

**ACADEMIC PROGRAMS AND UNITS**

**POLICY AND PROCEDURES GOVERNING**

**ESTABLISHMENT, DISESTABLISHMENT, AND CHANGE**

**University of California, Santa Cruz**

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Campus Provost and Executive Vice Chancellor  
Vice Provost for Academic Affairs

Major revisions in this update:

- Removal of graduate level concentrations from non-degree programs (GC has indicated that this is covered under the annual program statement process).
- Corrections to clarify on hybrid degree programs vs. contiguous bachelor/master non-degree programs; additional information on Compendium and CCGA Handbook
- Simplifications, minor corrections (including website url updates), and clarifications; deletion of historical footnote on boards of study. “UCSC” has been changed to UC Santa Cruz throughout the document.
- Re-numbering of degree program templates: Graduate template is now Appendix B, in alignment with CCGA Handbook Appendix B.
- Revisions to Undergraduate degree program template, adding in major qualification policy, sample plans showing pre-req structure, courses that also count toward general education, and different tracks for different levels of math/writing proficiency, and frequency of course offerings
- Revisions to Graduate degree program template based on changes to the UC Compendium and the CCGA Handbook
- Template for undergraduate minors in Appendix G
- New guidelines from CCGA on proposals for self-supporting programs in Appendix D
- Revised graduate program summary, based on the summary required in the five-year plan instead of the old CPEC summary, in Appendix E

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## Process Maps

Process Maps summarizing approval procedures may be found at <http://academicaffairs.ucsc.edu/program-development/index.html>

Consult the Vice Provost for Academic Affairs at any time to request clarification or suggest procedural improvements that reduce workload without compromising value. Subsequent changes will be announced with each policy revision.

## I. INTRODUCTION

This policy document defines academic units and programs, the relationships among these entities; and describes the steps required to create, maintain, change, and end them.<sup>1</sup>

The procedures presented reflect the University of California assigned responsibility for courses, curricula, and degrees to the faculty, and responsibility for academic units and budgets to the administration.<sup>2</sup> They are written to promote mutual endorsement of any proposed action because both faculty and administration support are necessary for a program or unit to thrive. Processes in place support administration and designated Academic Senate committee consultation prior to final decision. The Academic Senate may consult among its various committees consistent with their authorities and responsibilities. UC Santa Cruz campus policy and procedures reflects UC systemwide policy.<sup>3</sup> Intermittent revisions to align with changing UC policy are made following consultation with academic administrators and the Academic Senate. The campus approval process related to Schools, Colleges, ORUs and MRUs is not detailed in this document, but will mirror the process for new programs. The Vice Provost for Academic Affairs (VPAA) coordinates consultation, maintains the document, and determines the approval process for any action not specifically described.

It is important at the outset to differentiate academic programs from program faculty and academic units:

- **Academic Program:** An academic program is a set of course offerings and a set of requirements that lead to a degree or focus student interests on specific topics. The curriculum of all academic programs is supervised by a program faculty and overseen by an academic unit. Academic programs do not hold faculty provisions.
- **Program Faculty:** A program faculty is a group of faculty approved to offer one or more academic programs.
- **Academic Units:** Academic units are organizations approved to offer curriculum and administer academic programs.

A *department* is the principal academic unit to which Senate faculty are formally appointed. Departments hold faculty provisions. Senate faculty members have Bylaw 55 rights. Department faculty comprise a committee of the UC Santa Cruz divisional Senate.

A *division* at UC Santa Cruz is an academic unit comprising one or more departments offering academic degree programs. Academic divisions may offer curriculum. A division is headed by a dean.

A *school* is an academic unit typically comprising one or more departments that offer one or more professional degree programs. A school is headed by a dean.

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<sup>1</sup> Per UC policy, disestablish refers to academic units, and discontinue refers to academic programs.

<sup>2</sup> Standing Orders of the Regents 105.2 - <http://www.universityofcalifornia.edu/regents/bylaws/so1052.html>  
Standing Orders of the Regents 100.6 - <http://www.universityofcalifornia.edu/regents/bylaws/so1006.html>

<sup>3</sup> UC Compendium - <http://senate.universityofcalifornia.edu/resources/2014CompendiumFINAL.pdf>

A *college* at UC Santa Cruz is an academic unit that may offer courses and degrees and which may superimpose undergraduate graduation requirements beyond degree and general campus requirements. College faculty comprise a committee of the UC Santa Cruz divisional Senate. College bylaws specify faculty membership, rights and duties including the right to vote on college academic requirements. Colleges do not ordinarily hold faculty provisions.

