OFFICE OF THE PROVOST AND EXECUTIVE VICE PRESIDENT
ACADEMIC AFFAIRS

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

April 3, 2014

CHANCELLORS
ACADEMIC COUNCIL CHAIR JACOB

Dear Colleagues:

The Academic Planning Council (APC) is a systemwide committee that comprises members of the Academic Senate, high-level UCOP and campus administrators, and students. APC considers broad issues such as long range enrollment, academic policies, and program review, including matters that arise in the Compendium: Universitywide Review Processes for Academic Programs, Academic Units and Research Units. The Compendium formalizes systemwide review processes to establish, transfer, consolidate, disestablish and discontinue academic programs, schools, colleges and research units. It reflects existing policies; it does not create or revise policy.

APC recently approved several changes to the Compendium which I am forwarding for review. Both a summary of changes as well as full red-line version of the draft document are attached. Briefly, proposed revisions include:

1. deletion of reference to the California Postsecondary Education Commission;
2. changes to *Five-Year Planning Perspectives* reporting;
3. clarification of circumstances in which actions involving undergraduate degree programs are subject to system level review;
4. modification of provisions on research units (including a new section on Multicampus Research Programs); and,
5. a simplification of the Joint Graduate Board review process in the event of agreement on proposed joint degrees.

This transmittal is a request to the Academic Council for formal review by the Academic Senate and to the Chancellors for review by the campus administrations. It is being sent directly to Chancellors (with copies to the Executive Vice Chancellors) per the request of COC that major communications and calls for information from UCOP be routed in this manner.

If you have any comments on the proposed revisions, please submit them in writing by June 6, 2014 to Rebecca.Landes@ucop.edu. Thank you in advance for your assistance with this effort.

Cordially,

Aimée Dorr
Provost and Executive Vice President
Academic Affairs

Attachments

cc: Academic Council Vice Chair Gilly
    Executive Vice Chancellors
    Vice President Brown
    Executive Director Winnacker
    Director Greenspan

UNIVERSITY
OF
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Office of the Provost

Recommended Compendium Revisions
April 3, 2014

Background - The *Compendium: Universitywide Review Processes for Academic Programs, Academic Units, & Research Units* (Compendium) formalizes systemwide review processes for establishment, transfer, consolidation, disestablishment, and discontinuance of academic programs at UC. It reflects existing policies; it does <u>not</u> create or revise policy. The Compendium was first prepared in 1993-94 and has been regularly updated since; it was last revised in January 2011.

Below is a summary of the next proposed round of substantive revisions, reviewed and recommended by the Academic Planning Council.

1. **Deletion of reference to the California Postsecondary Education Commission**
   The California Postsecondary Education Commission (CPEC) was the state's agency for higher education policy planning and oversight. The agency was eliminated in a line item budget veto on June 30, 2011 and closed its doors in November 2011.   Accordingly references in the Compendium to CPEC, including review and reporting requirements, are deleted and, where applicable, replaced with references to information gathering for state officials or a successor agency.

2. **Changes to Five-Year Planning Perspectives Reporting**
   The Five-Year Planning Perspectives (FYPP) section currently specifies annual submission by the campuses to the Office of the President. The *Perspectives* detail campus plans to establish, transfer, consolidate, disestablish, or discontinue undergraduate degree programs, graduate degree programs, schools and colleges, and research units. The following changes are made to FYPP reporting:
   a. <u>Biennial instead of annual submission</u> – FYPPs are to be submitted in even-numbered years instead of every year.
   b. <u>Eliminate research unit reporting</u> – Campuses will no longer be asked to include in the FYPPs information on establishment, transfer, consolidation, disestablishment, or discontinuance of research units.
   c. <u>Eliminate link between FYPP reporting and program review</u> – Currently the Compendium requires contemplated new programs to be listed in the FYPP in order to be considered for campus and system review. This requirement is eliminated.

Summary - proposed Comp revisions, 4/3/14   Office of the Provost
Rebecca Landes   Institutional Research & Academic Planning

Page 1 of 2

3. **Clarification of circumstances in which changes to undergraduate degree programs undergo system-level review**
   The section on Undergraduate Degree Programs was revised to clarify the few scenarios in which changes to such programs require system-level rather than campus-only review. For example, system-level review is triggered when a campus seeks to discontinue a program that is the last of its kind at the campus or the last of its kind in the UC system.

4. **Research section changes**
   The Research Units section was modified to:
   a. Conform to FYPP changes which eliminate reporting on research units;
   b. Conform to Regental policy on MRU director appointment authority;
   c. Clarify the section on Multicampus Research Units (MRUs) (drafted by the University Committee on Research Policy (UCORP)); and
   d. Add a section on Multicampus Research Programs (MRPs) (drafted by UCORP).

5. **Joint Graduate Board**
   UC and CSU have stipulated that Joint Graduate Board review of proposed joint degrees is required only when there are differences in system recommendations regarding proposed programs.

Summary - proposed Comp revisions, 4/3/14   Office of the Provost
Rebecca Landes   Institutional Research & Academic Planning

Page 2 of 2

Table of Contents   (*NOTE: page numbers will change in final version.*)

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 formalized other 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 to learn how the campuses and the systemwide office had received the Compendium. This effort addressed problems identified in the preceding years and improved efficiencies without reducing the effectiveness of the document. In contrast to earlier reviews, the 1997-98 Subcommittee proposed some changes outside the established review framework. The most significant changes included: 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 multi-campus research units (MRUs).

The 2009-10 review paid renewed attention to large academic planning issues (new Schools and *Five-Year Planning Perspective*) and budget issues. This focus arose from Senate's review of four proposals for new schools during 2007-08 (public health and nursing at UC Davis as well as public policy and medicine at UC Riverside). Another theme in this review was reinvigoration—and renaming—of the *Five-Year Planning Perspective*. A 14-member task force of faculty, Senate Directors, Senate staff, and campus administrators, and systemwide administrators undertook the most recent review. The group acknowledged the parts of the Compendium that have worked well over the past ten years, including rigorous reviews of proposed new graduate programs. The review protocol developed by the Coordinating Committee on Graduate Affairs CCGA for this purpose was formalized into this edition of the Compendium.

2014 revisions to the Compendium included requiring biennial instead of annual submission of *Five-Year Planning Perspectives* and eliminating research unit reporting in the *Perspectives*; clarifying when changes to undergraduate programs require system-level review; eliminating references to the California Postsecondary Education Commission which was defunded in 2011; and clarifying and updating the Research sections on Multicampus Research Units and Multicampus Research Programs.

1

Committees Responsible for Compendium Preparation and Revision

1993-94 APC Subcommittee for Expediting Systemwide Review Processes
Chair: Aimée Dorr, UCLA, CCGA Chair
Arnold Binder, UCI, Academic Council Chair
Karen Merritt, UCOP, Director, Academic Planning and Program Review
Daniel Simmons, UCD, Academic Council Vice Chair
Mohan Sitlani, UCOP, Coordinator, Program Review
Neil Smelser, UCB, Special Adviser to the UC Office of the President

1997-98 APC Ad Hoc Compendium Review Subcommittee
Chair: Aimée Dorr, UCLA, Academic Council Vice Chair
Carroll Cross, UCD, UCORP Chair
Michael Hanemann, UCB, CCGA Chair
Rulon Linford, UCOP, Associate Vice Provost for Research and Laboratory Programs
Janice Plastino, UCI, UCEP Chair
Dwight Read, UCLA, University Committee on Planning and Budget Vice Chair
Carol Tomlinson-Keasey, UCOP, Vice Provost for Academic Initiatives
Julius Zelmanowitz, UCSB, Associate Vice Chancellor for Academic Personnel

1997-98 Subcommittee of Staff Involved in Systemwide Reviews
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Jennifer Lynch, UCOP, Office of Research Assistant Analyst
Carol McClain, UCOP, Director of Multicampus Research Planning and Programs
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Jeannene Whalen, UC Academic Senate, CCGA Analyst

2009-10 Compendium Task Force
Chair: Anthony Norman, UCR Divisional Chair
Joseph Bristow, UCB Member/UCLA
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Sellyna Ehlers, UCR, Senate Executive Director
Alison Galloway, UCSC, Vice Provost for Academic Affairs
Todd Giedt, UCOP, Senate Associate Director
Michael Goldstein, UCLA, Divisional Chair
Kimberly Hammond, UCORP, Member/UCR
Mary-Beth Harhen, UCSC, Senate Executive Director
Suzanne Klausner and Hilary Baxter, UCOP, Academic Affairs
Stephen McLean, UCEP, Member/UCS
Joel Michaelsen, UCSB, Divisional Chair
Ken Rose, CCGA, Member/UCSB
Clare Sheridan and Eric Zarate, UCOP, Senate Senior Committee Analysts

2012-13 Academic Planning Council
Chair: Aimée Dorr, UC Provost and Executive Vice President
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Harry W. Green, UCAP, Chair~~, UCAP~~
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Ruth Mulnard, CCGA, Chair~~, CCGA~~
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Barbara Sawrey, UCSD, Undergraduate Dean~~, UCSD~~
John Yoder, UCEP, Chair~~, UCEP~~

2013-14 Academic Planning Council
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Vice Chair: William Jacob, Academic Council, Chair
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Introduction

The Compendium presents Universitywide review processes for creating and ~~for~~ modifying academic degree programs, academic units, and research units. It is designed to serve as a manual for the wide range of administrators, faculty, and staff who participate in these processes. Specifically, the Compendium articulates systemwide review processes for proposals to establish, transfer, consolidate, change the name of, discontinue, or disestablish graduate degree programs, schools, colleges, and research units. In addition, it sets forth the *Five-Year Planning Perspective* process in which e~~.~~ ~~E~~ach campus ~~annually~~ biennially prepares a list of anticipated academic program actions which it ~~and~~ submits ~~it~~ to the Office of the President. ~~Systemwide summaries of these plans are shared with the California Postsecondary Education Commission (CPEC).~~ The Compendium also covers a variety of minor topics that sometimes arise with respect to systemwide review processes (e.g., accelerated reviews, disagreements between Senate and the Administration).

Chief among the Compendium's guiding principles is that *academic programs, academic units, and research units work best when both faculty and administrators support them.* All review and approval processes should promote mutual endorsement of any proposed action. At the same time, the Regents 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 system levels retain authority for academic units and research units. The Compendium processes reflect the delegation and distribution of faculty and administrative powers on the campuses and systemwide.

Compendium processes, most notably the *Five-Year Planning Perspective*, are also intended to promote the coordination, synergy, and trade-offs possible when UC operates as a system of campuses in one university while simultaneously recognizing the vigor and individuality of the 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 proposal development process.

~~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, anticipation of a systemwide review can stimulate a broader perspective during the planning phase, and the review itself can refine the proposed action to integrate well into campus plans as well as the Universitywide context.~~

4

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. In almost all cases, individuals named may act through a designee to carry out routine responsibilities related to Compendium reviews and processes. 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 for preparing and distributing information on campus academic program actions anticipated over the next five years.

2. Sections II through VI cover Universitywide review processes for academic programs, academic units, and research units.

3. Sections VII through VIII cover accelerated reviews and the role of the Academic Planning Council.

4. The Compendium Glossary (included among the appendices) provides explanations about the various people, committees, organizations, and terms involved in systemwide review processes.

5. 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 *Academic Units* (including departments, schools, and colleges); Section IV covers *Reconstitutions* (combinations and/or eliminations of two or more major actions as part of a unified plan by campus proponents); Section V covers *Organized and Multicampus Research Units* (MRUs); and Section VI covers *Systemwide Entities*.

The three major types of actions described in these sections are: (1) establishing a new program or unit, (2) changing the name of an existing program or unit, and (3) transferring, consolidating, discontinuing, and disestablishing an existing program or unit. (Note that ~~in this version of the Compendium, the~~ campus~~es~~ are responsible for actions related to ~~makes the final decision for all three types of actions when they involve undergraduate degree programs,~~ departments.~~), or organized research units. In certain circumstances, the campus also makes the final decisions about name changes for graduate degree programs and multi-campus research units.~~

Each portion of Sections II through VI generally has the same format: introduction followed by details of the process presented in rough chronological order. Processes outlined continue to use the efficiencies adopted in the original Compendium and extend them wherever possible (e.g., through use of email and web sites rather than paper transmission).

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

~~Each~~ Every other year campuses submit to the University of California Office of the President (UCOP) *Five-Year Planning Perspectives* that list the anticipated actions to create and/or~~,~~ transfer, consolidate, disestablish, or discontinue (TCDD) undergraduate degree programs, graduate degree programs, schools, and colleges~~, and research units ORU's and MRU's~~. ~~Preparing this~~ ~~document~~ ~~gives each~~ With the *Perspectives,* campuses have the opportunity to gather information useful to their~~its~~ own long-range planning efforts. ~~Collectively, these lists provide the information UC is required to submit annually to the California Postsecondary Education Commission (CPEC). CPEC uses this information in its annual review of the plans of all three public segments of higher education (California Community Colleges, California State University, and University of California).~~ In addition, integrating lists from all ten campuses allows for systemwide analysis of academic plans and creates an opportunity to promote coordination, synergy, and specialization. The preliminary picture offered by the *Perspectives* is especially useful because this systemwide context can prompt valuable discussion ~~valuable~~ in the early stages of ~~program~~ proposal development.

UCOP collects and analyzes *Perspectives* data, distributes it to select groups, and makes it available on the UCOP website. The Academic Planning Council, select administrators, ~~T~~the Senate Divisions, ~~as well as four~~and three systemwide Senate committees—Coordinating Committee on Graduate Affairs (CCGA), University Committee on Educational Policy (UCEP), ~~University Committee on Research Policy (UCORP),~~ and University Committee on Planning and Budget (UCPB)—are the primary groups that provide commentary on the *Perspectives*. The University formerly submitted campus *Five-Year Planning Perspectives* to the California Postsecondary Education Commission (CPEC). With the disestablishment of CPEC in 2011, UC now provides planning information upon request to state officials or agency staff (e.g., Governor, Department of Finance, Legislative Analyst).

