

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.

Appendix A

INTERDEPARTMENTAL PROGRAM CHARTERS AND FACULTY BY-LAWS

The *program charter* specifies the membership, governance mechanisms, and resource funding of the program faculty. Charters are resource and management contracts that are agreed to by the executive officers of relevant administrative units. The purpose of the charter is to guarantee resource and management stability for interdepartmental or interdivisional programs. Charters must accompany new program proposals when the primary instructional resources of the program are allocated to more than one department.

The completed and signed charter shall be appended to the program proposal, and shall include the information below. Additional elements may be added by faculty participants or campus administration to suit the program particulars.

1. Program Definition

- a) Identify the degree program proposal supported by the charter.

2. Program Faculty

- a) Identify the program faculty members.
- b) Identify the cognizant academic division and associated reporting authority.
- c) Append the faculty by-laws, which stipulate governance structure, faculty duties, and voting protocols.

3. Resources

Specify which department and/or division is responsible for allocating specific resources, including, but not limited to:

- a) Teaching and course offering commitments, including potential leave replacements.
- b) Teaching assistants, readers, and tutors.
- c) Staff and administrative support.
- d) Space needs, including faculty and staff offices, laboratories, seminar rooms, *etc.*
- e) Equipment and supplies, including computers, telephones, furniture, *etc.*

4. Program Review

Interdisciplinary *undergraduate* degree programs will be reviewed according to established campus review guidelines, and incorporated into the administering department's review. Interdisciplinary *graduate* degree program reviews may be incorporated with an administering department's review, or conducted independently. For graduate programs, please state which review mode is proposed and why.

5. Program Discontinuance

Specify how the degree program will be gracefully discontinued if student demand does not justify its continuance or if faculty interests change. Specify the approximate schedule for phaseout.

6. Signatories

The charter should be signed by the following: the chairs of all departments from which contributions of resources are considered essential; the academic deans to whom these departments report; and the academic dean responsible for program oversight.¹ These persons sign as executive officers of their units, and the departmental and divisional resources (but not individual faculty members) are bound by the agreement.

7. Amendments

The charter may be amended, in ways that do not have substantial resource or curricular implications, by agreement among the signatory bodies. Amendments that have substantial resource or curricular implications should be approved by CEP for undergraduate programs or the Graduate Council for graduate programs. Proposed amendments should be submitted by the cognizant academic dean to the Vice Provost for Academic Affairs who will coordinate Academic Senate consultation.

8. Oversight

The cognizant academic dean ensures that the terms and agreements of the charter are fulfilled. To this end, the designated division will maintain and update a list of the program faculty members, and will be the office of record for the charter and any subsequent amendments.

¹ Resources include courses, faculty time, administrative assistance, space, instructional support, and any other required resource.

SAMPLE BYLAWS

The following text is a sample set of bylaws for hypothetical graduate interdisciplinary degree programs in Coastal and Marine Policy, administered by the Department of Earth Sciences, within the Division of Physical and Biological Sciences. This is by way of example; actual by-laws should of course be tailored to the needs of the program.

COASTAL AND MARINE POLICY

FACULTY BYLAWS

PROLOGUE

The Coastal and Marine Policy program faculty shall administer a graduate program of instruction and scholarship leading to the M.A. and Ph.D. degree in Coastal and Marine Policy, in accordance with the bylaws and the regulations of the UCSC Academic Senate and Graduate Division.

ARTICLE I. ORGANIZATION AND APPOINTMENT OF THE PROGRAM FACULTY

Principal Faculty

The *principal faculty* shall be responsible for proposing, modifying, and possibly discontinuing the Coastal and Marine Policy M.A. and Ph.D. degree programs, including amending to the by-laws and the charter.

Principal faculty members are appointed by the dean of the Division of Physical and Biological Sciences, upon nomination by a current member of the principal faculty, and upon a vote by the principal faculty. The Dean of the Division of Physical and Biological Sciences may terminate the appointment of a principal faculty member, upon the advice of the principal faculty.

The privileges and duties of the principal faculty are as follows:

1. Teaching required core courses and elective courses.
2. Service on standing committees and *ad hoc* committees.
3. Supervision of M.A. and Ph.D. candidates.

Associate Faculty

The *associate faculty* shall contribute to the teaching, advising, and research mission of the program, but will not bear the administrative and governance duties of the principal faculty. Associate faculty members are nominated and elected by the principal faculty. Associate faculty membership may be terminated by a vote the principal faculty.

ARTICLE II. COMMITTEES OF THE FACULTY

Executive Committee

An *executive committee*, comprising five members of the principal faculty, shall administer the M.A. and Ph.D. program, in accordance with the bylaws and the approved charter proposal. The executive committee shall communicate reports of its work to the principal faculty at least semi-annually.

The executive committee shall be appointed by the dean of the Physical and Biological Sciences Division in consultation with the principal faculty. At least two members of the committee shall be tenured faculty appointed to the Earth Sciences Department, and the remaining members shall be tenured faculty who may be appointed to other departments. Executive committee members serve for a term of five years, renewable by the Dean of the Physical and Biological Sciences.

