditures</u>									

(1) Include funding for benefits where appropriate.



June 2006

California Postsecondary Education Commission

Summary of the Commission's Program Review Principles and Guidelines

Although each public higher education system in California has a unique mission and social purpose, the systems are united in a most common and fundamental way: each aims to enhance the intellectual, technical, and creative capacity of its student learners. Because advanced knowledge -- scientific, technical, and procedural -- tends to be organized by fields of study, and delivered to students through specific programs, the ultimate success and benefit of the state's higher education enterprise rests with the quality and breadth of institutional degree and certificate programs.

Legislative Mandate

Assembly Resolution 770, Statutes of 1974, established the California Postsecondary Education Commission (CPEC) as the statewide planning and coordinating agency for higher education, with specific mandated planning functions and responsibilities. Primary among the responsibilities given to CPEC is academic and vocational program review. In addition, the Commission is charged with reviewing and commenting on the need for new campuses and off-campus centers.

The Commission's program review responsibilities include the following:

- Review and comment on the long-range plans developed by the public higher education governing boards and make recommendations to the Legislature and Governor.
- Review and comment on the need for new academic, vocational, and certificate programs proposed by the public higher education systems and make recommendations to the Legislature and Governor.
- Evaluate and comment on the program review process of the public higher education systems.
- Identify societal educational needs and encourage institutional adaptability to change.
- Review periodically the availability of continuing education programs for adults and make appropriate recommendations.

The Commission developed a set of principles to guide the program review process. The principles are intended to: (a) safeguard the state against inefficiencies in the allocation of program resources; (b) help ensure that new programs will meet student and societal needs; and (c) ensure that programs are well conceived and that they will have desired educational and social consequences. As defined in statute, the Commission's role in the review process is primarily advisory. However, in the case of Joint Doctoral Programs involving public and private institutions, the Commission has approval authority.

Recent enhancements to the Commission's review process include greater emphasis placed on the long-range plans of the systems so that staff can consider prospective programs five years in advance of implementation. This has enabled the Commission to alert the systems of potential planning concerns early in the review process before formal proposals are submitted.

Definitions

Academic and Vocational Programs: A series of courses arranged in a sequence leading to a degree or certificate.

Program Plan: A program plan contains, at a minimum, an inventory of the programs offered or projected to be offered by the campuses comprising a higher education system. Also included are proposed timetables for implementation and narrative descriptions of problem areas, program trends, and future needs. In general, plans are prepared for a five-year period and revised and updated annually.

Program Proposal: A document prepared by a campus that describes and justifies the need for a new degree or certificate program. The proposal must address each of the Commission's program review elements.

Program Review Council: An advisory body established to assist Commission staff in matters related to program review and academic planning. The Council consists of representatives from the three public higher education systems, the State Department of Education, and the Association of Independent California Colleges and Universities.

Commission's Program Review Principles and Guidelines

1. Student Demand

Within reasonable limits, students should have the opportunity to enroll in programs of study in which they are interested and for which they are qualified. Therefore, student demand for programs, indicated primarily by current and projected enrollments, is an important consideration in determining the need for a program.

2. Societal Needs

Postsecondary education institutions bear a responsibility for preparing students to meet the State's workforce and knowledge needs. Work force demand projections serve as one indication of the need for a proposed program. Although achieving and maintaining a perfect balance between supply and demand in any given career field is nearly impossible, it is important nevertheless that the number of persons trained in a field and the number of job openings in that field remain in reasonable balance.

3. Appropriateness to Institutional and Segmental Mission

Programs offered by public institution within a given system must comply with the delineation of function for that system, as set forth in the California Master Plan for Higher Education. Proposed new programs must also be consistent with the institution's own statement of mission and must be approved by the system's statewide governing body.

4. The Number of Existing and Proposed Programs in the Field

An inventory of existing and proposed programs, compiled by the Commission staff from the plans of all systems of postsecondary education, provides the initial indication of apparent duplication or undue proliferation of programs, both within and among the systems. However, the number of programs alone cannot be regarded as an indication of unnecessary duplication. This is because (a) programs with similar titles may have varying course objectives or content, (b) there may be a demonstrated need for the program in a particular region of the state, or (c) the program may be needed for an institution to achieve academic comparability within a given system.

5. Total Costs of the Program

The relative costs of a program, when compared with other programs in the same or different program areas, constitute another criterion in the program review process. Included in the consideration of costs are the number of new faculty required and the student/faculty ratios, as well as costs associated with equipment, library resources, and facilities necessary to deliver the program. For a new program, it is necessary to know the source of the funds required for its support, both initially and in the long run.

6. The Maintenance and Improvement of Quality

Protecting the public interest and trust requires that educational programs at all levels be high quality. Although the primary responsibility for the quality of programs rests with the institution and its system, the Commission, for its part, considers pertinent information to verify that high standards have been established for the operation and evaluation of the program.

7. The Advancement of Knowledge

The program review process encourages the growth and development of intellectual and creative scholarship. When the advancement of knowledge seems to require the continuation of existing programs or the establishment of programs in new disciplines or in new combinations of existing disciplines, such considerations as costs, student demand, or employment opportunities may become secondary.

Policy on Transfer, Consolidation, Disestablishment, and Discontinuance of Academic Programs and Units

Sound academic and fiscal planning requires that consideration be given to strengthening academic programs by intercampus transfer and consolidation and to terminating units and programs for which there is decreased long-term need or which cannot reasonably be expected to reach or maintain the level of quality expected in the University, or from which resources must be withdrawn to support higher priority programs.

The decision to transfer, consolidate, disestablish or discontinue an academic unit or program should be founded on considerations as careful and thorough as those for establishment. For the most part the same issues need to be examined, and the same Senate agencies and administrative officers should have the opportunity to participate consistent with the traditional system of shared governance in which the Academic Senate has the responsibility for approving academic programs and evaluating the quality of courses and curricula, and the administration has the responsibility for allocating resources and determining administrative organization. This policy is intended to further this concept of shared governance and to aid in the development of explicit end well-understood procedures by each campus for effecting such transfers and consolidations and or disestablishing academic units and discontinuing academic programs.

1. Each campus shall have written procedures.* Such Procedure shall recognize the responsibility of the Academic Senate to judge program quality and academic value and the responsibility of the administration to decide on administrative organization and on the allocation and use of resources. Campuses shall incorporate into their procedures mechanisms to insure appropriate consultation with students.
2. These procedures shall be developed by the Chancellor in consultation with the divisional Academic Senate, and are subject to approval by the President with the advice of the Universitywide Academic Senate. Appropriate consultation with students shall be carried out at the campuses and the Universitywide level regarding these proposed procedures.
3. For purposes of this policy, academic units are schools, colleges, boards of study, departments, and divisions within departments, schools, and colleges. An academic program consists of a sequence of courses leading to a degree; it does not include a concentration within a major. Changes in such concentrations within a major which may prompt transfers of individual students are not required to conform to this procedure.
4. The written procedures for each campus shall be based on the following policy considerations:
 - a. Prior Review
 - i) A decision to transfer or consolidate, to disestablish or discontinue an academic unit or program shall normally be preceded by a regular or ad hoc review of the unit or program conducted by a campus academic planning board or comparable bodies that guarantee board representation.
 - b. Consultation
 - i) Broad consultation, including faculty and students who are affected by the proposed change, is essential. Peer review from outside the University in judging academic quality should take place whenever possible.
 - ii) Committees of the divisional Academic Senate on Educational Policy, Academic Personnel, Planning and Budget and, if graduate programs are involved, Graduate Affairs shall be consulted as provided for in Senate regulations.
 - iii) If the unit or program being considered for transfer, consolidation or termination is unique in the University, or if its closure would have systemwide or intersegmental effects, the President shall be consulted early in the process.
 - c. Phase Out
 - i) Arrangements shall be made to allow students already enrolled in the program or unit to complete their degrees.
 - ii) Arrangements shall be made for the orderly and appropriate accommodations of academic and staff employees whose positions are affected by a decision to disestablish or discontinue or to transfer to another campus or to combine with another program or programs on a different campus. These arrangements shall be in accordance with existing personnel policies to the extent that they are adequate for each specific decision. Where existing policies are not adequate, supplemental policies shall be developed by the Systemwide Administration through appropriate consultation with the Academic Senate. Until such policies are adopted, historical precedent and established practice shall supplement existing personnel policies.
 - d. Decisions
 - i) The final decision on the disestablishment of schools and colleges and degrees is made by The Regents on the recommendation of the President.
 - ii) The final decisions on the intercampus transfer or consolidation, or on the disestablishment of other academic units, shall be made by the President upon consultation with the Universitywide Academic Senate and students as appropriate.
 - iii) The final decision on intercampus transfer or consolidation or on discontinuance of an academic program is made by the Academic Senate and/or the Chancellors acting in their appropriate spheres of responsibility as delegated by The Regents.
 - iv) Campuses shall report such transfers, consolidations and discontinuances annually on their Academic Program Inventory.

* Procedures throughout this document shall be understood to refer to the procedures for intercampus transfer and consolidation of academic programs and/or units and for the disestablishment of academic units and discontinuance of academic programs.

Appendix J

Role of CCGA in the Transfer, Consolidation, Disestablishment, and Discontinuance of Academic Programs and Units

Adopted by CCGA November 16, 1993.

Introduction

Because actions to transfer, consolidate, disestablish, or discontinue academic units and programs are proceeding on several University of California campuses and the role of the Coordinating Committee on Graduate Affairs (CCGA) in these actions is not well established, CCGA has prepared and adopted this statement. At the end is a description of CCGA's specific roles in the transfer, consolidation, disestablishment, and discontinuance of academic units and programs. Preceding it is an accounting of the processes followed to develop the statement, an analysis of the range of roles possible under existing formal and informal policies, and a rationale for those CCGA intends to follow.

Development Process

There are several formal documents relevant to determining the role of CCGA in transfer, consolidation, disestablishment, and discontinuance. These include the 9/19/79 system-wide "Policy on Transfer, Consolidation, Disestablishment, and Discontinuance of Academic Programs," similar policy statements by each of the 9 campuses, the CCGA bylaws, and the divisional Graduate Council bylaws. These documents were all reviewed prior to preparation and adoption of this document. Also reviewed were correspondence, minutes, draft statements, and formal statements (from 1976 forward) identified by Karen Merritt (Director, Academic Planning and Program Review, Office of the President) as relating to transfer, consolidation, disestablishment, and discontinuance.

