

ACADEMIC PROGRAMS & DEPARTMENTS

GUIDELINES FOR

ESTABLISHMENT AND DISESTABLISHMENT

University of California, Santa Cruz

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Campus Provost and Executive Vice Chancellor

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I. INTRODUCTION

This document defines departments and programs of study and the relationships among these entities; it establishes criteria and procedures for the establishment and disestablishment¹ of departments and programs of studies; and it specifies mechanisms to insure the stability and continuity of established programs.

It is important at the outset to differentiate programs of studies from administrative organizations (*e.g.* departments, program faculties, colleges, and subject matter units):

- **Program of Studies:**

A *program of studies* is a set of course offerings and a set of requirements that lead to an undergraduate or graduate degree or certificate, or focus student interests within established majors. The curriculum of all programs of studies is supervised by a *program faculty*. The program faculty chair reports administratively to a department chair or academic dean.

- **Administrative Units:**²

A *department* is the principal administrative unit to which ladder faculty and SoE lecturers are formally appointed. Departments hold budgeted faculty provisions, also known as *budgeted FTE*. Ladder faculty members and SoE lecturers have Bylaw 55 rights.³ Its faculty comprise a committee of the UC Santa Cruz divisional senate.

A *program faculty* is an assembly of ladder faculty members and SoE lecturers that may sponsor one or more programs of studies and thus offer one or more degrees.

A *college* at UCSC is an administrative unit that may offer courses and degrees and which may superimpose undergraduate graduation requirements beyond degree and general campus requirements. Colleges do not ordinarily hold budgeted faculty provisions.

A *subject matter unit* administers non-ladder faculty members, who in turn provide an array of courses that do not lead to a degree or a certificate.⁴ The Language Program and Writing Program are examples of subject matter units.

¹ “Disestablish” refers to administrative units, and “discontinue” refers to academic programs.

² Schools and divisions are also administrative units, but are not further discussed in this document, except in the case of divisional oversight of a program.

³ Bylaws of the Academic Senate of the University of California.
<http://www.universityofcalifornia.edu/senate/manual/blpart1.html#bl55>

⁴ In former times, UCSC incorporated an administrative unit known as the *committee of studies*. A committee of studies administered faculty members with Bylaw 55 rights, as a proto-department. Committees of studies differed from departments primarily in size (number of budgeted faculty provisions held) and in the degree of dependence upon faculty members from other units to carry out both the programs offered by the committee and the handling of personnel actions. A committee of studies has never been recognized as the equivalent of a department in the UC

II. GUIDELINES FOR ESTABLISHMENT AND DISCONTINUANCE OF PROGRAMS OF STUDIES

Nature of a Program of Studies

A *program of studies* leading to conferral of a degree is a *major program*. Establishment and discontinuance guidelines for programs of studies within established major programs, such as minors and concentrations, are addressed in Appendix F. Major programs are a structured set of courses and requirements leading to a degree or certificate at the undergraduate or graduate level.⁵ Establishment and discontinuation of major programs must be approved by both the Academic Senate and by the university administration.⁶ The curriculum of an undergraduate program is subject to review and approval by the Committee on Educational Policy, and the curriculum of a graduate program is subject to review and approval by the Graduate Council.

A program of studies is supervised by a *program faculty*, which in most instances comprises the faculty of a department. A program faculty may consist of a subset of the members of a department, or it may consist of faculty members from several departments. Programs themselves do not hold faculty provisions.

A program of studies must have stable leadership, ladder faculty commitment, administrative and teaching resources, and suitable mechanisms of oversight and review. These resources, commitments, and mechanisms must, at a minimum, be sufficient to see any current group of students in the program through to its completion or degree.

Major Program Criteria

For a curriculum to serve as a major program, it must have the following characteristics:

1. A set of requirements, which, when satisfied, lead to a degree or certificate.
2. A set of courses, offered on a consistent schedule.
3. Some structure to the course offerings, so that some courses build on the work of other courses (reflected in prerequisite structures, *etc.*).
4. A commitment by senate faculty members to the oversight of the program (the program faculty must include some senate faculty members and the chair must be a senate faculty member).

system, and this entity has been phased out on this campus. Committees of studies could be problematic since they did not represent the long-term institutional commitment associated with a department but nevertheless they held permanent ladder faculty provisions. Committees of studies have each subsequently been transformed into departments.

