

HANDBOOK

COORDINATING COMMITTEE ON GRADUATE AFFAIRS (CCGA)

March 2005

<http://www.universityofcalifornia.edu/senate/committees/ccga/ccgahandbook.pdf>

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HANDBOOK

COORDINATING COMMITTEE ON GRADUATE AFFAIRS

Revised Spring 2004

INTRODUCTION

This handbook has been prepared for the guidance of members of the Coordinating Committee on Graduate Affairs (CCGA), a standing committee of the Academic Senate of the University of California. It is also intended to provide guidance to campus faculty and staff who are preparing graduate degree program proposals for submission to CCGA. Appendix A of this Handbook sets forth a glossary of acronyms and shorthand terms appearing throughout the text.

The CCGA Handbook is a compilation of relevant Bylaws of the Academic Senate, excerpts from various reports or statements of policies and procedures of University offices and committees, policies enunciated by CCGA as recorded in its minutes, and descriptions of common practice. The Handbook is intended both to provide the new member with an overview of CCGA's responsibilities and procedures and to assist every member in carrying out certain complex duties, particularly the review of proposals for new graduate degree programs.

ESTABLISHING ACADEMIC SENATE BYLAW

The membership and duties of CCGA are established by Academic Senate Bylaw 180 (1986 Bylaw revision, formerly Bylaw 104) which falls under Title IV, Standing Committees of the Academic Senate.

Bylaw 180. Graduate Affairs, Coordinating Committee on

- A. Membership shall be determined in accordance with Bylaw 128. Two graduate students shall sit with the Committee. [See Bylaw 128.E.] The Vice Chair shall be chosen in accordance with Bylaw 128.D.1. and 3. (Am 6 Jun 79; Am 28 May 2003)
- B. Duties: The committee shall:
1. Advise the President of the University and all agencies of the Senate regarding the promotion of research and learning related to graduate affairs.
 2. Establish basic policies and procedures for coordinating the work of the various Graduate Councils and Divisions.
 3. Recommend to the Assembly minimum standards of admission for graduate students (see Bylaw 311C(1)).
 4. Act for the Academic Senate in the approval of new programs for established graduate degrees, including the joint doctoral degrees with campuses of the California State University.
 5. Review proposals from Graduate Councils for the establishment of new graduate degrees that require approval of the President, to whom The Regents have delegated authority of approval, and submit recommendations thereon to the Assembly (see SOR 110.1 and Bylaw 116C).
 6. Review standards and policies applied by Graduate Councils, and policies concerning relations with educational and research agencies.

TYPES OF CCGA BUSINESS

CCGA conducts seven main types of business. The basic routine for handling all of them is to send any written materials out in advance of a meeting, discuss matters during the meeting, share drafts of any

necessary subsequent written communications via e-mail or at a subsequent meeting, vote if needed on a motion relevant to the written materials, and revise and transmit the final communication. Much of this business is carried out in conjunction with other Academic Senate committees and the UC Office of the President. Specific procedures are described in seven sections that follow identification of the seven types of business:

1. Consideration of proposals for new graduate degree programs (Except the M.D., D.D.S., D.V.M., Pharm.D., and (in at least one case) the J.D.);
2. Consideration of proposals to transfer, consolidate, disestablish, or discontinue academic programs or academic units or to reorganize them through a combination of two or more actions;
3. Consideration of proposals for new ORUs and MRUs;
4. Review of and commentary on campus's five-year perspectives;
5. Review of and commentary on other matters including proposed changes in policies or regulations of either the Academic Senate or UCOP, five-year reviews of existing MRUs, establishment or major change of schools and colleges, UCOP think pieces, and reports of various sorts;
6. Information sharing among representatives of the Divisional Graduate Councils, the CCGA Chair and Vice Chair, the systemwide Academic Senate committees, the Planning Unit in the UC Office of the President, the Council of Graduate Deans, the UC and campus Graduate Student Associations, and various guests (ordinarily from the Office of the President); and
7. Consideration and development of a position on any new issue that CCGA members themselves believe should be addressed.

PROCEDURES FOR PROPOSALS FOR NEW GRADUATE DEGREE PROGRAMS

A central responsibility of CCGA is the review of proposals for new graduate degree programs. The entire systemwide review process ordinarily has several components. CCGA approval is necessary but not sufficient for implementation of the proposed degree program on the campus. Other participants in systemwide review of proposed graduate degree programs are the President or his/her designated representative (usually the Provost and Senior Vice President—Academic Affairs), several UCOP staff, and the California Postsecondary Education Commission (CPEC). For some proposals, the Academic Council or Assembly and the Board of Regents also participate in review. If systemwide planning issues arise, APC is involved. Systemwide review processes for graduate degree program proposals are fully described in the “Compendium of Systemwide Review Processes for Academic Programs, Academic Units, and Research Units,” which can be found on the web at: <http://www.ucop.edu/acadaff/accomp/>.

Any graduate degree program proposal that CCGA receives has been developed by participating faculty and approved or supported by them, by the relevant disciplinary dean, the Graduate Council, and the Chancellor or his/her designated representative. If the degree involves a title that is new to the campus (or school/college/division) and, therefore, not included in the Regents provisions (e.g., Doctor of Musical Arts but not likely the Ph.D. in Music), then the proposal has also been approved by the Divisional Representative Assembly or designated alternative. If the proposed UC graduate degree program also involves another UC campus, a California State University (CSU) campus, or some other academic institution, then necessary support and approval must also have been obtained at that campus or institution.

The submission that CCGA participants receive includes the complete proposal and all appendices (see Appendix B for format), a summary prepared for CPEC (see Appendix C for its format and Appendix D for CPEC's responsibilities), and transmittal letters indicating the necessary campus approval and support. For each participating UC campus, there should be clear indication of the approval of the Graduate Council and endorsement by the Chancellor or his/her representative. If the degree has a title new to the campus (or school/college/division) and, therefore, not included in the Regents provisions, then the Divisional Representative Assembly or alternative must also have approved it. If other institutions participate in the

proposed degree program, there should also be clear indications of support by the appropriate parties there. The lead UC campus submits sufficient copies of all materials for all CCGA participants, as well as sending copies to the Office of the President. CCGA subsequently receives from the UCOP Planning Unit an analysis that considers resource requirements, projected enrollment, uniqueness of the proposed program, student demand, and the job market for graduates. CCGA also receives from the UCOP Coordinator for Library Affairs comments on library resource availability and needs. Finally, CCGA receives comments from representatives of similar graduate programs at other UC campuses.

The section that follows lists the steps involved in the CCGA review process.¹ Before listing these steps, however, it might be helpful to note some issues of timing and logistics that will be of special interest to program proposers.

- Program proposals received by CCGA typically take four to six months to be reviewed and can take longer depending on whether the program is complicated or the proposal is problematic.
- Program proposers should keep this time-line in mind in connection with the listing of courses in campus catalogues. If a program is to be included in a campus catalogue that goes to press in January, the proposal for it must be submitted to CCGA in time to be considered at the committee's meeting of the previous March. Even this, however, is no guarantee that a decision on the program will be rendered by the following January.
- CCGA's procedures allow for flexibility in the review process. Not all the steps listed below need to be carried out for all program proposals. Potential exists for elements of the review process to be shortened or eliminated at the discretion of CCGA. Some program proposals may not need outside reviewers, while others may not need site visits. CCGA lead reviewers may suggest alternative means of handling reviews, though the committee must approve any shortening of reviews through such means as forgoing outside reviews.

Steps in the CCGA Review Process:

1. Selection of lead reviewer. The proposal and associated review materials are distributed by campus to all CCGA members and the CCGA analyst. In advance of the next meeting, the lead reviewer is selected (see Appendix F for responsibilities). He or she should be from a campus other than that from which the proposal originates and should not have any vested interest in the outcome for the proposal. Usually, a member volunteers to serve as lead reviewer and no member takes on two proposals until everyone has one.
2. Preliminary discussion. All members read the proposal and all other available, pertinent material in advance of the meeting at which the proposal is first discussed by the whole group. At this CCGA meeting, members share their reactions to the proposed graduate degree program, identifying specific strengths and weaknesses and indicating where additional information or opinion is needed. At this first discussion, and any time thereafter, the group could decide to reject the proposal, return it for reconsideration on the campus, return it with suggested revisions by the campus, request additional information from the campus, other campuses, or any other relevant place, or proceed with the usual review steps. If, in the opinion of CCGA members, the proposal does not contain adequate information upon which to base an informed judgment about the degree program, review should not proceed until that information is provided by the proposing faculty.
3. Lead reviewer's work. The lead reviewer carries out several responsibilities (see Appendix F). In order to ensure a timely review of the proposal, the lead reviewer should identify experts in the field to serve as outside reviewers as soon as possible. Obtaining written reviews from two or more external reviewers is often the step that takes the longest amount of time. (See Appendix K for sample letters to external reviewers). Other lead reviewer responsibilities include: obtaining additional information from the proposing faculty, campus administration, other campuses, or whomever is appropriate; conducting a site visit on the proposing campus(es); keeping CCGA members and the proposing campus informed;

¹ Excerpted and adapted from *Academic Program Review*, October, 1976; CCGA Minutes, 10/18/77, 3/15/83, 4/19/83, 5/17/83, 10/18/83, 12/13/83, 6/18/85, 7/18/89, 2/91, 9/12/95, 10/17/95, 11/5/96, 5/6/97; previous CCGA Handbook; current practice.

recommending final action on the proposal; and preparing a written report. These are done simultaneously or sequentially, in whatever order and to whatever degree makes sense for the particular proposal.

4. Evaluation criteria. In evaluating the proposed graduate degree program, the lead reviewer and other CCGA members consider such issues as programmatic content, demand, faculty quality, availability of faculty and other resources needed to offer the program, student support, subsequent employment opportunity, support of campus administration, benefit to the campus, and relationship to systemwide graduate offerings. In addition, the lead reviewer evaluates the proposal with respect to CCGA policies, including compliance with the proposing campus's graduate enrollment plan and recommendation for Divisional Academic Senate review within three years of establishment. Additional evaluation criteria have been established for proposed joint UC/CSU doctoral programs (see Appendix G). They may be generalized to apply as well to degree program proposals involving multiple UC campuses or other institutions of higher education. It is incumbent on those proposing the new degree program to provide clear and comprehensive information in all portions of the proposal (see Appendix B for format). Without that information, wise evaluation cannot occur.
5. Conflict of interest. CCGA members or representatives from the campus proposing a new graduate degree program are permitted to participate in discussion regarding the program, but they are expected to avoid advocacy (or antagonism). When members have a conflict of interest with any proposal they are expected to recuse themselves from voting.
6. In-progress reports and activities. A progress report, oral or written, is given by each lead reviewer at every CCGA meeting. At any time, additional discussion of the proposed program or the review process may be initiated by the lead reviewer or by other CCGA participants. If available and needed for any discussion, written materials and correspondence sent to and received from degree program proposers are to be distributed with the agenda. Representatives of the proposing faculty may be invited to appear at a CCGA meeting to answer questions or clarify the proposal. Such invitations are extended as a result of a motion approved at a CCGA meeting. These representatives may not be present during the final phase of deliberations or during the vote. The lead reviewer, or another member, may at any time recommend that the campus be asked to provide certain written modifications or additions to the proposal, that the review process be stopped and the proposal returned to the campus for more extensive modifications, or that the proposal be rejected.
7. First hearing. If CCGA has not at some time along the way decided to reject the proposal or return it to the campus for revision, the lead reviewer ultimately prepares a written report describing the proposed graduate degree program and the review process and providing an evaluation of the strengths and weaknesses of the program. The external reviewers' reports are appended as are any formal modifications or additions to the proposal and any important additional information provided by the proposers. The report and attachments are distributed to CCGA participants in advance of a meeting, read by them, and then discussed at the meeting. At this meeting, on a motion by the lead reviewer, members may vote on the disposition of the proposal or they may direct the lead reviewer to communicate to the proposing faculty one or more questions, requests for clarification, or recommendations for additions or deletions to the proposal (such directives could also be made at one of the in-progress reports). Campus-level review and endorsement of the faculty's response may be appropriate.
8. Second hearing. If this second hearing is needed, the new or revised materials are received and/or prepared by the lead reviewer and distributed with the agenda. Members discuss the proposed degree program and, on a motion by the lead reviewer, vote on the disposition of the proposal.
9. Final disposition. CCGA may approve the proposal, approve the proposal with certain conditions to which the proposing faculty and the Divisional Graduate Council (and, if appropriate, the campus administration) agree in writing, disapprove the proposal, or return the proposal to the originating campus for reconsideration and resubmission in substantially revised form. In the case of conditional approval, the proposing faculty or the Divisional Graduate Council from the proposing campus will be asked (either during the normal review process or at a time agreed upon with CCGA) to provide a report on the steps the proposing campus has taken to meet the conditions that CCGA has attached to its approval. The Academic Council office will maintain a log of CCGA conditional approvals and will notify CCGA when action needs to be taken in connection with such approvals (for example, if CCGA sets as a condition that

a program be reviewed after a certain amount of time, the Academic Council office will notify CCGA in time for CCGA to confirm that the program has been reviewed within that time).