A search of CCGA minutes for the last several years revealed no agenda items dealing with transfer, consolidation, disestablishment, or discontinuance. Karen Merritt and Mohan Sitlani (Coordinator of Program Review, Office of the President) stated that previous transfers, consolidations, disestablishments, and discontinuances have been few in number and for the most part non-controversial. An Office of the President review of such actions, "University of California Degree Programs Established and Disestablished Fall 1980 to Spring 1993," identified 22 undergraduate degree programs and 15 graduate degree programs that were discontinued. Some involved consolidations and several were actually replacements of one degree with another (e.g., a Ph.D. in Social Welfare replaced the Doctor of Social Welfare degree). Thus, the total number of true discontinuances is smaller than this record suggests. By comparison, about 115 bachelor degree programs and 120 graduate degree programs (excluding certificate programs) were established during this same period. The discontinuances of degree programs were reported by individual campuses to the Office of the President, where records were adjusted accordingly. Up to now, these actions have been reported in the monthly "Report of the Status of New Academic Program Proposals and New ORU and MRU Proposals" prepared by the Office of the President and considered by CCGA as an information item on the monthly agenda. This arrangement has apparently been satisfactory to all concerned, no doubt because the discontinuances were few in number and for the most part non-controversial.

In developing this statement of CCGA's role in transfer, consolidation, disestablishment, and discontinuance actions, Aimée Dorr, 93-94 Chair of CCGA, in September 1993 discussed options with Arnold Binder, 93-94 Chair of the systemwide Academic Senate and the Academic Council, Calvin Moore, Associate Vice President for Academic Affairs, Office of the President, and Karen Merritt, Director of Academic Planning and Program Review, Office of the President. In doing so, she drew upon the materials described above and discussions by 92-93 CCGA members in Spring 1993. Chair Dorr then prepared a working document that was discussed at the October CCGA meeting. A draft statement was subsequently prepared and distributed for comment to Chair Binder, Director Merritt, and Coordinator Sitlani, with an invitation to share it with as many people as they wished. The draft statement and reviewers' comments on it were discussed at the November CCGA meeting. This document presents the final statement that was unanimously approved by CCGA members on November 16, 1993.

Language

In written materials and conversation, the terms “disestablishment” and “discontinuance” vary in their meaning, causing difficulties of interpretation. At times, disestablishment refers to the permanent closing of an academic unit and discontinuance refers to the permanent closing of an academic degree program. At other times, disestablishment refers to the permanent closing of an academic unit or degree program and discontinuance refers to the temporary closing of an academic unit or degree program. Throughout this statement, “disestablishment” refers to the permanent closing of an academic unit and “discontinuance” refers to the permanent closing of an academic degree program. A term such as “temporary suspension” will be used for actions that put existing academic units or degree programs on hold without permanently removing them from those offered by a given campus.

Range of Options

The 9/19/79 systemwide policy statement, the CCGA bylaws, and other Academic Senate bylaws neither explicitly describe nor expressly forbid any particular role for CCGA in transfer, consolidation, disestablishment, or discontinuance. It is generally agreed, however, that campus and systemwide administrations have final authority over academic units and the Academic Senate has final authority over academic degree programs. Recognizing that academic degree programs can only function when relevant academic units are also functioning, various bylaws attempt to provide for Academic Senate response should an administration act upon an academic unit in a way that significantly affected degree programs (e.g., a budget cut for the academic unit that was so severe that courses required for the degree program could not be offered). Nonetheless, final authority for the allocations to and organization of academic units rests with administrators.

There are several explicit statements that provide ample justification for considerable CCGA involvement in transfer, consolidation, disestablishment, and discontinuance. The CCGA bylaws state that CCGA coordinates the activities of the separate divisional Graduate Councils and reviews the standards and policies applied by them. Given that divisional Graduate Councils are involved in transfer, consolidation, disestablishment, and discontinuance actions (both de jure and de facto actions) involving graduate degree programs, CCGA could therefore also be involved in all these actions. The 9/19/79 systemwide policy statement (p. 1) also provides a firm basis for CCGA involvement:

The decision to transfer, consolidate, disestablish or discontinue an academic unit or program should be founded on considerations as careful and thorough as those for establishment. For the most part the same issues need to be examined, and the same Senate agencies and administrative officers should have the opportunity to participate consistent with the traditional system of shared governance in which the Academic Senate has the responsibility for approving academic programs and evaluating the quality of courses and curricula, and the administration has the responsibility for allocating resources and determining administrative organization.

Historically, CCGA has had a central role in the establishment of new graduate degree programs, both those using a degree title that is already on the sponsoring campus (e.g., Ph.D.) and those using a degree title new to the sponsoring campus (e.g., Doctor of Music). Each proposed new graduate degree program is developed by the responsible academic unit(s) on the local campus. Each campus routinely informs the Office of the President of the degree program proposals that are being developed. When a formal proposal for the new degree program has been prepared, it is reviewed by the divisional Graduate Council, other divisional Academic Senate committees, and the divisional administration. All such degree proposals cannot go forward without approval from the divisional Graduate Council and Chancellor. If the proposal involves a title new to the campus, it must also be approved by the divisional representative body. If a formal proposal obtains all needed divisional approvals, it is sent forward to CCGA and the Associate Vice President for Academic Affairs in the UC Office of the President.

CCGA members review the proposal itself, an analysis of it from the OP Office of Academic Affairs (OAA), and often commentary from other UC campuses. A lead reviewer is appointed from among CCGA members. He or she obtains written reviews of the proposal from two or more experts in the field and conducts a site visit. CCGA may ask for revisions to the proposal that can be communicated in a letter or addendum or for verification of support by relevant divisional administrators. It may return the proposal for substantial revision or disapprove it. If CCGA approves the proposal and sends it forward, the OAA completes the analysis and adds a recommendation for approval or non-approval. In the past, OAA then submitted the proposal, its analyses, and its recommendation to the Academic Program Planning and Review Board (APPRB), an Office of the President

committee that included Academic Senate representatives. APPRB was recently disbanded. In its place is the Academic Planning Council (APC), also an Office of the President committee that includes Academic Senate representatives. It is anticipated that the APC will review degree program proposals early in the planning stage on the local campus (before a formal proposal has been written) and not review any formal degree program proposals that have been approved by CCGA. However, the APC has not yet met. The details of its operation and whether they affect transmission of an approved proposal from CCGA to OAA and from OAA to the President cannot be known. As of now, it seems most likely that OAA will continue its well established pattern of sending to the President the proposal CCGA approved, its analyses, and its recommendation. If the President concurs in approval, then the California Post-secondary Education Commission (CPEC) is given an opportunity to comment. If CPEC does not respond within 60 days after the proposal was sent, the University assumes concurrence. If CPEC raises questions, these are answered by the Office of the President with help from the originating campus. Proposals for degree programs with titles that are new to the campus must also be approved by the Assembly of the Academic Senate and the Regents. If all parties are satisfied with the proposal, the program is approved and the President notifies the campus. Note that in this system CCGA's approval of a degree program proposal is necessary but not sufficient for implementation of the degree program.

Given the well practiced precedent for CCGA's role in the establishment of new graduate degree programs and existing bylaws and policy statements, particularly the 1979 system-wide policy statement quoted earlier, CCGA could easily justify procedures as elaborate as those for new degree programs for the de jure or de facto transfer, consolidation, or discontinuance of every graduate degree program and for every transfer, consolidation, or disestablishment of an academic unit that significantly alters the ability of that unit to offer any of its graduate degree programs. Given CCGA's historical lack of participation in transfer, consolidation, and discontinuance decisions and the absence of any explicit requirement for CCGA participation in transfer, consolidation, disestablishment, and discontinuance, CCGA could just as easily justify minimal involvement.

Rationale for CCGA's Role

Although the 9/19/79 systemwide policy statement suggests that procedures for the transfer, consolidation, disestablishment, and discontinuance of academic units and degree programs should be similar to those for their establishment, CCGA believes otherwise. In good times, academic units or degree programs could be consolidated for several reasons but they are only transferred, discontinued, or disestablished when campuses no longer have any investment in them. In bad times, they are likely to be transferred, consolidated, disestablished, or discontinued after a decision-making process rather like that for triage. Suffering will be widespread and any campus decision to transfer, consolidate, disestablish, or discontinue an academic unit or degree program will have been painful and hard fought. If a review and approval process like that for establishment were followed, CCGA would receive transfer, consolidation, disestablishment, and discontinuance proposals too late to reverse effectively any decision the campus has managed to make. If the only implementable CCGA decision is endorsement of a campus decision to transfer, consolidate, disestablish, or discontinue an academic unit or program, there is little reason for CCGA to review such a proposal.

Following this line of reasoning, CCGA believes that for transfer, consolidation, disestablishment, and discontinuance actions CCGA needs to exercise its responsibilities for graduate education by devising procedures different from those for the establishment of new graduate degree programs. Specifically, it needs to find the means to become informed of possible actions when they are first being considered by a campus, to assure itself that the divisional Graduate Council is appropriately involved, to intervene if it is not, to assess the systemwide implications for graduate education, and to interject any serious systemwide issues into the campus's deliberations at the earliest possible moment. Very early involvement is necessary if CCGA is to have any impact on what actually happens to graduate degree programs that could be affected by transfer, consolidation, disestablishment, or discontinuance. Assuming that CCGA is able to effect early involvement when deemed necessary, then when campuses have actually made decisions to transfer, consolidate, disestablish, or discontinue, review by CCGA should not become another hurdle before that action is implemented. Because CCGA is a systemwide committee, it should examine divisional actions from that perspective. In addition, in line with well established principles of UC governance, CCGA needs to retain its responsibility for actions directed at graduate academic programs and recognize its vested interest in actions directed at academic units when these actions directly affect associated graduate academic programs.

To some extent, CCGA also needs to concern itself with the status of undergraduate education. The same faculty ordinarily serve both undergraduate and graduate education. Undergraduate courses offer teaching assistantships that provide graduate students with opportunities to learn to be good teachers and are a source of financial support for them. Some undergraduate students participate in research with graduate students, providing both assistance to graduate research projects and opportunities for graduate students to learn how to train researchers. Proposals to transfer, consolidate, disestablish, and discontinue academic units and degree programs for undergraduates can have repercussions for graduate education. Thus, CCGA also needs a means for early knowledge of and, if needed, early commentary on any transfer, consolidation, disestablishment, or discontinuance that is being considered for undergraduate academic units or degree programs.