⁵Every department at UCSC offers at least one degree program, and some offer several. In addition, there are a number of interdisciplinary degree programs overseen by program faculty members from different departments.

⁶ Standing Orders of the Regents 105.2. <http://www.universityofcalifornia.edu/regents/bylaws/so1052.html>

5. A comprehensive set of mechanisms and auxiliary support structures sufficient to guarantee that the program is viable. Viability requires sufficient resources to assure that all students currently pursuing the program can complete the degree requirements in a timely way.
6. Mechanisms for responding to student demand and interests.
7. Oversight of program administration and resources by a department chair or an academic dean.

Major Program Establishment

Any faculty group may develop a proposal for a new major program. If the program faculty members fall primarily within a single department, the program chair will report to the department chair. If the faculty members span several departments within a single academic division, the program chair may report to either a department chair or directly to the academic dean. If the faculty members span two or more academic divisions, the program chair may report to a department chair or the most appropriate academic dean. It is the responsibility of the faculty to seek the most suitable administrative home for the program of studies, based upon discussions with the relevant department chairs and academic deans. Consultation with the Vice Provost of Academic Affairs is encouraged if questions regarding the most appropriate program administration arise.

Major program proposals that are sufficiently advanced may, upon recommendation of the cognizant dean, be included in the annual submission to the University of California Office of the President (UCOP) as part of the campus five-year list of proposed programs.

When a final draft of the major proposal is ready, the formal approval process progresses as follows:⁷

1. The cognizant dean transmits the proposal to the Vice Provost for Academic Affairs (VPAA). The dean's letter should clearly articulate how all program resource requirements, existing and new, will be met.
2. The VPAA will transmit the proposal to the Committee on Educational Policy or Graduate Council, as appropriate. Those committees may in turn consult with other key senate committees such as the Committee on Planning and Budget.
3. In the case of undergraduate major programs, final program approval rests with the Campus Provost and Executive Vice Chancellor (CPEVC).⁸ If the proposed major program includes a degree title that is new to the campus, UC Regental approval is required (for the title only) and the proposal must be sent to UCOP for routing.

⁷ Additional details on the approval process are available from approval process maps posted at <http://planning.ucsc.edu/budget/acadplan/guidelin/newprogs.htm>.

⁸ Universitywide Review Processes for Academic Programs, Academic Units, and Research Units. (July 1, 1999). <http://www.ucop.edu/acadaff/accomp/>.

4. For graduate major programs, if the campus review is favorable and there are no serious resource issues, the campus provost forwards the proposal concurrently to UCOP and the Coordinating Council on Graduate Affairs (CCGA).
 - a) UCOP routes the proposal to the California Post-Secondary Education Commission (CPEC) for endorsement.
 - b) CCGA assigns a lead reviewer to assess the proposal. CCGA may consult directly with the campus Graduate Council and lead program faculty members and visit the campus.
 - c) Upon favorable review, CCGA routes approval to UCOP.
 - d) Upon concurrence of CPEC and CCGA, the UCOP Vice President of Academic Affairs recommends program approval to the President.
 - e) The President transmits final approval of the program to the campus provost.
 - f) In cases where the proposed graduate degree program uses a degree title that has new to the campus, additional universitywide review and approval is needed.

Note that approval of the major program in turn confers acceptance of the program curriculum but does not confer approval of individual courses contained therein. All new course offerings must be approved independently *via* the normal process established by CEP and/or Graduate Council. All degree requirements and course descriptions shall be specified and published annually in the campus catalog following approval by CEP and/or Graduate Council. The campus catalog is the official document of record for the degree requirements of each program, and students are entitled to catalog rights as defined and endorsed by the Committee on Education Policy and/or the Graduate Council.

Appendices B and C provide detailed formats required for developing undergraduate and graduate major program proposals. Systemwide guidelines can be viewed at the designated web site.⁹ The universitywide academic senate Coordinating Council on Graduate Affairs (CCGA) handbook guidelines may be consulted at its designated web site.¹⁰ Note that the campus formats are based on UCOP's guidelines for graduate programs, but are modified to account for specific UCSC requirements.