The final decision must be made by a majority vote of the CCGA members taken at any point from the preliminary discussion (2 above) on. The student representatives' votes are recorded but do not count in decision making. Other participants in CCGA meetings do not vote. Any CCGA participant from the specific proposing unit must absent himself or herself from the vote. Any CCGA member or student representative with a conflict of interest must abstain.

10. **Informing others.** The CCGA Chair prepares a letter announcing the final disposition of the proposal (see Appendix L for formats and recipients). The content of the letter varies according to the decision and how much relevant information is contained in separate enclosures to the Chair's letter. The lead reviewer's report and attachments are always enclosed when the graduate degree program proposal is approved by CCGA.

The amount of time required to complete this process varies enormously according to the quality and completeness of the proposal, the ease of obtaining external reviews and conducting a site visit, the responsiveness of the campus to the lead reviewer's requests, and the lead reviewer's diligence. The shortest time is somewhat more than a month for a very weak proposal that is rejected or returned to the campus after the preliminary discussion. The shortest for a proposal that is approved is somewhat more than two months for an exceptionally strong proposal that builds very much on established curricula at the campus. On average, the CCGA review process probably takes four to six months.

PROCEDURES FOR PROPOSALS TO CHANGE ACADEMIC PROGRAMS AND UNITS

CCGA is one of several systemwide reviewers of proposals to transfer, consolidate, disestablish, discontinue, and reconstitute academic programs and academic units. Other participants are the President or his/her designated representative (usually the Provost and Senior Vice President-Academic Affairs), several UCOP staff, and—depending on the proposal—UCEP, UCPB, and CPEC. For some proposals, the Academic Council or Assembly and the Board of Regents also participate in review. If systemwide planning issues arise, APC is involved. Systemwide review processes are explained in the previously described "Compendium."

There are many variations in how CCGA handles these change proposals. Many proposals have been and should continue to be handled by UCOP as a simple administrative action that is subsequently reported to CCGA. Such proposals typically involve the noncontroversial discontinuance/disestablishment of a moribund program/unit or a transfer or consolidation action supported by the participating faculty. In November 1993, CCGA adopted a general process for reviewing transfer, consolidation, disestablishment, and discontinuance proposals (see Appendix N). It involves the following elements:

1. **Early discussion.** As soon as possible after it becomes known the campus is considering such an action, it is discussed at a CCGA meeting. The discussion focuses only on whether there is adequate Divisional Academic Senate involvement in the process and whether any systemwide issues are raised by the proposed action.
2. **Investigation.** If there are questions about Senate involvement or systemwide issues, a subcommittee of one to three members is formed to explore them. The subcommittee reports at the next meeting.
3. **Intervention.** If CCGA members determine either that the Divisional Senate is not adequately involved or that systemwide issues are raised by the proposed action, the Chair endeavors to get the Senate involved or to have the campus consider the systemwide issues.
4. **Approval.** If Divisional Senate involvement is appropriate and systemwide issues do not exist, then it is expected that CCGA approves or recommends approval of the proposed action without further review. Approval or recommendation for approval is understood for those proposed actions handled administratively by UCOP. It may also be given at the first or a later CCGA discussion of the proposed action, becoming effective when the action has been approved on the campus and sent forward for systemwide review. Decisions about proposed actions for which CCGA questions the

adequacy of the Divisional Senate's involvement or the systemwide implications are made on the basis of a full review of a written proposal approved by the campus and submitted for systemwide review.

5. Informing others. If CCGA discusses a proposed transfer, consolidation, disestablishment, or discontinuance, then it usually communicates its approval or recommendation for approval to the Office of the President, with copies to the campus and the Academic Council Chair. Communication is to the Academic Council Chair, with copies to the campus and OP, when the proposed action affects a unique degree title, school, or college. A copy is included as an information item in the next CCGA agenda packet whenever the proposed action is complex or disputed by CCGA members.

At times, a campus develops a unified plan that involves a combination of two or more separate transfer, consolidation, disestablishment, discontinuance, or establishment actions. CCGA uses the term reconstitution to describe such a plan and in May 1994 established procedures for reviewing it (see Appendix O).

The process for reviewing proposals to change academic programs and academic units usually takes somewhat more than a month if it comes before CCGA rather than being handled administratively by UCOP. Most will take not more than about two months. Proposed actions for which CCGA questions the adequacy of Divisional Senate involvement or the systemwide implications will span a period of time beginning with CCGA's first discussion of the proposed action and ending about two months after the final proposal, as approved by the campus, has been submitted for CCGA review.

PROCEDURES FOR PROPOSALS FOR NEW ORUs AND MRUs

CCGA is one of several systemwide reviewers of proposals to establish new ORUs and MRUs. Other participants are the President or his/her designated representative (usually the Provost and Senior Vice President—Academic Affairs), Vice Provost—Research, Coordinator—Research Planning, UCORP, UCPB, and the Academic Council. For MRUs, the Board of Regents also participates. If systemwide planning issues arise, APC is involved. For the Academic Senate portion of the systemwide review, UCORP is the lead committee. Systemwide review processes for ORUs and MRUs are explained in the previously described "Compendium."

The ORU/MRU proposal CCGA receives has been developed by participating faculty and approved or supported by them, the Divisional Academic Senate(s), and the Chancellor(s) or designated representative(s). The submission from the lead campus directly to CCGA includes the complete proposal, all appendices, and transmittal letters indicating the necessary approval and support on every participating campus. The lead UC campus submits sufficient copies of all materials for all CCGA participants, as well as sending copies to the Office of the President. CCGA subsequently receives a staff analysis from the Vice Provost--Research.

In the conduct of its review CCGA should be guided by the (1) Guidelines for Review of Proposed and Existing MRUs (Appendix P) and (2) Administrative Policies and Procedures Concerning Organized Research Units (Appendix Q).

According to the previous CCGA handbook and current practice, the procedure for CCGA review of an ORU/MRU proposal is ordinarily similar to that for a new graduate degree program proposal (see the section "Procedures for Proposals for New Graduate Degree Programs"). There are, however, three very important differences: (a) the lead Academic Senate committee for these proposals is UCORP not CCGA; (b) CCGA makes recommendations as to the approval, revision, or disapproval of an ORU/MRU proposal, but it does not have the authority to approve, approve contingent on certain revisions, or disapprove the proposal; and (c) CCGA makes its recommendation to the Chair of the Academic Council. There are, in addition, the following modifications to specific elements of the procedure for reviewing graduate degree program proposals (The following numbers are consistent with the program review steps identified on pages 5-7 of this handbook):

2. Preliminary discussion. At this first discussion, and any time thereafter, the group could decide to recommend rejection of the proposal, request additional information from the campus, other campuses, or any other relevant place, or proceed with the usual review steps.

3. Lead reviewer's work. The lead reviewer must coordinate his or her activities with the other Academic Senate committees reviewing the proposal, particularly with UCORP, the lead committee.
4. Evaluation criteria. In evaluating the proposed ORU/MRU, the lead reviewer and other CCGA members judge the extent to which the proposed unit is likely to conform to the purposes, scope, structure, and functions of ORUs and MRUs, as established by the Regents and President (see Appendices P and Q), availability of faculty and other needed resources, and campus administration support. CCGA should focus particularly on the role and contribution of the proposed ORU/MRU to graduate education and on systemwide considerations.
9. Final disposition. CCGA may recommend approval of the proposal, recommend approval of the proposal with certain revisions, or recommend disapproval of the proposal.
10. Informing others. The CCGA Chair writes to the Chair of the Academic Council, announcing CCGA's recommendation as to the disposition of the proposal and explaining its reasons for the recommendation. The lead reviewer's report and attachments are always enclosed when the CCGA recommendation is to approve the ORU/MRU proposal.

The ORU/MRU review procedure may be truncated and the proposal nonetheless recommended for approval if the lead reviewer and other CCGA members agree it is warranted and the UCORP Chair is consulted. In some cases, a proposal could be recommended for approval based only on reviewing it. In others, communication with the campus(es) is sufficient. In still others, external reviews and/or a site visit are sufficient or reviews by non-participating UC faculty will replace reviews by non-UC experts. If truncated review is used and the recommendation is for approval, the Chair's letter and lead reviewer's report should provide clear justification for the truncation.

The amount of time required to complete this process varies enormously according to the quality and completeness of the proposal, the ease of obtaining external reviews and conducting a site visit, the responsiveness of the campus to the lead reviewer's requests, the lead reviewer's diligence, and whether some review elements are omitted. The shortest time is somewhat more than a month. On average, the CCGA review process for proposals for new ORUs and MRUs probably takes four to six months.

PROCEDURES FOR FIVE-YEAR PERSPECTIVES

The Five-Year Perspectives provide information needed to prepare annual reports to the California Postsecondary Education Commission (CPEC), and, in addition, provide each campus with information that should be useful in its long-range planning. Analysis of the Five-Year Perspectives from all UC campuses also provides an opportunity to promote the information sharing, coordination, synergy, and specialization possible when UC operates as a system of inter-related campuses.

CCGA participates in the systemwide review of the campus Five-Year Perspectives. In a process described in detail in the Compendium (Section I, pages 8-10), by February 1 each campus submits a five-year projection of anticipated proposals (to create, transfer, consolidate, disestablish, or discontinue graduate degree programs, schools and colleges, and ORUs). UCOP staff then prepare summaries of the anticipated actions, placing them in the context of similar existing or anticipated programs or units. In May, June, or July the campus submissions and UCOP summaries are discussed by systemwide groups, including CCGA.

If CCGA wishes to distribute written comments on the Five-Year Perspectives, the Chair will notify the Council Chair who will be responsible for coordinating systemwide committee responses and for facilitating their distribution to interested parties. In the fall, the Five-Year Perspectives and Senate comments may be an APC agenda item.

PROCEDURES FOR SYSTEMWIDE COURSES

CCGA shall evaluate proposals for systemwide graduate courses based upon the demonstration of multi-campus demand and scope, but also with attention to academic rigor, funding, and resources associated with the course. The proposed actions will be communicated to the campuses. Approval shall only be granted in cases where multi-campus importance has clearly been demonstrated.

PROCEDURES FOR REVIEW OF OTHER MATTERS

CCGA is consulted on a variety of matters other than those already described. Other participants in the process vary according to the topic. For proposed UCOP or Academic Senate policies and procedures, UCEP, UCPB, the Academic Council, and the relevant UCOP staff and officers are the most likely other participants. For the proposed establishment or change of a school or college, UCEP, UCPB, the Academic Council and/or Assembly, the President or his/her designated representative, the Provost and Senior Vice President--Academic Affairs, the UCOP Planning Unit, CPEC, and the Board of Regents are also involved. For five-year reviews of MRUs, UCORP, UCPB, the Academic Council, the Vice Provost-Research, the Coordinator-Research Planning, and the Provost and Senior Vice President-Academic Affairs are also involved. Systemwide review processes for proposed actions involving schools and colleges are explained in the previously described "Compendium."

The procedure for reviewing proposed policies and actions almost always begins with a written document that is distributed a week or more in advance of a CCGA meeting. Most often the document has been sent to CCGA by the Chair of the Academic Council who received it from those who created it (most often an office at UCOP). All members read it. Sometimes, the Chair also asks member(s) to be prepared to lead off the discussion or to form a subcommittee to prepare an analysis. If necessary, the Chair will have contacted the Academic Council Chair, systemwide committee chairs, OP staff, or others to find out who is going to do what after receiving commentary from CCGA. At the meeting, the Chair orients members to the goals of the discussion (for information relevant to five-year MRU reviews). If they have been asked in advance, selected members or the subcommittee present their analyses. All members then discuss the document. Ordinarily, the Chair summarizes the discussion and obtains agreement about how to proceed. The Chair drafts a letter, statement, or resolution and sends it via e-mail to members. At their option, members review the draft and suggest revisions. As needed, revisions are made by the Chair and the final response is sent. Ordinarily the response is addressed to the Chair of the Academic Council. If not, he or she is copied. A copy of the Chair's letter is included as an information item in the next CCGA agenda packet. This process usually takes somewhat more than one month. Particularly complex or controversial proposals (e.g., proposal to establish a major new school or college) may require two or three months to allow for extended discussion, consultation with invited guests, or fact finding and analysis by selected CCGA members or staff.