Specific CCGA Roles

Based both on its reading of established bylaws, policy statements, and practices and on its analysis of how best to fulfill its responsibilities for graduate education in the University of California, CCGA has determined that it should handle proposed transfers, consolidations, disestablishments, and discontinuances of academic units and programs in the following manner:

1. CCGA should review transfer, consolidation, disestablishment, and discontinuance proposals while they are still at the divisional level to make certain that the divisional Graduate Council is appropriately involved and that any systemwide issues are fully considered.
 - a) CCGA should use the occasion of its meetings to have divisional representatives identify transfer, consolidation, disestablishment, and discontinuance proposals at any stage of consideration on their campuses.
 - b) Members should make preliminary determinations about whether the divisional Graduate Council is appropriately involved and whether the proposed action raises any systemwide concerns. So long as the divisional Graduate Council is appropriately involved and systemwide issues either do not exist or are being considered by appropriate persons and groups, CCGA should not be involved in any way in divisional reviews of the proposed action.
 - c) If there are ever doubts about the involvement of the divisional Graduate Council or concerns about systemwide issues, a subcommittee should be appointed to explore the matter further. The subcommittee should include the Chair or Vice Chair of CCGA and two CCGA representatives from campuses other than that (or those) considering the transfer, consolidation, disestablishment, or discontinuance. The subcommittee should complete its work in 30 days.
 - d) If the subcommittee should determine and the CCGA agree that the divisional Graduate Council is not appropriately involved, the CCGA Chair should endeavor through informal conversation and formal communication to persuade those responsible to alter their procedures so as to include the divisional Graduate Council appropriately. The Chair should follow-up to ascertain that the divisional Graduate Council has become adequately involved in considering the proposal.
 - e) If the subcommittee should determine and the CCGA agree that the proposed transfer, consolidation, disestablishment, or discontinuance raises systemwide issues, the CCGA Chair should so inform the division(s) involved (presumably, the Chairs of the Academic Senate, Graduate Council, Committee on Planning and Budget, and Committee on Educational Policy, the Chair of any campus planning board, the Graduate Dean, the Academic Vice Chancellor, and the Chancellor), the systemwide arm of the Academic Senate (presumably, the Chairs of Planning and Budget and of Educational Policy, and the Chair of the systemwide Academic Senate), and the Office of the President (presumably, the Director of Academic Planning and Program Review, the Assistant Vice President for Planning, the Chair of the new APC, and the Provost and Senior Vice President for Academic Affairs). The Chair should follow-up to ascertain that the systemwide issues are being adequately considered.
2. CCGA should receive a report on every transfer, consolidation, disestablishment, and discontinuance adopted by a campus. When the action involves an academic degree program directly, then CCGA approval is necessary but not sufficient for its acceptance systemwide. When the action involves an academic unit, then CCGA should have the opportunity to recommend to the Chair of the system-wide

Academic Senate and the Office of the President that the proposed action be accepted or rejected. CCGA's approval or recommendation should be based on the impact of the proposed action on graduate education in the University of California. As a rule, CCGA should approve the proposed action on a graduate degree program and recommend acceptance of the proposed action on an academic unit.

- a) Receipt of the report and transmission of CCGA response should both be carried out in a timely fashion. Campuses should be required to provide reports for systemwide review within 30 days of final approval on the home campus. CCGA should normally have 60 days within which to respond.
- b) When CCGA has determined that the Graduate Council was appropriately involved in campus decision making and that any systemwide issues were considered (see 1 above), then the campus report need be no more than a one-page statement with a supporting letter from the Chair of the Graduate Council. If, however, CCGA believes that the Graduate Council was not appropriately involved or that systemwide issues were not adequately considered, then a longer report is needed. This longer report should include description of the processes followed, the participants in these processes, how and why the final decision was made, all undergraduate and graduate degree programs associated with the involved unit(s), the impact on undergraduate and graduate degree programs, and any provisions needed to ensure that currently enrolled undergraduate and graduate students can finish their degree programs.
- c) If the activities described in 1 above work as they should, CCGA's comments should be brief and, depending on whether it is a graduate degree program or an academic unit or undergraduate program that is under consideration, CCGA should either approve or recommend acceptance of the proposed transfer, consolidation, disestablishment, or discontinuance. CCGA's judgments would be based upon its early consideration of the proposed action (see 1 above) and the written report; they would not involve any additional, independent assessment by CCGA. When actions involving academic units and/or undergraduate degree programs are likely to affect the functioning of associate graduate degree programs, CCGA's letter would identify these graduate degree programs and suggest that they be reviewed by relevant divisional Academic Senate committees.
- d) Should CCGA disapprove a proposed transfer, consolidation, or discontinuance of a graduate degree program, that action cannot proceed (analogous to CCGA's role in the approval of proposals for new graduate degree programs).
- e) Should CCGA recommend rejection of the proposed transfer, consolidation or disestablishment of an academic unit or the proposed transfer, consolidation or discontinuance of an undergraduate degree program or express any serious concerns about any such proposals, these would be handled in a manner analogous to the handling of CPEC opinions about the proposed establishment of new degree programs. That is, the Office of the President and the originating campus(es) would be responsible for addressing CCGA's concerns prior to the President approving the proposed action.

Coordination with Other Systemwide Committees

CCGA believes that it should coordinate its consideration of any proposed transfer, consolidation, disestablishment, or discontinuance of an academic unit or program with similar consideration by the University Committee on Planning and Budget (UCPB) and the University Committee on Educational Policy (UCEP). We propose that these two committees adopt "early warning" systems too and the three committee chairs then share information and coordinate action. The three chairs should confer to share information about divisional proposals to transfer, consolidate, disestablish, or discontinue academic units and degree programs, to coordinate as appropriate any efforts to ensure adequate Academic Senate participation on the campus level, and to consider any systemwide issues raised by the proposed divisional actions. In difficult times, such conferences should occur monthly. In normal times, they should occur whenever any of the three Chairs believes it desirable but not less than twice a year in the fall and in the spring. CCGA directs its Chair to work with the Chairs of UCEP, UCPB, and the systemwide Academic Senate to determine how best to coordinate with each other and to come to an agreement just as soon as possible.

Adopted by the University Committee on Educational Policy, February 10, 1994

Adopted by the University Committee on Planning and Budget, February 15, 1994

Presented to the Academic Council, February 16, 1994

Research Administration Office

University of California

Memo Operating Guidance

No. 93-4

March 12, 1993

Subject: University Policy and Procedures Concerning Organized Research Units--Reissuance

Background

University policy on organized research units was adopted by The Regents on September 17, 1971. The policy called for the President of the University to issue rules governing the establishment, approval, funding, operation, and review of ORUs.

Such rules were duly issued in 1971, and a revision was put out by President Saxon on March 8, 1982. The original Regents Item and 1971 rules were published in the orange-covered Directory of Organized Research Units, University of California (April 1981). The 1981 rules have now been appended to the new Directory of Organized Research Units 1992-1993.

When the rules were published in 1981, there was appended a document titled "UCEP Review of Universitywide Organized Research Units," as additional guidance under the heading "Procedure for Five-Year Review" (para. 10 of the rules). This document has not been reprinted in the new ORU Directory.

Purpose

The purpose of this Contract and Grant Memo is to collect in one place for future reference all current guidance on the subject of Organized Research Units. Accordingly, you will find enclosed:

Regents Item dated September 17, 1971, "Policy on Organized Research Units"

Letter dated March 8, 1982, from President Saxon to Chancellors with attachments

1. Administrative Policies and Procedures Concerning ORUs
2. List of Current ORUs that Would be Categorized as MRUs Under Paragraph 4 of the Revised Administrative Policies and Procedures Concerning ORUs
3. UCEP Review of Universitywide ORUs

The next Contract and Grant Manual Circular will contain a revised Section 10-140 of the Contract and Grant Manual, updating information on where the Regents policy on ORUs can be found.

Refer: William Sellers (510) 987-9847

Subject Index: 10

Organization Index: U-115

David F. Mears

Director

Research Administration Office

Enclosures

POLICY ON ORGANIZED RESEARCH UNITS Amended through September 17, 1971

6075

DEFINITION. An organized research unit shall consist primarily of an interdepartmental group of faculty members and students engaged in research with them. The unit's activities may be supported by additional personnel and facilities.

AUTHORITY. Organized research units shall be established and disestablished as approved by The Regents, acting upon the recommendation of the President, who shall seek the advice of Chancellors and the Academic Senate.

The President shall report to The Regents all major reorganizations affecting organized research units. No unit may be established until review as prescribed by the President has been completed, nor may a unit be continued without periodic review.

ADMINISTRATION. The chief academic officer of an organized research unit shall be a tenure member of the faculty, unless some other arrangement is specifically authorized by the President. Directors of units serving a single campus are appointed by the Chancellor of the campus. Directors of University-wide units are appointed by The Regents, acting upon the recommendation of the President. Rules governing the establishment, approval, funding, operation, and review of the units; appointment and review of directors; personnel matters; and all other policies and procedures relating to organized research units shall be issued by the President in consultation with the Chancellors and appropriate bodies of the Academic Senate.

PURPOSE. Organized research units may be established within the University to contribute to the general goals of the University, and in particular to strengthen interdisciplinary programs of research and teaching conducted by the faculty, as well as to provide graduate and postdoctoral students with added research opportunities, facilities, and assistance. Facilitation of public services related to the University's research programs may be an associated objective of some organized research units, particularly those whose activities include the pursuit of applied or problem-oriented research directed toward the solution of complex contemporary problems.

SCOPE. An organized research unit shall be interdisciplinary in scope, involving the faculty and students of two or more departments of instruction and research. An organized research unit shall not be established if its research objectives are essentially the same as those of an existing department. Unnecessary duplication among campuses shall be discouraged. An organized research unit is expected to provide opportunities for the participation of students in its activities. Each unit shall seek to make its facilities available to qualified staff members from other campuses; budgetary provision for intercampus travel will be made to the extent possible. Some units may be designated as University-wide organized research units, either because their facilities are for joint use by several or all campuses, or because facilities are located in several places on or adjacent to more than one campus.

FUNDING. The activities of an organized research unit may be funded by budgetary allocations, or from extramural funds sought for the purpose, or both. The Regents appreciate the importance of extramurally funded research in graduate education and recognize the desirability of providing University support from State funds of at least part of the cost of administering research programs.

FACULTY PARTICIPATION. Organized research units shall receive no budgeted provisions for faculty positions and shall confer no professorial titles, but persons holding such titles by virtue of their appointment in an academic department may be compensated for the portion of their time devoted to work in an organized research unit by appointment to the appropriate title in the professional research series or to an appropriate academic-administrative title. Any exceptions to the foregoing rule must be specifically authorized by the President.

EXCEPTIONS. Certain organized research units are, for historical reasons, exempt from some aspects of policies and procedures that apply to organized research units generally. These units are enumerated in the President's Administrative Policies and Procedures Concerning Organized Research Units; the nature of the exemptions is set forth in separate documents to be developed for each unit.

SYSTEMWIDE ADMINISTRATION

Office of the President

March 8, 1982

CHANCELLORS

Dear Colleagues:

I have approved the attached revision of the Administrative Policies and Procedures Concerning Organized Research Units, to be effective immediately.

This document supersedes the 1971 Administrative Policies and Procedures and is the product of a lengthy series of reviews, beginning with the Report of the Committee to Study Organized Research (McElroy Committee) and including review and comment by the campuses, the Academic Senate, Laboratory Directors, and the Academic Planning and Program Review Board. The Policy of The Regents of the University of California on Organized Research Units (adopted by The Regents in September 1971) will continue in effect.