~~Included with each campus list are short descriptions of those actions (except those related to undergraduate programs) that should be ready for system level review in the next year or two. Indeed, campus review of a program proposal can begin concomitantly with inclusion of the program in the *Five-Year Planning Perspective*. However, proposed academic programs and units should not remain on these lists longer than three years if there is no discernible activity. Proposers must offer a written rationale for a proposal to stay on a campus list beyond this limit if there is no progress within the requisite timeframe.~~

<u>Details of the Process</u>

1. **Two-Year Reporting Cycle** - *Five-Year Planning Perspectives* are submitted and reviewed biennially (even-numbered years).

2. **Content** (see Appendix B.1.) - Each *Five-Year Planning Perspective* contains:
    - A list of undergraduate degree programs, graduate degree programs, departments, schools, and colleges for which the campus anticipates any action (establish or TCDD, transfer, consolidate, discontinue, or disestablish) within the next five years.
        1. Include proposals at all stages, whether nascent plans under discussion or fully formed proposals undergoing campus review. The intent is to provide information about proposals as early as possible in their development.
        2. Cite the number of years each proposal has been listed on the *Perspective*. No entry should remain longer than three years, or two reporting cycles, without discernible activity or development.
    - A brief description of each item listed *except* those related to undergraduate programs. Descriptions need not be resubmitted if sent previously and still accurate. They should be updated and resubmitted if there are substantive changes in the graduate program, school, or college planned.
        1. *For all actions related to graduate programs and for disestablishment of a school or college,* campuses should submit a 1- to 2-page description— preferably in advance of campus review of a formal proposal.
        2. *For establishment of a new school or college*, campuses should submit the 2- to 5-page description. The pre-proposal required under Compendium Section III.B.1. may be used for this purpose.
    - Disposition of items on previous *Perspectives* (e.g., items that were approved, rejected, postponed, withdrawn, etc.). If a proposed action is listed for more than three years—or two reporting cycles—with no discernible activity or development, then a one-page rationale must be enclosed explaining why the proposal remains under consideration.

3. **Timeline** (see Appendix B.2.) - In even-numbered years:
    - Early January: Each Chancellor submits a campus *Perspective* to the Divisional Senate Chair for review.
    - March 1: Chancellors submit the *Perspectives* to the UC Provost. The UC Provost transmits the *Perspectives* to Academic Affairs staff for review, analysis, and updates to any relevant databases.
    - April: The UC Provost distributes the *Perspectives* and analysis of system trends to the Academic Council Chair (for CCGA, UCEP, and UCPB), the Chancellors (for EVCs, Graduate Deans, and Vice Provosts/Deans of Undergraduate Education), the Academic Planning Council, and others as appropriate.

7

- April – July: Recipients may review, discuss, and provide feedback on the perspectives. Systemwide issues of interest may include:
    1. ~~p~~Potential for cooperative planning;
    2. ~~Ss~~imilarities among anticipated actions as well as relationships between these actions and extant programs and units (both within and across campuses);
    3. ~~Nn~~eed for new resources or redirection of existing resources;
    4. ~~Ff~~inancial sustainability over time;
    5. ~~Pp~~otential to enhance UC system or campus character or reputation;
    6. ~~Cc~~onvergence with state and national needs;
    7. Senate and administration involvement in proposal~~s~~ development ~~&~~ and review.
- August: If forthcoming, comments on the *Perspectives* should be sent to the UC Provost. Senate committee comments (i.e., CCGA, UCEP, and UCPB) should be sent via the Academic Council Chair to the UC Provost
- September: The Provost or his/her designee posts on a UCOP website the *Perspectives*, summaries, analyses, and comments.
- September – December: At the discretion of the APC Chair and Vice Chair, the *Perspectives*, analyses, and comments may be placed on the APC agenda. APC may recommend approaches to address issues of interest, refer issues to other parties for further examination, gather expert advice, and/or create an ad hoc study group. If APC pursues such options, the Chair and Vice Chair send the Chancellors and other relevant groups a joint letter identifying issues that may affect campus planning.

4. Follow-up on the previous cycle of *Five-Year Planning Perspectives* as well as preparations for the next cycle occur in odd-numbered years.

1. ~~In January, the Chancellor submits the campus *Five-Year Planning Perspective* to the Senate Divisional Chair for review. The *Perspective* includes:~~
   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 campus review of a program proposal can be initiated concomitantly with inclusion of the program in the *Five-Year Planning Perspective*. 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. 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. (Note that establishment of a new school or college requires submission of a pre-proposal.)~~

8

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 items on the list (except those related to undergraduate programs) that are likely to be submitted for campus review within the next year. 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 must be submitted at least two years before formal campus review of a full proposal begins (see section III.B.1. *Establishment of New Schools and Colleges*).
ii. For other anticipated actions on the list (with the exception noted above), a 1- to 2-page description should be submitted at least one year before formal campus review of a proposal begins.
iii. If a description was submitted in a previous year and is still accurate, it need not be submitted again.
iv. If a proposed action has remained on a list for more than three years with no discernible activity or development, then a one-page rationale must be enclosed documenting the reason(s) why it remains on the list.

2. By March 1, the Chancellor submits the campus' *Five-Year Planning Perspective* to the Provost.

3. The Provost transmits the *Five-Year Planning Perspectives* to Academic Affairs staff who review them and update any relevant databases.

4. In April, the Provost distributes the *Five-Year Planning Perspectives* to the Academic Council Chair, to various other systemwide bodies, and to the campuses. The URL for the listing of ORUs and MRUs will be published on the web: http://patron.ucop.edu/ucaccess/rescenters/searchform.html (as of 10/2009).

5. By April 30 (or as otherwise specified), the Provost transmits the *Five-Year Planning Perspectives* to CPEC.

6. In April, May, June, and July, systemwide Academic Senate and other groups review and discuss the *Five-Year Planning Perspective*. While reviewing bodies may call out a particular anticipated action to provide early feedback about crucial issues to consider in proposal development, reviews generally should focus on systemwide rather than on campus-specific issues. Among issues to consider are:

- 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 for 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 the Senate and the Administration in development of proposals for anticipated actions and in subsequent review of these proposals.

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 Perspective* (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/her designee, posts all *Five-Year Planning Perspective* as well as related summaries, analysis and comments on a UCOP website.

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 issues to existing groups, creation of an ad hoc group, a special staff study or other approaches to gather expert advice. If the APC is pursues any such issues, the Chair and Vice Chair send a joint letter to the Chancellors and relevant systemwide groups identifying those issues that may affect campus planning.

10. Generally, campuses are expected to include anticipated actions in the campus *Five-Year Planning Perspective* 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, a change in a school arising from a TCDD action, etc.). If so, a description (following the guidelines used for inclusion in the *Five-Year Planning Perspective*) should be prepared and sent to the Provost at the commencement of review of the proposal by the appropriate curriculum council (graduate or undergraduate) of the divisional Senate. The Provost, 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 the routine *Perspectives* process.

II. Academic Degree Programs

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, a B.S. in Mathematics is an undergraduate degree program with the Bachelor of Science degree title in the disciplinary area of mathematics. As another example, an M.F.A. in Theater is a graduate degree program with the Master of Fine Arts degree title in the disciplinary area of theater.

II.A. Undergraduate Degree Programs

With the exception of the four scenarios described below, 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 and do not undergo system- levelwide review*. Examples of campus-only action These actions 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. All undergraduate degree programs must be offered under the sole or joint jurisdiction of the departments, colleges, schools, or other appropriate academic units of the University. 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 identified in the *Five-Year Planning Perspective*. All final campus actions involving undergraduate degree programs should be reported to systemwide offices to the UC Provost and copied to appropriate relevant UCOP staff at UCOP.

The scenarios that are the exception to campus-only action in connection with undergraduate degree programs and that trigger system-level review are as follows:

1) establishment of a hybrid undergraduate/graduate degree program;
2) creation of an undergraduate degree title unique to the campus (e.g., the first-ever B.F.A. program on the campus)
3) discontinuance of an undergraduate degree title that is the last of its kind on a campus; and
1)4) discontinuance of an undergraduate degree program that is the last of its kind in the UC system.The four 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),[1] the establishment of hybrid undergraduate/graduate degree programs,[2] and the discontinuance of an undergraduate degree title that is the last one of its kind in the UC system,[3] and the discontinuance of a

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[1] See Section II.C.
[2] See Section I.A.1.
[3] See section II.CV. *Reconstitutions of Academic Programs and Academic Units*

~~program that is the last one of its kind in a specified academic discipline across the UC system.[4]~~

In a few cases, undergraduate degree programs may be subject to a Substantive Change Review by UC's accrediting agency, the Western Association of Schools and Colleges (WASC). WASC defines a substantive change as "one that may significantly affect an institution's quality, objectives, scope, or control." Though limited, the circumstances that most often trigger substantive change reviews for UC include proposal of new programs where 50% or more of instruction offered online or at a degree level for which the campus does not have general authority. Please consult WASC resources online for updated information (http://wascsenior.org/files/2012_Substantive_Change_Manual.pdf and http://wascsenior.org/files/Degree_Level_Approval_Policy.pdf).

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

Undergraduate/Graduate hybrid degree programs are programs that allow undergraduate students to complete undergraduate and graduate programs simultaneously. Approval of such hybrid degree programs requires particular attention to double-counting of units. Proposals for hybrid programs must be sent simultaneously to the respective campus Divisional Committee on Educational Policy (CEP) and Graduate Council. Upon receipt of the proposal, a joint subcommittee of these two standing committees reviews the proposed hybrid program. If approved, the hybrid program proposal is forwarded to CCGA per the guidelines laid out in Section II.B.1., *Establishment of New Graduate Degree Programs*.

Details of the Process

1. A campus ~~shall~~ should include the anticipated action for the undergraduate/graduate hybrid degree program in its *Five-Year Planning Perspective* as early as possible in the proposal development ~~stage~~ ~~stageatat least one year prior to campus approval of the proposal~~.

2. Both the Divisional Committee on Educational Policy (CEP) and the campus Graduate Council review the proposal.

3. If approved at the campus, the proposal is forwarded to CCGA and follows the approval process for new graduate degree programs.

II.B. Graduate Degree Programs

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

Campuses ~~shall~~ should include ~~each new graduate degree program proposal~~ in their *Five-Year Planning Perspectives* ~~at least one year prior to campus approval~~new graduate degree program proposals as early as possible in the proposal development process. UCOP and CCGA review proposals for all new graduate degree programs, including self-supporting and professional degree programs,[5] Master of Advanced Studies (M.A.S.) titles, multi-campus programs, and programs offered jointly with other higher education institutions (e.g., CSU).[6] CCGA also reviews proposals for new M.D., D.D.S., D.V.M., Pharm.D., Doctor of Optometry (O.D.), and J.D. degree programs.

The elements required in a proposal for a new graduate degree are found in Appendix C and track the CCGA Handbook section titled *Procedures for Proposals for New Graduate Degree Programs*. Once submitted for system-level review, proposals are simultaneously considered by the Provost ~~, CPEC,~~ and CCGA.[7] **From submission to final approval by the President, ~~the CCGA~~ system-level review typically takes several months and, on occasion, may take ~~can take~~ up to ~~one~~ a full academic year.** Most of this time is devoted to CCGA review, including consultation with program proposers and solicitation of written comments from evaluators. ~~System level review , and includes consultation with the program proponsenrts, campus administration, and an evaluation solicitation of the written materials comments from evaluatorsby at least two external disciplinary experts.~~

New graduate programs may also be subject to a substantive change review from the WASC. WASC defines a substantive change as "one that may significantly affect an institution's quality, objectives, scope, or control." Though limited, the circumstances that most often trigger substantive change reviews for UC include proposal of new programs where 50% or more of instruction offered online or at a degree level for which the campus does not have general authority. Please consult WASC (http://wascsenior.org/files/2012_Substantive_Change_Manual.pdf and http://wascsenior.org/files/Degree_Level_Approval_Policy.pdf) for updated information.

Details of Process

1. A campus should include in its *Five-Year Planning Perspective* each new graduate degree proposal as early as possible in the proposal development process.

a. Upon approval by ~~shall include the new graduate degree program proposal in its *Five-Year Planning Perspective*~~ ~~at least one year prior to campus approval. The Provost will send the Chancellor a summary of any issues raised by CPEC in its review.~~

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[5]*Self-Supporting Graduate Professional Degree Program Proposals*: These self-supporting programs must adhere to the same UC academic standards as other graduate degree programs.
[6] For the review and re-review of joint UC-CSU programs, see Section II.B.3.
[7] Until CPEC closed in November 2011, UC submitted for Commission review responses to a specialized questionnaire with information on graduate program proposals. The state is not currently requesting this information, though it may reinstate program review at a future time. Such action could require the University to resume additional data collection.

~~Systemwide Academic Senate, administrative, and joint Senate-administrative committees that have reviewed the *Five-Year Planning Perspective* also may send comments to the Chancellor with copies to the relevant parties.~~

~~1.~~

~~1. If the proposed graduate degree *program was not included in any* prior *Five-Year Planning Perspective*, then at the time the proposal becomes public on the campus, the campus submits to the Provost a 1- to 2-p*age description of the proposal*. The Provost, in consultation with the Academic Council Chair, transmits any feedback to the campus with a copy to the Divisional Chair.~~

2. ~~If~~ the Divisional Senate and ~~the~~ campus administration ~~of~~ ~~approve~~ the graduate degree program proposal, the Chancellor sends all required materials to the Provost, ~~-~~ the Academic Council Chair, CCGA Chair, and CCGA staff~~analyst~~.

~~3.~~

~~4. 4. The Provost sends a summary to CPEC for review that runs concurrently to CCGA's review. If any issues remain unresolved before CPEC concurs with the proposal, the Provost works with the campus to resolve them. CPEC reports its concurrence to the Provost.~~

~~5.~~

2.

~~6.~~3. CCGA carries out its review~~,~~ which includes a full committee discussion; ~~a~~ dialogue with ~~the campus administration and~~ program propo~~nents~~sers to clarify issues and ~~make modifications to~~ modify the proposal; conversation with campus administration if applicable; ~~a review of the~~ proposal review by ~~at least two external~~ disciplinary experts (typically two external and one internal to UC); and~~,~~ in rare instances, a site visit by the CCGA lead reviewer. **Review and approval of a new graduate degree program proposal at the system level can ~~From submission to final approval by the President, the CCGA review can~~ take several months and up ~~up~~ to one academic year**.