The executive committee chair represents the executive committee and principal faculty members to the Dean of Physical and Biological Sciences and to the Earth Sciences Department Chair. Chair appointment shall be made by the Physical and Biological Sciences Divisional Dean in consultation with executive committee members. Chair appointment shall be for a three-year (academic year) renewable appointment.

Standing Committees

Standing committees shall consist of members of the principal faculty and shall be appointed by the executive committee in consultation with the principal faculty. These include:

- a) Admissions committee: The Admissions Committee reviews the files of all applicants for admission, and recommends qualified applicants to the dean of the Division of Graduate Studies. Criteria for admission to the Coastal and Marine Policy M.A. and Ph.D. program, as defined in the program proposal, shall conform to University of California graduate degree program requirements.
- b) Candidacy committee: The Candidacy Committee reviews the files of all students nominated for advancement to candidacy, and recommends qualified candidates to the UCSC Dean of Graduate Studies.
- c) Curriculum committee: The curriculum committee shall propose all changes to the required and elective Coastal and Marine Policy M.A. and Ph.D. program curriculum. Course sponsorship shall remain vested in the Earth Sciences Department and in those departments with which courses are cross-listed.

Ad Hoc Committees

Dissertation Committees: Per the program described in the proposal, each doctoral candidate shall have a three member dissertation committee comprised of one director and two readers. At least two members of the dissertation committee shall be either principal or participating program faculty members. Dissertation committee appointment shall follow procedures and policies established by the UCSC Graduate Division.

ARTICLE III. ACADEMIC ADVISING

- a) Each member of the principal faculty shall be willing and available to serve as an academic adviser.
- b) The chair of the executive committee shall appoint an academic advisor to each incoming student. Faculty advisers may also be replaced upon the formal request of the student or faculty member.
- c) Upon a student's advancement to candidacy, the chair of the executive committee shall appoint a dissertation supervisor to the student. The dissertation supervisor may be replaced upon the formal request of the student or current advisor.

ARTICLE IV. MEETINGS

- a) The chair of the executive committee, in consultation with the principal faculty, shall call such regular and special meetings as are deemed necessary or desirable. There shall be at least two regular meetings per year.
- b) The chair of the executive committee shall be responsible for circulating draft minutes of regular and special meetings within four weeks of each such meeting. Minutes shall be approved at the next regularly scheduled meeting.

ARTICLE V. QUORUM

Meetings of the principal faculty shall be noticed seven days or more in advance *via* email or regular mail. Fifty-one percent of the principal faculty members shall constitute a quorum of a meeting. Unless otherwise provided for in these by-laws, the meetings shall be conducted according to the most recent edition of Robert's Rules of Order. Minutes of previous meetings shall be approved by a simple majority.

ARTICLE VI. AMENDMENTS

These Bylaws shall conform to the standards of the UCSC Academic Senate and UCSC Graduate Division. All policies and procedures for admission, candidacy, and dissertation filing shall conform to the *UCSC Graduate Student Handbook*.

These bylaws may be amended as necessary when and if approved in a mail ballot by a two-thirds majority of the full principal faculty membership.

Appendix B

UNDERGRADUATE PROGRAM PROPOSAL

Submission Packet and Proposal Format

PART 1. Undergraduate Degree Program Proposal Submission

The overseeing academic dean submits a completed new program proposal packet to the Vice Provost for Academic Affairs. For all new programs, the program proposal, a commitment letter from the program faculty and a resource commitment letter from the overseeing dean are required. Additional endorsement letters may be required as a consequence of the proposed program's organizational structure. Below are typical examples of complete proposal submission packets. If your proposed program doesn't fit, contact the Vice Provost for Academic Affairs office for guidance.

A completed submission packet should include:

- Undergraduate degree program proposal (see Part 2, below).
- Endorsement letter from the sponsoring department chair to the overseeing dean.
- Endorsement and resource commitment letter from the overseeing dean to the Vice Provost for Academic Affairs.

Completed submission packets for interdisciplinary undergraduate program proposals offered by faculty from *multiple departments* must also include:

- Charter (governance contract): see Appendix A.
- Endorsement letter(s) from contributing department chairs and divisional deans.

PART 2. Undergraduate Program Proposal Format

The proposal template for undergraduate programs is modeled after the format for new graduate degree program proposals which is established by the University of California.¹ The template has been augmented with descriptive details necessary for UCSC approval procedures.

TITLE

A proposal for a program in _____ (English/Biology) for the _____ degree[s] (B.A., B.S.).

DATE OF PREPARATION

¹ Universitywide Review Processes for Academic Programs, Academic Units, and Research Units effective July 1, 1999.