Briefly, the revised Administrative Policies and Procedures incorporate four principal changes that were recommended by the McElroy Committee and subsequently endorsed by reviewers. First, existing Organized Research Units will be regrouped into two categories, MRUs (Multicampus Research Units) and ORUs (Organized Research Units). The MRU category includes all current Universitywide ORUs, all current exceptions to policy as listed in Paragraph 15 of the revised policy, and all major research facilities. A list of units included in this category is attached (Attachment 2). The ORU category includes all single-campus ORUs. A change in policy and procedures, included in Paragraph 4 of the revised policy, directs that these units will henceforth be administered by the appropriate Chancellors without review or approval by the President.

Second, as outlined in Paragraph 14 of the revised policy, after each existing or proposed MRU or ORU has been reviewed by the appropriate campus, and in any case beginning not later than June 30, 1986, it will have a maximum life span of fifteen years, at which time it must submit to the President a formal proposal

for continued MRU or ORU status, support funds, and space in the context of the University's needs and resources at the time. This restriction does not apply to some of the units listed as exceptions, as approved by the President, in paragraph 15 of the revised policy.

Third, Directorships of all MRUs and ORUs shall be changed periodically, with ten years being the maximum term of continuous tenure in all but extraordinary circumstances.

Finally, I have included for your reference, as Attachment 3, a copy of the Academic Senate Guidelines for the Review of University wide Organized Research Units issued by the 1976 University Committee on Educational Policy. In accordance with Paragraph 10 of the revised policy, these guidelines should be used henceforth by ad hoc committees reviewing MRUs or ORUs.

Please take the necessary steps to implement these changes on your respective campuses.

Sincerely,

David S. Saxon President

Attachments

cc:

Laboratory Directors

Members, President's Administrative Council

Principal Officers of The Regents

Chair, Academic Council

Attachment 1 ADMINISTRATIVE POLICIES AND PROCEDURES

CONCERNING ORGANIZED RESEARCH UNITS

DEFINITION AND PURPOSE

An Organized Research Unit (ORU) is an academic agency within the University established for a purpose that is in accord with the policy of The Regents concerning such units. The purpose of an ORU is above all educational and complementary to the academic goals of departments of instruction and research. An ORU may not have jurisdiction over courses or curricula and cannot offer formal courses for credit unless it has been specifically empowered to do so by the President after consultation with the Academic Senate and the appropriate Chancellors; but even with campus approval, such an exception will be considered only when the course cannot be appropriately offered by a department of instruction and research. However, an ORU may perform other academic functions ordinarily carried on by departments of instruction and research in fields not served by ORUs, e.g., organize research conferences and meetings, advise on graduate curricula, help professors provide guidance for graduate students, and manage training programs; but educational programs intended for the public and for which fees are charged shall be administered through University Extension.

An organizational unit shall be recognized as an ORU when it has been approved as such by The Regents. A Directory of Organized Research Units in the University of California is maintained and periodically issued by the President. Other criteria, such as designations or administrative arrangements do not in themselves suffice to define an ORU; units ranging from special libraries, hospitals, clinics, art galleries, and museums to departmental laboratories are not necessarily ORUs, although each of them may resemble an existing ORU in some respects. It is important to

distinguish between formally established ORUs and research projects of a less formal character. In the solicitation of extramural funds for a research project that has not been proposed and reviewed for ORU status, care should be taken not to use terminology nor make representations which suggest that the project is in fact a university-approved ORU or is about to become one. The designations enumerated in the next paragraph shall not be used as formal labels on research projects that are not ORUs. If a project is likely to evolve into an ORU after a trial period of operation, the possibility should be mentioned at a suitable stage in the planning; in such a case, the designation Project is suitable and will serve to initiate such academic and administrative review as may be deemed appropriate at any stage, e.g., on submission of a major proposal for extramural support.

DESIGNATION OF ORUs

Units included in the Directory of Approved Organized Research Units normally carry one of the designations enumerated and defined below.

Institute, Laboratory, and Center are used most often, but other titles may be employed in particular situations. An ORU that covers a broad research area may in turn contain other more specialized units; for instance, an Institute may comprise several Centers, or a Station several facilities. It is recognized that the designation of some long-established units may not always conform to the definitions that follow (some Centers are rather like Institutes in their activities) and that some have widely known names such as Bureau, Division, Foundation or Organization that are not listed below but that cannot be conveniently changed. However, insofar as possible, designations of new units shall be taken from those defined below.

Institute: a major unit that coordinates and promotes faculty-student research on a continuing basis of an area so wide that it extends across department, school or college, and perhaps even campus boundaries. The unit may also engage in public-service activities stemming from its research program, within the limits of its stated objectives.

Laboratory: a nondepartmental organization that establishes and maintains facilities for research in several departments, sometimes with the help of a sizable full-time research staff appointed in accordance with the guidelines of Paragraph 6 below. (A laboratory in which substantially all participating faculty members are from the same academic department is a departmental laboratory and is not considered to be an ORU.)

Center: a small unit, sometimes one of several forming an Institute, that furthers research in a designated field; or, a unit engaged primarily in providing research facilities for other units and departments.

Station: a unit that provides physical facilities for interdepartmental research in a broad area (e.g., agriculture); sometimes housing other units and serving several campuses. Designations of units similar in function but of more

LINES OF RESPONSIBILITY

All ORUs are aggregated into two categories for purposes of administration and review.

a. MRU (Multi-campus or Major Research Unit: This category includes (a) all units with facilities and personnel on two or more campuses or locations associated with them, (b) all units with facilities at a single location on or near one of the campuses if the participation of staff members from other campuses is so extensive as to give such a unit a Universitywide character, (c) all major research facilities, and (d) all exceptions to these policies and procedures as approved by the President and listed in Paragraph 15.

MRUs shall be responsible to the President and report through a Chancellor to whom the President has delegated responsibility and authority to act in a Universitywide capacity; however, the President retains ultimate responsibility for matters of general policy and intercampus coordination. For the Agricultural Experiment Station, the Water Resources Center, the Kearney Foundation for Soil Science, and the Giannini Foundation for Agricultural Economics, the Vice President-Agriculture and Natural Resources shall be the officer to whom the Director reports, and the Director shall insure that the Chancellors are kept informed of all impending substantial changes in these units and that effective administrative liaison with the Chancellors is maintained.

If an MRU has facilities and personnel on two or more campuses or locations associated with them, the Director may be aided by an Associate Director on each campus or location on which the unit is active. The portion of such an MRU on a particular campus has some of the attributes of an ORU, and the chief administrator of that part of the MRU (i.e., the Director or Associate Director) is responsible to the Chancellor in such matters as personnel, services, and space. Each Associate Director is responsible to the Director for fulfillment of that portion of the MRU's mission that is carded out by the local branch. The policies and functioning of such units require careful coordination by the Director, who is responsible to the President through a Chancellor. Care and coordination are also required of the Associate Directors and the Chancellors of the other campuses on which the MRU has branches, or each Associate Director is responsible to the Chancellor in ways that cannot be entirely separated from similar responsibilities to the MRU as a whole. An MRU with facilities at a single location on or near one of the campuses is responsible for administrative purposes to the Chancellor of a designated "caretaker" campus.

b. ORU (Single-campus Organized Research Unit): An Organized Research Unit serving a single campus is responsible to the Chancellor or designee in terms of administration, budget, space, personnel, and quality..

ADMINISTRATION, BUDGETARY SUPPORT, AND PERSONNEL

Each MRU and ORU shall be headed by a Director (called a chair in some Centers) who shall be a tenure member of the faculty and may receive an administrative stipend in addition to the faculty salary, except that a faculty member who already earns such a stipend through another appointment (e.g., as associate dean) shall not receive a second stipend. Such dual administrative responsibilities should be avoided. The Director shall be aided by a standing Advisory Committee, chaired by a faculty member other than the Director, which is expected to meet regularly and to participate actively in setting the unit's goals and in critically evaluating its

effectiveness on a continuing basis. The Advisory Committee shall be made up predominantly of faculty members, but may have some members from outside the University. The Advisory Committee of an ORU shall be appointed by the Chancellor; that of an MRU, by the President after consultation with the appropriate Chancellors. The charge to the committee and its functions, membership, and reporting requirements are determined by the appointing officer but should include active participation in the planning and evaluation of the unit's programs and activities.

In recognition of the role played by MRUs and ORUs in the educational process, provision for the core administrative support of an MRU or ORU is normally made in the University budget in the form of the Director's stipend and part-time salary, and allocations for supplies and expenses, equipment and facilities, and general assistance. The University budgets of some units, notably those primarily serving other academic units (e.g., survey centers) and those engaged in professional activities of specific interest to the State of California (e.g., agriculture, industry, public administration, transportation), also contain provisions for Professional Research (or Agronomist or Astronomer) positions of a more permanent nature than is ordinarily associated with a research project. But all permanent positions—professional, technical, administrative, or clerical—may be established and filled, regardless of the availability of funds, only after specific review and authorization of the proposed position and of the candidate for it in accordance with University policies and procedures. As a general guideline, appointees in the professional research series should not out-number the faculty members in the group of those actively involved in the work of an MRU or ORU.

PROCEDURE FOR ESTABLISHMENT

To establish a new MRU or ORU, the faculty members concerned submit a proposal stating goals and objectives and explaining why they cannot be achieved within the existing campus and University structure. The proposal shall contain statements about the existence of similar units elsewhere (and describe the relation of the proposed unit to similar units at other campuses of the University of California) and about the original knowledge that the proposed unit may be anticipated to add to the field. Actual or potential availability of extramural funds shall not serve as a basis for proposing, approving, or continuing an MRU or ORU. The proposal shall also contain:

Names of faculty members who have agreed in writing to participate in the unit's activities.

Budget estimates for the first year of operation, projections for the five years following, and anticipated sources of funding.

Projections of numbers of faculty members and students, Professional Research appointees, and other personnel for the specified periods.

Statement about immediate space needs and realistic projections of future space needs.

Statement of other needs, such as capital equipment and library resources.

Statement about anticipated effects of the proposed unit on the teaching programs of the participating faculty members' department(s).

The proposal is submitted for review to the Dean of the school or college most directly affected by the proposed unit's personnel, space, and equipment demands before being forwarded to the Chancellor, who shall seek the advice of the appropriate Divisional Academic Senate committees. All proposals are to be reviewed by the appropriate committee concerned with buildings and campus development. After completion of the campus review, the proposal is forwarded to the President by the Chancellor, or jointly by the appropriate Chancellors if more than one campus is involved. The President reviews the proposal and refers it to the appropriate University Academic Senate committee(s) and, if necessary, to the California Postsecondary Education Commission for comment. If the President approves the unit's establishment he recommends them to The Regents. Establishment of an ORU or MRU carries with it a commitment of space and funding adequate to the mission of the unit.