Major Program Maintenance

For programs overseen by a single department, the department is responsible for allocating the required primary instructional resources to the program.

When a program's primary instructional resources are distributed among more than one department, a *program faculty* must be chartered. The program faculty is composed of ladder faculty members and other members who develop a *program charter*. (Appendix A). The program charter is a resource and management contract agreed to by executive officers of the relevant administrative units. The charter articulates the resource agreement between participating departments and the cognizant dean. The charter stipulates the program faculty's administrative and governance structure, rules regarding membership, selection and duties of the chair, faculty voting

⁹ UCOP Policy: <http://www.ucop.edu/acadaff/accomp/>.

¹⁰ CCGA Handbook: <http://www.universityofcalifornia.edu/senate/committees/ccga/reports.html>

rights on curricular or organizational issues, the cognizant dean, and other management agreements. Charters must accompany new program proposals in the approval process. The purpose of the charter is to guarantee the stability of interdepartmental or interdivisional programs.

Individual faculty members commit to an interdisciplinary program by way of agreements to which their departments are signatories. Thus the individual faculty members and the department chair (acting on behalf of the department faculty) must agree on the extent of the commitment of faculty members to the interdisciplinary program. It is the cognizant dean's responsibility to see that the terms and agreements of the charter are responsibly met. Where primary instructional resources are derived from multiple divisions, all contributing divisional deans are signatories to the charter.

Charter Termination

A charter serves for an indefinite time period, unless otherwise specified. It may be re-negotiated at any time, or discontinued by agreement among the cognizant dean and the relevant department chairs. Discontinuance must allow for the timely completion of degree requirements by duly enrolled students.

If there is a disagreement regarding termination among charter signatories (for example, one department wants to conclude its commitment, but others do not), the cognizant dean will mediate the matter. A department may withdraw from a charter, provided that progress of students currently enrolled in the program is assured. If the program cannot be maintained without the support of the department desiring to withdraw, the program will have to be phased out (in accord with the plan in its charter); alternatively, the charter may be re-drawn.

Program Review

A program of studies will be subject to review as part of the regular academic program review of the department in which it is housed. The first review for a new program should take place three years after its establishment. This may be an internal review.¹¹ Review of interdisciplinary programs is specified in the program charter.

Major Program Discontinuance

Since programs do not hold permanent faculty provisions, it is possible to discontinue a program if student demand does not justify its continuance or if faculty interest and commitment proves insufficient to maintain it. A program may also be discontinued if CEP or the Graduate Council, after a thorough review, finds it deficient in quality; or if, due to fiscal constraints, it is no longer supportable. In such a case, clear provision must be made to assure that students already enrolled in the program are able to complete it in a timely fashion, and without severe degradation in quality. Where a charter is required, the discontinuance process must be specified. The cognizant dean is responsible for managing the discontinuance.

The procedure to discontinue a major program may be set in motion by an initiative on the part of the program faculty; by CEP and/or the Graduate Council; or by the campus provost on the

¹¹ *External Review Procedure for Academic Programs.*
http://planning.ucsc.edu/budget/acadplan/PgmReview/review_procedures.pdf

recommendation of the cognizant dean. The campus provost will request, via the VPAA and the dean, that the program faculty prepare a self-study that addresses the perceived deficiencies. This self-study is submitted to the chairs of associated departments for comment on the impact that discontinuance might have on workloads within their own units. The dean reviews the recommendations of the self-study prior to submitting them to the VPAA. The most recent external review of the program will also be consulted. If there is no recent program review, the cognizant dean may be asked to conduct an *ad hoc* review. The dean presents a recommendation to the VPAA, who will then consult CEP and/or the Graduate Council, and CPB.

In cases where the discontinuance of an *undergraduate* major program is not motivated by fiscal considerations, the decision of CEP is final, and will be reported to the Office of the President by the VPAA. In cases where the discontinuance is motivated by fiscal considerations, the decision is made by the campus provost in consultation with CPB and CEP.

Where discontinuance of a *graduate* major program is not motivated by fiscal considerations, the decision of the Graduate Council is final, and will be reported to UCOP by the VPAA. In cases where the discontinuance is motivated by fiscal considerations, the decision is made by the campus provost in consultation with CPB and the Graduate Council. UCOP reserves the right to review the decision and the process by which the decision was made.