4. If CCGA recommends approv~~al of the proposed graduate degree~~ ~~es 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 staff~~analyst~~, the Divisional Chair, the campus Graduate Dean, and program ~~proposers~~proponents.

NOTE: If the proposed graduate degree program uses a degree title that has never been used before on the campus, additional reviews and approvals are required following CCGA's recommended approval of the degree program (see Section II.C. *Undergraduate and Graduate Degree Programs with Unique Titles*). In such cases, the CCGA Chair transmits the approval letter 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. If approved by the Academic Council, Council Chair forwards the program approval letter to the campus.

5. If the program is approved by the Senate (see 5. above), the Provost recommends to the President approve that the proposed graduate degree program graduate program be for implementationed.

6. After the President approves implementation of the proposed graduate degree programprogram, the Provost notifies the campus and CCGA of final approval by e-mail and sends a printed copy of the President's approval to the campus and the Divisional Chair.

II.B.2. Name Changes of Graduate Degree Programs

All proposed name changes for graduate degree programs must be forwarded to CCGA for system-level review. CCGA has the authority to deem a proposal either a "simple name change" or one that requires expedited review of the program. The faculty member responsible for the degree program should consult with the Divisional Graduate Council Chair before formal submission to CCGA. If CCGA finds that the name change constitutes amounts to a fundamental modification of the program, or a change in degree requirements, or that substantial new resources are implicated, CCGA will conduct an expedited review. This review will consist of an evaluation by two reviewers, one internal, and one external, and submission of a full program proposal (as if the degree program is being proposed for the first time).

Details of Process

When requesting a name change of a graduate degree program, the responsible faculty member(s) should consult with the Divisional Graduate Council Chair to determine whether or not the request constitutes a "simple" name change. A "simple" name change applies only when the name change does not also involve a fundamental modification of the program, a change in degree requirements or a need for substantial new resources. If any of these conditions exist, CCGA may request an expedited review. In the case of a joint degree program, the other participating campuses or higher education institutions must also approve the name change and confirm that it does not signal a change in program fundamentals, requirements, or resources. Proposed name changes must conform to the Regents' *Policy on Naming Facilities to Include Full Name of Individual* http://www.universityofcalifornia.edu/regents/policies/8201.html.

The responsible faculty member prepares a brief proposal describing the rationale for a new name for the graduate degree program and certifying that there is no associated change in 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 informs the Chancellor of the approval of the name change. If Graduate Council determines that the action does not involve a fundamental modification to the program, a change in the degree requirements, or a need for substantial new resources, the Chancellor favorably reviews the name change. If the Graduate Council determines that the action implicates substantive changes, the Divisional Graduate Council will ask CCGA to conduct an expedited review of the program.

2. The campus transmits all materials from the responsible faculty members, Divisional Graduate Council, and Chancellor to CGGA for review. If CCGA concurs with the campus that the action is a "simple" name change, then the systemwide review is complete, and the campus decision is final. If CCGA concludes that the name change implicates substantive changes to the program, it will conduct an expedited review. For expedited reviews, the campus must submit a full program proposal (as if the degree program is being proposed for the first time). The new program proposal must be approved by the Divisional Graduate Council before being submitted to CCGA for review.

3. After approval by the Divisional Graduate Council, CCGA will conduct an expedited review with two reviewers, one external, and one internal. Elements required for new graduate degree proposals are listed in the CCGA Handbook, *Procedures for Proposals for New Graduate Degree Programs*, and Appendix C, Format for the Graduate Degree Program Proposal.*[8]

II.B.3. Joint Graduate Degree Programs

II.B.3.a. Establishment of New Joint Graduate Degree Programs

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. *Establishment of New Graduate Degree Programs*. System–level review is required and all sponsoring parties must approve the proposal whether the joint degree involves only UC campuses or UC campuses in partnership with CSU. With regard to the latter, the Joint Graduate Board reviews and approves degree proposals only when there are differences in system recommendations regarding a proposed program. The lead UC campus submits the proposal for systemwide review.

The review process for new joint degree programs is the same as that for new graduate programs generally (see Section II.B.1 above). Over time, a basic philosophy of joint programs has emerged within the University. In particular, joint doctoral programs (JDPs) are designed to combine intellectual and physical resources for the benefit of campuses in both institutions and to meet a need not currently addressed within the University. Students enrolled in such programs take advantage of combined resources

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[8] The President has delegated approval for formal name changes to the Provost in cases where it is necessary.

and disciplinary expertise. It is expected that research interests and program strengths of the proposing academic departments complement one another in synergistic fashion rather than duplicate existing offerings. These partnerships broaden the base for program development and provide greater depth of curricular and faculty resources. ~~Final review and approval of all JDPs rests with the Joint Graduate Board (JGB).~~

II.B.3.b. Review/Re-Review of Joint Graduate Degree Programs

With the passage of legislation permitting CSU campuses to offer unilateral doctoral degrees in education leadership, some CSU campuses have withdrawn or substantially reduced their involvement in joint Ed.D. programs. 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 IV.A. Detailed step-by-step instructions for the review/re-review of joint graduate degree programs can be found in the CCGA Handbook.

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

After completing procedures described in Sections II.A. and II.B, ~~M~~ most proposed actions involving undergraduate and graduate degree programs are final~~complete after the procedures described in Sections II.A. and II.B are completed~~. However, proposals to~~those actions that would~~ create a new degree title on a given campus or to eliminate an existing degree title ~~would discontinue the last degree program carrying a particular degree title on that~~ from a campus require~~are subject to~~ additional review and approval. These include amendment of ~~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. A section in~~ the Standing Order~~s~~ of the Regents (SOR 110.1) which specifies ~~the~~ degree title~~s, but not the degree programs, that~~ each campus is authorized to confer. ~~Accordingly, when a campus proposes a new undergraduate or graduate degree program with a degree title not already authorized under the Regents' Standing Orders, additional review and approval procedures are necessaryrequired. 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 necessaryrequired. After additional required procedures are completed and If all approvals are granted, these~~

17

additional procedures result in the campus is being authorized to offer a new degree title (for the proposed degree program and others that may be proposed in the future) or to discontinue a no longer being able to offer any degree program using that degree title. Note that, once a degree title is discontinued and is removedIf, after discontinuance of a unique degree title and removal from the Regents' Standing Orders, a campus determines that it wants to offer the discontinued degree title again, it After a unique degree title has been removed from the Regents' Standing Orders, the campus must go through the entire review degree title establishment process to re-establish the degree title.from the beginning if it wishes to use the degree title again.

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 discontinue the last degree program carrying a particular degree title on that campus are subject to additional review and approval procedures.

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.

A section in the Standing Orders of the Regents (SOR 110.1) specifies the degree titles, but not the degree programs, that each campus is authorized to confer. Accordingly, when a campus proposes a new undergraduate or graduate degree program with a degree title not already authorized under the Regents' Standing Orders, additional review and approval procedures are necessary. 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. If all approvals are granted, these additional procedures result in the campus being authorized to offer a new degree title (for the proposed degree program and others that may be proposed in the future) or no longer being able to offer any degree program using that degree title. After a unique degree title 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 of approval of both the degree title and the proposed undergraduate degree program. The Chancellor in turn notifies the Provost of the approvals and the campus administration's favorable review of these actions.

4. The Provost prepares a recommendation that the President authorize the campus' use of the new degree title (per delegation stated in SOR 110.1).

5. The President authorizes campus use of the new degree title and the Provost notifies the campus Chancellor, with a copy to the Divisional Chair.

6. The Secretary and Chief of Staff to the Regents adds the degree title for the campus to SOR 110.1.

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, Academic Council Chair, and Provost that there are no longer any undergraduate degree programs using the particular degree title on that campus.

2. If the degree title is still not being used on campus five years after the program discontinuance becomes effective, the Provost notifies the Chancellor with copies to the Academic Council Chair and Divisional Chair that in three months the President intends to remove the degree title from those the campus is authorized to confer under SOR 110.1.

3. If the Chancellor concurs or does not respond, then at the designated time, the President approves removal of the degree title from SOR 110.1, and the Secretary and Chief of Staff to the Regents removes it. The Academic Council Chair and the Divisional Chair are copied on this correspondence.

4. If the Chancellor does not concur, then the Chancellor, 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 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's (or Academic Council's) approval of the degree title and copies the CCGA Chair, CCGA analyst, and the Divisional Chair.

4. The Provost prepares the recommendation (including the approvals from CCGA and the Assembly or Academic Council) to the President.

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 and Chief of Staff to the Regents adds the degree title for the campus to SOR 110.1.

Details of Process to Discontinue a Unique Graduate Degree Title

1. The Divisional Graduate Council (and the appropriate Divisional Senate body) must approve all discontinuances of all unique graduate degree titles.

1. 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.*[9] CCGA notifies the Divisional Chair, Chancellor, Academic Council Chair, and Provost that there are no longer any graduate degree programs using the particular degree title on that campus.

2. If the degree title still is not being used on the campus five years after the program discontinuance becomes effective, the Provost notifies the Chancellor, 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 confer under SOR 110.1.

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[9] CCGA may initiate the process to approve the discontinuance of the graduate degree program if it learns that the degree program has essentially been dormant for ten years or more (e.g., no students), or if it learns that a campus has plans to restart a dormant degree program with the same name but a different curriculum, thereby potentially bypassing a Divisional and CCGA review.

3. If the Chancellor concurs or does not respond, then at the designated time the President approves removal of the degree title from SOR 110.1, and the Secretary and Chief of Staff removes it. The Academic Council Chair, CCGA Chair, and Divisional Council Chair are copied on this correspondence.

4. If the Chancellor does not concur, then the Chancellor, 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

CCGA requires that all interdepartmental graduate programs (IDP) or graduate group proposals include a set of governance bylaws as well as other information about campus commitment to the proposed program (e.g., teaching-assistantships, library resources, courses planned, etc.). For more information, please refer to the CCGA Handbook.

II.E. Graduate Academic Certificate Programs

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 certificate programs, *except those offered by University Extension,* be approved by both the Divisional Graduate Council and CCGA. 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. UC campuses may offer certificates without the official seal that do not conform to SR 735 requirements (e.g., are offered in conjunction with other types of professional or academic degrees, and are not considered stand-alone programs). These certificates 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 external expert reviewer.

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 by the campus administration, an action involving an academic program that appoints faculty 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 by the Chancellor to systemwide offices within a month of the action.

III.B. Schools and Colleges

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

The establishment of new schools or colleges represents a significant outlay of resources, and should be given careful consideration by campus administration, Divisional and systemwide Academic Senates, Universitywide administration, 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

Establishing a new school or college is a two-step process and takes at least two years to complete. At least one year before submitting a full proposal, proponents of the new school must submit a pre-proposal first to the Divisional Academic Senate, and, if approved, subsequently to the systemwide Academic Senate and to systemwide Administration. [10] Upon receipt by the systemwide Senate, the pre-proposal is reviewed by CCGA, UCEP, and the University Committee on Planning Budget (UCPB) as well as by any other systemwide standing committee selected by the Academic Council Chair. After campus proponents receive comments from both the systemwide Senate and

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[10] 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 the campus will proceed directly to submission of a full proposal.

Universitywide administration, the campus may prepare a full proposal. A full proposal is reviewed first by the Divisional Academic Senate and next (simultaneously) by systemwide Senate committees (CCGA, UCEP, UCPB, ~~and~~ and any other chosen by the Academic Council Chair).

Approval of a new school or college requires favorable review by the Universitywide Senate, review ~~of~~ by ~~the California Postsecondary Education Commission (CPEC),~~ designated state officials, approval ~~,~~ recommendation by ~~of~~ the President to the Board of Regents ~~to the Regents~~, and approval by the Board of Regents. If a campus fails to establish a new school or college within seven years of the date of Regental approval, it must submit a post-proposal. The post-proposal updates the original proposal and must provide a clear, compelling justification for the school or college in the context of a budgetary and curricular environment that may have changed since initial Regental approval.

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 on its financial aspects.

B. *Financial Viability*: The proposal should stress the financial stability of the new school or college and should provide multi-year budgets with contingency plans in the event that proposed funding falls through. 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 constitute cause for proposal rejection.
   i. *FTE Requirements*: The proposal should clearly indicate the number of full-time equivalent (FTE) faculty for each stage of development. This information should include the number of faculty FTEs needed at start-up, various stages of build-out, and steady-state. The balance between full-time faculty at various ranks and lecturers/other temporary or part-time teaching help also should be provided. The school's financial plan should detail how FTEs will be funded, including whether any faculty will be shared with other units. The need for FTEs in particular specialties should be articulated. The proposal should highlight both the amount of time and the resources needed to hire new FTEs.
   ii. *Capital Requirements*: All capital requirements must be carefully detailed and analyzed.
   iii. *Sources of Revenue*: All sources of revenue must be detailed, including state and philanthropic support. A development plan should be submitted as well.

C. *Need for the Program*: The proposal must clearly state and make the case for a distinct need for the new school or college within the UC system. Specifically, it should demonstrate: (1) a clear societal need for professionals, researchers, faculty,

24

or academics in the field; (2) student demand for the new school or college; and (3) why societal need and student demand are not fully met by existing UC units and programs. In addition, the proposal should (1) define how the school or college will address this unmet need/demand; 2) articulate how it would attract qualified, fully-competitive students; and 3) provide projections of employment opportunities for graduates of the new school or college. If UC already has a school or college of the same type as proposed, the proposal should include clear analysis of how the new entity would assume a necessary and perhaps even unique role in the University's systemwide academic program. Comparisons with existing UC units or other schools/colleges of the desired rank/academic distinction should be included.

D. *Fit within the UC system and within the segments*: The proposal should clearly articulate the fit of the school or college within the UC system as well as other public and private higher education segments in California. The proposal should stress how the new entity will fit within the overall academic profile of the campus—how it will enhance existing programs and how those programs will enhance the quality and development of the new school or college. The capital plan also should demonstrate how the proposal fits with the campus academic and strategic plans.

Overview of the Pre-Proposal
The Compendium requires a pre-proposal at least one year before the full proposal. The pre-proposal is separate from any documents that accompany the *Five-Year Planning Perspective*, and should address the categories of review noted above. 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.