PROCEDURE FOR APPOINTING A DIRECTOR

The Director or Chairman of an ORU is appointed by the Chancellor after consultation with an ad hoc committee of the Academic Senate appointed by the Chancellor from a panel nominated by the Committee on Committees, or by any other nomination procedure on which the Chancellor and the appropriate Academic Senate division have agreed. For MRUs, the Director or Chair is appointed by The Regents on the recommendation of the President after consultation with the appropriate Chancellors and with the advice of an ad hoc committee appointed by the President from a panel nominated by the Universitywide Committee on Committees. When a unit reports to a Dean, the Dean's advice is also sought before an appointment is made. When the appointment of a new Director is for an existing unit, the Advisory Committee is also solicited for nominations. An Associate or Assistant Director is appointed by the Chancellor on whose campus the appointee will serve after appropriate campus consultation.

PROCEDURE FOR FIVE-YEAR REVIEW

Each MRU and ORU shall be reviewed at intervals of five years or less by an ad hoc review committee, appointed from a slate nominated by the Academic Senate, with regard to its original purpose, present functioning, future plans, and continuing development to meet the needs of the field. The review shall look to the unit's success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve new objectives. Whenever possible, the five-year review of an MRU or ORU should take place concurrently with the regular campus review of the academic department(s) most closely related to the research areas of the Guidelines for the Review of Universitywide Organized Research Units issued by the 1976 University Committee on Educational Policy, unless these are superseded by other guidelines. The unit's Advisory Committee shall be formally asked to supply a report to the ad hoc committee.

The Chancellor appoints the review committee for ORUs; for MRUs, the appointment is made by the President or designee. The membership of the committee may be held confidential. (Review committees for MRUs should have extramural and intramural membership when

appropriate.) The review report is usually held confidential, but a copy is given to the Director for information. [The foregoing has been interpreted as meaning that the Chancellor may give the gist of the comments and recommendations to the Director, not necessarily the verbatim report.] The report shall take annual reports described in Paragraph 13 into account. Justification for continuation of an MRU or ORU must be documented carefully in its reviews. Each ad hoc review committee should consider and make specific recommendations on the following range of alternatives to the status quo: a change in State funding; a change in other resources (such as FTE, space, etc.); a change in the mission of the unit; a merger of the unit with one or more units on the same or another campus; discontinuance of the unit.

In the case of an ORU, the report is reviewed by the appropriate Divisional Academic Senate committee(s) and a decision concerning continuation of the unit and any needed changes is made by the Chancellor upon consideration of the ad hoc and Senate committees' recommendations. Review reports for ORUs are forwarded by the Chancellor to the President for information. Reports for MRUs are forwarded by the President to the Chancellor and the appropriate University Academic Senate Committee(s) for review and comment before the President approves any needed changes and continuation of the unit. If, in the President's or the Chancellor's judgment, for MRUs or ORUs, respectively, circumstances warrant discontinuance of the unit, the President recommends such discontinuance to The Regents for final action, subject to the phase-out period provisions in the next paragraph.

The phase-out period for an MRU or ORU which is to be discontinued shall be sufficient to permit an orderly termination or transfer of contractual obligations. Normally, the phase-out period shall be at most one full year after the end of the academic year in which the decision is made to discontinue the unit.

The effectiveness of each Director or Chair shall be likewise reviewed at intervals of five years or less, preferably at the time the unit is being reviewed, following the same procedure as for the unit review. If the unit is to be continued, the decision whether to continue the appointment of the Director is made by the President for an MRU and by the Chancellor for ORUs. Directorships of all MRUs and ORUs are limited to ten years of continuous tenure in all but extraordinary circumstances.

REPORTS

At the end of each academic year, each MRU and ORU shall submit a report to the officer to whom it is responsible, with copies for the Chancellor, and for the chair of the Advisory Committee, which contains the following:

Numbers of graduate and postdoctoral students directly contributing to the unit who (a) are on the unit's payroll, (b) participate through assistantships, fellowships, or traineeships, or are otherwise involved in the unit's work.

Number of faculty members actively engaged in the unit's research or its supervision.

Extent of student and faculty participation from other campuses.

Numbers and FTE of professional, technical, administrative, and clerical personnel employed.

List of publications issued by the unit, including reports and reprints issued in its own covers, and showing author, title, press run, and production costs.

Sources and amounts (on an annual basis) of support funds, including income from the sale of publications and from other services.

Expenditures, distinguishing use of funds for administrative support, matching funds, direct research, and other specified uses.

Description and amount of space currently occupied.

Any other information deemed relevant to the evaluation of a unit's effectiveness, including updated five-year projections of plans and requirements where feasible.

Annual reports for ORUs shall be forwarded to the Systemwide Administration only on request; annual reports for MRUs are submitted routinely to the President.

LIFE SPAN

Beginning with its regular review during the five-year period ending June 30, 1986, and in no case beginning later than June 30, 1986, each approved MRU or ORU will have a maximum life span of fifteen years after which it must submit to the President a formal proposal for continued MRU or ORU status, support funds, and space in the context of the University's needs and resources at the time. In no case may an MRU or ORU be continued beyond these fifteen-year periods without approval of the President. This restriction does not apply to some of the units listed in Paragraph 15 as exceptions, as approved by the President.

EXCEPTION

All exceptions to the above policies and procedures must be approved by the President. It is recognized that exceptions to specific provisions of these policies and procedures exist in the case of the Agricultural Experiment Station, the Institute of Geophysics and Planetary Physics, the Lick Observatory, the Lawrence Berkeley Laboratory, and Lawrence Livermore National Laboratory, the Los Alamos National Scientific Laboratory, the Laboratory of Biomedical and Environmental Sciences, the Scripps Institution of Oceanography, and the Water Resources Center.

Attachment 2

LIST OF CURRENT ORUs THAT WOULD BE CATEGORIZED AS MRUs

UNDER PARAGRAPH 4 OF THE REVISED ADMINISTRATIVE POLICIES AND
PROCEDURES CONCERNING ORGANIZED RESEARCH UNITS

Agricultural Experiment Station

Institute of Geophysics and Planetary Physics

Lick Observatory

Lawrence Berkeley Laboratory

Lawrence Livermore National Laboratory

Los Alamos Scientific National Laboratory

Laboratory of Biomedical and Environmental Sciences

Scripps Institution of Oceanography

Water Resources Center

International Center for Integrated and Biological Control

Institute of Transportation Studies

White Mountain Research Station

Bodega Marine Laboratory *

Institute of Marine Resources

Intercampus Institute for Research at Particle Accelerators

Statewide Air Pollution Research Center

California Space Institute

This laboratory is currently designated as a single-campus ORU under the administrative authority of the Chancellor at Davis. Bodega is used heavily by faculty at Davis in addition to Berkeley researchers, making it a candidate for MRU status as a Major Research Facility.

Attachment 3

UCEP Review of Universitywide Organized Research Units

The UCEP recognizes the inherent difficulties involved in the standardization of the review process of Universitywide ORU's by ad hoc committees. Each ORU presents problems and issues peculiar to that unit under review. It believes that, while most ad hoc committees have approached their assignments in a conscientious and objective manner, they have not been provided with specific instructions relating to the scope of their review and the style and format of their report. The result has been that there has been great variation in the thoroughness with which ORU's have been evaluated, and, more specifically, related to the position of UCEP, in the quality of the ad hoc committee reports.

The purpose of the review is to ascertain the extent to which a unit has succeeded in achieving its goals and the general goals of the University. The purpose of UCEP's participation in this process is to provide the Academic Senate with an opportunity to comment on how well this has been done. We believe that adherence to the following recommendations will facilitate the achievement of these goals.

I. INTRODUCTION

The Regents' Policy on Universitywide Organized Research Units requires that each unit be reviewed by a special ad hoc review committee at intervals of 5 years or less and that the report of the committee be forwarded to the University Committee on Educational Policy for its review.

The review of ad hoc committee reports on ORU's by the UCEP is aimed at ensuring uniformity and completeness of the review procedure. We define our role in the review process as being

- (i) to ensure that sufficient and appropriate information was available to the ad hoc committee,
- (2) to determine whether an adequate job of review was done, and
- (3) to state the extent to which UCEP agrees with the logic and conclusions of the report.

The current UCEP and those in the past have had considerable difficulty in fulfilling this responsibility. The reports of ad hoc review committees have sometimes failed to provide sufficient information on which to make decisions. Two major deficiencies seem to characterize many of the reports:

- (i) Their failure to incorporate documentation of the findings and opinions of the committee by specific reference to the material provided to them about activities and accomplishments of the ORU.
- (2) The lack of a standard format which assures UCEP and subsequent reviewing agencies that all relevant aspects of the material presented to the ad hoc committee have been considered.

It is the opinion of UCEP that correction of these deficiencies requires the development of more specific instructions to ad hoc review committees relating to their charge, the criteria which they should use as the basis of their evaluation, and the style of their written report. To achieve this end, UCEP makes the following recommendations.

II. RECOMMENDATIONS

That specific instructions be given to each ad hoc review committee which clearly define the nature and scope of its report.

Generally the report should:

Include an appraisal of all significant operational evidence, favorable and unfavorable.

(2) Be adequately documented by specific reference to the supporting material.

(3) Be specific and analytical and include the review committee's evaluation of the ORU with respect to the following categories:

(a) Research

(b) Teaching

(c) Impact on the Campuses of the University

(d) Public Services

(4) Include -- preferably as an introduction -- a brief, concise statement detailing the history of the ORU, its mission, its scope, and its relationship with academic departments on the various campuses.

(5) Provide a comment about the director which includes an evaluation of his leadership and the source and type of information upon which that evaluation was based.

(6) Describe the resources of the ORU in terms of a 5 year summary of the amounts of extramural and intramural support, physical facilities and space allocation, and staff funded from extramural sources.

That the following minimal criteria be used as a guide to the ad hoc committee's deliberation and comments.

(1) Research

(a) The quality of research accomplished and in progress.

(b) The accomplishment of the objectives as stated in the research mission of the ORU, the evaluation of changes in direction of research and their impact, the effect of the unit's research on the campuses of the University and the public.

(c) The benefit of the unit's research to other departments of instruction and research, including faculty and student personnel engaged in research within the ORU.

(d) The quality of the professional staff as evidenced by such things as awards, honors, presentations at national and international scholarly conferences.

(e) The comparison with similar units at other institutions.

(f) Publications issued by the unit, including reports and reprints in its own covers as well as published material. Publications in progress and in the developmental stages should be considered as well as doctoral dissertations of graduate students.

The interdisciplinary nature of the unit's research efforts, if appropriate.

(2) Teaching

(a) Administrative support to graduate studies, to include that provided for both doctoral and postdoctoral training.

(b) The degree to which graduate and postdoctoral students participate through assistantships, fellowships, traineeships, or otherwise are involved in ORU work, including paid employment and graduate student research statistics.