Major Program Name Change

The process for changing the name of a degree program is identical to the process of establishing one, but the proposal itself can be quite brief. A proposal for a major program name change should include a concise description of the proposed change and why it is warranted at this time. The proposal should include a discussion of how such a change responds to student and faculty interests. If the name change signifies a major shift in program direction, such that new resources are required to make the change viable, then the proposal should follow the more elaborate procedures set forth for a new program establishment.

III. GUIDELINES FOR THE ESTABLISHMENT, RENAMING AND DISESTABLISHMENT OF DEPARTMENTS

Nature of a Department

A *department* is an administrative unit consisting of budgeted ladder-rank faculty members offering instruction and carrying out research, scholarship, or other creative activity in a titled, recognized discipline or area of investigation and scholarship. A department offers degree programs at the undergraduate and/or graduate level. It may, in addition, offer service curriculum toward general education or in support of degree programs overseen by other units. A department holds faculty provisions and its members have Bylaw 55 rights.¹² The department chair represents the department faculty. A department's autonomous status must be approved by the administration on the advice of the Academic Senate.

A department represents a campus and university commitment of permanent faculty resources to the disciplinary area of investigation in which the unit is established. Since the members of a de-

¹² Appendix 2 of the Campus Academic Policies and Procedures Manual: www2.ucsc.edu/ahr/cappm.htm

partment have Bylaw 55 rights, it also represents the considered judgment that the area of investigation has sufficient coherence and agreed-upon standards that the faculty members in it will be able to carry out the personnel review process in a meaningful way. For these reasons, the criteria for the establishment of a new department are rather rigorous, and the procedures are to be followed carefully. The University of California Office of the President (UCOP) delegates to the campuses the authority to establish and disestablish departments.

Department Criteria

Departments can either evolve naturally from a long-standing cluster of program faculty members or reflect the development of an entirely new area of inquiry and instruction on the campus. Establishment through either path requires that a department be large enough to act as an independent unit in conducting faculty recruitments and personnel reviews, and to offer a stable curriculum. The intellectual agenda and scope should be sufficiently coherent to serve as a basis for development and as a basis for evaluating the scholarship and research of the faculty in the department. This is measured using four primary criteria:

1. Faculty membership is sufficiently large to sustain a stable undergraduate and/or graduate curriculum, taking into account periodic faculty leaves, course relief for other duty, and other kinds of absences.
2. The faculty can demonstrate its ability to self-govern, including the provision of a chair from within its own ranks.
3. Faculty members possess the breadth and experience to manage and staff their own recruitments and personnel reviews. For particular actions it may be advisable for a department to be augmented by faculty members from outside the department, but generally a department conducts its own affairs and meets its obligations with departmental resources.
4. Faculty members fulfill the mission of the university by carrying out a balance of teaching, research or other creative activity, and service.

There are no formal minimum or maximum sizes for a department. If the programmatic area is sufficiently narrowly defined, and the curriculum similarly limited, as few as five or six faculty members might constitute a department. On the other hand, in some disciplines with programs at both undergraduate and graduate levels and several sub disciplines to cover, a greater number would clearly be required.

Department Establishment

A proposal to establish a new department may originate with faculty participants in an existing degree program, or, in the case of new initiatives, any faculty group or senior academic administrator may advance a proposal. From the start, and throughout the process, the proposing group should consult with a particular academic dean (or deans in the case of proposed cross-divisional activities). In the end, a department will be housed in a division or school, so once established, there will be a single academic dean who oversees the new unit as the responsible administrative

officer. During the planning and proposal process, however, it may be sensible to involve more than one dean.

Such proposals should be submitted for review to the chairs of related or affected departments who might wish to comment on overlaps with existing curricula or on projected demands for service courses that might influence workloads within their own units. Independent of proposed curriculum, proposals for new departments should also be reviewed by chairs of departments with potential research interests in related areas or other areas of faculty interaction.

The cognizant dean then reviews the proposal. The dean may consult with Senate committees and the Vice Provost for Academic Affairs as appropriate for comment on the proposal under development.

