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ACADEMIC PROGRAMS & DEPARTMENTS

GUIDELINES FOR

ESTABLISHMENT AND DISESTABLISHMENT

University of California, Santa Cruz

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 start to differentiate between degree programs² and administrative organizations:

- **Program of Studies:**

A *program of studies* is a set of course offerings and a set of requirements leading to an undergraduate or graduate degree or certificate. The curriculum of all programs of studies is supervised by a program committee. The program committee chair reports administratively to a department chair or academic dean.

- **Administrative Units:**³

A *department* is an FTE-holding unit (both ladder faculty and lecturers) whose ladder faculty and SOE members have Bylaw 55 rights regarding both personnel and curricular matters. Its faculty members comprise a committee of the UC Santa Cruz divisional senate. The campus provost may approve new departments.

A *program committee* is a non-FTE holding unit that may sponsor one or more programs of studies and thus offer one or more degrees.

A *college* at UCSC is a non-FTE-holding unit which may offer courses and degrees and which may superimpose graduation requirements beyond degree and general campus requirements. The Regents of the University of California must approve new colleges.

A *subject matter* unit administers non-ladder faculty who 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 It has become conventional to use the term "disestablish" in connection with administrative units (departments), and to use the term "discontinue" in connection with academic programs. We will observe this convention in this document where it is not overly artificial to do so.

² In this document, the terms program of studies, program, and degree program are used interchangeably. In all cases, the terms refer to curriculum and other requirements leading to a UC degree or certificate.

³ Schools and divisions are also administrative units, but we will not be concerned with them in this document, except in the case of divisional oversight of a program.

⁴ In the past, UCSC recognized another kind of administrative entity: the "committee of studies". A committee of studies was an FTE-holding unit whose members had Bylaw 55 rights, yet had never been formally constituted as a department. Committees of Studies differed from departments mainly in size (number of FTE held) and in the degree of dependence on faculty from other units to carry out both the program(s) 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 system, and the usage of this term has been phased out on this campus. A committee of studies was a rather problematic entity, since it did not represent the announced long-term commitment associated with the establishment of a department but nevertheless held permanent ladder faculty FTE. The four Committees of Studies existing as of 1993 (the year in which the original program and department guidelines were developed) have each subsequently sought and successfully secured departmental status.

II. GUIDELINES FOR ESTABLISHMENT AND DISESTABLISHMENT OF PROGRAMS OF STUDIES

Nature of a Program of Studies

A *program of studies* (also called a *degree program*) is primarily a curriculum, a structured set of courses and requirements leading to a degree or certificate at the undergraduate or graduate level.⁵ The curriculum of an undergraduate (graduate) program is subject to review and approval by the Academic Senate Committee on Educational Policy (Graduate Council).

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

For students completing the *major* requirements of a program of studies, the major will be denoted on the university diploma. For students completing the *minor* requirements of a program of studies, the minor will be denoted on the university transcript but not on the diploma.⁶ A minor normally follows the same pattern as those for the corresponding major (when it exists) except that the number of courses required is reduced by two and there are no comprehensive exit requirements. For students completing the requirements of *tracks*, *concentrations*, or *pathways*, no notation will appear on the student's diploma or transcript, with the exception of Graduate Council approved parenthetical notations for specific graduate program tracks.

A program must be stable enough to serve the students well who pursue it as a course of study leading to a degree. To this end, a program 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.

Criteria for Program Status

For a curriculum to count as a program of studies, 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.).

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 from different departments.

⁶For the purposes of this document, sets of courses and requirements which do not lead to an annotation on the diploma, such as minors, are not regarded as "programs of studies".

4. A commitment of senate faculty to the oversight of the program (the program faculty must include some senate faculty and the chair must be a senate faculty member).
5. A well articulated set of mechanisms and auxiliary support sufficient to guarantee that the program has viability. Viability is minimally defined as sufficient resources to assure that all students currently pursuing the program can finish it without abnormal extension of time to degree.
6. Mechanisms for responding to student demand and interests.
7. Oversight of program administration and resources by a department chair or academic dean.

Establishment Of A New Program of Studies

Any faculty group may develop a proposal for a new program of studies. 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 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.

Program proposals that are sufficiently advanced can, upon recommendation of the overseeing 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 proposal is ready, the formal approval process progresses as follows:⁷

1. The overseeing dean transmits the proposal to the Vice Provost for Academic Affairs (VPAA). The dean's letter should articulate clearly how all program resource requirements, existing and new, will be met.
2. The VPAA will consult with the Committee on Educational Policy and/or Graduate Council. Those committees may consult with other key senate committees such as the Committee on Planning and Budget.
3. The Committee on Educational Policy and/or Graduate Council transmit comments, questions, and formal endorsements to the VPAA, who facilitates responses where required.
4. In the case of undergraduate programs final program approval rests with the Campus Provost and Executive Vice Chancellor (CPEVC).⁸ If the proposed undergraduate

⁷ Additional details on the approval process is available from approval process maps posted at <http://planning.ucsc.edu/budget/acadplan/guidelin/newprogs.htm> Contact the Office of Planning and Budget if questions remain.

program includes a degree title that is new to the campus, then UC Regental approval is required (for the title only) and the proposal must be sent to UCOP for routing.