(c) The sponsorship of internships with or without credit of graduate and undergraduate students.

(d) Direct or indirect contributions of the ORU to graduate and undergraduate teaching programs of academic departments of the University.

(e) Staffing of the unit, including number of full-time academic staff with fractional appointments in academic departments, faculty with part-time appointments in ORU, and degree to which each category participates in teaching programs of academic departments. This would include participation in regular courses and seminars of academic departments, supervision of independent research and group study (etc.)

(3) Impact on Campuses of the University

(a) Evidence that existence of ORU was a factor in attracting faculty or students to the University.

(b) Effect of program or unit on campus programs, including statements as to why the goals and objectives could not be accomplished within some existing departmental structure, or by a campus ORU.

(c) Advantages and disadvantages to the University which might reasonably be expected to occur in the future if the unit is continued.

(d) Possible effect on University from discontinuance of unit.

(4) Public Service

(a) Contributions in the form of lectures, tours, visiting groups, conferences (etc.) within the community,

State, and nation, as well as services to the University community.

(b) Interaction with other similar units or research in other places. Other services to the community, State, and nation, such as distribution of research information, recognition by non-University groups or governmental agencies.

(c) Evidence of the direct, tangible impact of the activities of the ORU on the public at large.

Appendix L

UNIVERSITY OF CALIFORNIA

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

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December 7, 1999

CHANCELLORS LABORATORY DIRECTORS

Administrative Policies and Procedures Concerning Organized Research Units

The enclosed University of California policy entitled Administrative Policies and Procedures Concerning Organized Research Units (hereafter, the ORU/MRU Policy) is effective January 1, 2000. It revises and replaces the previous ORU/MRU Policy first issued in 1982 by then-President Saxon. Since 1982, ORUs, MRUs, and other multicampus research programs governed by the ORU/MRU Policy have increased in number, the organized research environment at the University of California has changed, and Academic Senate review procedures for research programs have been significantly modified.

The revised ORU/MRU Policy was developed by the Office of Research in conjunction with the Council on Research (COR) and the Council of Vice Chancellors for Research (COVCR). It was reviewed and approved by the Universitywide Committee on Research Policy (UCORP), the Committee on Planning and Budget (UCPB), and the Academic Council.

During the development of the revisions to the ORU/MRU Policy, the Universitywide Academic Senate, working in consultation with the campuses and the Office of the President, adopted new academic program review procedures for a period of five years effective July 1, 1999. The procedures are set forth in the Compendium of Universitywide Review Processes for Academic Programs, Academic Units, and Research Units. The Compendium stipulates that all ORU actions (establishment, disestablishment, and name change) are now approved by the Chancellor of the host campus and no longer require review by the Universitywide Academic Senate or approval by the President. All sections of the revised ORU/MRU Policy which stipulate review requirements and procedures for ORUs and MRUs are fully compatible with the corresponding sections of the Compendium.

Thank you for your advice and cooperation in developing this Policy.

Sincerely,

Richard C. Atkinson
President

[Enclosure](#)

cc:

Members, President's Cabinet
Director McClain
Special Assistant Gardner
Vice Chancellors for Research
Vice Provost Shelton
Associate Vice Provost Linford
Principal Officers of The Regents

ADMINISTRATIVE POLICIES AND PROCEDURES CONCERNING ORGANIZED RESEARCH UNITS

(Approved by the Council of Vice Chancellors for Research, 4/21/99)

SECTION I. DEFINITION AND PURPOSE OF ORUS

1. An Organized Research Unit (ORU) is an academic unit the University has established to provide a supportive infrastructure for interdisciplinary research complementary to the academic goals of departments of instruction and research. The functions of an ORU are to facilitate research and research collaborations; disseminate research results through research conferences, meetings and other activities; strengthen graduate and undergraduate education by providing students with training opportunities and access to facilities; seek extramural research funds; and carry out university and public service programs related to the ORU's research expertise. An ORU may not offer formal courses for credit for students of the University or for the public unless it has been specifically empowered to do so by the President after consultation with the Academic Senate and the appropriate Chancellors.

2. A Directory of Organized Research Units in the University of California is maintained and periodically issued by the Office of the Vice Provost for Research. Units ranging from special libraries, hospitals, clinics, art galleries, and museums to departmental laboratories are not ORUs unless they have been officially approved as such even though they may resemble ORUs in some respects. It is important to distinguish between formally established ORUs and other units of a less formal character. In the solicitation of extramural funds for a research project by a unit that has not been granted ORU status, care should be taken not to use terminology nor make representations which suggest that the proposing unit is in fact a University-approved ORU or is about to become one. The designations enumerated in the following paragraphs shall not be used as formal labels for units that are not ORUs, with the exception of Center, as noted. If a unit is likely to evolve into an ORU after a trial period of operation, the possibility should be mentioned at a suitable stage in the planning; in such a case, the designation Center or Project is suitable.

DESIGNATION OF ORUs

3. Units included in the Directory of Organized Research Units normally carry one of the designations enumerated and defined below.

Institute, Laboratory, and Center are used most often, but other titles may be employed in particular situations. An ORU that covers a broad research area may in turn contain other more specialized units; for instance, an Institute may comprise several Centers, or a Station several Facilities. It is recognized that some long-established units have designations that do not conform to the definitions that follow (some Centers are rather like Institutes in their activities)

and that some have widely known names such as Bureau, Division, Foundation or Organization that are not listed below but that cannot be conveniently changed. However, insofar as possible, designations of new units shall be taken from those defined below.

Institute: a major unit that coordinates and promotes faculty and student research on a continuing basis over an area so wide that it extends across department, school or college, and even campus boundaries. The unit may also engage in public service activities stemming from its research program, within the limits of its stated objectives.

Laboratory: a nondepartmental organization that establishes and maintains facilities for research in several departments, sometimes with the help of a full-time research staff appointed in accordance with the guidelines of Section 6a below. (A laboratory in which substantially all participating faculty members are from the same academic department is a departmental laboratory and is not an ORU.)

Center: a small unit, sometimes one of several forming an Institute, that furthers research in a designated field; or, a unit engaged primarily in providing research facilities for other units and departments.

Non-ORU Center. The term Center may be used for research units not formally constituted as ORUs upon approval by the Chancellor after consultation with the divisional Academic Senate. Before approval is granted for a Center that is not an ORU, the campus may stipulate terms and conditions such as a process for appropriate periodic review, including administration, programs, and budget; appointment of a director and advisory committee; an appropriate campus reporting relationship; and progress reports.

Station: a unit that provides physical facilities for interdepartmental research in a broad area (e.g., agriculture), sometimes housing other units and serving several campuses. The terms Facility or Observatory may be used to define units similar in function but with more narrow interests.

LINES OF RESPONSIBILITY

4. All ORUs are aggregated into two categories for purposes of administration and review.

(a) ORU (Single-campus Organized Research Unit): An Organized Research Unit serving a single campus is responsible to the Chancellor or Chancellor's designee for administration, budget, space, personnel, and scholarship.

(b) MRU (Multicampus Research Unit): This category includes (1) all units with facilities and personnel on two or more campuses or locations associated with them, and (2) all units with facilities at a single location on or near one of the campuses if the participation of faculty or staff from other campuses is so extensive as to give such a unit a Universitywide character.

MRUs are responsible to the President and report through a Chancellor or Chancellor's designee at the campus hosting the MRU's administrative headquarters; the President retains ultimate responsibility for matters of general policy and intercampus coordination and the Chancellor or Chancellor's designee oversees the MRU's administrative relationship with the campus. The Directors of the Agricultural Experiment Station, the Water Resources Center, the Kearney Foundation for Soil Science, and the Giannini Foundation for Agricultural Economics report to the Vice President--Agriculture and Natural Resources and insure that the Chancellors are kept informed of all impending substantial changes in these units and that effective administrative liaison with the Chancellors is maintained.

If an MRU has facilities and personnel on two or more campuses or locations associated with them, the Director may be aided by an Associate Director on each campus or location at which the unit is active. The portion of such an MRU on a particular campus has some of the attributes of an ORU, and the chief administrator of that part of the MRU (i.e., the Director or Associate Director) is responsible to the Chancellor or Chancellor's designee in such matters as personnel, services, and space. Each Associate Director is responsible to the Director for fulfillment of that portion of the MRU's mission that is carried out by the local branch.

SECTION II. ADMINISTRATION, BUDGETARY SUPPORT, AND PERSONNEL

5a. ORUs. Each ORU is headed by a Director who is a tenured member of the faculty and who may receive an administrative stipend in addition to the faculty salary, except that a faculty member who already earns such a stipend through another appointment (e.g., as associate dean) shall not receive a second stipend. Such dual administrative responsibilities should be avoided. The Director is aided by a standing Advisory Committee, chaired by a faculty member other than the Director, which meets regularly and participates actively in setting the unit's goals and in critically evaluating its effectiveness on a continuing basis. Specifically, the Advisory Committee provides counsel to the Director on all matters pertaining to the unit, including budgetary matters and personnel. The Chair of the Advisory Committee, and as many other members as practical, should meet with five-year review committees (see below under Section 10a) and otherwise be available for consultation by the five-year review committee during the course of its review. The Advisory Committee is made up predominantly of faculty members, but may include some members from the professional research series and may have some members from outside the University. The Advisory Committee is appointed by the Chancellor or Chancellor's designee. The charge to the committee and its functions, membership, and reporting requirements are determined by the appointing officer but should include active participation in the planning and evaluation of the ORU's programs and activities.

5b. MRUs. All of the stipulations in Section 5a apply to MRUs, except that the members of the Advisory Committee to an MRU are appointed by the President or President's designee after consultation with the appropriate Chancellors or Chancellors' designees. An Advisory Committee may also be termed Steering or Executive Committee. MRUs may be aided by more than one committee acting in an advisory capacity; for example, MRUs may have an external Advisory

Committee and a UC Executive or Steering Committee. The external Advisory Committee is typically made up of individuals from governmental agencies, the private sector and the public nonprofit sector and provides guidance to the MRU on how it might address the needs and priorities of the external constituencies for which the activities of the MRU are especially important. The Chair and membership of the external Advisory Committee are appointed by the President or President's designee.

6a. ORUs. In recognition of the role played by ORUs in the educational process, provision is made in the campus budget for the unit's core administrative support, Director's stipend, staff salaries, supplies and expenses, equipment and facilities, and general assistance. The budgets of some units, notably those primarily serving other academic units (e.g., survey centers) and those engaged in professional activities of specific interest to the State of California (e.g., agriculture, industry, public administration, transportation), may also contain provisions for Professional Research (or Agronomist or Astronomer) positions of a more permanent nature than is ordinarily associated with a research project. All permanent positions--professional, technical, administrative, or clerical--may be established and filled, regardless of the availability of funds, only after specific review and authorization of the proposed positions and of the candidates for them in accordance with University policies and procedures.