Details of the Pre-Proposal Process
1. If the proposed new school or college has not been listed on the *Five-Year Planning Perspective*, it should be added to the planning lists and a description drafted and transmitted to the Provost at the time the campus begins to review the pre-proposal.

2. At least one year before a proposal for a new school or college is approved on the campus, a pre-proposal is submitted to the local Divisional Academic Senate. If the Divisional Senate approves the pre-proposal, the Chancellor submits it to the Provost, who forwards it to both Academic Affairs and the systemwide Academic Senate.

3. CCGA, UCEP, UCPB, and any other relevant committees selected by the Council Chair provide to the Academic Council formal comments on the pre-proposal.

4. UCOP Academic Affairs provides comments to the proponents of the new school or college with a copy to the Academic Council Chair. In addition and upon request, UCOP will provide the pre-proposal upon request to state officials and agency staff (e.g., Governor, Department of Finance, Legislative Analyst).

4.5. Academic Council's comments along with a cover letter from the Academic Council Chair will be sent to the proponents of the school or college with copies to the Provost and the Divisional Senate Chair.

Overview of the Process for Submission of the Full Proposal
After incorporating comments on the pre-proposal, campus proponents of the new school or college forward the full proposal to the Divisional Senate. If the Divisional Senate approves the full proposal, the Chancellor forwards it to the Provost and ~~systemwide~~ the Academic Council Chair for review.

Details of the Full-Proposal Process
1. After incorporating comments on the pre-proposal, campus proponents of the new school or college submit the full proposal to the Chair of the Divisional Academic Senate for review and comment.

2. If the Divisional Senate approves the full proposal, the Chancellor forwards it to the Provost and ~~systemwide~~ the Academic Council Chair for review. A concurrent review (i.e., simultaneous review of the proposal by the Divisional Senate, the systemwide Senate, and Academic Affairs) is not permitted. [11]*

3. Designated staff from Academic Affairs complete an independent financial and budgetary analysis of the proposal, which is sent to the Academic Council Chair and 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 a review that runs simultaneously with the Senate review. CPEC reports its concurrence/non-concurrence to UCOP.~~ UCOP will provide the proposal upon request to state officials and agency staff (e.g., Governor, Department of Finance, Legislative Analyst).

5. The CCGA Chair convenes a Senate subcommittee with the chairs of UCEP, UCPB, and any other participating Senate committees to coordinate/expedite these reviews, as appropriate. All reviews should comment on the *categories of review* noted above. 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. CCGA will request two external discipline expert reviews and will incorporate these comments in its overall report.

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

8. Senate review committees report their recommendations to the Academic Council. If review committees do not concur in their final recommendations, then the Academic Council Chair acts as an arbiter.

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. The Provost recommends approval or rejection of the proposal to the President.

11. If Academic Council approves the proposal, the President prepares a Regents' Item for the next Board meeting recommending approval of the school or college to the Regents. The Academic Council Chair checks the Regents' item for accuracy.

12. If the Regents approve the proposal, the Provost reports the approval to the Chancellor and other stakeholders.[12]*

Process for Submission of the Post-Proposal

If a campus proposal to establish a new school or college is approved by the Regents, but not established within *seven* years of the date of that approval, the campus must 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 for and fit of the proposed school or college since the submission of the original proposal.

III.B.2 Name Changes of Schools and Colleges

Typically, simple name changes of schools and colleges are sought in order to accommodate popular and accepted changes in the nomenclature of an academic field or discipline (e.g., updated terminology used by current scholars in that area). A simple name change may not be used to accommodate substantial curricular changes or resource requirements of a school or college. (If substantive programmatic changes are associated with the name change, the campus should follow the procedures in Section IV. *Reconstitutions of Academic Programs and Academic Units*.) To initiate the process for

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

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 Divisional Senate, it is forwarded to the Academic Council Chair.

Details of Process
1. Upon approval by the campus administration and the Divisional Senate, the Chancellor sends the proposal to the Provost and the Council Chair. CCGA, UCEP, and UCPB assess whether the change is substantive and advise the Council Chair. If substantive programmatic/curricular changes or a substantial need for new resources are associated with the name change, the campus must follow the procedures in Section IV. *Reconstitutions of Academic Programs and Academic Units*.

2. If the name change does not present substantive programmatic/curricular changes or a substantial need for new resources, the Academic Council Chair places the name change proposal directly on the Academic Council agenda and then notifies the Provost of Council's favorable review. The next step in this "simple name change" process is # 8.

3. If there are substantive programmatic/curricular changes or substantial new resources are indicated, the Council Chair notifies the Provost that the Senate wishes to review the proposal. CCGA, UCEP, UCPB, and any other Senate committees designated by the Council Chair, conduct a full review of the proposal. ~~UCOP sends the proposal to CPEC for review that runs simultaneously with the Senate review.~~

4. The CCGA Chair convenes a Senate subcommittee with the chairs of UCEP, UCPB, and any other participating Senate committees to coordinate/expedite these reviews, as appropriate.

5. Senate review committees report their recommendations to the Academic Council. If review committees do not concur in their final recommendations, then the Academic Council Chair acts as an arbiter. The Council Chair notifies the Provost of the outcome of the Senate review.

6. The Provost recommends approval or rejection of the proposal to the President.

7. If approved, the Provost notifies the campus and other stakeholders.[13]

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[13] 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

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 of[14]* an academic program or academic unit.[15]* TCDD actions are defined as:

- 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.

Ordinarily, a proposed ~~transfer, consolidation, discontinuance, or disestablishment~~ (TCDD~~)~~ 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. Although 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.

Reasons for reconstitutions vary, but may include administrative efficiencies, financial exigency, changes in the field, demand, and fund-raising opportunities. Disestablishments and discontinuances are two actions that are usually interrelated. 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. CCGA is responsible for system-level review of reconstitutions of graduate degree programs and graduate groups.

Schools, colleges, departments, and programs 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 lead to a recommendation for program termination. The absence of proper funding can lead to the decline of existing programs and/or diminution in the quality of new programs. One central tenet of program review is that comparable programs should be comparably funded across the system.

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[14] A simple name change does not involve a reconstitution. Typically, a simple name change is sought to accommodate popular and accepted changes in the nomenclature of an academic field or discipline. It is a change that is not associated with any substantive modification to ~~a~~ curricular offerings or resource needs of academic programs and units.

[15] 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.

IV.A. Transfer, Consolidation or Discontinuance of Undergraduate Programs

Generally rReconstitutions of undergraduate degree programs are a Divisional matter, , the campus' decision is final, and no system-level involvement is necessary.; the campus' decision is final and there is not any systemwide review. There are two three exceptions to this rule: if a program proposed for discontinuance is the last one of its kind in the UC system; if the program awards a degree title that is the last one of its kind[16] (see II.C. Undergraduate and Graduate Degree Programs with Unique Titles); (see II.C. *Undergraduate and Graduate Degree Programs with Unique Titles*) or if the Divisional Senate is not appropriately involved in campus review of the proposed action. In any either of these cases, system-level review may be required.

Details of Process
1. If the undergraduate program proposed for discontinuance is the last one of its kind in the UC system or if the Divisional Senate is not appropriately involved in a campus review of the proposed action, then the Divisional Chair sends a letter regarding the proposed action to the Academic Council Chair, with copies to the UCEP Chair, UCEP analyst, and Provost.

2. The UCEP Chair considers the proposed action and whether systemwide review is necessary.

3. If systemwide review is deemed necessary, UCEP reviews the proposal. The UCEP Chair transmits the results of this review to the Academic Council Chair.

4. The Academic Council Chair transmits UCEP's findings/recommendations to the Divisional Chair, with a copy to the Provost.

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

In most instances, campus decisions on TCDD actions for graduate degree programs are final. There are two cases in which they may be subject to system-level review: 1) This process varies according to three factors: when the campus first informed the systemwide Senate and Administration of the proposed transfer, consolidation, discontinuance, or disestablishment (TCDD); whether or not the proposed action has Universitywide implications; and whether the Divisional Senate is appropriately involved in review and approval process. If the proposed TCDD action was included in the campus' *Five Year Planning Perspective*, if the Divisional Senate is not appropriately involved in the campus process;, and or 2) if any Universitywide implications are not satisfactorily being addressed. , then the campus' decision is final and there is not any system level review.

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[16] A program is understood to be *the last one of its kind* if its program of studies is not substantially reproduced by any other program or within any other academic unit in the UC system.

~~However,~~ CCGA and/or the Provost can request systemwide review in either circumstance.
~~if any of those conditions are not met. Regental approval is needed only for TCDD actions involving graduate groups, as prescribed in Regents' Standing Order of the Regents 110.1.~~

Details of Process
1. ~~Ordinarily, a TCDD of a graduate degree program or graduate group is included (listed and described) in~~ Whether discovered through the ~~the~~ *Five-Year Planning Perspective* process or by other means, ~~for the campus at least one year before the action is submitted for review by the Divisional Senate and campus administration. Occasionally, however, CCGA may learn of a proposed TCDD by other means:~~
2.
3. ~~through CCGA members when the respective Divisional Graduate Councils they represent approve such actions; and,~~
4.
5. ~~through 1- to 2-page descriptions of proposed actions sent by Chancellors to the Provost, the CCGA Chair, and the Academic Council Chair prior to public announcement of these proposals.~~
6.
~~7.~~1. ~~Based on the program description (either from 1.b. above or from the *Five-Year Planning Perspective*),~~ the Provost notifies the campus of any concerns regarding potential adverse Universitywide implications ~~impacts and may request review~~ of a ~~the~~ TCDD proposal and may request system-~~-~~level review after campus review is completed.

2. 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 Provost and 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.~~

~~8.~~ CCGA notifies the Provost, with a copy to the Academic Council Chair, whether or not it wishes to review the TCDD proposal ~~after it has completed campus review~~.
~~9.~~3.

*Final Steps When Systemwide Review **Is Not** Required*
~~10.~~4. If neither CCGA nor the Provost request ~~a~~ system-~~level~~wide review, then on approval of the Divisional Senate and ~~the~~ campus administration, the Chancellor notifies the Provost, ~~the~~ CCGA Chair, and ~~the~~ Academic Council Chair of the TCDD action with a copy to the Divisional Chair. The campus decision is final, no system-~~-~~level ~~wide~~ review occurs, and the review process is over~~ends here~~.

*Final Steps When Systemwide Review **Is** Required*

31

5. If either CCGA or the Provost requests a system- wide level review, the Chancellor, upon approval of the Divisional Senate, forwards the TCDD proposal to the CCGA Chair and to the Provost with a copy to the the Academic Council Chair.

6. When actions involving graduate degree programs are likely to affect the functioning of associated undergraduate degree programs, CCGA refers the proposal to the UCEP for review and comment.

7. CCGA completes its review of the proposal and reports its findings to the Provost with a copy to the Academic Council Chair.

8. If requested, the Provost submits the proposal to CPEC for a review that runs concurrently with the CCGA review. CPEC reports its findings to the Provost.

9. 8. If needed, the Provost works with the campus to resolve any Universitywide issues identified in reviews by Academic Affairs, CCGA, and UCEP, or CPEC. CCGA must approve the final resolution.

10. If the TCDD action concerns a graduate group, the Provost makes a recommendation to the President, who subsequently recommends approval of the TCDD action to the Regents, as prescribed in Standing Order of the Regents 110.1.

11. 9. The Provost notifies the campus, CCGA, and the Divisional Chair of final approval.

NOTE: If the graduate degree program proposed for discontinuance uses a degree title that is the only one of its kind on the campus, then additional reviews and approvals may be needed (see see II.C. *Undergraduate and Graduate Degree Programs with Unique Titles*).

IV.C. Transfer, Consolidation or Disestablishment of Academic Units

Any aggregation of academic programs organized as a school, college, division or another title that appoints faculty 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 proposed TCDD actions for academic units should be included in the campus *Five-Year Planning Perspectives* as early as possible in the proposal developmentat process. at least one year before formal campus review of a reconstitution begins. If not, Aappropriate steps should be taken to ensure that systemwide implications perspectives are consideredintroduced into the review. Proposed actions that CCGA would ordinarily review continue to require CCGA approval. All other proposed actions would be endorsed by the reviewing Senate committees/Academic Council and would be approved by the President as well as the Regents, if needed.

Details of Process

~~If included one year prior in the campus *Five-Year Planning Perspective*, a proposed TCDD action for a school or college may be submitted for Divisional Senate review.~~

1. ~~If the proposed TCDD action was not included in the campus' *Five-Year Planning Perspective*, then T~~the Chancellor transmits to the Divisional Chair, the Provost, and the systemwide Academic Council Chair~~, and the Provost~~ a 1- to 2-page description of the proposal.

2. Based on the description provided, Senate committees (generally CCGA, UCEP, and/or UCPB) notify the Academic Council Chair of any concerns regarding potential Universitywide impacts or Divisional Senate involvement. The Academic Council Chair is responsible for sending the Provost a recommendation on the proposed TCDD action. Subsequently, the Council Chair and Provost are responsible for investigating any concerns and determining how to address them.

3. Once the campus completes a reconstitution proposal, it is sent out for formal review by campus administration and by the Divisional Senate. If campus administration and the Divisional Senate approve the proposed reconstitution, the Chancellor submits the proposal to the Provost and to the Academic Council, CCGA, UCEP, and UCPB. Council Chair may distribute it to other Senate committees for review.

4. The Provost distributes the proposal to UCOP staff for analysis, which is then shared with the Academic Council and with ~~,~~ CCGA, UCEP, and UCPB Chairs.

5. ~~If requested, the Provost submits the proposal to CPEC for a review that runs concurrently with the Senate review. The Provost works with the campus and Divisional Senate to resolve any issues raised by CPEC.~~

5. UCOP will provide the proposal upon request to state officials and agency staff (e.g., Governor, Department of Finance, Legislative Analyst).

6. The CCGA Chair convenes a Senate subcommittee with the chairs of UCEP, UCPB, and any other participating Senate committees to coordinate/expedite Senate committee reviews as appropriate. CCGA is the lead committee for these reviews *unless* the proposed reconstitution affects only undergraduate programs, in which case UCEP functions as the lead committee.

7. 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 other stakeholders.

8. Each Senate committee reports its recommendation on the proposal to the Academic Council proposal. The Academic Council Chair serves as arbiter if there is not concurrence among final recommendations of the review committees.