SECTION 1. INTRODUCTION

A statement setting forth the following:

- 1) Purpose and objectives of the program. Describe distinctive features, including pedagogical underpinnings.
- 2) The timetable for development of the program and enrollment projections.
 - a) Specify the timing for:
- 3) Program Approval.
 - a) New faculty hires.
 - b) Course approvals.
 - c) First availability of core offerings.
 - d) Preparation/availability of catalog copy.
 - e) Availability of space/facilities needed for program.
 - f) Coordination of outreach efforts.
 - g) Development of articulation agreements with community colleges.
 - h) Admission year for first cohort of frosh.
 - i) Admission year for first cohort of junior transfers.
 - j) Anticipated year of awarding first degrees.
 - k) Consistency of enrollment projections with the campus enrollment plan. State if any other programs may have their enrollments reduced in order to accommodate the proposed program.
- 4) Relationship of the proposed program to existing campus programs and current campus academic plans.
 - a) If the program is not in the campus academic plan, why is it important that it be begun now? State evidence of high campus priority.
 - b) Could the curriculum be offered just as effectively within an existing structure (e.g. as a pathway within an existing major program)?
 - c) What overlaps exist between the proposed curriculum and the curricula of other units on this campus?
 - d) Effect of the proposed program on other programs offered by the sponsoring departments.
- 5) How does the program fit with other programs in the University of California and/or regional public or private institutions?
 - a) Discuss the possibility of cooperation or competition with other programs within the university.
 - b) Differences from other similar programs within the University and other California institutions.
- 6) Student demand.
 - a) Provide statistical evidence of student demand, such as enrollment trends, admissions trends, student inquiries, or course enrollments in related majors.
 - b) Provide evidence supporting the view that this demand will be stable and long lasting.

- c) Graduate career placement opportunities; cite employment prospect data and literature where possible. Append relevant statistics and clippings.
- 7) Program Evaluation. Program reviews will occur according to established campus review guidelines and consolidated with the sponsoring department's review. Interdisciplinary undergraduate program reviews will be consolidated with the administrative home department's review.
- a) State which departmental review will include the proposed program.

SECTION 2. CURRICULUM

- 1) List all present and proposed courses and their instructors. Distinguish clearly between existing and new course offerings, required courses and electives.
 - a) Indicate when newly proposed courses will become available.
 - b) Define the schedule on which all courses will be offered (e.g. annually, every quarter, semi-annually etc.).
 - c) Include courses offered in related fields.
 - d) Append the catalog description of all required and recommended courses.
 - e) Discuss the relationship of these courses to specific fields of emphasis.
 - f) Describe the course offering structure, how do they build on each other?
- 2) Curriculum Plan
 - a) Describe how the new course load will be distributed among existing faculty and future hires for three years taking account existing course loads and projected ladder faculty leaves and absences.
- 3) Student Program of study:
 - a) Specific fields of emphasis.
 - b) Unit requirements.
 - c) Required and recommended courses - if multiple pathways offered, provide separate description for each.
 - d) Student Study Plan for four years - - demonstrating students can complete degree in normative time.
 - e) General education and college requirements –how do they integrate with the program?
 - f) Explanation of any special requirements or enhancements. (e.g. Education Abroad, internships, etc.)
- 4) Graduation requirements, including comprehensive exit requirements.
- 5) Major Admission Requirements
 - a) Describe high school and transfer student preparation recommended or required including courses, foreign language, or test requirements.
 - b) Are necessary course articulation agreements in place with community colleges?
 - c) Describe any specialized pre-requisites for acceptance to the major. (field examinations, portfolio reviews, etc.)
 - d) What assurances are there that specialized admission requirements will not put any student group at a disadvantage?

SECTION 3. FACULTY

- 1) Describe program faculty, include immediately pending appointments, and projected future hires. Briefly describe the relationship of the program to faculty research and professional interests.
 - a) List program faculty, core faculty first and then affiliated faculty.
 - b) Solicit and append comments from chairs of departments with programs and/or faculty closely related to or affected by the proposed program.
 - c) For participating faculty outside of the sponsoring department, append copies of letters indicating their interest and commitment to the program (critical for interdisciplinary programs).

SECTION 4. RESOURCE REQUIREMENTS

- 1) If applicable, state that no new resources will be required and describe how the program will be funded.
- 2) If new resources are required, estimate for the first 3 years the additional cost of the program, by year, for each of the following categories.
 - a) FTE faculty.
 - b) Library acquisitions.(consult with librarians)
 - c) Computing costs.
 - d) Equipment. (append inventory of current equipment and future needs)
 - e) Space and other capital facilities. (append inventory of current facilities and future requirements)
 - f) Other operating costs (supplies and expense, maintenance of labs and other facilities).
 - g) Teaching Assistants.
 - h) Technical and administrative/advising staff. (append description of current staffing level and future requirements)
- 3) Indicate the intended sources of funding for all new costs.
 - a) If program is to be funded by internal reallocation, explain how internal resources will be generated and/or realigned and the effects of reallocation on existing programs.
 - b) Clearly separate out any unmet needs.
 - c) Describe opportunities/activities for securing external support.
 - d) What resources (soft funding for instructors and staff, space, etc.) are indispensable to the operation of the proposed program; clearly separate basic requirements from long-term desires.
 - e) For the program's first five years, describe the schedule on which these resources need to become available.
 - f) Relate phasing of funding to targets for enrollments, majors, degrees, or other measures of workload accountability.