PROCEDURES FOR INFORMATION SHARING

Efforts are made to have in attendance at every meeting representatives of the nine Divisional Graduate Councils, the Council of Graduate Deans, the UC and campus Graduate Student Associations, and the UCOP Planning Unit. Separate agenda items allot time at every meeting for information sharing by the Chair, representatives of all the Divisional Graduate Councils, the UCOP Planning Unit, the Council of Graduate Deans, and the UC and campus Graduate Student Associations. Each speaker chooses what he or she wishes to say; the Chair includes in his or her comments a summary of the various meetings attended as CCGA representative. Sometimes questions or discussions ensue; sometimes they do not. Sometimes areas for follow-up are identified and pursued.

PROCEDURES FOR NEW ISSUES

New issues may be brought before CCGA by anyone attending the meeting or by a written communication to any member. Usually they are raised by one or more of the 11 CCGA members. After a brief oral or written presentation, the issue is discussed and CCGA members decide whether they want to pursue it. If so, a reasonable course of action is determined. Ordinarily, it will lead to a written statement, resolution, request,

briefing paper, or background paper. Members will vote whether and where to send it. Student representatives' votes are recorded. Options for transmittal include, but are not limited to, other systemwide Academic Senate committees and/or the Academic Council, the Office of the President, and Divisional Academic Senate committees. Ordinarily, transmittal is to the Chair of the Academic Council. If not, he or she is copied. A copy is included as an information item in the next CCGA agenda packet. These procedures require amounts of time ranging from a short discussion at one CCGA meeting to many months.

Appendix A

GLOSSARY OF ACRONYMS AND SHORTHAND TERMS

APC (a-p-c) – Academic Planning Council

Assembly – Assembly of the Academic Senate

Board – Board of Regents

BOARS (boars) – Board of Admissions and Relations with Schools

CCGA (c-c-g-a) – Coordinating Committee on Graduate Affairs

COGD (c-o-g-d) – Council of Graduate Deans

COVC (c-o-v-c) – Council of Vice Chancellors

Council – Academic Council

CPEC (c-peck) – California Postsecondary Education Commission

CSU (c-s-u) – California State University

Division – any one of the nine campuses' Academic Senates

GSA (g-s-a) – Graduate Student Association

MRU (m-r-u) – Multicampus Research Unit, also referred to as University-wide ORU

OP (o-p) – Office of the President of the University of California

ORU (o-r-u) – Organized Research Unit

Regents – Board of Regents

TCDD (t-c-d-d) – transfer, consolidation, disestablishment, and discontinuance

UC (u-c) – University of California

UCAP (u-cap) – University Committee on Academic Personnel

UCEP (u-sep) – University Committee on Educational Policy

UCFW (u-c-f-w) – University Committee on Faculty Welfare

UCOC (u-c-o-c) – University Committee on Committees

UCOP (u-cop) – University of California Office of the President

UCORP (u-korp) – University Committee on Research Policy

UCPB (u-c-p-b) – University Committee on Planning and Budget

Appendix B

FORMAT FOR THE GRADUATE DEGREE PROGRAM PROPOSAL

Title

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

Date of Preparation

Section 1. Introduction

A statement setting forth the following:

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

Section 2. Program

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

1. Undergraduate preparation for admission.
2. Foreign language. "The CCGA recognizes that foreign language competence may be an important element of graduate education of doctoral programs. It is the responsibility of the Divisional Graduate Councils to insure that the proponents of new doctoral programs have carefully considered the value of a foreign language requirement. We shall assume that when a proposal for a new doctoral degree has been forwarded to CCGA, this issue has been addressed and resolved to the satisfaction of the Division. Divisional Graduate Councils should apply the same standard adopted for new programs in reviewing existing doctoral programs" (CCGA Minutes, 5/14/85, p.6)
3. Program of study:
 - a. Specific fields of emphasis
 - b. Plan(s): Masters I and/or II; Doctors A or B
 - c. Unit requirements
 - d. Required and recommended courses, including teaching requirement

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

Section 3. Projected need

A statement setting forth the following:

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

Section 4. Faculty

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

Section 5. Courses

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

Section 6. Resource requirements

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

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

Indicate the intended method of funding these additional costs.

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

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

Section 7. Graduate Student Support

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

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

Section 8. Changes in Senate regulations

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

Appendix C

ACADEMIC DEGREE PROGRAM PROPOSALS: INFORMATION REQUIRED BY CPEC

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

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

Appendix D

CALIFORNIA POSTSECONDARY EDUCATION COMMISSION (CPEC)

The California Postsecondary Education Commission (CPEC) was established by Assembly Bill 770 in 1973, through revisions of the Education Code of the State of California, and replaced the Coordinating Council for Higher Education as of April 1, 1974.

The Commission has three main duties:

1. To provide the Governor, the Legislature, and educators with independent non-partisan policy advice about major issues confronting higher education;
2. To coordinate the educational efforts of California's colleges and universities and their long-range planning activities; and
3. To evaluate the success of California's higher education policies and practices in achieving State goals.

In order to carry out these duties, the Commission:

- reviews proposals for new programs and facilities by public institutions in order to provide coordination and prevent duplication of effort;
- integrates the long-range plans of the public segments;
- develops and maintains a State-level data collection and information system;
- develops and regularly updates a five-year plan for postsecondary education in the State;
- conducts routine and special studies as needed to carry out mandated responsibilities and at the request of the Legislature;
- administers the federally funded Eisenhower grant program; and
- serves as the State Postsecondary Review Entity (SPRE), assisting the Federal government in monitoring fraud and abuse in the administration of Title IV student financial aid funds.

The Commission is a citizen board of 17 members: one representative each of the Regents of the University of California, the Trustees of the California State University, and the Board of Governors of the California Community Colleges; one representative of the independent colleges and universities; the chairperson of the Council for Private Postsecondary and Vocational Education; the President of the State Board of Education or his/her designee; and nine representatives of the general public. These nine are appointed as follows: three by the Governor, three by the Senate Rules Committee, and three by the Speaker of the Assembly. Two student representatives are appointed by the Governor. The Commission selects its chairperson from among the public members. The Commission is advisory to the Governor, the Legislature, and the governing boards of the public segments of higher education.

The Commission appoints the Executive Director who provides leadership to the staff in the long-range planning effort of the Commission. At the direction of the Commission, the Executive Director advises the Governor, the Legislature, and other State agencies concerning policies and funding for California Postsecondary education, based on the work of staff. The Executive Director also works with a Statutory Advisory Committee composed of the chief executive officers of each of the public segments and the State Superintendent of Public Instruction (or their designees) and other representatives of postsecondary segments, in reviewing Commission agenda items and associated documents. The executive function includes liaison with the Statutory Advisory Committee and the segments. In addition, the Commission staff frequently convenes advisory groups, with representation from all the relevant segments, to assist in the study or review of current issues, and to advise on policy formation.

Staff members are civil servants and are responsible for the Commission's internal budget, personnel, Commission agenda, preparation and distribution of reports, and general housekeeping functions.

Appendix E

OVERVIEW: REVIEW PROCESS FOR NEW GRADUATE DEGREE PROPOSALS

Based on CCGA Handbook and the "Compendium" of Universitywide Review Processes

Divisional Graduate Council

- C Approves proposal for new graduate degree program

Chancellor

- C Sends all required materials¹ to systemwide reviewers [upon approval by the Divisional Senate and favorable review by campus administration and the Chancellor (or designee)], including the Provost & Senior Vice President, CCGA members, and CCGA analyst

CCGA

- C Assigns CCGA lead reviewer.
- C Conducts review.
- C CCGA review normally includes full committee discussion, interchange with the campus to clarify issues, written review of the proposal by at least two disciplinary experts, and a site visit by the CCGA lead reviewer.

UCOP Coordinator Program Review

- C Provides summary and comments of the proposal.
- C Asks other UC campuses with similar programs to comment on proposal.
- C Sends the CPEC Summary to CPEC.
- C CPEC review runs simultaneously with CCGA's review.

CCGA approval

- C UCOP Coordinator Program Review compiles CCGA approval and CPEC concurrence and notifies Provost & Senior Vice President.

President

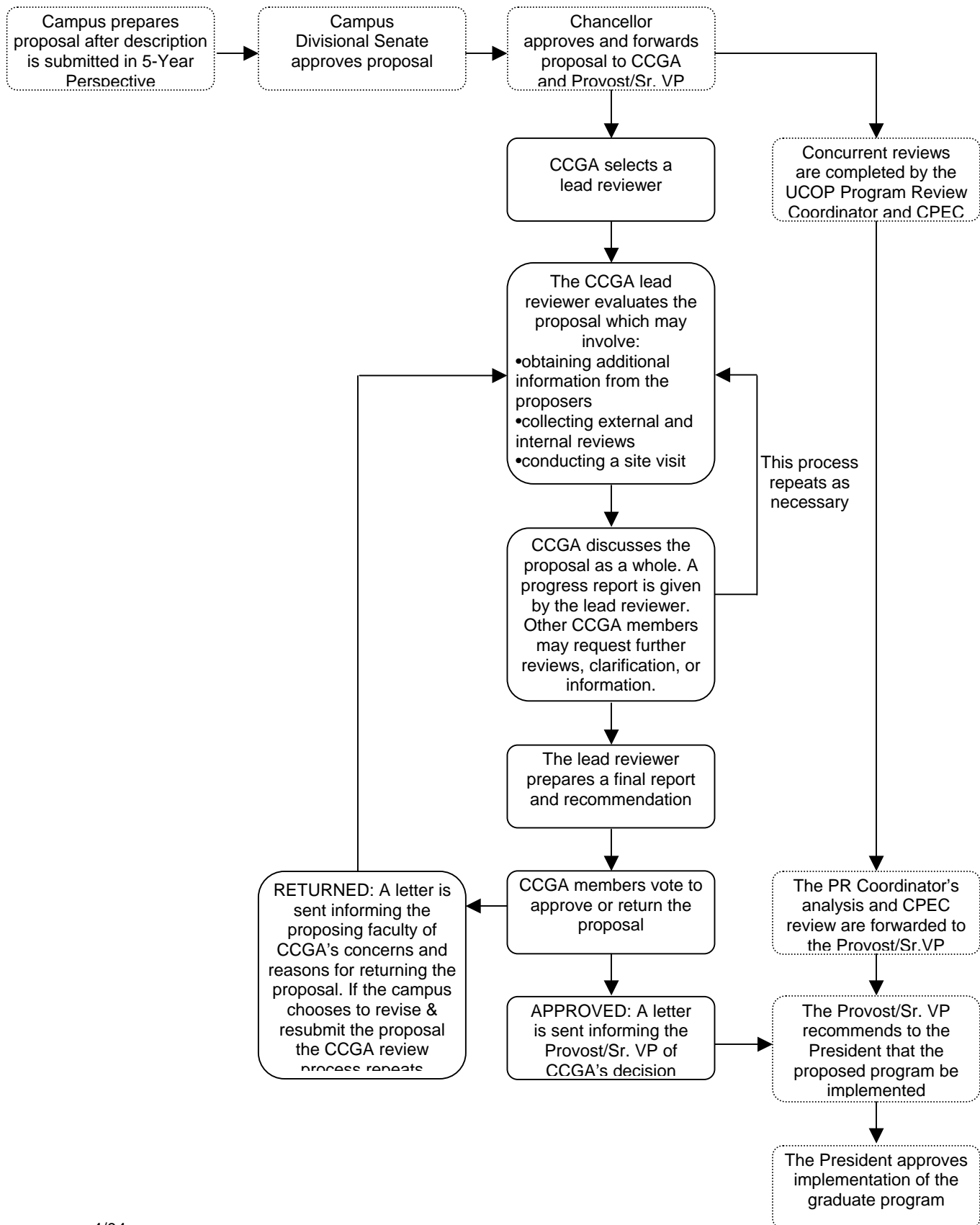
- C Approves implementation of the proposed program, based on recommendation of Provost & Senior Vice President.

NOTE: If the proposed graduate degree program uses a degree title that has never been used before on the campus, then additional reviews and approvals are needed following CCGA's approval of the degree program (See *Compendium*, Section IIC).

1 The completed graduate degree program proposal submission packet consists of:

- C Graduate degree program proposal
- C Letter of support from campus administration
- C Letter of approval from divisional Graduate Council
- C Faculty curriculum vitae
- C Response to CPEC questionnaire
- C Lead faculty member's name, address, contact numbers
- C Department chair's name, address, contact numbers
- C Administrative staff contact person's name, address, contact numbers
- C Suggested names for external reviewers

Flow Chart



Appendix F

GRADUATE DEGREE PROGRAM PROPOSAL LEAD REVIEWER'S RESPONSIBILITIES

The lead reviewer's responsibility is to do the work that allows CCGA to give a proposal for a new graduate degree program a full and fair review, considering the quality of the proposed program, its role on the campus, and its systemwide implications. Every effort should be made to complete CCGA's portion of the systemwide review process just as rapidly as possible consonant with conducting a full and fair review. The lead reviewer must be diligent and efficacious. He or she should keep the campus well informed of what is happening in CCGA's review. A brief telephone call or e-mail update to the proposers every month will be appreciated if contact has not been made any other way.