A *subject matter unit* is an academic unit that administers program faculty, who in turn provide an array of courses that may or may not lead to a degree. The Writing Program and Science Communication are examples of subject matter units. Subject matter units ordinarily hold budgeted faculty provisions.

An *interdepartmental group* is an academic unit consisting of program faculty approved to offer at least one academic program. The program faculty are appointed to various departments. Interdepartmental groups do not hold budgeted faculty provisions.

## II. ACADEMIC PROGRAMS ESTABLISHMENT, DISESTABLISHMENT AND CHANGE

### ACADEMIC DEGREE PROGRAMS

#### **Nature of a Degree Program**

An academic program leading to conferral of a degree is a degree program, commonly referred to as a “major” at the undergraduate level. Degree programs are a structured set of courses and requirements leading to a degree at the undergraduate or graduate level or stand-alone Graduate Academic Certificate (GAC)<sup>4</sup>. The curriculum of an undergraduate program is subject to review and approval by the Committee on Educational Policy (CEP), and the curriculum of a graduate program is subject to review and approval by the Graduate Council (GC).

An academic program is supervised by a program faculty. A program faculty may consist of the departmental faculty, a subset of the members of a department, or faculty members from several departments. Programs themselves do not hold faculty provisions.

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

#### **Criteria**

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

1. A set of requirements, which, when satisfied, lead to a degree or certificate that bears the official UC seal.
2. A set of courses, offered on a consistent schedule.
3. Some structure to the course offerings, so that some courses build on the work of other courses (reflected in prerequisite structures, *etc.*).
4. A meaningful and measurable set of program learning outcomes (PLOs) that are supported by the curriculum.
5. A commitment by senate faculty members to the oversight of the program (the program faculty must include some senate faculty members and the chair must be a senate faculty member).
6. A comprehensive set of mechanisms and auxiliary support structures sufficient to guarantee that the program is viable. Viability requires sufficient resources to assure that all students currently pursuing the program can complete the degree requirements in a timely way.
7. Mechanisms for responding to student demand and interests. Oversight of program administration and resources by a department chair or an academic dean.

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<sup>4</sup> UC Senate Regulation 735 (<http://senate.universityofcalifornia.edu/manual/rpart3.html>)

## **Establishment**

Any faculty group may develop a proposal for a new degree program. If the program faculty members fall primarily within a single department, the program chair will report to the department chair. If the faculty members span several departments within a single academic division, they may comprise an interdepartmental group and report to either a department chair or directly to an academic dean. If the faculty members span two or more academic divisions, the program chair may report to a department chair or the overseeing academic dean. It is the responsibility of the faculty to seek the most suitable administrative home for the academic program, based upon discussions with the relevant department chairs and academic deans. The department manager or equivalent should be consulted in order to determine an appropriate level of staffing resources for the new program. Consultation with the VPAA is encouraged if questions regarding the most appropriate program faculty configuration and administration arise. The academic proposal must be complete, including feedback letters, before submission to the Senate for further review. Proposals submitted to the VPAA after May 1 may have their review deferred to the following academic year.

Degree program proposals that are sufficiently advanced should, upon recommendation of the overseeing dean, be included in the campus's annual "Five Year Perspectives"<sup>5</sup> submission to the University of California Office of the President (UCOP).

When a final draft of the degree program proposal is complete, and resources are committed, the formal approval progresses as follows:

1. The overseeing dean transmits the complete proposal to the VPAA. The dean's letter should clearly articulate how all program resource requirements, existing and new, will be met.
2. The VPAA will transmit the proposal to CEP or GC, as appropriate. CEP or GC shall in turn consult with Committee on Planning and Budget (CPB) and any other key senate committees as appropriate.
3. In the case of undergraduate degree programs, final curricular approval rests with CEP and final administrative approval rests with the Campus Provost and Executive Vice Chancellor (CPEVC). If the proposed degree program includes a degree title that is new to the campus, additional Universitywide approval is required (for the title only) and the proposal must be sent to UCOP for routing. The CPEVC approval announcement will stipulate the program's effective term.

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<sup>5</sup> <http://academicaffairs.ucsc.edu/5yr-perspectives/index.html>

4. For graduate degree programs (including GAC<sup>6</sup> and undergraduate/graduate hybrid degree<sup>7-8</sup>), there are two tiers of approval. Campus approval requires program curricular approval by the Graduate Council and administrative approval by the CPEVC. Following these approvals, the proposal is forwarded to UCOP and the Coordinating Committee for Graduate Affairs (CCGA) for systemwide review and approval, as follows:
  - a. The CPEVC forwards the proposal concurrently to UCOP and the Coordinating Committee on Graduate Affairs (CCGA).
  - b. CCGA assigns a lead reviewer to assess the proposal. CCGA may consult directly with the campus GC and lead program faculty members and visit the campus.
  - c. Upon approval, CCGA routes approval to UCOP.
  - d. The UCOP Provost/Executive Vice President of Academic Affairs recommends program approval to the President.
  - e. The President transmits final approval of the program to the CPEVC.
  - f. In cases where the proposed graduate degree program uses a degree title that is new to the campus, additional Universitywide review and approval is needed.
  - g. The VPAA announces the program on campus and stipulates the program's effective term.