SECTION 5. PROGRAM ADMINISTRATION

Describe how the program will be administered so as to assure its long-term stability and coherence. Include:

- 1) Department or faculty group which will administer the program.
- 2) Administrative home for purposes of student major advising.
- 3) Specific provisions for program faculty oversight, including chair succession, student advising, and other leadership responsibilities.
- 4) Append agreements assuring that any courses and other faculty effort essential to the program will be available to guarantee any current cohort of students the opportunity for timely major completion.
- 5) Append a signed charter (Appendix A) if the proposal is sponsored by program faculty from multiple departments and/or divisions.

SECTION 6. CHANGES IN SENATE REGULATIONS

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

SECTION 7. WASC APPROVAL

The Western Association of Schools and Colleges (WASC) is the accrediting agency for the University of California. New programs that involve instructional activities at off-campus locations or use distance-learning technologies may require prior approval from WASC. WASC substantial change requirements are posted at: <http://www.wascweb.org/senior/subchange.html> State if the proposed program requires WASC notification.

Appendix C

GRADUATE PROGRAM PROPOSAL

PART 1. Graduate Degree Program Proposal Submission Packet

The overseeing academic dean submits a completed new program proposal packet to the Vice Provost for Academic Affairs. For all new programs, the program proposal and a resource commitment letter from the overseeing dean are required. Additional endorsement letters may be required contingent on the proposed program's organizational structure. Below are the most typical examples of complete proposal submission packets. If your proposed program doesn't fit, contact the Vice Provost for Academic Affairs office for guidance.

A completed submission packet must include:

- Graduate degree program proposal. (see Part 2, below)
- Endorsement and resource commitment letter from the overseeing dean to the Vice Provost for Academic Affairs.

Completed submission packets for interdisciplinary undergraduate program proposals offered by faculty from multiple departments should also include:

- Charter. (governance contract including faculty by-laws) See Appendix A.
- Endorsement letter(s) from contributing department chairs and divisional deans

PART 2. Graduate Program Proposal Format

The University of California establishes the format for new graduate degree program proposals.¹ The UC template has been augmented with descriptive details necessary for UCSC approval procedures. Systemwide agencies and the UC Office of the President must review new graduate degree programs after they are approved on campus. Additional information regarding the UC systemwide approval process for graduate programs is available from the Coordinating Committee on Graduate Affairs (CCGA): <http://www.ucop.edu/senate/ccgahandbook.pdf>

TITLE:

A proposal for a program of graduate studies in _____ (English/Biology) for the _____ (M.A., Ph.D.) degree[s].

DATE OF PREPARATION:

SECTION 1. INTRODUCTION

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

A statement setting forth the following:

1. Aims and objectives of the program. Describe distinctive features.
2. Historical development of the field and historical development of departmental strength in the field.
3. Timetable for development of the program including enrollment projections.
 - a) Specify the timing for:
 - i) Program Approval.
 - ii) New faculty hires.
 - iii) Course approvals.
 - iv) First availability of core offerings.
 - v) Preparation/availability of catalog copy.
 - vi) Availability of space/facilities needed for program.
 - vii) Admission year for first cohort of masters/doctoral students.
 - viii) Anticipated year of awarding first degrees.
 - b) Consistency of enrollment projections with the campus enrollment plan. State if any other programs will have their enrollments reduced in order to accommodate the proposed program.
4. Relation of the proposed program to existing campus programs and the to the campus academic plan.
 - a) If the program is not in the campus academic plan, why is it important that it be begun now? State evidence of high campus priority.
 - b) Could the curriculum be offered just as effectively within an existing structure (e.g. as a pathway or emphasis within an existing graduate program)?
 - c) What overlaps exist between the proposed curriculum and the curricula of other units on this campus?
 - d) Effect of the proposed program on undergraduate programs offered by the sponsoring departments.
5. Interrelationship of the program with other University of California campuses and/or regional public or private institutions, if applicable.
 - a) Discuss the possibility of cooperation or competition with other programs within the University.
 - b) Differences from other similar programs within the University and other California institutions.
 - c) Draft proposals should be sent to all departments on other UC campuses offering similar degrees soliciting reviews. Append review letters obtained from chairs of such departments.
6. Department or group which will administer the program.
 - a) Administrative home for purposes of student major advising, *etc.*
 - b) Specific provisions for the succession of the chair and leadership responsibilities.

- c) Append agreements in place to assure that courses and other faculty effort essential to the program will be available to assure any current cohort of students the opportunity for timely completion of the major.
- d) Append a signed charter (Appendix A) if the proposal is sponsored by program faculty from multiple departments and/or divisions.