6b. MRUs. All of the provisions of Section 6a apply to MRUs. The President and Chancellor or their designees will decide what portions of administrative support for the unit will derive from the campus or the Office of the President.

PROCEDURE FOR ESTABLISHMENT

7. ORUs, MRUs. To establish an ORU or MRU, the faculty members concerned submit a proposal stating the proposed unit's goals and objectives. The proposal should describe what value and capabilities will be added by the new unit, and explain why they cannot be achieved within the existing campus structure. It should make clear how the ORU or MRU will be greater than the sum of its parts, for example, by fostering new intellectual collaborations, stimulating new sources of funding, furthering innovative and original research, or performing service and outreach to the public. The proposal should also contain the following information:

- Experience of the core faculty in interdisciplinary and multidisciplinary research collaborations.
- Research plan for the first year of operation and projections for the five years following.
- Budget estimates for the first year of operation, projections for the five years following, and anticipated sources of funding.
- Names of faculty members who have agreed in writing to participate in the unit's activities.

- Projections of numbers of faculty members and students, professional research appointees, and other personnel for the specified periods.
- Statement about immediate space needs and how they will be met for the first year and realistic projections of future space needs.
- Statement of other resource needs, such as capital equipment and library resources, and how they will be met for the first year, and realistic projections of future resource needs.
- Statement about anticipated benefits of the proposed unit to the teaching programs of the participating faculty members' departments.
- Statement specifying the appropriate administrative unit's commitment of funds, space, and other resources necessary for the successful operation of the proposed ORU or MRU. Actual or potential availability of extramural funds shall not serve as the sole basis for proposing, approving, or continuing an ORU or MRU.

The proposal should also list similar units that exist elsewhere, describe the relation of the proposed unit to similar units at other campuses of the University of California, and describe the contributions to the field that the proposed unit may be anticipated to make that are not made by existing units.

8a. ORUs. The proposal is submitted for review via any Dean directly affected by the proposed unit's personnel, space, and equipment demands to the Chancellor or Chancellor's designee, who seeks the advice of the appropriate divisional Academic Senate committees. In cases of disagreement about whether to establish an ORU, the Chancellor or Chancellor's designee consults with the Chair of the Academic Senate, but the Chancellor retains final authority for the decision to approve establishment of a new ORU. Establishment of an ORU must carry with it a commitment of space and funding adequate to the mission of the unit. The Chancellor or Chancellor's designee informs the Vice Provost for Research of the establishment of the ORU.

8b. MRUs. The proposal for an MRU originates at the campus which will host the administrative headquarters of the unit. The proposal is submitted to the appropriate administrative officer, normally the Vice Chancellor for Research. The Vice Chancellor for Research seeks advice from all appropriate divisional Academic Senate Committees and administrative committees. After campus review, the proposal is submitted to the Vice Provost for Research by the Chancellor or Chancellor's designee of the host campus. The Vice Provost for Research reviews the proposal and refers it to the Chancellors for comment. Campus review should include consultation with appropriate Divisional Senate committees. The Vice Provost for Research also refers the proposal to the Chair of the Academic Council for comment by The University Committee on Research Policy (UCORP), the University Committee on Planning and Budget (UCPB), and the Coordinating Committee on Graduate Affairs (CCGA). UCORP is the lead review committee. In

cases of disagreement about whether to establish an MRU, the Vice Provost for Research, Chair of the Academic Council, and Chancellor or Chancellor's designee of the host campus will establish a process of adjudication; however, the Vice Provost for Research retains final authority for the decision to recommend establishment of a new MRU to the Provost and President. After Presidential approval, the Provost informs the Chancellors and Chair of the Academic Council of the action. The establishment of an MRU must carry with it a commitment of space and funding adequate to the mission of the unit.

The procedures for establishing a new branch of an existing MRU are the same as those for establishing a new MRU.

PROCEDURE FOR APPOINTING A DIRECTOR

9a. ORUs. The Director of an ORU is appointed by the Chancellor or Chancellor's designee after a nomination procedure on which the Chancellor and the Academic Senate have agreed. The founding Director of an ORU may be specified in the proposal to establish the ORU. When the appointment of a new Director is for an existing unit, the Advisory Committee should be solicited for nominations.

9b. MRUs. The Director of an MRU is appointed by the Provost after consultation with the appropriate Chancellors and with the advice of a Search Committee appointed by the Vice Provost for Research. Nominations for membership on the Search Committee are solicited by the Vice Provost for Research from the Chair of the Academic Council and the Chancellors. Normally, at least one member of the Advisory or Executive Committee of an existing MRU seeking a new Director serves on the Search Committee.

PROCEDURE FOR FIVE-YEAR REVIEW

10a. ORUs. Periodic reviews of ORUs are necessary to ensure that the research being conducted under the units' auspices is of the highest possible quality and that campus resources are being allocated wisely and in line with campus priorities. Each ORU should be reviewed at intervals of five years or less by an *ad hoc* review committee. Reviews should address the ORU's original purpose, present functioning, research accomplishments (such as publications, grants, and new collaborations resulting from research conducted or sponsored by the unit), future plans, and continuing development to meet the needs of the field. The review should assess the adequacy of space and other resources made available to the unit. The review should look to the unit's success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve new objectives. The review committee should be provided explicit budget information, including amounts and sources of all funds and expenditures, and the committee should assess whether the budget is adequate and appropriate to support the unit's mission. Each *ad hoc* review committee should consider and make specific recommendations, if appropriate, for improvements in the mission, budget, administration, research focus, space and other resource requirements, and programs and activities of the unit. It should also consider whether the unit

should merge with another similar unit, or be disestablished.

It is the responsibility of the Chancellor or Chancellor's designee to initiate five-year (quinquennial) reviews for ORUs. The Vice Chancellor for Research, in consultation with the appropriate Senate Committee, should assure that five-year reviews are conducted at the proper five-year interval for each unit. The Chancellor or Chancellor's designee appoints the review committee for an ORU from a slate nominated by the divisional Academic Senate. Review committees may have one or more members from another campus or from outside the University. The review committee's report should be provided to the Director for comment. Justification for continuation of an ORU must be documented carefully by the review committee.

The report is reviewed by the appropriate Academic Senate committee(s) and a decision concerning continuation of the unit and any needed changes is made by the Chancellor or Chancellor's designee upon consideration of the *ad hoc* and Senate committees' recommendations. The disestablishment of an ORU requires approval of the Chancellor, who forwards the information to the Vice Provost for Research (see Section 11a).

To permit the Vice Provost for Research to maintain an accurate portfolio of UC organized research, the Chancellor or Chancellor's designee should transmit an annual report to the Vice Provost for Research listing ORU establishments and disestablishments and a summary of five-year reviews of ORUs.

10b. MRUs. Periodic reviews of MRUs are necessary to ensure that the research being conducted under the units' auspices is of the highest possible quality and that University resources are being allocated wisely and in line with University priorities. Each MRU should be reviewed at intervals of five years or less by an *ad hoc* review committee, appointed by the Vice Provost for Research from a slate nominated by the Chair of the Academic Council and the Chancellors or Chancellors' designees. The Quinquennial Review Committee should include at least one member from outside the University and may include one or more Vice Chancellors for Research from within UC. The review should address all the criteria and areas identified with reference to ORUs in Section 10a. The Vice Provost for Research should assure that the quinquennial review of each MRU takes place at regular five year intervals. The review report is given to the Director for information. Each Quinquennial Review Committee should consider and make specific recommendations, if appropriate, for improvements in the mission, budget, administration, FTE or other resources, research focus, and programs and activities of the unit. It should also consider whether the unit should merge with another similar unit, or be disestablished. Justification for continuation of an MRU must be carefully documented by the review committee.

The Five-Year Review report is submitted to the Vice Provost for Research, who distributes it to the Academic Vice Chancellors for campus comment and the Chair of the Academic Council for comment by UCORP, UCPB, and CCGA. The MRU Director and the Chair of the Advisory and Executive Committees may also comment on the Five-Year Review Report. Based on the Five-Year Review Report and the comments on the Five-Year Review Report, the Vice Provost for

Research approves continuation of the unit, implements changes in the structure or functioning of the unit, or recommends disestablishment of the unit to the President.

PROCEDURE FOR DISESTABLISHMENT

11a. ORUs. The recommendation for disestablishing an ORU may follow a five-year review of the unit or other process of review established by the Chancellor or Chancellor's designee. After such campus review the Chancellor approves the request for disestablishment and the Chancellor or Chancellor's designee informs the Vice Provost for Research of the action.

11b. MRUs. The recommendation for disestablishing a MRU may follow a five-year review of the unit or other process of review established by the Chancellor of the host campus of the MRU or by the Vice Provost for Research. If the disestablishment initiates at the host campus, the Chancellor or Chancellor's designee submits the request for disestablishment to the Vice Provost for Research after appropriate campus administrative and Senate consultation and after consultation with the Advisory Committee of the MRU. The request for disestablishment is referred by the Vice Provost for Research to the Chancellors for comment. Campus review should include consultation with the appropriate Divisional Senate committees. The Vice Provost for Research also refers the proposal to the Chair of the Academic Council for comment by UCORP, UCPB and CCGA. If the disestablishment is initiated by the Vice Provost for Research, comment is requested from the Chancellors and from the Universitywide Academic Senate. The Provost recommends disestablishment of the MRU to the President. After Presidential approval, the Provost informs the Chancellors and Chair of the Academic Council of the action.

PHASE-OUT PERIOD

12. ORUs, MRUs. The phase-out period for an ORU or MRU which is to be disestablished should be sufficient to permit an orderly termination or transfer of contractual obligations. Normally, the phase-out period should be at most one full year after the end of the academic year in which the decision is made to disestablish the unit.

PROCEDURE FOR NAME CHANGE

13a. ORUs. The director of the ORU prepares a proposal describing the rationale for requesting a new name for the unit. The request for a new name usually reflects new directions in the interdisciplinary research sponsored by the unit, the expansion or addition of new knowledge or fields of research to the unit's mission, or the institutionalization of new methodologies of study. After review by the Senate and appropriate campus administrators, the Chancellor approves the name change of the ORU and informs the Vice Provost for Research of the action.

13b. MRUs. The Director of the MRU prepares a proposal for a change in name of the MRU, certifying that the change does not signal a fundamental change in the MRU nor require substantial new resources. The MRU Advisory Committee endorses the requested name change.

The proposal is reviewed by appropriate host campus administrators and Senate committees and by appropriate campus administrators and Senate committees of other participating campuses. The Director submits the proposal package to the Vice Provost for Research, who consults with the Chair of UCORP to secure his or her agreement that the name change is uncomplicated, and does not signal a fundamental change in the nature of the MRU nor require substantial new resources. After favorable review at the host campus and all participating campuses, the host campus Chancellor approves the name change and submits the full documentation to the Vice Provost for Research, who notifies the other campuses and the Chair of the Academic Council of the change in name.