5. In the case of graduate programs, if the result of campus review is positive and there are no serious resource problems, 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 and visit the campus.
 - c. Assuming positive review, CCGA routes approval to UCOP.
 - d. Assuming concurrence of CPEC and CCGA, the 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 never been used before on the campus, additional Universitywide review and approval is needed.

Note that approval of the degree program (major) in turn confers acceptance of the program curriculum but does not infer 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.

Appendixes B and C provide detailed formats required for developing undergraduate and graduate 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 can be viewed at its designated web site.¹⁰ Note that the campus formats are based on UCOP's guidelines for graduate programs but are augmented with details necessary for UCSC review.

Program Maintenance

For programs overseen by single departments, the primary instructional resources required to maintain a program should be made available via departmental allocations.

When a program's primary instructional resources are allocated across more than one department, the principal mechanism ensuring program viability is the establishment of a chartered *program committee*. The program committee is composed of ladder faculty and other members who develop a charter. (Appendix A). The program charter is a resource and management contract agreed to by executive officers of the relevant administrative units. The charter identifies the program's curriculum and articulates the agreement between participating departments and the overseeing dean. Program resources include courses, faculty time for

⁸ Universitywide Review Processes for Academic Programs, Academic Units, and Research Units effective July 1, 1999.

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

¹⁰ <http://www.ucop.edu/senate/ccgahandbook.pdf>

advising, space, and general support. The charter also briefly describes the program, stating its focus and the curriculum managed under the terms of the charter. The charter describes the program committee's administrative and governance structure, rules regarding membership, selection and duties of the chair, faculty voting rights on curricular or organizational issues, identifies the overseeing dean, and other management agreements. Charters must accompany new program proposals during the approval process. The charter's purpose is to guarantee resource viability and stability for interdepartmental/interdivisional programs.

Individual faculty commit to participation in an interdisciplinary program through agreements to which their departments are signatories. Thus the individual faculty and the department chair (acting on behalf of the department faculty) must agree regarding each faculty member's commitment to the interdisciplinary program. It is the overseeing 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 charter signatories.

Charter Termination

A charter does not expire. It may be re-negotiated at any time, or terminated by agreement between the overseeing dean and the concerned department chairs (subject to the requirement of graceful discontinuance, so that any currently enrolled students are not unduly inconvenienced).

If there is a disagreement about termination among charter signatories (for example, one department wants out of its commitment, but others do not), the overseeing dean will mediate the dispute. The department that wishes to withdraw from the agreement has a right to do so, as long as 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, it 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 their charter.

Discontinuance of a Program

Since programs do not hold permanent FTE, it is possible to dissolve 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, it should make clear how this could happen; and the overseeing dean is responsible for seeing that it does happen.

¹¹ *External Review Procedure for Academic Programs*, draft, January 2000.

The procedure to discontinue a program of studies may be set in motion by an initiative on the part of participating faculty; by CEP and/or the Graduate Council; or by the campus provost on the recommendation of the overseeing dean. The campus provost will request, via the dean, that the program in question prepare a self-study that addresses the perceived deficiencies and weighs measures for strengthening the program against the alternative of discontinuance. This self-study is submitted to the chairs of affected departments for comment on the influence that discontinuance might have on necessary service courses or on workloads within their own units. The dean reviews the recommendations of the self-study prior to submitting them to the campus provost. The most recent external review of the program will also be consulted. If there is no recent program review, the overseeing dean may be asked to conduct an *ad hoc* review. The dean presents a recommendation to the campus provost, who will then consult CEP and/or the Graduate Council, and CPB.

In cases where the discontinuance of an undergraduate program is resource-neutral, the decision of CEP is final, and will be reported to the Office of the President by the campus provost. In cases where significant resource questions are at issue, the decision is made by the campus provost in consultation with CPB, along with CEP. The campus provost notifies the Office of the President of any decision to discontinue a program.

Where discontinuance of a graduate program is resource neutral, the Graduate Council makes a final recommendation, which is then forwarded by the campus provost to UCOP for systemwide review. As with undergraduate programs, where there are resource impacts, the campus provost will consult with CPB prior to submitting the proposal to UCOP.

According to UCOP policy,¹² systemwide review of graduate program disestablishment is contingent on the campus divisional academic senate review and whether Universitywide implications (if any) are being addressed satisfactorily.

Changing the Name of a Degree Program

The process for changing the name of a degree program mirrors the process for establishing one, yet the proposal itself can be quite brief. A proposal for a 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

¹² Universitywide Review Processes for Academic Programs, Academic Units, and Research Units effective July 1999, <http://www.ucop.edu/acadaff/accomp/>, page 15.