7. Plan for evaluation of the program within the offering department(s) and campus-wide.

SECTION 2. PROGRAM

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

1. Undergraduate preparation for admission.
 - a) Field examinations and/or other pre-qualifying examinations.
 - b) Qualifying examinations – written and/or oral.
 - c) Relationship of master’s and doctor’s programs.
 - d) Special preparation for careers in teaching.
2. Foreign language. “The CCGA recognizes that foreign language competence may be an important element of graduate education of doctoral programs. It is the responsibility of the Divisional Graduate Councils to insure that the proponents of new doctoral programs have carefully considered the value of a foreign language requirement. We shall assume that when a proposal for a new doctoral degree has been forwarded to CCGA, this issue has been addressed and resolved to the satisfaction of the Division. Divisional Graduate Councils should apply the same standard adopted for new programs in reviewing existing doctoral programs.” (CCGA Minutes, 5/14/85, p.6) Describe the need or lack of a need for foreign language competence.
3. Program of study:
 - a) Specific fields of emphasis
 - b) Plan(s) Masters I and/or Masters II; Doctors. State if multiple pathways are offered; provide a separate description for each.
Note: Masters programs require a capstone requirement. The UCSC Graduate Council requires either a thesis capstone (Plan I) or a comprehensive capstone (Plan II). A substitute for this requirement may be considered if there is a strong academic justification.² Doctoral degree capstone requirements are embodied in the dissertation.
 - c) Unit requirements.
 - d) Required and recommended courses, including teaching requirement.
 - e) When a degree proposal must have licensing or certification, list the requirements of the agency or agencies involved in the proposal, especially the specific courses needed to satisfy such requirements.
4. Field examinations – written and/or oral.

² UCSC Senate Manual, Appendix D, Section V.C <http://senate.ucsc.edu/manual/scAppD.htm>

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 student program for each year.
12. Normative time from matriculation to degree. (Assume student has no deficiencies and is enrolled full-time)
 - a) 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.)
 - b) Other incentives to support expeditious times-to-degree: List policies or other incentives that will assure students make timely progress toward degree completion.

SECTION 3. PROJECTED NEED

A statement setting forth the following:

1. Student demand for the program:
 - a) Provide three to five years of enrollment and admissions statistics from this or other institutions to document that demand exists for such a program (data on rate of student inquiries can also be used).
 - b) Provide evidence supporting the view that this demand will be stable and long lasting.
 - c) For new programs that are extensions of existing disciplines, enrollment statistics from related courses can also be used to demonstrate demand.
 - d) Statistics or other detailed documentation of need should be provided.
2. Opportunities for placement of graduates. UC anticipates that CPEC in particular will expect detailed and convincing evidence of job market needs. This is especially true for programs in graduate fields now well represented among UC campuses and other California public or private institutions, as well as programs in the same field proposed by more than one campus.
 - a) If UC already offers programs in the field, what are their placement records in recent years?
 - b) Demonstrate a strong market for program graduates by listing: recent job listings; employer surveys; assessments of future job growth.
 - c) Cite employment prospect data and literature where possible; append relevant statistics and clippings.

3. Importance to the discipline.
4. Ways in which the program will meet the needs of society.
 - a) What evidence justifies the assumption that the proposed degree program would meet a genuine need at UCSC and for the State of California?
 - b) Cite relevant literature and sources when available.
 - c) Describe ways in which program will meet the need.
5. Relationship of the program to research and /or professional interests of the faculty.
6. Program Differentiation. How will the proposed program distinguish itself from existing UC and California public or private institutions, from similar programs proposed by other UC campuses? Statistics or other detailed documentation of need should be provided.

SECTION 4. FACULTY

Provide a statement on present faculty, immediately pending appointments, and projected future hires.

- a) List program faculty, their ranks, their highest degree and other professional qualifications, and a citation of no more than 5 recent publications. Append abbreviated Curriculum Vitae.
- b) Data concerning faculty should be limited to only that information pertinent to the committee's evaluation of faculty qualifications.
- c) Solicit and append comments from chairs of departments with graduate programs and/or faculty closely related to or affected by the proposed program.
- d) For participating faculty outside of the sponsoring department, append copies of letters, indicating their interest in the program. (critical for interdisciplinary programs)

SECTION 5. COURSES

List all present and proposed courses and instructors. Distinguish clearly between existing and new course offerings.

- a) Indicate when newly proposed courses will become available.
- b) Include supporting courses offered in related fields.
- c) Append catalog description of all required and recommended courses.
- d) Discuss the relationship of these courses to specific fields of emphasis and future plans.
- e) Describe how the new course load will be distributed among existing faculty and future hires for three years taking account existing course loads and projected ladder faculty leaves and absences.
- f) Define schedule on which required and elective courses will be offered. (*e.g.* annually, every quarter, semi-annually etc.)