What follows is a roughly chronological description of the main activities and responsibilities of the lead reviewer. It is meant as a guide rather than a prescription. Steps 5, 6, 7, and 8, in particular, should occur in whatever order makes the most sense for the particular proposal under review.

1. You will receive a copy of a proposed graduate degree program. This may have come with the call to the meeting, been sent directly to you by the proposers, or been distributed at an earlier CCGA meeting.
2. You will be asked to be the lead reviewer (you may decline) or you may volunteer to be the lead reviewer. You may not be a reviewer for a proposal from your own campus or one for which you believe there is a conflict of interest.
3. You will lead any CCGA discussions about the proposal. You may highlight any concerns you have and solicit comments from other CCGA members at the preliminary discussion and/or during later stages of the review. Members will ask questions, give evaluations, and offer advice on how to proceed with the review.
4. After CCGA's preliminary discussion of the proposal, you will contact the proposing campus directly to introduce yourself as the lead reviewer and let them know what to expect in the process. You should start with whomever appears to have a direct leadership role in advancing the degree program (e.g., the dean, department chair, graduate group head), and identify the main person(s) with whom you will interact and others who should be kept informed.
5. At some point and in some way (e.g., telephone calls, during the site visit, e-mail), you will contact the faculty proposing the new graduate degree program to identify their role in its preparation.
6. As a result of the preliminary discussion, or any discussion thereafter, you (or the Chair in extraordinary cases) will communicate to the proposing faculty one or more questions, requests for clarification, or recommendations for additions or deletions to the proposal. According to your judgment, you may distribute copies of this communication to CCGA members as well as to the Graduate Dean and Graduate Council Chair of the proposing campus. The proposing faculty are informed that a response must be received at least 10 working days in advance of a CCGA meeting to allow time for distribution to and study by all CCGA members. You will decide whether campus-level review and endorsement of any response is appropriate and, if so, be sure the proposing faculty obtain it.
7. You will be responsible for obtaining outside reviews of the proposal even if some are included with the proposal. You should begin this process as soon as possible since obtaining outside reviews often takes the longest amount of time in the review process.
 - (a) The external reviews are based entirely on the written material you provide and on the reviewer's expertise in the field. There is no site visit or other investigation required of the external reviewers. Each external review must be submitted in writing.
 - (b) The reviewers should be distinguished scholars in the disciplines of the proposed program. Usually there are two reviewers, both from major research universities. Though it is preferable that neither be from a UC campus, in exceptional cases one reviewer may be chosen from a UC

- campus. In such exceptional cases, however, this reviewer may not be chosen from either the proposing campus or the lead reviewer's campus. For some proposals, especially multi-disciplinary proposals, more than two reviewers may be necessary. In such cases, too, no more than one reviewer may be chosen from a UC campus.
- (c) In selecting reviewers, it is customary to ask the proposing faculty to recommend people and to get other experts (e.g., other UC faculty) also to recommend people. When it makes sense to do so, one reviewer may be selected from each set of recommendations. People who submitted letters of support for the proposal or are otherwise already involved in supporting the proposed degree program are usually not selected as external reviewers.
 - (d) An honorarium in the amount of \$250 may be paid to each outside, non-UC reviewer participating in the CCGA program review process (letter from Bovell, Chair of the Academic Council and the Assembly of the Academic Senate, to Russell, Chair of CCGA, 2/91). You should obtain the reviewer's social security number and home address and give that information to the CCGA Committee Analyst after the written review report has been received. The Committee Analyst will arrange for the honorarium to be paid.
 - (e) You will need to ascertain the level of confidentiality desired by the individuals consulted and to maintain it in all oral and written communications. Usually, external reviewers agree to have themselves identified in the lead reviewer's report, their reviews appended to the report, and their comments quoted in the report. This is preferred because their stature lends weight to their evaluation and suggestions. However, you should establish with each reviewer the least restrictive level of confidentiality to which he or she will agree and then operate accordingly.
 - (f) The CCGA Analyst will have additional copies of the proposal; you may wish to ask the proposers for any subsequent written materials that you need for the reviewers. You may also wish to obtain from the proposers, for yourself and the reviewers if you judge the materials helpful, fuller CVs, course catalogs, grant support history, facilities descriptions, etc.
 - (g) Having identified potential outside reviewers, you will need to contact them, and if they are able to serve as reviewers, send them the proposal and any additional material prepared by the proposers and others on that campus. You need to give them some guidance about the review content and timetable, agree about confidentiality, and confirm the honorarium (see Appendix K for a description and sample letters).
8. You may want or be requested to site visit the program. **All expenses associated with this visit must be paid for by the proposers.** Please advise them of this at the first discussion of a possible site visit. During a site visit, you should plan on talking with faculty members, students who might be enrolling in the program, the academic dean, and anyone else considered helpful. You may ask to see the facilities. You may wish to discuss any concerns raised by CCGA, the Office of the President (see below), other UC campuses (see below), APC, CPEC, or outside reviewers (if you have chosen to contact them before the site visit).
 9. The Office of the President will also be conducting a review of the proposal. If the proposing faculty do not do so, the UCOP Planning Unit will contact other UC campuses with similar programs. The UCOP Planning Unit will also analyze resource requirements, projected enrollment, uniqueness of the proposed program, student demand, and the job market for graduates. The UCOP Coordinator for Library Affairs will comment on library resource availability and needs.
 10. You will make progress reports at every CCGA meeting. Substantive discussions of the proposal may occur at more than one meeting. You may contact the proposers as often as needed to request an oral or written response to concerns raised at any time during this process (including a written addition to, deletion of, or alteration of some aspect of the proposal).
 11. You will make a recommendation to CCGA to:
 - a. Approve the proposal;
 - b. Approve the proposal with agreed upon modifications;

- c. Return the proposal to the campus for more extensive modifications; or
 - d. Reject the proposal.
12. CCGA consideration of your recommendation will be facilitated if you submit a written statement supporting the recommendation that can be distributed with the call to the meeting. If your recommendation is approval of the proposal, a preliminary written report must be submitted for members to review prior to the meeting at which it will be discussed.
 13. The lead reviewer's report should contain a short description of the proposed degree program, a chronology of the review process, a description of the strengths of the proposed program, an identification and discussion of weaknesses or concerns identified by CCGA members or reviewers and any responses to them, and a recommendation with the supporting rationale for it. Particular topics and extent of discussion of them will vary according to the nature of the proposal and reactions to it. The substance of the report should, on balance, support the recommendation. If the recommendation is rejection or a return to the campus, the report should be written so as to be helpful to the proposing faculty if they wish to revise and resubmit the proposal.
 14. If the proposal is approved, you will amend your preliminary report as needed and send the final version to the Chair of CCGA along with the reports from the external reviewers, any additional materials submitted by the proposers, and anything else you believe informative and relevant. All these reports and materials will be sent by the CCGA Chair either to OP, if the proposed program involves a degree title already on the campus (or already authorized for the school/college/division), or to the Academic Council Chair, if the proposed program involves a new degree title for the campus (or school/college/division) and, therefore, is not included in the Regents provisions. For decisions other than approval, you and the CCGA Chair will agree what sort of report, if any, and additional materials are needed from you.

Appendix G

CRITERIA FOR REVIEWING PROPOSED JOINT UC/CSU DOCTORAL PROGRAMS

Since the inception of the joint doctoral programs agreement, a basic philosophy for the programs has emerged within the University. Joint doctoral programs are designed to combine intellectual and physical resources in a discipline where a program is being proposed, to be mutually beneficial to both UC and CSU, and to meet a need not now being met by UC. It is expected that the research interests and program strengths of the proposing UC and CSU departments complement and reinforce each other, rather than duplicate an existing program. Such a logical combination, therefore, broadens the base upon which the program is being developed and provides a wider breadth and depth of faculty and curricula.

The following criteria, most of which derive from the basic reasons for engaging in joint doctoral programs, are suggested to guide the University's review and approval of these programs:

1. Criteria for Granting Permission to Negotiate: When permission to negotiate is requested, the proposing UC campus should demonstrate:
 - a. in writing the interest of faculty members from the proposing department or group to participate in the program and the potential benefits to be derived from the program by UC;
 - b. adequacy of existing staff and facilities by showing that faculty, courses, equipment, and library and other facilities are already in place, and only minimal resources will be required;
 - c. that there is an existing or closely related Ph.D. program in the discipline in which the joint doctoral program is being proposed; and if there is no existing Ph.D., show that the Ph.D. degree is an appropriate degree for the field in which the joint doctoral program is being proposed; e.g., a Ph.D. in Food Science that was proposed several years ago was not considered an appropriate degree for the field; and
 - d. that if the proposing campus has a closely related Ph.D. (rather than an existing Ph.D.) in the discipline in which the joint doctoral program is being proposed, there is an existing group of faculty whose expertise is in the discipline of the proposed joint doctoral program and who can and will exercise the same quality control over the proposed program that the campus applies to its own free-standing doctoral programs.
2. Proposal. The proposal for a joint UC/CSU doctoral program should contain the information requested for a graduate degree program proposal from a single UC campus (see Appendix B), whatever additional information is needed to demonstrate that the proposed program meets all the criteria for approval listed below in point 3, and a resume of all other joint programs in existence between the UC proposing campus and the CSU system with a brief history and current status of each program. The CPEC form (see Appendix C) should also be appended. The proposal should include the rationale for a joint program, e.g. its uniqueness; that the combined faculty provides needed expertise and can meet societal demand; that the program provides opportunities for equipment sharing and research collaboration. The proposal should indicate that the program has support from the faculty and departments involved.
3. Criteria for Approval. Before the final proposal for a joint doctoral program is approved, the criteria for granting permission to negotiate (above) should be addressed satisfactorily by the proposing campus and the proposing campus should further demonstrate:
 - a. that the proposed program has clear and valuable benefits for the UC department or program making the proposal, e.g., because of special facilities or program strengths that CSU has or because of unique expertise that CSU faculty possess in the discipline in which the joint doctoral program is being proposed which, when combined with UC facilities and faculty expertise, would enhance the academic quality of the program;

- b. that there is adequate student demand for the program by estimating student demand and providing related data and considering enrollment in relation to available spaces for similar programs, at its own campus and at other campuses, as the one being proposed;
 - c. that there is a favorable job market for the program's graduates by assessing the academic and/or non-academic employment prospects in the field of the proposed program and by substantiating employment trends with data from surveys or employment studies;
 - d. that the existing or closely related Ph.D. program has the capacity to accommodate the additional students or such capacity is planned for; the additional burden of the proposed joint program should readily be accommodated on the UC campus without substantial additional resources being required; if there is no capacity to expand in the existing Ph.D. program or closely related Ph.D. programs, then the proposed joint doctoral program will not be approved since the UC campus could not accommodate the students; and
 - e. that, when there is a closely related Ph.D. program rather than an existing Ph.D., an interdepartmental graduate group will be appointed or a department designated at the proposing UC campus and formally charged by the Senate and the administration with responsibility for giving the joint degree program the same attention a department or graduate group would give its free-standing Ph.D. programs.
4. Administration. A joint doctoral degree is granted by both UC and CSU. Therefore, the responsibility for the administration of the doctoral program should be equally divided between the two systems.
- a. UC and CSU are jointly responsible for admission of students.
 - b. Each participating segment should have a faculty member (graduate advisor) responsible for and knowledgeable about the program and a staff member to support the faculty member and assist students.
 - c. A student's examination and doctoral committees must have at least four members of which at least two must come from each of the cooperating segments.
 - d. The proposal should be explicit about the location of registration and payment of fees throughout the program, and the location of student support services, including assistance in securing financial support.
 - e. Joint programs may require additional resources, beyond those required by any new program at start-up because of their joint activities. This should be included in the budget submitted with the proposal.

(Appendix G Revised 11/2000)

Appendix H

GUIDELINES FOR REVIEWING PROPOSED MAS PROGRAMS

The Master of Advanced Studies (MAS) is intended primarily for individuals who are engaged in full-time employment and wish to upgrade their skills and develop their knowledge in order to achieve professional advancement. However, the degree may well prove to be of interest to individuals who do not have vocational goals in mind, so the MAS may also prove to be a conduit by which UC can extend its mission of general education to a broad segment of the California population. Each realization of the MAS degree on a campus in any particular field or discipline must be submitted to CCGA in the usual manner of Academic Senate approval at the system level.