A *department* is an administrative unit composed of budgeted ladder-rank faculty members offering instruction and doing research 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 some service curriculum toward general education or in support of degree programs overseen by other units. A department holds faculty FTE and its members have Bylaw 55 rights.¹³ 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.

As an FTE-holding unit, a department represents a campus and university commitment of permanent resources to the disciplinary area of investigation in which the unit is established. Since the members of a department have Bylaw 55 rights, it also represents a judgment that the area of investigation has sufficient coherence and agreed-upon standards that the faculty in it will be able to carry out the personnel review process in a meaningful way. It is for these reasons that the criteria for the establishment of a new department are rather rigorous, and the procedures are to be followed carefully. Effective July 1, 1999, the University of California Office of the President (UCOP) delegated to the campuses the authority to establish and disestablish departments.

Criteria for a Department

Departments can either evolve naturally from a long-standing cluster of program faculty 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 sufficiently large, diverse, and coherent to act as an independent unit in conducting recruitments and personnel reviews and in offering a stable curriculum. The intellectual agenda and scope should be sufficiently evident to enable the faculty unit to set a direction for development and to judge the success of its members in contributing to the scholarship within its purview. This is measured using four primary criteria:

1. Faculty membership is sufficiently large to sustain a stable undergraduate and/or graduate curriculum, even in the face of periodic faculty leaves, course relief for other duty, and other kinds of absences.
2. Faculty members can demonstrate their ability to self-govern and provide a chair from within their own ranks.
3. Faculty members possess the breadth and experience to manage and staff their own external recruitments and personnel reviews. For particular actions it may be advisable for a department to be augmented by faculty from outside the department, but generally a department conducts its own affairs and meets its obligations from within departmental resources.

¹³ Refer to Appendix 2 of the Campus Academic Policies and Procedures Manual, www2.ucsc.edu/ahr/cappm.htm

4. Faculty members balance teaching and administrative responsibilities with active and distinguished research careers.

There are no formal minimum or maximum sizes for a department. If the programmatic area is sufficiently narrowly defined, and the curriculum similarly limited, it is conceivable that five or six faculty FTE 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.

Establishment Procedures for a New Department

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 academic administrators 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 the existence of 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 interests in related research areas or other areas of faculty interaction.

The overseeing 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:¹⁴

1. The divisional dean transmits the proposal to the Campus Provost and Executive Vice Chancellor (CPEVC). The dean's transmittal letter should clearly identify any department resource needs and their anticipated funding sources.
2. The campus provost or designate (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 require the transfer of one or more faculty members from a previously affiliated department. Where faculty have been hired in advance of the establishment of a new department, but with the understanding that they will be affiliated with a future

¹⁴ Additional details on the approval process is available from approval process maps posted at <http://planning.ucsc.edu/budget/acadplan/academic.htm> Contact the Office of Planning and Budget if questions remain.

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, endorsements to the VPAA, who will facilitate responses where required.
4. If the result of this campus review is positive, and there are no unresolved resource problems, the campus provost can approve the department's establishment.

Where the proposed department coincides with an existing group of program faculty, 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 to establish a department that oversees an existing degree program is distinct from a proposal that includes initiating new degree program(s). The former must focus on the argument for forming a new administrative structure. Since the degree program already exists, the department proposal does not need to focus on the issues that were relevant for establishing the program of studies initially.

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.

Maintenance and Review of a Department

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.¹⁵

Disestablishment

On rare occasions, it may prove necessary to consider the disestablishment of a department whose curriculum and/or research program are perceived to present grave deficiencies or which has ceased to function effectively as an independent unit. It may also become necessary to disestablish departments for essentially fiscal 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 FTE are assigned to that department, by CEP and/or the Graduate Council, or by the campus provost on the recommendation of the overseeing 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.

¹⁵External Review Procedure for Academic Programs, draft, January 2000.

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,¹⁶ a process in which CAP will be actively engaged. If the department's programs are to be discontinued, provision must be made for the currently enrolled students orderly completion of their course of study.

The campus provost will normally request that the department in question prepare a self-study that addresses any perceived deficiencies and weighs measures for strengthening the unit against the alternative of disestablishment. 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 for comment on the influence that disestablishment might have on necessary service courses or on workloads within their own units. The overseeing dean then reviews it prior to submitting the proposal formally to the campus provost. The campus provost will consult with CEP and/or the Graduate Council, with CAP, and with CPB, and will then (if the decision for disestablishment is taken) approve the disestablishment.

Changing the Name of a Department

The process for changing the name of a department mirrors the process for establishing one, yet 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 name change signifies a major shift in program direction, such that either new resources are required and/or faculty 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.

¹⁶In accord with *Guidelines for FTE Transfers or Split Appointments*, UC Santa Cruz, May 1993.