SECTION 6. RESOURCE REQUIREMENTS

If applicable, state that no new resources will be required and describe how the program will be funded. *Note: CCGA is sensitive to understatements of resource requirements. The dean's endorsement letter is expected to reconcile the proposal's resource needs and describe how new resources will be obtained. Resource estimates should be comprehensive and realistic.*

If new resources are required, estimate for the first 5 years the additional cost of the program, by year, for each of the following categories:

1. FTE faculty.
2. Library acquisitions.
 - a) Are the current holdings sufficient to support a new graduate program?
 - b) What kinds of retrospective materials (monographic and serial fills) will be required for graduate level research?
 - c) Does the library currently subscribe to the most important scholarly serial publications (print or electronic) in the field?
Note: Consult with UCSC library staff and request a brief report on library materials, phasing of new acquisitions, and the projected resource impact. Append librarian report.
3. Computing costs.
4. Equipment - Append inventory of current equipment and future needs.
5. Space and other capital facilities - Append inventory of current facilities and future requirements.
6. Other operating costs (technical and administrative staff, supplies and expense, lab maintenance and other facilities). Append description of current staffing levels and future requirements.
7. Indicate the intended funding sources for new costs:
 - a) If program is to be funded by internal reallocation, explain how internal resources will be generated and/or realigned and the effects of reallocation on existing programs.
 - b) Clearly separate out any unmet needs.
 - c) Describe opportunities/activities for securing external support.
 - d) What resources (soft funding for instructors and staff, space, etc.) are indispensable to the operation of the proposed program? (clearly separate basic requirements from long-term desires)
 - e) Over the five-year initial planning period for the new program, describe schedule on which these resources need to become available.
 - f) Tie phasing of funding to targets for enrollments, majors, degrees, or other workload accountability measures.
 - g) Describe relationship of the program resource plan to campus enrollment and resource plans.
 - h) 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? When the program is fully implemented, how will faculty FTE be distributed among contributing and new programs?

SECTION 7. GRADUATE STUDENT SUPPORT

Include detailed plans for providing sufficient graduate student support.

1. Define strategy for meeting support needs.
2. How many teaching assistantships will be available? Will resources for the TAs be provided through approved enrollment growth, reallocation, or combination? How will any reallocations affect support in existing graduate programs?
3. 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.
4. Are other extramural resources likely to provide graduate student support, or will internal fellowship and other institutional support be made available to the program?
5. Describe any campus fund-raising initiatives that will contribute to support of graduate students.
6. Append graduate student support table listing maximum number of students projected and sources of support for the first six years of the program following this sample format:

Yr.	# Students	Fellowships	TA Qtrs.	GSR Qtrs.	Other \$	TOTAL \$	\$/Students
1	6	1,000	10,000	10,000	5,000	26,000	4,333
2	12	1,000	20,000	15,000	15,000	51,000	4,250
3	18						
4	24						
5	30						
6	30						
Steady State	30	20,000	70,000	30,000	30,000	150,000	5,000

SECTION 8. CHANGES IN SENATE REGULATIONS

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

SECTION 9. WASC APPROVAL

The Western Association of Schools and Colleges (WASC) is the accrediting agency for the University of California. New programs that involve instructional activities at off-campus locations or use distance-learning technologies may require prior approval from WASC. WASC substantial change requirements are posted at: <http://www.wascweb.org/senior/subchange.html> State if the proposed program requires WASC notification.

SECTION 10. CPEC SUMMARY

The California Postsecondary Education Commission (CPEC) reviews all proposed graduate programs. Append the CPEC summary (Appendix D) which will be used by UC systemwide administration to prepare a report to CPEC.

APPENDIX D

CPEC SUMMARY

This questionnaire is to be completed by sponsoring faculty. It will be used by Universitywide administration to prepare a report to the California Postsecondary Education Commission (CPEC) for all new graduate program proposals. Append to program proposal.

1. Name of Program:
2. Campus:
3. Degree/Certificate:
4. CIP Classification: (to be completed by Office of the President)
5. Date to be started:
6. If modification of existing program, identify that program and explain changes:
7. Purpose (academic or professional training) and distinctive features (how does this program differ from others, if any, offered in California?):
8. Type(s) of students to be served:
9. Reasons for proposing program now:
10. If program requires approval of a licensure board, what is the status of such approval?
11. List distinctive features (credit for experience, internships, lab requirements, unit requirements, etc.):
12. List all new courses required:
Department, Course Number, Title, Hours/Week, Lecture/Lab
13. List all other required courses:
Department, Course Number, Title, Hours/Week, Lecture/Lab
14. List other UC campuses and California institutions, public or private, which now offer or plan to offer this or closely related programs:
15. List any related program(s) offered at UCSC and explain relationship:
16. Summarize employment prospects for graduates of the proposed program. Give results of job market surveys, if such have been made.

17. Give estimated enrollment for the first five years and state basis for estimate.
18. Give estimates of the additional cost of the program by year for five years in each of the following categories: FTE faculty; Library acquisitions; Computing; Other facilities; Equipment. Provide brief explanation of any of the costs where necessary.
19. How and by what agencies will the program be evaluated?

Appendix E

DEPARTMENT ESTABLISHMENT PROPOSAL

Submission Packet and Proposal Format

PART 1. Department Establishment Proposal Submission Packet

The overseeing academic dean submits a completed new department proposal packet to the Campus Provost and Executive Vice Chancellor. The dean's transmittal letter should clearly identify any department resource needs and their anticipated funding sources. The campus policy is to require commitment letters from all principal officers contributing primary resources to the proposed department. Additional endorsement letters may be required contingent on the proposed department's organizational structure. Below are typical examples of complete proposal submission packets. If your proposed program doesn't fit, contact the Vice Provost for Academic Affairs office for guidance.