The MAS indicates that recipients of the degree have adopted a part-time rather than a full-time approach to their studies. It does not indicate that the degree in any way requires a less demanding course of study than full-time Masters' degrees. Consequently, CCGA reviewers should be particularly attentive to the composition, structure, and requirements of the degree. Proposers of MAS degrees should indicate whether they are following the Masters I or II plans and, when they deviate substantially from these plans, they should provide detailed justification for so doing.

CCGA should arrange for at least one internal (UC) and one external reviewer, in addition to the internal review material submitted by the Office of the President. The external reviewer should not be expected to evaluate the new MAS program in a national context, as is done with the evaluation of regular programs. Rather, the reviewer should be asked to comment primarily on the academic integrity of the proposed MAS.

The following are some of the questions and criteria CCGA reviewers might wish to consider as they review new MAS programs:

- 1) **Is there a demonstrated demand for this degree program?** As the MAS is part-time and primarily vocational, does the proposal make a compelling case that a sufficient market exists either within the geographical region adjacent to the UC campus, or, in the case of those programs that will depend substantially on distance-learning, in the state of California? Does the proposal include a description and comparison of potentially competing programs? Wherever possible, proposals should include documentary evidence as to need, such as letters from prominent professionals in the field in which the MAS is being offered or the results of a market survey.
- 2) **Is the faculty committed to teach the MAS?** According to the 1996 UC Policy on Self-Supporting Part-Time Graduate professional programs, all MAS programs should be staffed with ladder-rank faculty on the same basis as regular programs. Have adequate provisions been made to ensure the program will be permanently staffed so as to fulfill the requirements of this policy?
- 3) **Will the MAS negatively impact the regular programs of the academic unit offering the MAS?** Some faculty may teach in the MAS program as an overload and it is to be assumed that they will receive compensation for this, additional to their regular salary. Is there any danger that the regular programs at both the graduate and undergraduate levels might suffer because of faculty teaching in the MAS? Is there any indication that teaching in the MAS might negatively influence the research output of faculty?
- 4) **What are the roles of the Academic Senate and University Extension?** In several cases the MAS program will be advertised and perhaps even administered by University Extension. Have the respective roles of these two entities been adequately defined? Do the two entities have equal expectations of the program?
- 5) **What is the role of the department, interdepartmental program, graduate group, or certificate program?** Does the administrative unit have full control over the conception and development of the program? Does it have full control over determining the curriculum and staffing of the program?
- 6) **What are the admissions requirements?** Admissions standards for part-time graduate programs should be appropriate to maintain a high quality comparable to regular programs. Does the decision as to who should be admitted into the program rest solely with Academic Senate faculty members?

- 7) **Does the proposed program have a capstone requirement?** As the MAS degree is to be structured on the Master I or II models, it is to be assumed that there is a capstone requirement. Certain programs may not, however, require one. If there is no capstone requirement, does the proposal make a convincing argument for its omission? (Note that a capstone requirement does not necessarily have to be a thesis or even a comprehensive exam. As the MAS is primarily vocational in intent, it can be expected that capstone requirements might be different from those expected in a full-time degree program). What provision has been made to ensure that students will have the opportunity, at the end of their studies, to engage in a thorough overview of the work undertaken through the entire program?
- 8) **Is the workload for the proposed degree program reasonable?** There is a particular difficulty and challenge in devising a master's program that both sustains the high standards required of UC graduate programs and enables students to study effectively while being employed full-time. Does the proposed program meet this challenge?
- 9) **Has fullest advantage been taken of the part-time nature of the program?** Given the part-time nature of the program, it will be possible to schedule instruction in non-traditional schedules, e.g. evening hours, intensive weekend or week-long sessions, field trips etc. Are the proposers resourceful in devising the program schedule?
- 10) **Is the advising system adequate?** It can be anticipated that faculty advising may be crucial to the success of individuals completing the MAS program. Given the distinct possibility that MAS students will not be as familiar with the UC system as full-time students, advising will be particularly important. Are adequate provisions made for substantial advising? Are the faculty committed to it?
- 11) **Have the financial aspects of the program been fully worked through?** According to UCOP's budget office, MAS programs must be either self-supporting or entirely state-supported. However, MAS programs that are envisaged ultimately to be self-supporting may be phased in with state funds. Is the argument that a proposed MAS program will ultimately be self-supporting convincing or not? How reliable is the evidence that it will eventually achieve self-supporting status? If the program is not instantly self-supporting, are the phase-in financial provisions for the new program adequate? Will they draw resources from established full-time programs already taught in the department, interdepartmental program, graduate group, or certificate program? Has financial aid (either scholarships or loan funds) been provided sufficient to provide access for qualified students and to ensure diversity in the student community?
- 12) **Is regular review of the MAS program guaranteed?** As all MAS programs will be administered by academic departments, interdepartmental programs, graduate groups, or certificate programs, the MAS programs should be reviewed at the time of the regular review of the administrative unit conducted at the campus level. Do the proposers demonstrate a full awareness of this requirement?

Appendix I

GUIDELINES FOR REVIEWING APPLIED DOCTORATE PROPOSALS

The applied doctorate is a degree designed to prepare individuals for professional practice rather than scholarly research and study. Examples of applied doctorates include: Doctorate of Education (Ed.D.), Doctorate of Physical Therapy (D.P.T.), Doctorate in Optometry (O.D.), and the Doctorate of Audiology (Au.D.). An applied doctorate reflects the mastery of a practice and the ability to adapt to future changes in practice, qualification for licensure certifying doctoral level training and/or the skills and ability to conduct a major applied research project, and a demonstrated contribution to the practice of the student's discipline.

The objectives of applied doctorate programs are directed toward preparing individuals with the theoretical foundations, applied skills and practical expertise required for professional positions within their respective fields. This degree prepares professionals to have a greater understanding and appreciation of research and the scientific basis of their discipline than can be accommodated within an applied Masters program or other professional training. For existing practitioners, an applied doctorate can enable them to expand their knowledge and competency in their profession and aid in their career advancement goals. The applied doctorate also aims to train and prepare professionals to meet the needs of the community, state, and nation.

In reviewing these degrees, CCGA lead reviewers should consider the justification for offering the doctorate program and whether there is a compelling reason for a doctorate level degree in this profession. In some instances, professional degrees are externally regulated – graduates must be formally examined and licensed before they are allowed to practice. In other fields there may not be a professional licensing board specific for the degree awarded. In 1995, CCGA waived its right to review five of these professional degrees: M.D. (Medicine), D.D.S. (Dental Surgery), D.V.M. (Veterinary Medicine), Pharm.D. (Pharmacy), and J.D. (Law). In addition, CCGA agreed to allow Divisional Graduate Councils to delegate their oversight responsibilities to the professional schools offering these specific degrees.

The following are some of the questions and criteria CCGA reviewers should consider as they review new applied doctorate programs:

- 1) Is the curriculum sufficiently advanced beyond a masters degree to justify doctoral-level training?** What types of methodology training or courses are offered?
- 2) What are the standards of the professional association or licensing board for doctoral training or other professional training in this field?** How does this program meet these standards? A copy of the professional association standards should be included with the proposal.
- 3) Is there a demonstrated State need for this degree program?** Is there a shortage of trained professionals in the State at the doctoral level? Which institutions are producing current practitioners? What is the priority that should be given to developing a new doctoral professional program in this field?
- 4) Is there a demonstrated demand for graduates of this degree program?** Does the proposal make a compelling case that a sufficient market exists for the graduates of the program? Depending on the nature of the profession, it may be appropriate to consider the market as regional, statewide or national. Does the proposal include a description and comparison of potentially competing programs?
- 5) Does the proposal show evidence that the program has the potential for excellence?**
- 6) Is the faculty committed to teach the applied doctorate?** The academic leadership of the program should be by staffed with ladder-rank regular faculty. What provisions are proposed to ensure the program will be adequately staffed on a long-term basis? What is the anticipated balance of faculty (e.g. ladder rank, non-ladder rank, clinical, or adjunct faculty)? Does faculty have sufficient applied experience in the field?
- 7) Does the proposal address the relationship between the new applied program and other**

programs offered by the academic unit? Is there any danger that the regular programs at both the graduate and undergraduate levels might suffer because of faculty teaching in the applied doctorate? Is there any indication that teaching in the applied doctorate might negatively influence the research output of faculty? Are there adequate resources to assure suitable support for faculty's research and other programs?

- 8) **What is the role of the department, interdepartmental program, or graduate group?** Does the administrative unit have full control over the conception and development of the program? Does it have full control over determining the curriculum and staffing of the program? Will it have a negative effect on the existing administrative unit?
- 9) **What are the admissions requirements?** Does authority for final admissions decisions rest with Academic Senate faculty members?
- 10) **What is the capstone requirement?** What provision has been made to ensure that students will have the opportunity, at the end of their studies, to engage in a thorough overview of the work undertaken through the entire program? Note that a capstone requirement does not necessarily have to be a thesis or even a comprehensive exam. Absence of a capstone requirement must be strongly justified.
- 11) **Is the workload for the proposed degree program reasonable?** Is the program scheduled to accommodate working professionals?
- 12) **Is the advising system adequate?** Are adequate provisions made for substantial advising? Is the faculty committed to it?
- 13) **Have the financial aspects of the program been fully worked through?** Are the resources proposed for this program adequate to meet its goals? Is additional infrastructure (e.g., labs, libraries) necessary to support the program and is it being provided? Are resources being drawn from established programs in the department, interdepartmental program, or graduate group? Has sufficient financial aid (either scholarships or loan funds) been provided to allow access for qualified students and to ensure diversity in the student community?
- 14) **How does the proposal plan for review of the applied doctorate program?** As applied doctorate programs will be administered by academic departments, interdepartmental programs, schools, or graduate groups, the programs should be reviewed at the time of the regular review of the administrative unit is conducted at the campus level. Will this be the manner of review or is some other alternative proposed?

(1/04)

Appendix J

ROLE OF CCGA IN THE REVIEW OF PROFESSIONAL DEGREES

August 15, 1995

DANIEL L. SIMMONS
Chair, Academic Council

Re: Academic Senate Oversight of Professional Schools

Dear Dan,

CCGA has concluded its review of Academic Senate oversight of the postgraduate degree programs in the professional schools of UC. Stimulated by your request in November, 1994 that CCGA comment on a number of issues related to professional schools, including the role of affirmative action in medical school admissions and the ramifications of charging differential fees for professional school programs, CCGA formed a Subcommittee on Professional School Oversight. The final report of that subcommittee is enclosed.

Alden Mosshammer, Chair, UCRJ, wrote in response to CCGA's request for an opinion on the authority of the Academic Senate over professional school degree programs, that, "while the Academic Senate lacks authority over courses in graduate professional schools, the Senate does have authority over degrees and degree programs." The Senate's authority over degrees derives from SOR 105.2.a." Thus, UCRJ took the position that graduate professional schools retain their own authority over course approvals and grading policies, but are otherwise subject to the same Senate oversight as any other graduate program.

The subsequent inquiry of the Divisional Graduate Councils by the CCGA Subcommittee on Professional School Oversight demonstrated clear consistencies in the oversight relations by Divisional Graduate Councils of campus professional schools. Professional degrees that are, in a sense, considered academic research degrees appear to be governed by the Graduate Councils. Degrees *not* reviewed by Graduate Councils are the: M.D., D.D.S., D.V.M., Pharm.D., and (in at least one case) the J.D.

The CCGA subcommittee found that the oversight exemption practices that have historically evolved to give medical, dental, veterinary, pharmacy, and law schools autonomy appear to be effective and consistent. The exempt professional schools appear to have developed Faculty Councils or other faculty governing bodies that serve oversight functions analogous to those of the Divisional Graduate Councils, and the Graduate Councils do not report problems or compelling reasons for changing governance and review procedures. Because a shift to Senate oversight, motivated chiefly by constitutional considerations, would be gratuitously disruptive and counterproductive, the CCGA subcommittee proposes to formally and explicitly permit the Divisional Graduate Councils to delegate their oversight to the exempt professional schools.

The enclosed Report of the CCGA Subcommittee on Professional School Oversight was unanimously approved by CCGA on July 18, 1995. The final paragraph of the report represents CCGA's resolution to the Academic Council:

CCGA wishes to endorse the status quo of present exemption policies, stare decisis, as a willingness to stand by a settled state of affairs. In the interest of preserving rules of constitutional Senate jurisdiction, CCGA explicitly states its willingness to let Divisional Graduate Councils delegate their oversight responsibilities to professional schools offering the specific degrees of the M.D., D.D.S., D.V.M., Pharm.D., and J.D. Graduate Councils should base their delegation on the existence of rigorous and effective parallel review structures within the exempted professional schools. CCGA retains its right to review and make recommendations regarding any professional school policies and practices that do not result in effective faculty program reviews. CCGA also retains its right and obligation to review and make recommendations regarding professional school programs when the continuation or

discontinuance of these programs have systemwide implications.