33

9. The Academic Council Chair conveys the Senate's comments and recommendations to the Provost, who makes a recommendation to the President.

10. If the TCDD action concerns a school or college, the President recommends approval of the TCDD action to the Regents, as prescribed in Standing Order of the Regents 110.1.

11. Upon Regental approval, the Provost notifies the campus 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)

V. Research Units

V.A. Organized Research Units ~~(ORUs)~~

Actions involving ORUs (Organized Research Units) 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 Perspective*, 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 Terms[17]
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 non-departmental 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.)

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[17] As noted in the Office of Research and Graduate Studies ~~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.
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- *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 a research unit established by UC to provide a supportive infrastructure for long-term research and/or creative work being carried out on at least three campuses or at least two campuses plus one national lab. Every MRU has one host campus that will host the administrative headquarters of the unit or program and will be responsible for overall administrative and reporting functions. The functions of an MRU may include the following: facilitating research and research collaborations; disseminating research results through research conferences, meetings, and other activities; strengthening graduate and undergraduate education by providing students with training opportunities and access to facilities; seeking extramural research funds; and carrying out University and public service programs related to the MRU's area of expertise. An MRU may be supported by one or more of the following sources: funding awarded to the MRU by UC as a result of a periodic competition, extramural funds sought for the purpose, and funds from a philanthropic institution or other sources. An MRU may participate in periodic competitions for funding administered by UCOP throughout its existence. However, actual or potential availability of extramural funds shall not serve as the sole basis for proposing, approving, or continuing an MRU. The initial term of an MRU is five years; the typical life span of a successful MRU is fifteen years with potential for extension based on positive review. An MRU must be complementary to the academic goals of the University, but it does not have jurisdiction over courses or curricula and cannot offer formal courses or make faculty appointments.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
The application to establish an MRU originates at the host campus; the other proposing campuses or national laboratories participate in development and review of the proposal. ~~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 Perspective*.~~ Once a full proposal is prepared, it must be reviewed by the Divisional Committee on Planning and Budget, ~~and~~ the Divisional Committee on Research or the equivalent, the Graduate Council, and the Vice Chancellors for Research of proponent campuses prior to being sent for system-levelwide review in order to ensure campus support for the proposal.

The host campus coordinates this process. Upon favorable review and approval by all the proponent campuses, the Chancellor of the host campus submits the proposal to the Vice President for Research and Graduate Studies at UCOP. After receiving the proposal, the Vice President for Research and Graduate Studies refers the proposal to the Chair of the Academic Council for review and comment by UCORP, UCPB, and CCGA. UCORP is the lead committee for systemwide review. For a new MRU to be established the Senate must favorably review the proposal and the Vice President for Research and Graduate Studies must recommend approval to the Provost and to the President; the President has the final authority for approval. After Presidential action, the Vice President for Research and Graduate Studies informs the Chancellors and the Chair of the Academic Council of the action.

In cases of disagreement about whether to establish an MRU, the Vice President for Research and Graduate Studies, the Chair of the Academic Council, and the Vice Chancellor for Research of the host campus will establish a process of adjudication; however, the Vice President for Research and Graduate Studies retains final recommendation authority concerning establishment of a new MRU.
~~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 the *Five-Year Planning Perspective*, t~~The host campus prepares and submits ~~the~~ to UCOP Office of Research and Graduate Studies (ORGS) a 1- to 2-page description of the proposed MRU. ORGS ~~that would have been in the Five-Year Planning Perspective. The Provost~~ then notifies all relevant systemwide bodies including ~~everyone who would have learned~~

of the proposed action via the usual Five-Year Planning Perspective process, and the UCORP, UCPB, and CCGA. ORGS and Senate committees' reviews, and UCOP reviews also address the systemwide perspective.

2. Proposal Development: The proposal for an MRU originates at the campus which will host the MRU's 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 must also should describe the what value and capabilities that will be added by the new unit, and explain why thesey cannot be achieved within the existing campus structure. ItThe proposal should make clear how the MRU will be greater than the sum of its parts,; e.g., 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 should also contain the following information:

3.2.

- Experience of the core faculty in interdisciplinary and multidisciplinary applicable research collaborations.
- Research plan for the first year of operation and projections for the subsequent years of operationfive years following.
- Budget estimates for the first year of operation, projections for the five years following, and anticipated sources of funding.
- Names, titles, and departments of faculty members who have agreed in writing to participate in the unit''s activities, and the nature of their participation.
- Projections of numbers of faculty members and students, professional research appointees, and other personnel needed 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 applicable ropriate 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 UC 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. Prior to a recommendation for approval of an MRU by the Vice President for Research and Graduate Studies, an organizational plan must be developed by the faculty members and appropriate

assurances finalized between the MRU and related academic units concerning administrative services, space, and facilities.

4.3.The proposal is submitted to the appropriate administrative officer, normally the Vice Chancellor for Research of the host campus. The Vice Chancellor for Research seeks advice input 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) onat the host campus, the Chancellor simultaneously sends all required materials to the systemwide Senate and to UCOP ORGS administration.

5.4.ORGS reviews the proposal for completeness, collects any missing information from the host campus and sends the proposal to the Chancellors of the non-host participating campuses and to the Academic Council Chair with a letter including a due date for comments. The Academic Council Chair sends the proposal to the Divisional Chairs and the UCORP, UCPB, and CCGA chairs.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 and Divisional Chairs of the non-host campuses and requests comments.

6.5.Review at non-host participating campuses includes consultation with the relevant Divisional committee(s) (ordinarily, at a minimum, the Committee on Research, the Committee on Planning and Budget, and the Graduate Council, or their equivalents) and appropriate administrators. The Chancellors notify the Vice President for Research and Graduate Studies of all campus comments, including those from the Senate and from the Administration.

7.6.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.

8.7.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.

9.8.In cases of disagreement about whether to establish an MRU (or branch), the Vice President for Research and Graduate Studies, the Academic Council Chair, and the Chancellor at the host campus or his or her designee (normally the Vice Chancellor for Research) host campus Chancellor establish a process of adjudication; however, the Vice President for Research and Graduate Studies retains final recommendation

39

-authority concerning ~~for the decision to recommend~~ establishment of a new MRU (or branch) ~~to the Provost and to the President~~.

~~10.~~9.   After receiving all comments, the Vice President for Research and Graduate Studies makes a recommendation to the Provost and to the President.

~~11.~~ After Presidential approval, the President or his/her designee ~~Provost~~ notifies the host campus Chancellor and others of the decision.
~~12.~~10.

V.B.2. Multicampus Research Unit Leadership and Appointments, Administrative Operations, and Annual Reports

Leadership: An MRU is led by a Director who must be an Academic Senate member at the rank of Associate Professor or higher and who is typically affiliated with the host campus of the MRU. The MRU Director is responsible for the administrative functions of the MRU and for guiding the unit or program's activities in accordance with its established goals.

The Director of an MRU is appointed by the President or his/her designee after consultation with ~~the appropriate Chancellors of the participating campuses. In the case of a new MRU, nominees for the Director are submitted as part of the application process. In the case of an existing MRU, nominees for a new Director are solicited from the MRU membership. The Vice President for Research and Graduate Studies appoints a Search Committee to evaluate the qualifications of all applicants for the Director position. Nominations for membership on the Search Committee are solicited by the Vice President for Research from the MRU membership, the Chair of the Academic Council and the Chancellors of the participating campuses. At least one member of the Advisory or Executive Committee of an existing MRU seeking a new Director serves on the Search Committee.~~ the Academic Council and with the advice of a Search Committee appointed by the President or his/her designee. Nominations for membership on the Search Committee for an MRU Director are solicited by the President or his/her designee from the Chancellors of campuses with faculty actively participating in the MRU and from the Academic Council Chair, who will forward a list of nominees from each participating campus' divisional Senate. The Academic Council may add nominees from the systemwide level but may not change the list submitted by the campus divisional Senate(s). The President or his/her designee shall select Search Committee members primarily from the lists of nominees from the Chancellors and from the Academic Council. Normally at least one member of the MRU Advisory or Executive Committee serves on the Search Committee.

Prior to appointing the Director, the President or his/her designee shall consult with the Search Committee, the Chancellor of the host campus, other campuses that are part of the MRU, and the Chair of the Academic Council.

MRU Directors are generally appointed for a five-year term with the possibility of

40

reappointment if the MRU continues for another term. In addition to his/her regular campus faculty salary, the Director of an MRU may receive an administrative stipend, summer salary, course buyouts, and/or support for graduate student researchers using funds from the approved MRU budget. The Director of an MRU may not hold a concurrent appointment as Dean, Associate Dean, or Department Chair, unless an application endorsed by the Vice Chancellor for Research of the host campus is approved by the Vice President for Research and Graduate Studies.

Administrative Operations: The MRU reports to the Vice President for Research and Graduate Studies (or, by delegation, the Vice Chancellor for Research of the host campus) and must follow administrative review and approval processes set forth by ORGS. MRUs are expected to follow all UC policies related to academic responsibilities including teaching and service workload within the faculty's respective home academic units, faculty commitment of effort and/or compensation, honoraria, travel, and sabbatical leave.

Annual Reports: Every MRU shall submit an annual report to the Vice President for Research and Graduate Studies (or, by delegation, the Vice Chancellor for Research of the host campus), which should include the following:
- Numbers of graduate and postdoctoral students directly contributing to the unit or program who: a) are on the unit's or program's payroll; b) participate through assistantships, fellowships, or traineeships; or c) are otherwise involved in the unit's or program's work.
- Number of faculty members actively engaged in the MRU's research or its administration.
- Numbers of FTE of professional, technical, administrative, and clerical personnel employed.
- A list of publications and intellectual property resulting from the collaborative endeavors of the MRU.
- A list of grant awards to participating faculty, as well as sources and amounts (on an annual basis) of support funds of all types, including income from service facilities, the sale of publications, and from other services.
- A summary of expenditures, distinguishing use of funds for administrative support, matching funds, direct research, and other specific uses.
- Description of the space currently occupied on all campuses and national laboratories.
- Any other information deemed relevant by ORGS to the evaluation of the effectiveness of a program or unit, including updated plans for future years.

V.B.23. Procedure for Five-Year Reviews

The initial term of an MRU is five years, with a sunset review after fifteen years. The MRU is automatically disestablished at the end of each five-year term unless it requests to be reviewed and to be extended for another five-year term. If an MRU does not seek extension of its term, then the Director will provide a final report to the Vice President for Research and Graduate Studies. An MRU not seeking extension of its term may request a

one-year no-cost extension of its operation to permit an orderly termination or transfer of contractual obligations.

After a request for review and extension has been submitted by an MRU, a five-year review of that MRU is conducted by UCORP as the lead committee with participation by UCPB and CCGA. The authority to conduct the MRU review can be delegated by the Academic Senate to the Committee on Research or its equivalent at the host campus, after consultation with the MRU Director, the Vice President for Research and Graduate Studies, and the Vice Chancellors for Research at all participating campuses. The review will assess the unit's activities with regard to its stated purpose, present functioning, funding record, future plans, and continuing development to meet the needs of the field. It should also consider whether the unit should merge with another similar unit or be disestablished. The review report is provided to the MRU Director for information.

Self-report materials prepared by the MRU and the annual reports for the preceding five years are reviewed by UCORP (or, by delegation, the Committee on Research or its equivalent at the host campus), and a recommendation concerning continuation of the unit is made to the Vice President for Research and Graduate Studies upon consideration of the information provided. Requirements for the self-report are similar to the application process for new MRU proposals. MRU five-year reviews are not competitive. ~~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 Chief Academic Officer of each participating campus ~~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 Chairs of the Advisory and Executive Committees may also comment on the Five-Year Review Report and optionally may request an external review if there is sufficient evidence that expert opinions outside the University of California system would provide additional information helpful to measure the MRU's performance. Based on the Five-Year Review Report and the comments on the Five-Year Review Report, the Vice President for

42

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.34. 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 system-wide level 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 ORGSResearch and Graduate Studies 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 system-levelwide 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, 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 should to review the proposal), and the Vice President for ORGS, who consults with the Chair of UCORP to be certain the two agree that 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, the Chancellor of the host campus immediately notifies the Vice President for Research and Graduate Studies. The Vice President's letter by 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 (each letter, as appropriate, endorsing or approving the name change). The Chancellor 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.5. Sunset Reviews of Multicampus Research Units

All MRUs that have been in existence for 15 years or more are subject to a Sunset Review. At that time, they are required to justify their continuation in terms of scholarly or scientific merit and campus priorities.

An MRU undergoing a Sunset Review must develop a formal proposal for continued MRU status, support funds, and space within the context of current campus and University needs and resources. The proposal should explain whether the MRU proposes to continue unchanged in the future and if so, how it continues to address important issues that cannot be addressed through another mechanism or structure within UC. If the MRU is continuing in a new direction, the proposal should describe the new structure, vision, and intended accomplishments. If continued MRU status is not a goal, the Director will provide a final report to the Vice President for Research and Graduate Studies.

Any proposal for continuation should describe: 1) The MRU's achievements over the past 15 years (or more, if it has been in existence longer); 2) the contributions the MRU has made to research, graduate and undergraduate education, and public service; and 3) the consequences if the MRU were not continued.

Sunset Reviews are conducted by UCORP as the lead committee with participation of UCPB and CCGA. The authority to conduct the Sunset Review can be delegated by the Academic Senate to the Committee on Research or its equivalent at the host campus, after consultation with the Vice President for Research and Graduate Studies and the Vice Chancellor for Research at the host campus. Sunset Reviews are not competitive.

Based on the Sunset Review Report and the comments on the Sunset 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 to the President disestablishment of the unit. e

V.B.~~4~~6.- Disestablishment of Multicampus Research Units ~~(MRUs)~~

An MRU that does not proactively request to be reviewed and have its term extended is automatically disestablished after the completion of its current five-year term. Normally, upon request, the MRU will be granted a one-year no-cost extension of its operation to permit an orderly termination or transfer of contractual obligations.