A completed submission packet should include:

- Department proposal. (see Part 2, below)
- Endorsement letter from the sponsoring faculty to the overseeing dean
- Endorsement and resource commitment letter from the overseeing dean to the Campus Provost and Executive Vice Chancellor.

Completed submission packets for interdisciplinary department proposals offered by faculty from *multiple departments* should also include:

- Endorsement letters from contributing department chairs and divisional deans.

PART 2. Department Establishment Proposal Format

A proposal for a new department should demonstrate that the new unit meets the four criteria described above in the UCSC guidelines. Use this outline as a framework for the comprehensive proposal.

TITLE:

A proposal for the establishment of the department of _____.

DATE OF PREPARATION:

SECTION 1. Sustainability, Size, and Rationale

- a) Identify the faculty proposed for department membership and where their appointment currently resides.
- b) Identify which programs of studies will be offered by the new department. Clearly differentiate between established programs and proposed programs.

- c) Why could the programs not be offered and administered just as effectively within an existing unit, or as an interdisciplinary program?
- d) What required, recommended, and elective courses are to be offered by department faculty and on what schedule?
- e) How will the department cover key courses when faculty go on leave, assume administrative responsibilities requiring course relief, or are absent for other reasons?
- f) What are the department's longer-range goals and aspirations? This statement should form the basis of the department's initial long-range academic plan.

SECTION 2. Administrative Structure and Self-governance

- a) How will the program be administered so as to assure its long-term stability? (Address both faculty recruitments and personnel actions.) Append governance bylaws, course load policy, and related documents.
- b) What is the plan for appointment of and succession to the chair?

SECTION 3. Research and Teaching Distinction

- a) What is the focus of research and scholarly activity, and how will the proposed unit achieve visibility and distinction?
- b) Specify the assessment criteria of scholarly and creative work in this discipline.

SECTION 4. Resource Requirements

- a) What *incremental resources* (faculty and staff FTE, administrative support, space, computing, library facilities, student support, etc.) are required for the operation of the proposed administrative unit?
- b) Of these required resources, which are already available to the prospective department from existing programs and units on campus and which would have to be created or newly allocated?
- c) On what schedule would these resources have to become available over the initial planning period for the new department and what is the divisional commitment to provide for these needs?

APPENDIX F

Approval, Review, and Discontinuance Guidelines For:

Undergraduate Concentrations, Minors, And Programs Built on Pre-Existing Majors Such As:

Honors Majors, Intensive Majors, Combined Majors, Bachelor/Graduate Programs

The campus recognizes multiple undergraduate curricular programs to provide opportunity for students to focus their interests within established majors.¹ These foci provide structure within which specific issues can be explored and the student's particular interests can be addressed. The majority of these programs do not lead to conferral of a degree. Honors Majors, Intensive Majors, Combined Majors and Bachelor/Graduate programs are built on pre-existing majors. Concentrations and minors allow students to pursue interests within or separate from their major degree, respectively. Brief program definitions are provided below. To develop a common understanding among students, faculty and staff, alternate program names such as "track", "pathway", "emphasis" or other terms should not be used.

The approval, review, re-approval and discontinuance process is addressed below. The term Program is used to encompass all variations.

Program Resources and Sponsoring Unit Responsibility

Approval for Programs that are **resource neutral**, (i.e. no additional resources are required to offer the curriculum) lies with the Committee on Educational Policy (CEP). Additional approval from the Graduate Council is required for Bachelor/Graduate programs.

Resource considerations include advising, tracking and recognition of student participation. Student advising is the responsibility of the unit sponsoring the program and is to be accommodated in the workload of the staff and faculty. Similarly, student tracking is a unit responsibility. Academic Information Systems (AIS) can accommodate non-degree programs in the subplan fields; however, it is a unit responsibility to assign students to the subplan and to verify completion of all requirements. Diploma and transcript notation of successfully completed undergraduate programs is determined by CEP.

Approval

¹ CEP Undergraduate Programs - <http://senate.ucsc.edu/cep/ugradprograms2.pdf>

Programs are initiated by the course sponsoring agency.² The program faculty members develop a proposal that addresses the following:

1. The program's academic objectives,
2. The internal resources needed to mount and sustain the program,
3. The number of students likely to participate,
4. The program's impacts on long term academic plans,
5. Curriculum and leave plans demonstrating capacity to offer the curriculum in the face of faculty leaves,
6. Course and other requirements,
7. Catalog copy,
8. Discontinuance - How the program will be discontinued if student demand does not justify its continuance, if faculty interests change, or if resources are reduced.