When a final draft of the proposal is ready, the formal approval process progresses as follows:¹³

1. The divisional dean transmits the proposal to the Vice Provost of Academic Affairs. The dean's transmittal letter should clearly identify any department resource needs and their anticipated funding sources.
2. The Vice Provost of Academic Affairs (VPAA) will consult with the Committee on Educational Policy (CEP) and/or the Graduate Council, as appropriate, and with the Committee on Planning and Budget (CPB). The Committee on Academic Personnel (CAP) is consulted in cases where the dissolution and/or creation of a new department requires the transfer of one or more faculty members from a previously affiliated department. Where faculty members have been appointed in advance of the establishment of a new department, but with the understanding that they will be affiliated with a future department once it is approved, CAP consultation is not required. This assumes that this understanding has been written into the original faculty appointment agreement.
3. Academic Senate committees transmit comments, questions, and endorsements to the VPAA, who will facilitate responses where required.
4. If the result of this campus review is favorable, and there are no unresolved resource problems, the campus provost may approve the department's establishment.

Where the proposed department coincides with an existing group of program faculty members, ideally an existing degree program should undergo an external review prior to or in conjunction with consideration for department status. The recommendations of the external review should be incorporated into the department proposal.

A proposal for a new department should demonstrate that the new unit meets the four criteria listed above. A proposal format is in Appendix E.

¹³ Additional details on the approval process are available from approval process maps posted at <http://planning.ucsc.edu/budget/acadplan/academic.htm> .

Department Maintenance and Review

The dean within whose division the department is housed will be responsible for administrative support and space allocation. In the third year after a new department is approved, the dean will prepare a written review, assessing its progress in achieving the goals set out in the initial proposal. This report, together with the department's formal academic plan, will be submitted to the VPAA. In the sixth year after approval, and on a regular schedule thereafter, the new department will be examined under the campus academic program review process.¹⁴

Department Disestablishment

On rare occasions, it may prove necessary to consider the disestablishment of a department whose curriculum and/or research presents grave deficiencies or which has ceased to function effectively as an independent unit. It may also become necessary to disestablish departments for financial reasons or if the number of students in the department's program falls below a level that justifies the need for a separate administrative unit. The procedure to disestablish a department may be set in motion by a vote of the faculty members whose provisions are assigned to that department; by CEP and/or the Graduate Council; or by the Executive Vice Chancellor/Campus Provost on the recommendation of the cognizant dean. Such an initiative may or may not result from an unfavorable external review, but in most cases it will be desirable to conduct such a review prior to or in conjunction with the process.

The initiating body will present a case and a plan for disestablishment as well as a plan for discontinuance of any affected programs. The plan for disestablishment should include a plan for the re-assignment of any remaining tenured faculty members to other units,¹⁵ a process in which CAP will be actively engaged. If the department's academic programs are to be discontinued, provision must be made for the currently enrolled students to complete their course of study in a timely manner.

The Vice Provost Academic Affairs will normally request that the department in question prepare a self-study that addresses perceived deficiencies. This self-study, along with the arguments for disestablishment and the plan for discontinuance, is next submitted to the chairs of related or affected departments. The cognizant dean then reviews it prior to submitting the proposal formally to the VPAA. The VPAA will consult with CEP and/or the Graduate Council, with CAP, and with CPB, and will then (if the decision for disestablishment is taken) recommend disestablishment to the Executive Vice Chancellor/Campus Provost. Final approval is the purview of the Executive Vice Chancellor/Campus Provost.

Department Name Change

The process for changing the name of a department is the same as the process for establishing one, but the proposal itself can be quite brief. A proposal for a department name change should include a concise description of the proposed change and why it is warranted. The proposal should include a discussion of how such a change will better serve students and faculty. If the

¹⁴Academic Program Review Procedures

http://planning.ucsc.edu/budget/acadplan/PgmReview/review_procedures.pdf.

¹⁵In accord with CAPP 416.220, Guidelines for FTE Transfers or Split Appointments.

<http://www2.ucsc.edu/ahr/policies/CAPP/416220.htm>

name change signifies a major shift in program direction, such that either new resources are required and/or faculty members might be compelled to transfer in and/or out of the newly named department, then the proposal should follow the more elaborate guidelines set forth for the establishment of a new department.