An MRU may also be disestablished as a result of a recommendation to disestablish that MRU. Such a recommendation may follow a five-year review, a Sunset Review, or other process of review established by the Vice President for Research and Graduate Studies or the Vice Chancellor for Research of the host campus. If the disestablishment initiates at the host campus, the Vice Chancellor for Research submits the request for disestablishment to the Vice President for Research and Graduate Studies after review by appropriate Divisional Senate committees. The Vice President for Research and Graduate Studies refers any recommendation for disestablishment to the Chair of the Academic Council for comment by UCORP (the lead review committee), UCPB and CCGA.

In cases of disagreement about whether to disestablish an MRU, the Vice President for Research and Graduate Studies, Chair of the Academic Council, and Vice Chancellor for Research of the campus will establish a process of adjudication; however, the Vice President for Research and Graduate Studies retains final authority for the decision to recommend disestablishment of an MRU to the President. After Presidential approval, the Vice President for Research and Graduate Studies informs the Chancellors and Chair of the Academic Council of the action.

Normally, upon request, an MRU which has been recommended for disestablishment will be granted a one-year no-cost extension of its operation to permit an orderly termination or transfer of contractual obligations.~~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 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~~
~~e~~

~~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. 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 should organize that consultation.~~

~~The Chancellors submit all campus comments, including those from the Divisional Senate committees, to the Vice President for Research and Graduate Studies.~~

~~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.~~

~~After receiving all comments, the Vice President for ORGS recommends disestablishment of the MRU (or branch) to the Provost and to the President.~~

~~After Presidential approval, the Provost notifies the host campus Chancellor and others of the decision.~~

V.C. Multicampus Research Programs

A Multicampus Research Program (MRP) is supported by funds administered by UCOP to facilitate research and/or creative work that achieves systemwide goals or garners systemwide benefits. Funds are allocated based on a competitive application and review process. The specific eligibility criteria are determined each funding cycle and specified in the Request for Proposals (RFP). As a general guideline, MRPs are expected to involve at least three campuses or at least two campuses plus one national laboratory. Every MRP is led by a UC Principal Investigator, and one campus will host the administrative headquarters of the unit or program and will be responsible for overall administrative and reporting functions. MRUs can submit MRP proposals. An existing MRP that is not already part of an MRU may apply for MRU status at any point in its funding cycle.

V.C.1. Funding of New Multicampus Research Programs

New MRPs receive funding as a result of successful ranking in a systemwide competitive process administered by UCOP. The Office of the Vice President for Research and Graduate Studies issues an RFP which outlines guidelines and priorities for that competition cycle. Funding is administered as a research award, and the award terms are set out in the award notice. Renewals or extensions of funding beyond the initial award period are contingent on success in subsequent competition cycles. Compliance with all applicable University, State, and Federal policy is required.

The MRP proposal process will be structured to support programs and initiatives such as the following:
- New research initiatives for which seed funding could lead to future extramural funding, especially in areas where UC campuses are underfunded relative to other comparable research institutions.
- Areas of research and creative work that are underfunded by the government in relation to their perceived importance to the state or the nation.
- Emerging fields of study, innovative or multidisciplinary research and creative work with the potential to increase UC's competitiveness.

The Vice President for Research and Graduate Studies will seek the input of representatives from the Academic Senate and Campus Vice Chancellors for Research in determining the overall research goals and priorities that will be reflected in the call for proposals[18]. The Vice President for Research and Graduate Studies will also refer the

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[18] In 2012-13, the Vice President for Research and Graduate Studies (VPRGS) formed a Portfolio Review Group (PRG) composed of one Academic Senate member and one Senior Administrator from each campus.

draft call for proposals to the Chair of the Academic Council for review and comment by UCORP (the lead review committee), UCPB, and CCGA.

V.C.2. Multicampus Research Program Leadership, Administrative Operations, and Reporting Requirements

Leadership: An MRP is led by a Principal Investigator (PI) with conferred PI status at his or her campus. The PI listed on the original proposal is responsible for the project; requests to change the PI must be made to the UCOP ORGS Research Grants Program Office – UC Research Initiatives (RGPO-UCRI), in accordance with RGPO guidelines. Likewise, the host campus listed on the original proposal is normally the host campus for the duration of the award period. Any changes to the MRP (including changes of PI and/or host campus) before the end of the award period must conform to the terms of the grant. The PI of an MRP is responsible for the administrative functions of the MRP and for guidance of the research and program's activities in accordance with its established goals. PIs may request course buy-out or summer salary (with local campus/departmental approval), but they are not eligible to receive an administrative stipend as a function of their PI status on the project. MRP PIs may not hold a concurrent appointment as Dean, Associate Dean, or Department Chair, except when endorsed by the Vice Chancellor for Research of the host campus and approved by the Vice President for Research and Graduate Studies.

Annual Reports: Annual reporting requirements for MRPs are described in the terms of the award.

V.C.3. Reviews of Multicampus Research Programs

If an MRP opts to submit a proposal for a second round of funding, then the evaluation of the proposal also constitutes a review of the MRP. Proposals for continuation funding may include review of the annual progress reports, as outlined in the RFP requirements. Other supplemental reporting

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The charge of the PRG is to: (i) advise the VPRGS on the overall value and unique purpose of the systemwide research portfolio to the University and the State of California; (ii) assess the current mix of research investments and provide recommendations for how to improve UC's return on those investments, and (iii) advise the VPRGS on strategies for growing or evolving UC investments in systemwide research to strengthen and/or balance the research portfolio. PRG input will likely be considered in shaping future MRP solicitations.

VI. Systemwide Academic Units

Any aggregation of academic programs organized as a school, college, division, or another title, that appoints faculty 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 (see Section III. *Academic Units*). Specific proposals will not be reviewed until a) the campus and Divisional 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

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

The campus may request that the systemwide Senate and UCOP initiate Universitywide review simultaneously with campus review. Such a request would most likely 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 the proposal under systemwide review, the systemwide review can be suspended. Final systemwide approvals may be given after the campus approves the proposal and it is verified that the approved campus proposal is consistent with that reviewed systemwide.

Details of Process
1. The campus administration, Divisional Chair, Academic Council Chair, and Provost initiate a discussion to reach agreement upon a schedule for concurrent campus, Divisional Senate, systemwide Senate, and UCOP review. This negotiation may also concern the 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, the Provost negotiates with CPEC a schedule for concurrent review and assures that all CPEC questions are answered by the proposing campus.~~

~~3.~~2. Upon sending notice of the proposed academic program or academic unit action(s) to the Provost, the Chancellor also sends review materials to the reviewers, as agreed to in step 1.

~~4.~~3. 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 the Provost.

~~5.~~4. 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 also be included in these discussions.

~~6.~~5. The systemwide Senate committees make their final recommendations only after the Divisional Senate and campus administration have opined on the proposal. If the

proposal undergoes significant change in the course of campus/Divisional review, the systemwide Senate may suspend further review until the fully revised proposal is available and near campus agreement.

7.6.The Senate review committees report their comments, final recommendations, and any required approvals to the Academic Council Chair. If CCGA would ordinarily act on behalf of the Senate with regard to all or part of the proposed action (e.g., a graduate programs), 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.

8.7.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).

9.8.If Regental action is required, the President recommends approval to the Regents who approve it.

10.9.   The Provost informs the Chancellor 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 Vice Chair of the Academic Council; the Chairs of CCGA, UCPB, UCEP, and UCORP, Divisional Senate representatives; key administrators including an EVC and Vice Chancellors for Research, Planning and Budget, and Student Affairs; and both a Graduate Dean and an Undergraduate Dean. The APC is staffed by UCOP Academic Affairs.

Although the APC may take actions that have implications for individual campus proposals reviewed systemwide, the APC does not take any direct action on such proposals. APC has the option of reviewing the ~~annual~~ *Five-Year Planning Perspectives* and pursing planning issues arising from their review. Also, throughout the Compendium, there are references to routes by which the Senate or Provost 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 developing proposals to be submitted for system-level review and approval. The composition of the APC assures representation of many viewpoints in its deliberations; the aim is to bring together Senate and Administration representatives to address challenging planning issues.

While many Compendium-related questions can be resolved by interactions with the campuses, some issues are of a magnitude that goes beyond single-campus resolution. Universitywide issues of this sort often have implications for efficient use of resources across the system, including:
- 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 on how to proceed. The APC might recommend referral to existing groups, creation of ad hoc task force, a special staff study, convening of a subcommittee, or other approaches to gather information and expert advice. At the conclusion of the planning activity, the Chair and the Vice Chair of the APC should determine how to transmit the results to the campuses.

IX. List of Appendices

A. Glossary of Terms

B. *Five-Year Planning Perspective*:
    1. Format for Submitting Descriptions of Anticipated Actions
    2. Timeline

C. Format for the Graduate Degree Proposal
    ~~Proposal~~

~~C.~~
D. ~~CPEC~~ State Program Review Principles:
    1. ~~Summary of Commission's Program Review Principles and Guidelines (June 2006)~~
    2. ~~Information Required by CPEC for Academic Degree Program Proposals~~

E. Review Process Flow Charts:
    1. New Graduate Degree Programs
    2. Name Changes for Graduate Degree Programs
    3. Transfer, Consolidation, Discontinuance, or Disestablishment ~~(TCDD)~~ of Graduate Programs
    4. New Schools and Colleges
    5. Reconstitution of Academic Units

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

G. UCOP Policy on Transfer, Consolidation, Disestablishment, and Discontinuance of Academic Programs and Units, 1979

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

I. Re-Issuance of Memo (#93-4) on University Policy and Procedures Concerning Organized Research Units, Research Administrative Office, March 12, 1993

J. Administrative Policies and Procedures Concerning Organized Research Units (established 1999)

K. Guidelines for Five-Year ("Quinquennial") Reviews of Multicampus Research Units

Appendix A: Glossary of Terms

Term	Definition
Academic Assembly	The Assembly of the Academic Senate represents the faculty in the governance of the University as mandated by the Standing Orders of the Regents. The Assembly is authorized to consider any and all matters of concern to the Senate as a whole and has the power to take final action on all legislation substantially affecting more than one Division, and is ready at all times to advise the President. The Assembly consists of the following members: The President of the University; the Chair and Vice Chair of the Assembly; all members of the Academic Council; and forty Divisional Representatives chosen from other than chancellors, vice chancellors, deans, chief administrative officers of colleges and schools, and members of the University Committee on Rules and Jurisdiction.
Academic Council	The Academic Council is the administrative arm of the Assembly of the Academic Senates and acts in lieu of the Assembly on non-legislative matters. It advises the President on behalf of the Assembly and has the continuing responsibility to request committees of the Senate to investigate and report to the Council or to the Assembly on matters of Universitywide concern. The Council may act on behalf of the Assembly in approving the establishment of new graduate degree titles as well. The Academic Council consists of a Chair and Vice Chair, the Chairs of the ten Divisional Senates, and the Chairs of eight systemwide Senate committees: the Board of Admissions and Relations with Schools (BOARS) and the Coordinating Committee on Graduate Affairs (CCGA); as well as the University Committees on Affirmative Action and Diversity (UCAAD), Academic Personnel (UCAP), Educational Policy (UCEP), Faculty Welfare (UCFW), Planning and Budget (UCPB), and Research Policy (UCRP).
Academic Planning Council	This systemwide Administration-Senate committee consists of the Provost (Chair); Academic Council Chair (Vice Chair); Academic Council Vice Chair; Chairs of CCGA, UCPB, UCEP, and UCORP; a Divisional Senate representative; an Executive Vice Chancellor; a Vice Chancellor for Research, a Vice Chancellor for Planning and Budget, and a Vice Chancellor for Student Affairs; a Graduate Dean and an Undergraduate Dean; a graduate student representative and an undergraduate student representative; and select UCOP administrators. APC provides Universitywide guidance on academic and strategic planning, coordinates Universitywide academic planning activities, guides innovation and redirection of academic efforts within UC as a whole, advises on interactions with CPEC, and reviews *Five-Year Planning Perspectives*.

54

Term	Definition
CCGA	The Coordinating Committee on Graduate Affairs (CCGA), an Academic Senate committee, 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 Perspective*, 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.
Chancellor	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 approves proposals involving departments, schools and colleges, ORUs, and MRUs, and favorably reviews proposals involving undergraduate and graduate degree programs.
College	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.
Consolidation	For the purposes 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.
(Academic) Council Chair	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 Perspective*, and provides leadership as needed in the systemwide review processes.
~~CPEC~~	~~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, drawing in part from the UC *Five-Year Planning Perspective* and~~

Term	Definition
	~~reviews and concurs with actions involving UC graduate degree programs, schools, and colleges.~~
Degree Program	A degree program is an approved set of coursework, examination, and other requirements within a discipline (or across disciplines) which 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., Ed.D, and PhD. When a new degree title is introduced on a campus, specific review procedures must be followed.[19]
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.[20] Actions involving departments are carried out on the campuses, and do not involve review by the systemwide office.
Discontinuance	Elimination of an academic program. (It does not refer to academic units.)
Disestablishment	Elimination of 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 typically is 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 graduate education programs (i.e., a Graduate Division). While headed by a Graduate Dean, this configuration is an administrative, rather than academic, structure.[21]
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 approving and favorably reviewing proposed actions in these three areas. Divisional Senate committees also have the opportunity to review the UC *Five-Year Planning Perspective*. Divisional Senates

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[19] ~~See Section II., Academic Degree Programs.~~
[20] Exceptions to this rule include UCI's Department of Education (which stands alone from any school or college). UC Merced is organized into schools which do not contain individual departments.
[21] In lieu of an administrative "division", some campuses use the term "Office of …".