The course sponsoring agency sends the proposal to the overseeing dean for consideration.³ The dean is responsible for transmitting the proposal to CEP with a cover letter reflecting the long term planning implications and confirming the proposed program is resource neutral. Graduate Council is also consulted for Bachelor/Graduate programs. Programs requiring new resources require the dean's explicit commitment to allocate the resources. CPB and the VPAA will be consulted if the program is not resource neutral. The dean will consult with the VPAA if resource implications are unclear.

CEP (and Graduate Council for Bachelor/Graduate programs) will communicate final approval to the course sponsoring agency, divisional dean, and Office of the Registrar. CEP determines when programs may be published in the General Catalog and Admission materials.

Review and Re-Approval

All programs will be reviewed in conjunction with the course sponsoring agency's regularly scheduled external review. If the program is housed outside of a unit assigned to the campus review schedule, a separate internal review will be scheduled following campus procedures for academic program reviews. The VPAA will determine any review procedural modifications necessary to best fit the program's size and complexity. At the time of the review, CEP will be asked to issue a **re-approval** allowing each program to continue to the next review cycle. Criteria upon which re-approval will be based include:

- Student participation rates,
- Continued faculty interest,
- Integration of the program into the long-term department plans.

Discontinuance

² Course Sponsoring Agencies are units approved by the UCSC Senate to sponsor courses. Departments, Colleges, Academic Divisions, and ladder faculty for whom a department has not yet been established are examples.

³ The VPDUE serves in the Dean role for programs sponsored by Colleges reporting to the VPDUE.

Program discontinuance and subsequent removal from the course catalog and other campus publications requires CEP approval. Discontinuance may be appropriate for a variety of reasons such as:

- Insufficient student interest,
- Change in faculty programmatic emphasis,
- Budgetary re-allocation or reduction,
- Outcome of program review.

The Chair of the course sponsoring agency, on behalf of program faculty, submits a written proposal for program discontinuance during the catalog copy approval process. The proposal must identify the reason for discontinuance and address how students currently pursuing the program will complete their planned course of studies. Written endorsement of proposed program discontinuance from the overseeing dean is required.

Consultation with the VPAA and CPB is required if discontinuance is due to budgetary re-allocation or reduction.

Program Definitions

The Committee on Educational Policy defines undergraduate academic programs and the terms used to describe them. Consult CEP for current comprehensive definitions.

Consult the VPAA office if you have any questions about program approval procedures. Following is a list of the programs falling under these guidelines.

Concentration

Variation of an existing major curriculum.

Honors Major or Intensive Major

Based on an existing major and includes significantly more academic training than the existing major.

Minor

Courses that when combined have an educational objective, but do not lead to a degree. Minors are typically based on existing majors. Proposals for minors not based on an existing major require endorsement by the VPAA.

Combinations of Pre-Existing Majors Such As:

Combined Major

Combines requirements from two existing undergraduate majors.

Bachelor/Graduate Major

Combines requirements from an existing bachelor major and existing graduate major.

Appendix G

Administrative Oversight Change

Administrative oversight of academic programs is determined upon their establishment. Changing a program's designated administrative home unit is occasionally necessary to increase operational efficiency, align support closer to students and faculty, or enhance interdisciplinary opportunities. The campus has a critical interest in such changes due to their potential impact on academic planning, workload reporting, student advising, and program review. Administrative oversight change by definition excludes any change to the curriculum. The overseeing dean is responsible for notifying the campus of the proposed change; the notification process varies contingent on the program's complexity. Where program curriculum crosses divisional or school boundaries, the overseeing dean will consult with the other relevant dean(s). The Committee on Planning and Budget will be included in consultation when budgetary implications are identified.

Major Degree Programs (without Charter agreements)

1. The relevant dean(s) notifies the Vice Provost Academic Affairs (VPAA) describing the move's justification, department endorsements, program faculty endorsement, and resource impacts.
2. The VPAA notifies the Committee on Educational Policy for undergraduate majors or Graduate Council for graduate majors and asks for their comment.
3. The VPAA announces the change, identifies the impact on program review, and notifies relevant campus units including the Campus Provost and Executive Vice Chancellor, Registrar, and Planning and Budget.

Major Degree Programs (with Charter agreements)

1. The relevant dean(s) notifies the Vice Provost Academic Affairs (VPAA) describing the move's justification including evidence of consultation with affected faculty and departments, and encloses the amended charter.
2. The VPAA notifies the Committee on Educational Policy for undergraduate majors or Graduate Council for graduate majors and asks for their comment.
3. The VPAA announces the change, identifies the impact on program review, and notifies relevant campus units including the Campus Provost and Executive Vice Chancellor, Registrar, and Planning and Budget.

Undergraduate and Graduate Concentrations, Minors, and Programs Built on Pre-Existing Majors Such As: Honors Majors, Intensive Majors, Combined Majors, Bachelor/Graduate Programs, And Parenthetical Degree Notations.

1. The relevant dean(s) notifies the Committee on Educational Policy for undergraduate programs or Graduate Council for graduate programs, typically during the catalog copy approval process. The dean's notice addresses the move's justification and program faculty endorsement.
2. The dean ensures that the change is announced through student advising publications such as the Catalog and program web posting.