REVIEW OF DIRECTORS

14a. ORUs. The effectiveness of each Director is reviewed near the end of an initial five-year term, or earlier, as appropriate; when possible, the Director is reviewed as part of the unit's quinquennial review. If the unit is to be continued, the decision whether to continue the appointment of the Director is made by the Chancellor or Chancellor's designee. Directorships of ORUs are limited to ten years of continuous tenure in all but extraordinary circumstances.

14b. MRUs. The effectiveness of each Director is reviewed near the end of an initial five-year term, or earlier, as appropriate; when possible, the Director is reviewed as part of the unit's quinquennial review. If the unit is to be continued, the decision whether to continue the appointment of the Director is made by the President or President's designee after consultation with the Vice Provost for Research. Directorships of MRUs are limited to ten years of continuous tenure in all but extraordinary circumstances.

ANNUAL REPORT

15a. ORUs. At the end of each academic year, each ORU should submit a report to the officer to whom it is responsible. The Chair of the Advisory Committee should be consulted in the preparation of the report. The report should contain the following:

- Names of graduate students and postdoctoral researchers directly contributing to the unit who (a) are on the unit's payroll, (b) participate--through assistantships, fellowships, or traineeships, or are otherwise involved in the unit's work.
- Names of faculty members actively engaged in the unit's research or its supervision.
- Extent of student and faculty participation from other campuses or universities.
- Numbers and FTE of professional, technical, administrative, and clerical personnel employed.
- List of publications issued by the unit, including books, journal articles, and reports and

reprints issued under its own covers, showing author, title, press run, and production costs.

- Sources and amounts (on an annual basis) of all support funds, including income from the sale of publications and from other services.
- Expenditures from all sources of support funds, distinguishing use of funds for administrative support, direct research, and other specified uses.
- Description and amount of space currently occupied.
- Any other information deemed relevant to the evaluation of a unit's effectiveness, including updated five-year projections of plans and resource requirements where feasible.

15b. MRUs. MRUs should submit annual reports to the Vice Provost for Research, with copies to the Chancellors of the host and participating campuses and to the Council on Research and the Universitywide Committee on Research Policy. The Chair of the Advisory Committee should be consulted in the preparation of the report. The annual report of an MRU should contain the same information as stipulated for ORUs in Section 15a.

LIFE SPAN

16a. ORUs. All ORUs must establish a rationale for continuance, in terms of scholarly or scientific merit and campus priorities, at fifteen year intervals. The first such fifteen-year (sunset) review for all units established prior to 1981 will take place between July 1, 1996 and June 30, 2001, but may extend beyond 2001 if necessary. Campuses have the flexibility of carrying out fifteen-year reviews at the same time as, and in place of, regularly scheduled five-year reviews or at other times established by the Chancellor or Chancellor's designee, in consultation with the Academic Senate. For example, campuses may choose to carry out simultaneous or collective fifteen-year reviews of all ORUs in the same broad disciplinary area. To begin a fifteen-year review, an ORU should develop a formal proposal for continued ORU status, support funds, and space in the context of current campus and University needs and resources. The proposal should state a persuasive rationale for the unit's continuation and should include all of the information required of proposals for ORU establishment (see Section 7). In addition, the proposal should describe the ORU's achievements over the past 15 years, the contributions the ORU has made to research, graduate and undergraduate education and public service, and the consequences if the ORU were not continued. The proposal and submitting unit are reviewed by an *ad hoc* fifteen-year review committee established by the Chancellor or Chancellor's designee after consultation with appropriate divisional Academic Senate committees. It is recommended that at least one member from outside the campus sit on the Fifteen-Year Review Committee. The report of the Fifteen-Year Review Committee is reviewed by appropriate campus senate committees and administrative officials. Approval for disestablishment of the ORU is made by the Chancellor.

The Chancellor informs the Vice Provost for Research of the action.

16b. MRUs. All MRUs must establish a rationale for continuance, in terms of scholarly or scientific merit and University priorities, at fifteen year intervals. The first such fifteen-year (sunset) review for MRUs should take place between June 30, 1996 and June 30, 2001, but may extend beyond 2001 as necessary. During this period of time, according to a schedule to be established by the Vice Provost for Research, each approved MRU which has at least 15 years of existence must submit to the Vice Provost for Research a formal proposal for continued MRU status, support funds, and space in the context of the University's needs and resources at the time. The proposal should state a persuasive rationale for the unit's continuation and should include all of the information required of proposals for MRU establishment (see Section 7). In addition, the proposal should describe the MRU's achievements over the past 15 years, the contributions the MRU has made to research, graduate and undergraduate education, and public service, and the consequences if the MRU were not continued. Fifteen-year reviews of MRUs may be comparative; MRUs thus may be required to submit additional information required by the comparative nature of the fifteen-year review. A cluster of MRUs to be reviewed comparatively may be formed on the basis of related research interests, similar organizational structure, or other characteristics held in common.

A Universitywide *ad hoc* committee with representatives from the Council on Research and the Universitywide Committee on Research Policy and other such members as deemed necessary will constitute the review body for fifteen-year reviews of MRUs. The fifteen-year review committee should include at least one member from outside the University. The Fifteen-Year Review Committee will submit its report and recommendations to the Vice Provost for Research, who will distribute them to the Academic Vice Chancellors for campus comment and to the Academic Council for comment by UCORP, UCPB, and CCGA. UCORP is the lead review committee. The decision for disestablishment, continuation, or other change of an MRU following a fifteen-year review will be made by the President.

EXCEPTIONS

17. All exceptions to the above policies and procedures must be approved by the President.

Appendix M

GUIDELINES FOR FIVE-YEAR ("QUINQUENNIAL") REVIEWS OF MULTICAMPUS RESEARCH UNITS (MRUs)

REVIEW COMMITTEE GUIDELINES

The Review Process

As set forth in the *Administrative Policies and Procedures Concerning Organized Research Units*, periodic reviews of MRUs are necessary to ensure that the research being conducted under the units' auspices is of the highest possible quality and that University resources are being allocated wisely and in line with University priorities. The five-year review requires that each MRU submit a proposal to be reviewed by an *ad hoc* review committee established by the Vice Provost for Research from a slate nominated by the Chair of the Academic Council and the Chancellors.

The Review Committee's Report is expected to provide an objective and balanced critical evaluation of the MRU to be reviewed and answer two key questions. One, does the unit provide a unique service to UC in research, support of graduate education, and public service that would not otherwise be accomplished in its absence? Two, should the MRU be continued for another five years? The information needed to complete the review will be gathered from the MRU Director's Report and from a site visit to the MRU's administrative headquarters and, if necessary, to other important locations. Where appropriate, the Review Committee's Report may simply refer to the Director's Report rather than duplicate information already provided in the Director's Report. The Review Committee should become familiar with the section on five-year reviews contained in *Administrative Policies and Procedures Concerning organized Research Units*.

Review Committee Report

The Review Committee's report is the most important product of the MRU review process and its recommendations will be pivotal to decisions about the future of the unit. The report should address each of the areas identified below and emphasize for each the unit's strengths and weaknesses. A report from the Director of the MRU detailing information on the same areas will be provided to the Review Committee to assist it in carrying out the review. The body of the Review Committee's Report should not exceed 20 single-spaced pages, not including appendices.

I. Introduction and Executive Summary.

A. Mission of the unit. Include, as an introduction, a concise statement describing the history of the unit, its mission, scope, and any changes that may have occurred in mission and scope over the life of the MRU. Does the unit serve the University in some unique way such that it represents a substantial asset to the University and the citizens of California? Is the unit visible and active on its home campus? On other UC campuses? Is there evidence of effective interaction with related units, e.g. departments, other campus entities, and, where appropriate, national Labs?

II. Evidence of accomplishment. What are the MRU's major accomplishments over the over the preceding five year period in the following areas?

A. Research: Describe the quality and productivity of research accomplished and in progress. What are the major achievements of the professional academic staff (publications, awards, honors, presentations) and administrative support staff? Is there compelling evidence that the MRU has contributed to outstanding research in the disciplinary and interdisciplinary areas in which it specializes?

B. Undergraduate and graduate education: What are the direct and indirect contributions of the MRU to graduate and undergraduate teaching programs of academic departments of the University?

C. Recognition for excellence beyond UC: Does the unit have a national or international reputation for excellence beyond UC?

D. Public service and outreach: Has the MRU made significant contributions to the public and the community external to UC? Does the MRU contribute to policy discussions and development at the State and national levels in areas encompassed by its special research interests?

III. Budget. Does the unit make cost-effective uses of UC funds (for example, is there an appropriate balance of expenditures for administrative versus research support)? Has the unit been successful in garnering extramural support to augment UC funding? Should additional UC funding be provided, and if so, what needs do you regard as most critical for the unit?

IV. Administration and governance. Does the administrative structure optimally meet the needs of the MRU? Are resources for administration appropriate and adequate? The report should separately address the following administrative issues:

A. Director: Is the Director an effective leader of the MRU? What are the Director's strengths and weaknesses? Are there areas in which the Director's should place additional or fewer resources?

B. Space and resources: Is the space assigned to the unit adequate or reasonable from an overall campus perspective, in terms of footage and location? What specific changes would you recommend, if any? Does the Director have adequate control of space assigned to the unit, and has it been well utilized? Are necessary resources available to the unit and are they adequate?

C. Personnel: Is there adequate participation of faculty in the unit, both at the host campuses and on other campuses? Is the support staff adequate at the administrative headquarters?

D. Contract and grant administration: If the MRU administers faculty-generated grants and contracts, are the arrangements adequate and do the research projects receive appropriate levels of infrastructure support?

V. Advisory Committee(s): How effective is the Advisory Committee or committees in providing guidance to the Director? Does the Committee have a role in the MRU's faculty research competition(s) and in the graduate student dissertation competition, if one exists? If so, are potential conflict-of-interests appropriately managed?

VI. Problems and needs: Are there significant problems or needs that prevent the MRU from fulfilling its mission effectively and what actions should be taken to address them?

VII. Comparison with other units. What are the MRU's unique contributions to the University that distinguish it from other apparently similar research or academic entities at UC? Is the unit's continuance as a separate entity justified and what would be lost if the unit did not exist?

VIII. Conclusions and Recommendations.

CHECKLIST FOR REVIEW COMMITTEE'S REPORT

I. Introduction and Executive Summary

II. Evidence of Accomplishment

- A. Research
- B. Undergraduate and Graduate Education
- C. Recognition Beyond UC
- D. Public Service and Outreach

III. Budget

IV. Administration and Governance

- A. Director
- B. Space and Resources
- C. Staffing
- D. Contract and Grant Administration

V. Advisory Committee

VI. Problems and Needs

VII. Comparison with other Units

VIII. Conclusions and Recommendations