Term	Definition
	are sometimes called "Divisions", but should not be confused with administrative divisions.
Emphasis	An emphasis is a focused area of study that may be offered as a track within a ~~department's~~ 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 the official diploma.
Graduate Academic Certificates	A graduate academic certificate (GAC) program is an approved set of courses and other requirements in a specific area of inquiry, 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 curricula. The Compendium 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.
Hybrid Undergraduate/ Graduate Degree Programs	Undergraduate/Graduate hybrid degree programs allow students to complete an undergraduate and graduate curriculum simultaneously.
Interdisciplinary Group or Graduate Group	An Interdisciplinary Group is headed by a chair, is composed of a number of participating faculty from various departments, and 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 include a set of governance bylaws as well as other information about campus commitment to the proposed program (e.g., teaching-assistantships, library resources, courses planned, etc.).
Interdisciplinary Program	An Interdisciplinary Program is an academic unit offering at least one degree program drawing on multiple academic disciplines. 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.
Joint Graduate Degree Program	Joint graduate degree programs combine the intellectual and physical resources of UC and CSU. In particular, Joint Doctoral Programs

Term	Definition
	(JDPs) are designed to be beneficial to campuses from both systems and to meet a need not currently addressed within the University. Students enrolled in such programs take advantage of the combined resources and disciplinary expertise. It is expected that the research interests and program strengths of the proposing academic departments complement one another in synergistic fashion rather than duplicate existing offerings. These partnerships broaden the base for program development and provide greater depth of curricular and faculty resources. -Final review and approval of all JDPs rests with the Joint Graduate Board (JGB).
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.
~~MRU~~	~~Multicampus Research Unit - A research unit established by UC to provide an infrastructure for long-term research and/or creative work being carried out on at least three campuses or at least two campuses plus one national lab.~~
MRP	Multicampus Research Program - A research unit supported by funds administered by UCOP to facilitate research and/or creative work that achieves systemwide goals or garners systemwide benefits.
MRU	Multicampus Research Unit - A research unit established by UC to provide an infrastructure for long-term research and/or creative work being carried out on at least three campuses or at least two campuses plus one national lab.
ORGS	The Office of Research and Graduate Studies, UCOP
President	The President of the University of California. With respect to Compendium processes, the President approves establishment and disestablishment of MRUs; under a delegation from the Board of Regents, approves the creation of a new graduate degree titles, and recommends to the Board of Regents their approval of the establishment and disestablishment of a school or college. _Per Senate Bylaw 10, the President is ex-officio President of the Academic Senate and a member of the Assembly of each Division and Faculty.
Provost	The Provost reports directly to the President and is responsible for all systemwide engagement with UC academic life. Many systemwide administrative review processes are managed by the Provost who often acts as the President's designee.
The Regents	The University is governed by the Board of Regents, which under Article IX, Section 9 of the California Constitution has "full powers

Term	Definition
	of organization and governance" subject only to very specific areas of legislative control. The article states that "the university shall be entirely independent of all political and sectarian influence and kept free therefrom in the appointment of its Regents and in the administration of its affairs." The Regents consist of seven ex officio members (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 member appointed for one year. Two alumni regents designate, two faculty representatives (the Chair and Vice Chair of the systemwide Academic Senate), and two staff advisors also participate in meetings of the Board of Regents. Many Regental 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 departments that also offer one or more professional degree programs.[22] 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., JD, MBA) rather than "academic" degrees (e.g., PhD, MA, MS). On some campuses, however, a school will include *both* professional and academic programs.[23] 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.
Senate	The Universitywide Academic Senate. Under authority from the Regents, faculty members 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. The Senate has approval authority for various actions involving academic degree programs and consults on actions involving academic units and research units.
TCDD	Transfer, Consolidation, Discontinuance, and Disestablishment. These four processes substantially transform academic programs,

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[22] UC Merced organizes itself along Schools, which do not contain individual departments.

[23] Examples of schools that offer both academic and professional degrees include UCI's School of Biological Sciences, Donald Bren School of Information & Computer Sciences, and School of Social Sciences; UCM's School of Engineering, School of Natural Sciences, and School of Social Sciences, Humanities, and Arts; and UCSD's School of International Relations and Pacific Studies, and Skaggs School of Pharmacy & Pharmaceutical Sciences.

Term	Definition
	academic units, and/or research units, and may occur together as "reconstitutions." Transfer is moving a program or unit into another one that subsumes it; consolidation is bringing together two or more programs or units to form a new unified program or unit; discontinuance is elimination of an academic program; and disestablishment is elimination of an academic unit or research unit.
Transfer	Moving a program or unit into another one that subsumes it.
UC	University of California. UC refers to the University as a whole and to any part of the University—students, faculty, staff, administrators on the nine campuses and systemwide, etc.
UCEP	University Committee on Educational Policy—a committee of the systemwide 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.
UCOP	University of California, Office of the President. UCOP refers to the systemwide administrative arm of the University, including senior administrators and staff.
UCORP	University Committee on Research Policy—a committee of the systemwide 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*.
UCPB	University Committee on Planning and Budget—a committee of the systemwide 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*.

Term	Definition
WASC	The Western Association of Schools and Colleges (WASC) is one of six regional accrediting bodies in the US. It accredits elementary, secondary, adult, postsecondary, and supplementary education programs and institutions in California. WASC citations in the Compendium refer to the Senior Commission which accredits higher education institutions. WASC accredits individual UC campuses, not the system as a whole. It also conducts *substantive change reviews*.

Appendix B.~~2~~1: ~~Format~~ Format for Submitting Descriptions of Anticipated Actions **for**~~Included in~~ *the F*Five-Year *Planning Perspectives*

The descriptions for an anticipated action included in a campus' *Five-Year Planning Perspective* should follow the format below. To ~~stay within the~~ comply with page guidelines (2-5 pages for creating a school or college, 1-2 pages for everything else), ~~the most important~~ information should be presented concisely. Information should be geared to the anticipated action (creation, transfer, consolidation, disestablishment, discontinuance) and the entity (graduate degree program, school or college~~, ORU, MRU~~). No descriptions are required for undergraduate degree programs or research units. ~~If a campus has not included an anticipated action in its Five-Year Perspective and that action will be submitted for campus review, then just before the proposed action becomes public on the campus use this format to prepare the required systemwide notification.~~

Campus(es)
Identify the campus on which the anticipated action will occur. If the anticipated action involves two or more UC campuses or some other entity (e.g., a DOE lab, a CSU campus), identify all participating entities and specify which is the lead campus.

Name and Anticipated Action
Provide the name of the academic program (including specific degree title; e.g., PhD, M~~B~~FA), school or college, ~~or research unit~~ and identify the anticipated action.

Description of and Reasons for Anticipated Action
Describe the anticipated action, why it is worthwhile, and how it relates to the campus' mission. Provide enough information so that a previously uninformed reader ~~would~~ can have a reasonable understanding of the academic program~~,~~ or academic unit~~, or research unit~~ that is envisioned (for ~~creations~~ establishment), that exists and will be changed (for transfer or consolidation), or that exists and will be disestablished or discontinued. For a school or college, include the academic degree programs and ~~,~~ academic units~~, and research units~~ it has or will ~~have or does~~ have.

Relationship to Existing Campus Programs, Units, and Mission
Identify existing campus degree programs, academic units, and/or research units that are similar to those involved in the anticipated action (whether they will be created, changed, or ended).

Resources
For anticipated ~~creations~~ establishment of new programs and units, describe the new faculty, staff, courses, and facilities (including equipment, space, and library) that are needed. For anticipated TCDD actions, describe current resources of the program or unit (e.g., number tenured faculty, number untenured faculty, staff, space, research support, S&E) and identify those that will be freed up in the anticipated action.

Funding

For anticipated establishment ~~creations~~ of new programs and units, describe anticipated funding sources and strategies (including fee status for graduate degree programs). For anticipated TCDD actions, describe current funding sources for the program or unit.

Students

Provide an estimate of the numbers of undergraduate and graduate students likely to be involved as the action is being implemented and when it is at a steady state. For anticipated ~~transfers, consolidations, and discontinuances~~TCDD, ~~also~~ describe ~~what~~ arrangements ~~will be made~~ for current students to complete their degree program.

Employment Implications

For anticipated establishment ~~creations~~ of graduate degree programs, describe likely employment opportunities after degree completion. For all other anticipated actions, describe ~~if there are any~~ implications, if any, for employment of students after graduation.~~, describe them.~~

UC Campuses and Other California Institutions with Similar Offerings

Identify other UC campuses and other California institutions with academic programs or ~~,~~ academic units~~, or research units~~ similar to those for which either an establishment ~~creation~~ or a TCDD action is anticipated.

Anticipated Campus Review and Implementation Dates

Provide an estimate of when the proposal will be ready to begin campus review and when ~~proposers~~ proponents would like to implement what is being proposed. For academic degree programs, ~~give~~ provide the preferred date for first enrolling students in a new degree program or for last enrolling students in a degree program that will be transferred, consolidated, or discontinued. For schools and colleges, ~~ORUs, and MRUs, give~~ provide the preferred date for opening a new unit or for transferring, consolidating, or disestablishing an existing unit.

63

Appendix B.2~~1~~: ~~-~~*Five-Year Planning Perspective* Timeline
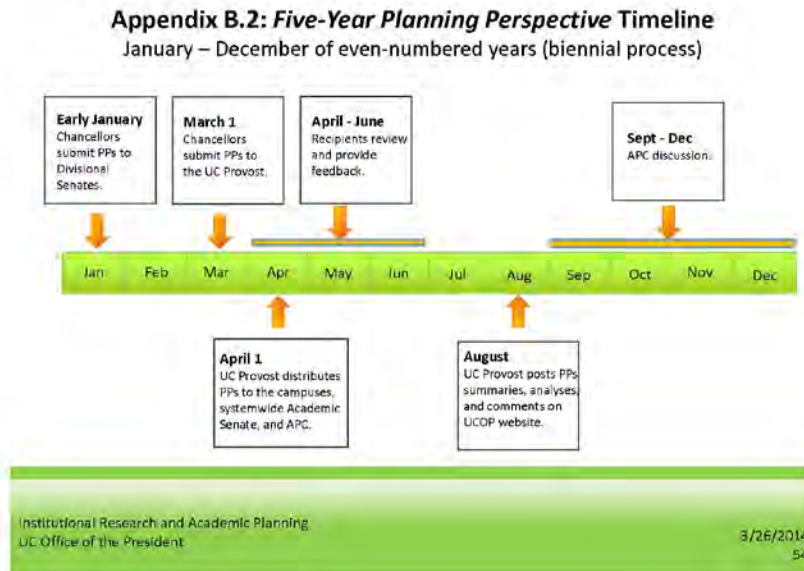
Image of PDF attachment for review copy. Actual PDF with correct page numbers will be included in final document.

Appendix C: Format for the Graduate Degree Proposal

The proposal must adhere to the following specifications. Failure to do so will result in the return of the proposal to the campus and an associated delay of at least one to two months in the review process. The following items should be included in a single PDF file:

<u>Title</u>

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

<u>Date of Preparation</u>

<u>Contact Information Sheet</u>

A contact information sheet with the lead proponent clearly identified; at least one Academic Senate member must be identified as a contact person.

<u>Section 1. Introduction</u>

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. In order to expedite CCGA's review process, program proposers may wish to ask chairs who write review letters to address the review criteria that are listed in the sample letters in Appendix M.

6) Department or group which will administer the program.

7) Plan for evaluation of the program within the offering departments(s), by the Academic Senate 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. "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): Master's I and/or II; Doctor's 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. It is important for proposals to provide detailed and convincing evidence of job market needs. This is 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.

67

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. If proposers wish to submit full CVs for participating faculty, they should combine the CVs into a single, separate PDF supporting document, to be submitted simultaneously with the proposal.

For group programs only, one copy of letters from participating faculty indicating their interest in the program should be included. MOUs for teaching resources required to administer the graduate program curriculum must be provided by each of the affected departments. In addition, comments from all chairs 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 present and proposed courses that are relevant to the program should be appended, along with descriptions of how the courses will be staffed and how the staffing of the program will affect existing course loads, as well as descriptions of the relationship of these courses to specific fields of emphasis and future plans.

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? If the latter, how will reallocation affect support in existing programs? 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 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.

69

<u>Section 9. Changes in Senate regulations</u>

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.

70

Appendix D: ~~CPEC – Summary of Commission's~~ State Program Review Principle~~ss and Guidelines (June 2006)~~

Formerly~~,~~ the state agency for higher education, the California Postsecondary Education Commission (CPEC), reviewed proposals for new University graduate programs as well as for new schools and colleges. ~~through the California Postsecondary Education Commission (CPEC).~~CPEC employed the principles listed below to evaluate ~~these~~ proposals.
~~e~~
Although CPEC was defunded in 2011, ~~e~~state interest in UC's academic offerings continues and at some point the state may resume formal review. The principles below capture areas of ongoing state interest and are at the core of periodic inquiries received by UCOP from state officials and agency staff (e.g., the Governor, the Department of Finance, Legislative Analyst). Information solicited for the University's own approval processes covers many issues the principles seek to address: student demand, societal need, placement of graduates, differences from other UC programs or from programs at other institutions in California, costs, and research and scholarly activity.

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

Societal need
Postsecondary education institutions bear a responsibility for preparing students to meet the state's workforce and knowledge needs. Workforce 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 impossible, it is important nevertheless that the number of persons trained in a field and the number of job openings in that field remain reasonably balanced.

Appropriateness to the institutional and system mission
Programs offered by a 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.

Number of existing and proposed programs in the field
An inventory of existing and proposed programs provides an initial indication of the extent to which apparent duplication or undue proliferation of programs exists, both within and among the higher education 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 might be needed for an institution to achieve academic comparability within a given system.

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.

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.

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.

Appendix D.2: Information Required by CPEC for Academic Degree Program Proposals

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.

Name of Program:
e
Campus:

Degree/Certificate:

CIP Classification (to be completed by Office of the President):

Date to be started:

If proposal concerns a modification of an existing program, identify that program and explain changes.

Purpose (academic or professional training) and distinctive features (how does this program differ from others, if any, offered in California?):

Type(s) of students to be served:

If program is not in current campus academic plan give reason for proposing program now:

If program requires approval of a licensure board, what is the status of such approval?

Please list special features of the program (credit for experience, internships, lab requirements, unit requirements, etc.):

e

List all other required courses (department, course number, title, hours/week, lecture, lab):

List UC campuses and other California institutions, public or private, which now offer or plan to offer this program or closely related programs:

List any related program offered by the proposing institution and explain relationship:

Summarize employment prospects for graduates of the proposed program. Give results of job market survey if such have been made.

Give estimated enrollment for the first 5 years and state basis for estimate.

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, and equipment. Provide brief explanations of any of the costs where necessary.

How and by what agencies will the program be evaluated?

Appendix E.1: Review Process Flow Chart – New Graduate Degree Programs

Appendix E.1.

Review Process - New Graduate Degree Programs - DRAFT

Image of PDF attachment for review copy. Actual PDF with correct page numbers will be included in final document.