Sincerely,

David B. Bogy
Chair, CCGA

Enclosure
cc: CCGA Members

Report from CCGA Subcommittee on Professional School Oversight
July 18, 1995

During the fall of 1994, CCGA was asked by the Academic Council to comment on a number of issues related to professional schools. These included the role of affirmative action in medical school admissions, and the ramifications of charging differential fees for professional school programs. Since CCGA has not traditionally approved or reviewed medical or law school programs and policies, CCGA chair David Bogy requested clarification from Dan Simmons, Chair of the Academic Council, and Alden Mosshammer, Chair of the Academic Senate Committee on Rules and Jurisdiction, on the extent and nature of Senate responsibilities to oversee professional school degree programs. In a letter on January 5, 1995, Alden Mosshammer replied:

"UCRJ came to the conclusion that, while the Academic Senate lacks authority over courses in graduate professional schools, the Senate does have authority over degrees and degree-programs. The Senate authority over courses derives from SOR 105.2.b, wherein the graduate professional schools are exempted from that authority. The Senate's authority over degrees derives from SOR 105.2.a, which states that 'the Academic Senate . . . shall determine the conditions for admission, for certificates, and for degrees other than honorary degrees. It shall recommend to the President all candidates for degrees in course [sic].' SOR 105.2.a does not exempt the graduate professional schools from the Senate's authority over degrees. In general, UCRJ has taken the position that the graduate professional schools retain their own authority over course-approvals and grading policies, but are otherwise subject to the same Senate oversight as any other graduate program."

Construing this response to mean that the Divisional Graduate Councils and CCGA have constitutional oversight responsibility over the UC professional school degree programs, Chair David Bogy appointed a CCGA subcommittee to determine the extent to which the Divisional Graduate Councils currently govern professional school degrees, and to formulate a recommendation about the proper role of the Councils and CCGA in overseeing professional school education in future. During March and April of 1995, CCGA members consulted their divisional Graduate Councils and reported their oversight practices to the subcommittee. The results of this inquiry, while neither complete nor comprehensive, indicated clear consistencies in the oversight relations by Divisional Graduate Councils of campus professional schools.

These patterns can be summarized briefly. UCD, UCLA, UCI, UCSD, and UCSF all have Medical Schools whose Ph.D. programs are reviewed by the campus Graduate Councils, but whose M.D. degrees are not. In the School of Dentistry at UCLA, only the Ph.D. programs are reviewed by Graduate Council; the D.D.S. degree program is not. At UCSF, the Graduate Council reviews all graduate "academic degrees," but not the "professional degrees" of the D.D.S., M.D., and Pharm D. The Master's and Doctoral programs in Nursing are considered graduate academic programs, and are reviewed by Graduate Council at UCSF. The Veterinary Medicine programs at UCD are not under Senate review. Berkeley's Law School is reviewed by Graduate Council, while UCLA's is not. Graduate degrees in Engineering, Education, Schools of Business or Management, and other professional schools or programs (e.g. Information Management, Journalism, Architecture, Public Health, Public Policy, Social Welfare, Optometry, and the like) all appear to be reviewed by the Graduate Councils of their respective campuses. Senate oversight for these programs generally entails new program approval, approval of program requirements and curricular modifications, admission policies, and the formal granting of degrees. Divisional Graduate Councils tend to include representatives from the professional schools subject to their oversight.

These results suggest substantial uniformity in the patterns of Senate oversight over professional schools. With the exception of Berkeley's Senate review of the UCB Law School, the Divisional Graduate Councils generally oversee all "academic degree" programs, whether they are housed in a professional school or not, but not the M.D., D.D.S., D.V.M., Pharm.D., or J.D.

It is not entirely clear whether this established pattern was historically established on the constitutional ground that professional school authority over courses and grading was interpreted as extending to all aspects of a professional degree program, or for other reasons. There appear to be no uniform criteria or characteristics that could be invoked as the basis of either a policy or a practice of exempting the profession degrees, listed above, from Senate supervision--including licensing and accreditation procedures. State licensing and professional accrediting are not unique to medical and law degrees, since social workers, clinical psychologists, and teachers, among others, are also licensed or credentialed by the state. Furthermore, the professionals who staff licensing and accreditation boards may include non-academics unfamiliar with

academic traditions and therefore not competent to certify academic quality.

CCGA's recently clarified constitutional responsibility for overseeing professional degrees therefore confronts the Senate with a dilemma. The oversight exemption practices that have historically evolved to give medical, dental, veterinary, pharmacy, and law schools autonomy appear to be effective and consistent, but difficult to rationalize or justify. Pragmatically, there are good reasons for maintaining the present system of exempting the M.D., D.D.S., D.V.M., Pharm.D., and J.D. from Senate oversight. The exempt professional schools appear to have developed Faculty Councils or other faculty governing bodies that serve oversight functions analogous to those of the Divisional Graduate Councils. These appear to be working well to insure program quality, and Divisional Graduate Councils currently report no problems or compelling reasons for changing governance and review procedures. CCGA was approached by the Academic Council to consider problems of equal access by students to professional schools (affirmative action, differential fees)--not problems of quality. A shift to Senate oversight at this late date motivated chiefly by constitutional considerations would be gratuitously disruptive and counterproductive. CCGA therefore proposes to formalize the present system.

CCGA wishes to endorse the status quo of present exemption policies, *stare decisis*, as a willingness to stand by a settled state of affairs. In the interest of preserving rules of constitutional Senate jurisdiction, CCGA explicitly states its willingness to let Divisional Graduate Councils delegate their oversight responsibilities to professional schools offering the specific degrees of the M.D., D.D.S., D.V.M., Pharm.D., and J.D.. Graduate Councils should base their delegation on the existence of rigorous and effective parallel review structures within the exempted professional schools. CCGA retains its right to review and make recommendations regarding any professional school policies and practices that do not result in effective faculty program reviews. CCGA also retains its right and obligation to review and make recommendations regarding professional school programs when the continuation or discontinuance of these programs have system-wide implications.

Appendix K CAPSTONE REQUIREMENTS

Resolution endorsed by CCGA, March 7, 2000

To: Graduate Deans
From: CCGA Chair Simon Williams

It has recently come to the attention of CCGA that some Masters' programs on different UC campuses have either been dropping the capstone requirements for their degree programs or are requesting their respective Graduate Councils for permission to drop these requirements. In response to this news, CCGA passed the following resolution at its meeting of January 11, 2000:

With regard to Masters Degrees, CCGA asserts that the norm should be for a thesis or for a comprehensive examination following the course work, both in order to integrate the intellectual substance of the program and also as a means of quality control. Substitution for this requirement can be considered if there is a strong academic justification. If changes are made in Masters programs already approved, those changes must be authorized by the Graduate Council in conjunction with the Graduate Division.

I am now writing to request your cooperation in ensuring that there be no erosion in the requirements of UC graduate programs.

When CCGA approves a new graduate program, it does so on the understanding that the qualifications for admission, curriculum, and program requirements as they were stated in the proposal as reviewed by CCGA will be upheld by the program. CCGA realizes, of course, that over the years, circumstances such as changes in the field or new professional demands will require that the original program be modified. In the large majority of cases, such modifications can be approved by Graduate Councils. However, CCGA is concerned that whatever changes are made do not lead to a degradation of the program. In particular, it considers that a capstone requirement, as defined in Plans A and B for the Master's program, or as embodied in the dissertation for doctoral degrees, is essential to maintain the distinctive, research-oriented quality of a UC graduate degree. It has therefore been additionally resolved that:

CCGA withdraws its approval from any Masters degree program that has dropped its capstone requirement or any doctoral program that has dropped its dissertation requirement without the approval of its campus Graduate Council.

CCGA also is requesting all agencies responsible for the review of academic programs to use the review process that each department periodically undergoes to ensure the integrity of graduate programs. It suggests that this can be done by providing reviewers with a copy of the program as originally approved by CCGA and asking the reviewers to evaluate whether changes made since the initiation of the program are integral. It will, of course, be impossible to find founding documents for older graduate programs; in this case, we would ask that reviewers be requested to evaluate the appropriateness of current capstone requirements.

Appendix L

LETTERS TO EXTERNAL REVIEWERS OF GRADUATE DEGREE PROGRAM PROPOSALS

Each external reviewer should be contacted in writing. This may be done in one letter after an initial telephone call, or in two letters (initial contact and follow-up). The letter(s) should do the following:

- identify the proposal to be reviewed
- list all materials being sent to the reviewer
- describe CCGA and its functions
- explain the criteria CCGA uses to review all graduate degree program proposals
- describe any specific issues or concerns with this proposal
- handle the issue of confidentiality
- establish the honorarium
- set a date for receipt of the written review, and
- indicate how to contact the lead reviewer.

On the following pages are two sample letters from the lead reviewer. The first represents the first contact of a possible external reviewer. The second represents follow-up and transmission of the review materials when the first contact was made by telephone. Letters for other scenarios can easily be created from these examples.

**Sample CCGA Lead Reviewer's Letter
First Contact of Possible External Reviewer**

Dear Professor ABC:

I am writing as a member of the University of California Coordinating Committee on Graduate Affairs (CCGA) to ask your assistance in reviewing a proposal from Campus X to establish the Masters of Dramaturgy and the Doctor of Dramaturgical Arts degrees on that campus. As an expert in the field, you can provide the scholarly evaluation we need. I will explain the review process briefly here and then call in about two weeks to see if you are willing and able to assist us.

Your evaluation of the proposed degree programs will be based on written materials I will provide and on your knowledge of the field. There is no site visit involved, nor do you need to do any additional investigation. Your evaluation is part of a review process conducted by CCGA, a standing committee of the UC systemwide Academic Senate. CCGA is composed of faculty representatives from each of the nine UC campuses, a Chair, and a Vice Chair. It has the responsibility of final academic review of all graduate degree programs proposed in the UC system. As members, we are concerned with the academic quality of proposed programs as well as the ability of the campus to deliver the programs within the existing or committed resources. We are also concerned with system-wide implications of the establishment of the proposed programs, but you are not expected to address that issue unless you wish to do so.

If you are able to serve as a reviewer, you are invited to comment on all aspects of the proposed degree programs. We need to know their strengths, as well as their weaknesses. Even if the proposal is generally strong and is easily approved, we can pass on your recommendations about aspects of the program that could be strengthened. For all proposed graduate degree programs, CCGA is interested in the following issues:

1. Quality and academic rigor of the program
2. Adequacy of the size and expertise of faculty to administer the program
3. Adequacy of the facilities and budgets
4. Applicant pool and placement prospects for the graduates

In addition to evaluating these issues, should you be able to serve as a reviewer, you will be asked to address some specific questions that have arisen about the proposed MD/DDA.

Your review may be treated at any of several levels of confidentiality. We hope that you will agree that it need not be confidential, because associating you with your evaluations and recommendations will enhance their value in the systemwide UC review process. However, we are flexible and will respect your wishes on this matter.

Should you be willing to evaluate the proposed MD and DDA programs, we would like to receive the review as soon as possible so that we can complete CCGA's review process in a timely manner. I am able to offer an \$150 honorarium for your review. I very much hope you will be able to serve as an external reviewer for Campus X's proposed MD and DDA degrees. I look forward to speaking with you about it soon.

Sincerely,
Lead Reviewer, CCGA

**Sample CCGA Lead Reviewer's Letter
External Reviewer Previously Contacted by Telephone**

Dear Professor ABC:

Thank you very much for agreeing to review Campus X's proposed Master of Dramaturgy (MD) and Doctoral of Dramaturgical Arts (DDA) degree programs. The proposal and its appendices are enclosed. In addition, I have enclosed two letters that Dean Y recently sent to provide additional information of interest to CCGA members. As you know, your evaluation should be based on these written materials and your knowledge of the field. There is no site visit involved, nor do you need to do additional investigation.

As we discussed on the telephone, your evaluation of the proposed graduate degrees is part of a review process conducted by the Coordinating Committee on Graduate Affairs (CCGA), a standing committee of the UC systemwide Academic Senate. CCGA is composed of faculty representatives from each of the nine UC campuses, a Chair, and a Vice Chair. It has the responsibility of final academic review of all graduate degree programs proposed in the UC system. As members, we are concerned with the academic quality of proposed programs as well as the ability of the campus to deliver the programs within the existing or committed resources. We are also concerned with systemwide implications of the establishment of the proposed programs, but you are not expected to address that issue unless you wish to do so.

You are invited to comment on all aspects of the proposed degree programs. We need to know their strengths, as well as their weaknesses. Even if the proposal is generally strong and is easily approved, we can pass on your recommendations about aspects of the program that could be strengthened. For all proposed graduate degree programs, CCGA is interested in the following issues:

1. Quality and academic rigor of the program
2. Adequacy of the size and expertise of faculty to administer the program
3. Adequacy of the facilities and budgets
4. Applicant pool and placement prospects for the graduates

In addition to any comments that you find appropriate, we would appreciate your thoughts on the following two questions that CCGA members have raised about the proposed MD and DDA at Campus X:

1. What are the employment prospects for MD and DDA students? In your view, are there already sufficient numbers of such students being graduated each year to satisfy national demand?
2. How does the Campus X curriculum compare with the best programs in the country? Do the depth and breadth of the required coursework at Campus X meet the standards set by those programs?

As we agreed, your report will not be confidential. Knowing that you are the source of whatever evaluations and recommendations you offer will enhance their value in the systemwide UC review process.

I understand I will receive your written evaluation of the proposed MD and DDA by October 31 so that we can complete CCGA's review process in a timely manner. You will receive an honorarium of \$150 for the review. With the evaluation, please give me your social security number and home address so that I can make arrangements to have the honorarium sent to you. If you have any questions, you may reach me at the above address and telephone number or by e-mail (*address*).

Your willingness to comment on Campus X's proposed MD and DDA programs is much appreciated. I look forward to receiving your review.'

Sincerely,
Lead Reviewer, CCGA

Appendix M

FORMATS AND RECIPIENTS FOR CHAIR'S LETTER ON GRADUATE DEGREE PROGRAM PROPOSAL

CCGA's final decision for every graduate degree program proposal is communicated by the CCGA Chair to all those with a vested interest in knowing the outcome. To whom the Chair's letter is addressed and what information it contains depend on the nature of the graduate degree program proposed, CCGA's decision, and the nature and content of any lead reviewer's report that will be attached to the Chair's letter.

There are five categories of recipients of the CCGA Chair's letter:

1. Proposing faculty – whomever the lead reviewer has identified as the main contact and others routinely copied or contacted;
2. Campus's Graduate Dean;
3. UC Office of the President – Provost and Senior Vice President, Director– Academic Planning and Program Review, and Coordinator–Program Review;
4. Chair of the Academic Council and of the Assembly of the Academic Senate; and
5. CCGA members.

Occasionally, others also need to be informed (e.g., CSU administrators in joint degree proposals). The following describes the circumstances under which the CCGA Chair's letter is addressed to each of three possible people. Others may be informed by a copy of this letter or a separate letter or both.

Chair of the Assembly of the Academic Senate: CCGA approved the proposed graduate degree program, which must also be approved by the Assembly because it is not included in the Regents' provisions as covered under Standing Order 110.1 – Academic Units and Functions, Affiliated Institutions, and Related Activities of the University;

Provost and Senior Vice President–Academic Planning: CCGA approved the proposed graduate degree program and it need not be approved by the Assembly; or

Main Contact from Proposing Faculty: CCGA returned the proposal for extensive modifications or rejected the proposal.

The CCGA Chair's letter and the lead reviewer's report, if included, must together cover at least the following topics:

- Proposal that was reviewed
- Review materials and process
- CCGA decision, record of the vote, and date on which it was made
- If the vote was not unanimous, the division of votes and reasons for the division
- Reasons for CCGA's decision
- Any concerns, recommendations, or conditions CCGA expressed during deliberations
- Any attachments and enclosures to the letter
- Recipients of a copy of the letter
- If CCGA approved the proposal, enclose lead reviewer's report and attachments

Approval letters are usually short, because the enclosed lead reviewer's report and attachments contain almost all needed information. Other letters vary in length. Three sample letters, one for each of the three addressees above, follow.

Sample CCGA Chair's Letter
Approved Proposal that must go to the Assembly

Chair
Academic Council/Assembly of the Academic Assembly

Dear ABC:

Enclosed are the materials needed for the January Academic Council agenda item regarding Campus X's proposed Master of Dramaturgy (MD) and Doctoral of Dramaturgical Arts (DDA) degree programs. I have included a thorough report by CCGA's lead reviewer for this proposal and eight attachments to that report, the most important of which are probably the opinions of four outside reviewers about the quality and feasibility of the proposed degree programs.

As the lead reviewer's report indicates, CCGA approved the proposed degree programs at our December 14, 1993 meeting. We were unanimous and enthusiastic in our approval, as were the student representatives to CCGA. The new degree programs are educationally sound and feasible. Moreover, they bring the Department of Dramaturgy's graduate offerings into line with national practices. The department currently offers the MFA, a terminal degree that is no longer in favor in the field. The new MD and DDA degrees will replace the MFA, which will be phased out. The proposed degree programs have the strong support of the Dean, as well as the proposing faculty. Since Campus X is moving to a system in which resources are allocated to Provosts and Deans who then distribute them to departments and programs, the Dean's strong support is a good indicator that the degree programs will have the resources they need. Thus, even in these times of fiscal constraint, CCGA members believe it is appropriate to introduce the MD and DDA programs at Campus X.

As you know, CCGA's approval is the last stop on the Academic Senate side of the systemwide review and approval process except when the new degree title must be approved by the President, under delegated authority from the Board of Regents. According to Academic Senate Bylaws, the Assembly of the Academic Senate (or the Academic Council if the Assembly is not meeting within 60 days of CCGA's approval) must approve new degree titles. Since the Assembly is not scheduled to meet until March 1994, I look forward to consideration of the proposed MD and DDA at the January meeting of the Academic Council.

Cordially,
CCGA Chair

Encls. 9

cc: CCGA members
Dean, School of Dramatic Arts, Campus X
Chair, Department of Dramaturgy, Campus X
Graduate Dean, Campus X
Provost and Senior Vice President—Academic Affairs
Director—Academic Planning and Program Review
Coordinator—Program Review

Sample CCGA Chair's Letter
Approved Proposal that does not go to the Assembly

Provost and Senior Vice President--Academic Affairs
University of California

Dear ABC:

At its meeting of February 15, CCGA members approved the proposed MS/Ph.D. programs in Aerospace Engineering at Campus X. Except for abstentions because of association with Campus X or one of the sponsoring departments, the votes of the CCGA members and student representatives were unanimous.

For your information and records, I am enclosing the report of CCGA's lead reviewer for this proposal, her letter to the two outside reviewers, their reviews, and two letters (dated December 16 and January 20) from the Campus X School of Engineering Dean, providing additional information about the proposed degree programs. If you should wish copies of the attachments mentioned in the Dean's letters, please contact the CCGA Committee Analyst directly.

In its discussion and approval of the proposed MS/Ph.D. at Campus X, CCGA raised the following concerns:

1. The department should reconsider its qualifying exam procedures and seriously consider removing the research advisor from the examining committee.
2. The department should consider requiring a final research seminar of all the Ph.D. students.

By copy of this letter, I am conveying these suggestions to the Department of Aerospace Engineering for the faculty's consideration. However, approval of the proposed degree programs is not in any way contingent on adoption of these suggestions.

The Academic Senate has now completed all steps in its review of the proposed MS and Ph.D. in Aerospace Engineering at Campus X. The proposed degree programs have our hearty approval. We commend them to you.

Cordially,
CCGA Chair

Encls. 6

cc: CCGA members
Chair, Academic Council/Assembly of the Academic Senate
Dean, School of Engineering, Campus X
Chair, Department of Aerospace Engineering, Campus X
Graduate Dean, Campus X
Director--Academic Planning and Program Review
Coordinator--Program Review

**Sample CCGA Chair's Letter
Proposal that is Returned or Rejected**

Chair, Department of Psychology
Campus X

Dear ABC:

I regret to inform you that the Coordinating Committee on Graduate Affairs (CCGA), at its meeting of April 15, 1994, determined that it would not continue to consider the Proposal for a Joint Ph.D. Program in Paranormal Psychology between UC Campus X and Y University (revised proposal dated February 1993; original dated December 1990). With an abstention by the Campus X CCGA member, the vote was unanimous; the student representatives also voted in favor of the motion.

In its current form, the proposal does not present a compelling case for the joint degree program; oral and written communications received since CCGA began review of the proposal have not markedly changed our evaluation. I will describe here our three primary concerns. Should you believe it would be helpful, CCGA's lead reviewer for this proposal, the Campus X member of CCGA, and I are all happy to discuss the matter with you.

As you know, the Joint Ph.D. proposal was transmitted by the Campus X Executive Vice Chancellor to the UC Office of the President in September 1993. At the October CCGA meeting, the proposal was discussed in depth by all CCGA members. In a letter dated November 4, CCGA's lead reviewer for this proposal conveyed our concerns to you and subsequently talked with you by telephone about the review. Progress in reviewing the proposal was discussed at the monthly CCGA meeting. In a letter dated March 17, 1994, you responded to the concerns raised by the lead reviewer. At our April meeting, we discussed your response and the proposal at length and, as I've said, concluded that we would return the proposal to you.

We continue to question the value of the Joint Ph.D. for Campus X. [There follows an explanation of this concern and three paragraphs explaining CCGA's other major concerns.]

We know that conceptual development of the proposed graduate degree program and preparation of the proposal were arduous tasks. However, we believe that Campus X and Y University have not as yet demonstrated that the proposed Joint Ph.D. Program in Paranormal Psychology is fully developed conceptually, adequately supported at the two institutions, likely to succeed in attracting high quality applicants who engage in a demanding and fruitful Ph.D. program, and going to meet a defined need in the University of California. We trust that this letter will be helpful to you in reconsidering the proposal and deciding how you wish to proceed.

Cordially,
CCGA Chair

cc: CCGA members
Chair, Academic Council/Assembly of the Academic Senate
Dean, Division of Social Sciences, Campus X
Graduate Dean, Campus X
Chair, Department of Paranormal Psychology, Y University
Graduate Dean, Y University
Provost and Senior Vice President—Academic Affairs
Director—Academic Planning and Program Review
Coordinator—Program Review

Appendix N

ROLE OF CCGA IN THE TRANSFER, CONSOLIDATION, DISESTABLISHMENT, AND DISCONTINUANCE OF ACADEMIC PROGRAMS AND UNITS

Adopted by CCGA November 16, 1993

Introduction

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

Development Process

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

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

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

Language

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

Range of Options

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

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

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

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

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

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

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

Rationale for CCGA's Role

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

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

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

Specific CCGA Roles

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

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

approval is necessary but not sufficient for its acceptance systemwide. When the action involves an academic unit, then CCGA should have the opportunity to recommend to the Chair of the system-wide Academic Senate and the Office of the President that the proposed action be accepted or rejected. CCGA's approval or recommendation should be based on the impact of the proposed action on graduate education in the University of California. As a rule, CCGA should approve the proposed action on a graduate degree program and recommend acceptance of the proposed action on an academic unit.

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

Coordination with Other Systemwide Committees

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

to work with the Chairs of UCEP, UCPB, and the systemwide Academic Senate to determine how best to coordinate with each other and to come to an agreement just as soon as possible.

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

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

**Presented to the Academic Council
February 16, 1994**

Appendix O

ROLE OF CCGA IN RECONSTITUTIONS OF ACADEMIC PROGRAMS AND UNITS

Adopted by CCGA May 17, 1994

Introduction

Because complex reconstitutions of academic units and programs are proceeding on several University of California campuses and the role of the Coordinating Committee on Graduate Affairs (CCGA) in these actions is not well established, CCGA has prepared and adopted this statement. This statement, the November 16, 1993 statement "Role of the Coordinating Committee on Graduate Affairs in the Transfer, Consolidation, Disestablishment, and Discontinuance of Academic Programs and Units," and the well established policies and procedures for the creation of new academic programs and units (described in the CCGA Handbook and Academic Senate by-laws), when taken together, provide the basis for delineating CCGA's roles in approving or recommending approval of a single action or a combination of actions affecting either graduate degree programs or academic units involved with graduate degree programs.

Development Process

Creation of this statement was spurred by CCGA's examination of plans some divisions were developing for coping with the continuing UC budget crisis. Some such plans involved complex reorganizations of academic units and sometimes associated academic degree programs. Some included several different kinds of actions. For example, one proposal involved disestablishing academic units, creating new academic units, changing a school to a department, changing names of academic units and degree programs, adjusting degree programs, and planning new degree programs. CCGA's November 16, 1993 statement on its role in transfer, consolidation, disestablishment, and discontinuance applied to only some of the actions involved in plans like these. In particular, it did not address the creation of new academic units or degree programs within the context of related transfer, consolidation, disestablishment, or discontinuance actions.

Recognizing the need for a clear statement about how such complex proposals would be reviewed and acted upon, CCGA members discussed several options. In addition, Aimée Dorr, 93-94 Chair of CCGA, discussed options with Arnold Binder, 93-94 Chair of the Academic Council/Assembly, Daniel Simmons, 93-94 Vice Chair of the Academic Council/Assembly, Neil Smelser, University Professor and Special Assistant to the UC Provost and Vice President, Karen Merritt, Director of Academic Planning and Program Review, Office of the President, and Mohan Sitlani, Coordinator of Program Review, Office of the President. A draft statement was discussed at the April 1994 CCGA meeting. A revised statement was adopted at the May 1994 CCGA meeting.