Appendix E.2: Review Process Flow Chart - Name Changes for Graduate Degree Programs

Review Process -- Name Changes for Graduate Degree Programs
DRAFT

Appendix E.2.

SIMPLE NAME CHANGE:
*No changes in degree requirements
*No new resources

Inform
Chancellor

Inform
CCGA

Cancel

Request review
See flow chart for
New Grad Acad Progs

Divisional
Graduate
Council/Chair

NAME CHANGE
WITH PROGRAM PROPOSAL:
*Changes in degree requirements
and/or
*Significant new resources

See flow chart for
New Graduate
Academic Programs

64

Image of PDF attachment for review copy. Actual PDF with correct page numbers will be included in final document.

Appendix E.3: Transfer, Consolidation, or Discontinuance, or Disestablishment (TCDD) of Graduate Degree Programs

Appendix E.3.

Review Process - Transfer, Consolidation, or Discontinuance (TCD) of Graduate Degree Program & Graduate Groups (Reconstitution)* - DRAFT

*Any combination of these actions (including a name change) treated as a unified plan is considered a reconstitution. Reconstitutions follow the same review process as any individual action.

** A systemwide review can be requested if there are concerns that the Divisional Senate has not been appropriately involved, or if there are Universitywide implications that are not being addressed satisfactorily.
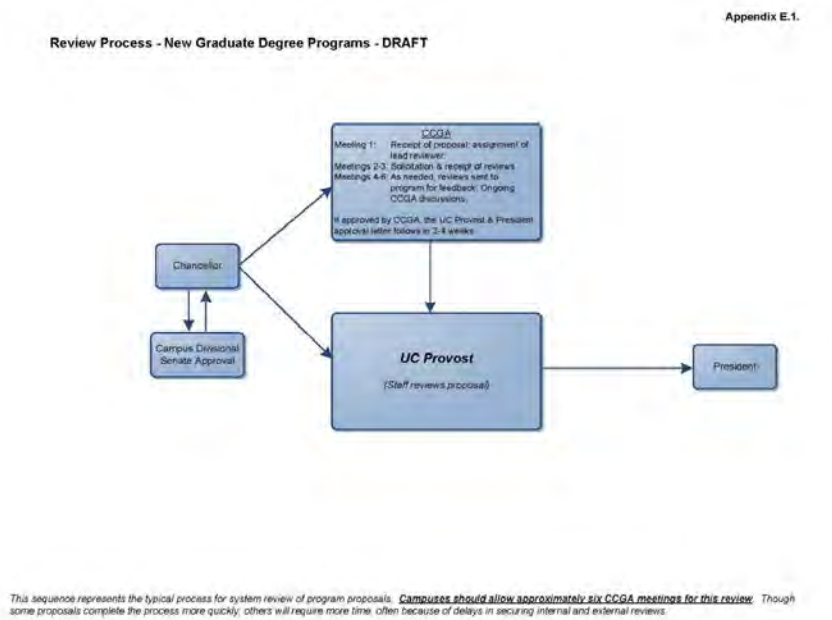
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Appendix E.4: Review Process Flow Chart - New Schools and Colleges
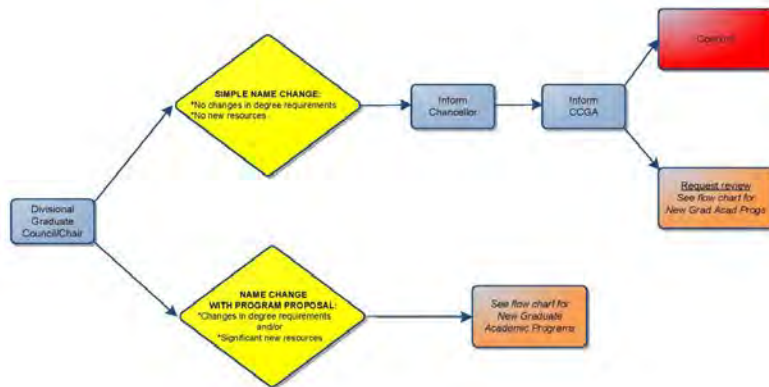

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Appendix E.5: Review Process Flow Chart – Reconstitutions of Academic Units
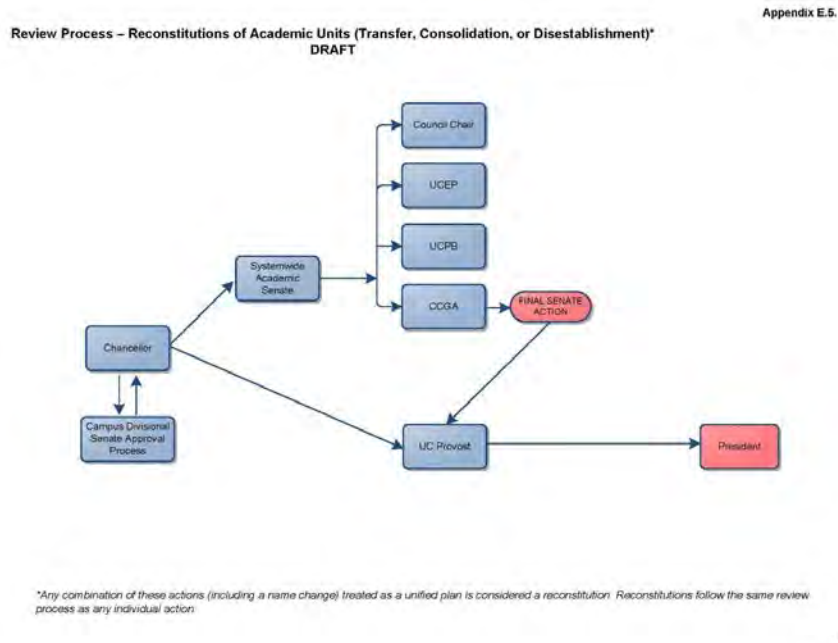
Appendix E.5.

Review Process – Reconstitutions of Academic Units (Transfer, Consolidation, or Disestablishment)*
DRAFT

Council Chair

UCEP

UCPB

Systemwide Academic Senate

CCGA

FINAL SENATE ACTION

Chancellor

Campus Divisional Senate Approval Process

UC Provost

President

*Any combination of these actions (including a name change) treated as a unified plan is considered a reconstitution. Reconstitutions follow the same review process as any individual action.
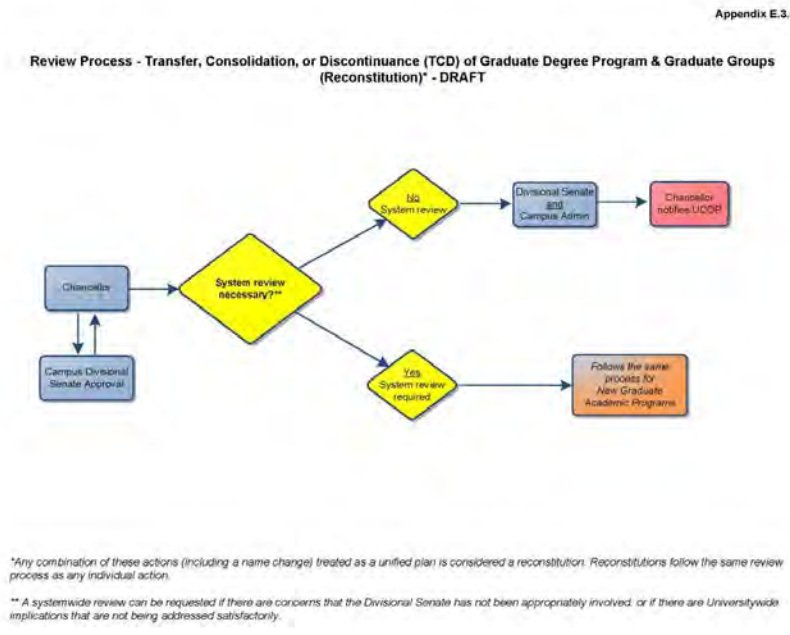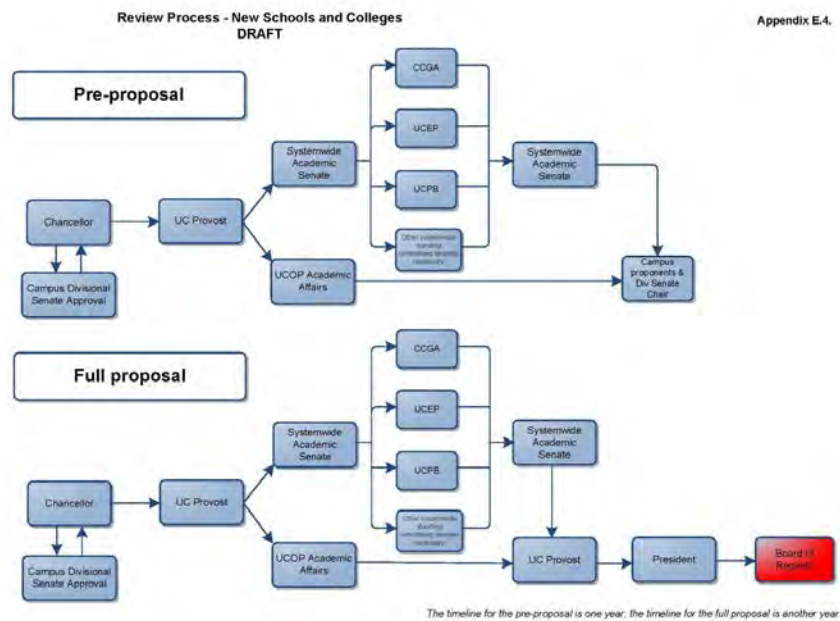
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Appendix F: Systemwide Professional School Planning: Recommended Guidelines and Model

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.

80

- ➢ 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).

81

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.

Last two pages of Appendix F (Insert Financial Table Model, pgs. 75 & 76 in 2011 Compendium)

Financial Table to be Submitted by the Campus to the Office of the President   Page 1 of 2
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

	Pre-opening Phase		Year X	Expansion Phase				(add years as necessary)	Mature Phase
	X-2	X-1	First Enrollment	X+1	X+2	X+3	X+4		Steady State
Academic Year									

Workload Information
Student Total FTE by level
  Undergraduate
  Graduate
  Total
Student Headcount by degree level
  (e.g. Ph.D., MBA, BA and Total)
Faculty FTE
T.A. FTE
Staff FTE
Professional differential fee: proposed level

Facilities Costs
  New Space
  Renovation
  Total
Capital Funding
  State Funds
  Gift Funds
  University Funds
  Other

71

Image of PDF attachment for review copy. Actual PDF with correct page numbers will be included in final document.

Financial Table to be Submitted by the Campus to the Office of the President
With Any Proposal for a New Professional School

Page 2 of 2

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

Academic Year *	X-2	X-1	First Enrollment	X+1	X+2	X+3	X+4	(add years as necessary)	Steady State
Operating Revenue									
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									
Operating Expenditures									
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									
Revenue Less Expenditures									

Include funding for benefits where appropriate.

Image of PDF attachment for review copy. Actual PDF with correct page numbers will be included in final document.

Appendix G: UCOP Policy on Transfer, Consolidation, Disestablishment, and Discontinuance of Academic Programs and Units

Office of the President, September 19, 1979

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.[24] Such Procedures 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

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[24] 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.

85

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.

Appendix H: 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 79 committee that included Academic Senate representatives. APPRB was recently disbanded. In its place is the Academic Planning Council (APC),

90

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

93

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).

94

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

Appendix I: Re-issuance of Memo (#93-4) on University Policy and Procedures Concerning Organized Research Units, Research Administrative Office, March 12, 1993

(Appendix I, which is not cited nowhere in the body of the Compendium, is currently being reviewed to under revisiondetermine whether the document is still operational and should continue to be included as an appendix. Review is anticipated to be completed by May 2014.)

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" (paragraph 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"

96

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

97

the President~. Directors of units serving a single campus are appointed by the Chancellor of the campus~. Directors of Universitywide 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~ 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 Universitywide 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~ President's Administrative Policies and

98

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 University's needs and resources at the time. This restriction does not apply

99

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~~ 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 now 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 non-departmental 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

101

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 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 participation actively in setting the ~~unit's~~ 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

105

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:

(1) 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:

(1) 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 materials 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 which clearly define the nature and scope of its report be given to each ad hoc review committee.

Generally the report should:

(1) 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

109

(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.

(g) 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.

111

Appendix J: Administrative Policies and Procedures Concerning Organized Research Units (1999)

(Appendix J, which is not cited ~~nowhere~~ in the ~~body of the~~ Compendium, is currently being reviewed to determine whether the document is still operational and should continue to be included as an appendix. Review is anticipated to be completed by May 2014.)~~(Appendix J is currently under revision)~~

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 <u>Directory of Organized Research Units in the University of California</u> 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

5. (a) <u>ORUs</u>. 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.

5. (b) 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.

6. (a) 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.

6. (b) 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:

115

- 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.

8. (a) 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.

8. (b) 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

116

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

9. (a) 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.

9. (b) 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

10. (a) 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

117

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.

10. (b) <u>MRUs</u>. 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

118

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

11. (a) 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.

11. (b) 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

13. (a) <u>ORUs</u>. 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.

13. (b) <u>MRUs</u>. 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

14. (a) <u>ORUs</u>. 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.

14. (b) <u>MRUs</u>. 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

15. (a) <u>ORUs</u>. 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.

15. (b) 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 15(a).

LIFE SPAN

16. (a) 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,

121

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.

16. (b) <u>MRUs</u>. 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

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

122

Appendix K: Guidelines for Five-Year 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?

123

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

a. <u>Research</u>: 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. <u>Undergraduate and graduate education</u>: What are the direct and indirect contributions of the MRU to graduate and undergraduate teaching programs of academic departments of the University?

c. <u>Recognition for excellence beyond UC</u>: Does the unit have a national or international reputation for excellence beyond UC?

d. <u>Public service and outreach</u>: 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. <u>Budget</u>. 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. <u>Administration and governance</u>. 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. <u>Director</u>: 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. <u>Space and resources</u>: 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. <u>Personnel</u>: 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. <u>Contract and grant administration</u>: 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.   <u>Advisory Committee(s)</u>: 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.   <u>Problems and needs</u>: 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.   <u>Comparison with other units</u>. 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.   <u>Conclusions and Recommendations</u>.

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