Language

Reconstitution will refer to any combination of two or more actions treated as a unified plan by one or more divisions and intended to transfer, consolidate, disestablish, discontinue, change the name of, or create an academic unit or program.

Specific CCGA Roles

1. If a division submits a proposal involving two or more actions that the division regards as part of a unified plan, CCGA should ordinarily consider all the proposed actions together as part of one plan. CCGA's response should specifically address each proposed action that is presented as part of the unified plan. Ordinarily, CCGA's response should be transmitted within 60 days of receipt of the reconstitution proposal.
2. If the division requests it and the Chair of the Academic Council agrees, CCGA will do a preliminary review of reconstitution proposals while they are still being reviewed by divisional Academic Senate committees. However, CCGA will not take any final action nor make any final recommendation until all campus review processes are complete and CCGA is able to review a statement of the division's final decisions.

3. Any combination of proposed actions that involve only transfer, consolidation, disestablishment, discontinuance, and/or name changes for academic units and/or programs should be handled according to the procedures described in CCGA's November 16, 1993 statement. (See that statement for details and time frame.)
4. Any combination of proposed actions that involve only the creation of academic units and/or programs and for which a complete proposal has been submitted should be handled according to well established procedures described in CCGA's Handbook and Academic Senate by-laws. (See these for details.) Ordinarily, the recommendation to approve or disapprove the creation of an academic unit should be made within 60 days of receiving a complete proposal. CCGA's approval or disapproval of a proposed graduate degree program will ordinarily not occur until at least six months after receipt of a complete proposal. For this reason, when responding within 60 days to the division's full reconstitution plan, CCGA should provide a preliminary indication of whether it believes the proposed degree program is approvable and describe any particular concerns and issues it has regarding the proposed degree program. In most cases, this preliminary statement will be just like the letter the lead reviewer first sends to the academic unit whose proposed graduate degree program is under consideration by CCGA (see CCGA Handbook for details). If there is not a complete proposal for a new academic unit or degree program, then within 60 days, CCGA should provide a preliminary indication of whether it believes the proposed academic unit or degree program is worthwhile and warranted and a description of any particular concerns and issues it has regarding the proposed academic unit or degree program.
5. Those reconstitutions that involve both the creation or planned creation of an academic unit or program and the transfer, consolidation, disestablishment, or discontinuance of an academic unit or program should be handled, as appropriate, according to both sets of procedures, as described in 3 and 4 above.
6. In considering the various actions involved in a reconstitution proposal, CCGA should exercise care to evaluate each of them according to the same standards it would use were each action submitted separately for CCGA consideration.
7. In its response to a reconstitution proposal, CCGA should take care to identify any existing or proposed graduate degree programs involved, to suggest time frames within which these programs should be attended to, and to communicate its opinions to relevant persons and groups, particularly the divisional Graduate Council, in the proposing division.

Coordination with Other Systemwide Committees

In dealing with any reconstitution proposal, the Chairs of CCGA, UCEP, and UCPB and the Chairs of any other systemwide committees that the Chair of the Academic Council asks to review the proposal will seek to coordinate their reviews and conclusions. For proposals involving graduate degree programs or units with graduate degree programs, the CCGA Chair will take responsibility for coordinating the committees. For proposals involving undergraduate degree programs only, the UCEP Chair will take responsibility for coordinating the committees.

Appendix P

GUIDELINES FOR REVIEWING PROPOSED AND EXISTING MRUs

1. What does the MRU bring to the campus that is not accomplishable through other graduate programs/groups on the home campus or other UC campuses? For example:
 - a) What types of students are attracted to the MRU? What types of research are they involved in? What published work and/or success at grantsmanship results from their scientific activities?
 - b) To what degree do graduate and postdoctoral students participate through assistantships, fellowships, traineeships, or how otherwise are these students involved in MRU work, including paid employment and graduate student research?
 - c) Are all students financially supported throughout their tenure and in what forms is that support provided?
 - d) Are there unique opportunities for training and mentoring students through alliances of post-doctoral students, visiting scholars, and/or professors?
 - e) Do students gain unique training (i.e. training not available in other graduate groups or programs) that enhances their opportunities in the job market and/or facilitates their research and professional development and in what form is that training provided (e.g., TAs, RAs, informal teaching, and/or technological expertise)?
 - f) Does the MRU provide access to colloquia, equipment, facilities, and/or professional networks for both faculty and students?
 - g) What are the direct or indirect contributions of the MRU to graduate and undergraduate teaching programs?
2. What makes the MRU distinct from graduate groups/programs? Does the MRU have a focus and/or interdisciplinary approach that distinguishes it? For example:
 - a) Does the MRU create a research environment and/or opportunity for acquisition of funds not otherwise possible through traditional graduate programs/groups?
 - b) Are there concerted efforts by faculty to acquire novel multi-authored research grants and/or training grants not obtainable through traditional academic alliances?
 - c) Through what academic units are grant proposals that support the MRU channeled (e.g., home department, graduate groups, or the MRU)?
 - d) Which specific faculty are members, and what does each add to the MRU?
3. What is the MRU accomplishing that ensures its current and future uniqueness, vibrancy, and relevance? For example:
 - a) Are there established procedures for assessing relevance and future directions?
 - b) Are there special requisites for membership and participation?
 - c) Is the original mission of the MRU still pertinent?
 - d) What is the justification for continuance of the MRU?
 - e) What would be lost if the MRU disbanded?
4. What is the relationship of the MRU with other MRUs and ORUs?
 - a) Are there ORUs that are members of the MRU, and if so, is continued membership of the ORUs warranted?
 - b) Is continuation of the MRU justified?
5. How is the MRU administered?
 - a) How is the director or chair chosen? How long does he/she serve?
 - b) How are members of the executive body chosen? How long do they serve?
 - c) How often does the administrative committee meet?

Appendix Q

ADMINISTRATIVE POLICIES AND PROCEDURES CONCERNING ORUs

<http://www.ucop.edu/research/orupolicy.html>

ADMINISTRATIVE POLICIES AND PROCEDURES CONCERNING ORGANIZED RESEARCH UNITS

I. Definition and Purpose of ORUs

Designation of ORUs

Lines of Responsibility

II. Administration, Budgetary Support, and Personnel

Procedure for Establishment

Procedure for Appointing a Director

Procedure for Five-Year Review

Procedure for Disestablishment

Phase Out Period

Procedure for Name Change

Review of Directors

Annual Report

Life Span

Exceptions

SECTION I. DEFINITION AND PURPOSE OF ORUS

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

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

DESIGNATION OF ORUs

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

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

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

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

Non-ORU Center. The term Center may be used for research units not formally constituted as ORUs upon approval by the Chancellor after consultation with the divisional Academic Senate. Before approval is granted for a Center that is not an ORU, the campus may stipulate terms and conditions such as a process for appropriate periodic review, including administration, programs, and budget; appointment of a director and advisory committee; an appropriate campus reporting relationship; and progress reports. Station: a unit that provides physical facilities for interdepartmental research in a broad area (e.g., agriculture), sometimes housing other units and serving several campuses. The terms Facility or Observatory may be used to define units similar in function but with more narrow interests.

LINES OF RESPONSIBILITY

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

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

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

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

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

SECTION II. ADMINISTRATION, BUDGETARY SUPPORT, AND PERSONNEL

5a. ORUs. Each ORU is headed by a Director who is a tenured member of the faculty and who may receive an administrative stipend in addition to the faculty salary, except that a faculty member who already earns such a stipend through another appointment (e.g., as associate dean) shall not receive a second stipend. Such dual administrative responsibilities should be avoided. The Director is aided by a standing Advisory Committee, chaired by a faculty member other than the Director, which meets regularly and participates actively in setting the unit's goals and in critically evaluating its effectiveness on a continuing basis. Specifically, the Advisory Committee provides counsel to the Director on all matters pertaining to the unit,

including budgetary matters and personnel. The Chair of the Advisory Committee, and as many other members as practical, should meet with five-year review committees (see below under Section 10a) and otherwise be available for consultation by the five-year review committee during the course of its review. The Advisory Committee is made up predominantly of faculty members, but may include some members from the professional research series and may have some members from outside the University. The Advisory Committee is appointed by the Chancellor or Chancellor's designee. The charge to the committee and its functions, membership, and reporting requirements are determined by the appointing officer but should include active participation in the planning and evaluation of the ORU's programs and activities.

5b. MRUs. All of the stipulations in Section 5a apply to MRUs, except that the members of the Advisory Committee to an MRU are appointed by the President or President's designee after consultation with the appropriate Chancellors or Chancellors' designees. An Advisory Committee may also be termed Steering or Executive Committee. MRUs may be aided by more than one committee acting in an advisory capacity; for example, MRUs may have an external Advisory Committee and a UC Executive or Steering Committee. The external Advisory Committee is typically made up of individuals from governmental agencies, the private sector and the public nonprofit sector and provides guidance to the MRU on how it might address the needs and priorities of the external constituencies for which the activities of the MRU are especially important. The Chair and membership of the external Advisory Committee are appointed by the President or President's designee.

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

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

PROCEDURE FOR ESTABLISHMENT

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

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

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

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

8b. MRUs. The proposal for an MRU originates at the campus which will host the administrative headquarters of the unit. The proposal is submitted to the appropriate administrative officer, normally the Vice Chancellor for Research. The Vice Chancellor for Research seeks advice from all appropriate divisional Academic Senate Committees and administrative committees. After campus review, the proposal is submitted to the Vice Provost for Research by the Chancellor or Chancellor's designee of the host campus. The Vice Provost for Research reviews the proposal and refers it to the Chancellors for comment. Campus review should include consultation with appropriate Divisional Senate committees. The Vice Provost for Research also refers the proposal to the Chair of the Academic Council for comment by The University Committee on Research Policy (UCORP), the University Committee on Planning and Budget (UCPB), and the Coordinating Committee on Graduate Affairs (CCGA). UCORP is the lead review committee. In cases of disagreement about whether to establish an MRU, the Vice Provost for Research, Chair of the Academic Council, and Chancellor or Chancellor's designee of the host campus will establish a process of adjudication; however, the Vice Provost for Research retains final authority for the decision to recommend establishment of a new MRU to the Provost and President. After Presidential approval, the Provost informs the Chancellors and Chair of the Academic Council of the action. The establishment of an MRU must carry with it a commitment of space and funding adequate to the mission of the unit.

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

PROCEDURE FOR APPOINTING A DIRECTOR

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

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

PROCEDURE FOR FIVE-YEAR REVIEW

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

administration, research focus, space and other resource requirements, and programs and activities of the unit. It should also consider whether the unit should merge with another similar unit, or be disestablished.

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

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

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

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

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

PROCEDURE FOR DISESTABLISHMENT

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

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

disestablishment of the MRU to the President. After Presidential approval, the Provost informs the Chancellors and Chair of the Academic Council of the action.

PHASE-OUT PERIOD

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

PROCEDURE FOR NAME CHANGE

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

13b. MRUs. The Director of the MRU prepares a proposal for a change in name of the MRU, certifying that the change does not signal a fundamental change in the MRU nor require substantial new resources. The MRU Advisory Committee endorses the requested name change. The proposal is reviewed by appropriate host campus administrators and Senate committees and by appropriate campus administrators and Senate committees of other participating campuses. The Director submits the proposal package to the Vice Provost for Research, who consults with the Chair of UCORP to secure his or her agreement that the name change is uncomplicated, and does not signal a fundamental change in the nature of the MRU nor require substantial new resources. After favorable review at the host campus and all participating campuses, the host campus Chancellor approves the name change and submits the full documentation to the Vice Provost for Research, who notifies the other campuses and the Chair of the Academic Council of the change in name.

REVIEW OF DIRECTORS

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

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

ANNUAL REPORT

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

- Names of graduate students and postdoctoral researchers directly contributing to the unit who (a) are on the unit's payroll, (b) participate--through assistantships, fellowships, or traineeships, or are otherwise involved in the unit's work.
- Names of faculty members actively engaged in the unit's research or its supervision.
- Extent of student and faculty participation from other campuses or universities.
- Numbers and FTE of professional, technical, administrative, and clerical personnel employed.
- List of publications issued by the unit, including books, journal articles, and reports and reprints issued under its own covers, showing author, title, press run, and production costs.
- Sources and amounts (on an annual basis) of all support funds, including income from the sale of publications and from other services.
- Expenditures from all sources of support funds, distinguishing use of funds for administrative support, direct research, and other specified uses.
- Description and amount of space currently occupied.
- Any other information deemed relevant to the evaluation of a unit's effectiveness, including updated five-year projections of plans and resource requirements where feasible.

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

LIFE SPAN

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

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

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

EXCEPTIONS

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