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

See the appendices for detailed formats required for developing undergraduate and graduate degree program proposals. The Universitywide CCGA handbook guidelines should also be consulted. Note that the campus proposal formats are based on UCOP and CCGA's guidelines for graduate programs, but are modified to account for specific UC Santa Cruz requirements.

### **Maintenance**

Degree program resources and academic unit administration are determined upon program establishment. For programs overseen by a single department, the department is responsible for allocating the required primary instructional resources to the program. For programs overseen by an interdepartmental group, the program charter describes how resource responsibility is distributed among multiple departments.

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<sup>6</sup> UC Senate Regulation 735 (<http://senate.universityofcalifornia.edu/manual/rpart3.html>)

<sup>7</sup> Per the UC Compendium (<http://senate.universityofcalifornia.edu/resources/2014CompendiumFINAL.pdf>) section II.A.1, these programs allow undergraduate students to complete undergraduate and graduate programs simultaneously.

<sup>8</sup> Per the CCGA Handbook

(<http://senate.universityofcalifornia.edu/committees/ccga/CCGAHandbookJune2014Final.pdf>), if a proposed hybrid program is simply a new articulation between an existing bachelor's and an existing master's program, CCGA will normally provide pro forma concurrence with the campus action, unless it judges that there are particular issues that justify a more extended review.

Program resource reduction and/or administrative change is occasionally necessary to increase operational efficiency, align program faculty closer to students, enhance interdepartmental opportunities, or respond to fiscal need. In some cases, losses are absorbed without undermining program viability and program faculty continue the program with resources at hand. Routine resource change is the responsibility of the overseeing dean and does not require central administration or Senate consultation. By definition, routine resource reduction and academic unit administration change excludes any change to the curriculum, i.e. the established program is maintained. Minor curricular changes are done through the catalog copy process.

Change that has the potential to reduce program curricular viability must be reviewed. The campus has a critical interest in such changes due to their potential impact on academic planning, workload reporting, student advising, and program review. Changes requiring review must be reported to the VPAA who will coordinate Academic Senate consultation. The overseeing dean should consult the VPAA to determine if a proposed change fits criteria for review.

Examples of change requiring review include:

- Moving a degree program's academic unit administration home from one department or interdepartmental group to another,
- Resource reduction that may reduce program curricular viability by eliminating courses required of the major, and
- Proposing a partnership with UNEX to offer an academic program.

Examples of routine change not requiring review include:

- Reduction in instructional support, such as Readers and Teaching Assistants.
- Consolidation or re-organization of staff advising and/or administration.

The overseeing dean responsible for reporting a change requiring review must consult with the program faculty and relevant academic units such as departments with associated curriculum. Where program curriculum crosses divisional or school boundaries, the overseeing dean will consult with the other relevant dean(s). Program faculty are responsible for evaluating how the change may affect the curriculum. The dean must describe the proposed lines of authority and mechanism for dispute resolution between academic units if relevant. In cases where the overseeing dean is changing, the receiving dean is responsible for developing and transmitting the proposal.

The overseeing dean transmits a proposal to the VPAA that addresses:

1. Justification, resource impacts and effective date.
2. Required enclosures:
  - a. Program faculty assessment of how the change may affect curriculum.
  - b. Comments from relevant deans and associated department chairs.
  - c. Proposed MOU and organizational chart between academic units, or charter amendments, as relevant.

The VPAA transmits the proposal to CEP for undergraduate programs and GC for graduate programs, and asks for their comment. CPB shall also be consulted for both undergraduate and graduate proposals. Subsequent to Senate consultation, the VPAA may announce the change, identifying the impact on program review and notifying relevant campus units including the CPEVC, Office of the Registrar, and the Office of Planning and Budget. If relevant, a final signed MOU or charter is required by the effective date and is reported to the VPAA.

### **Review**

Academic degree programs are subject to review as part of the regular academic program review<sup>9</sup> of the department in which it is housed. Review of degree programs administered by interdepartmental groups is specified in the program charter. The first review for a new program should take place three years after its establishment, which may be an internal review.

### **Discontinuance**

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

The procedure to discontinue a degree program may be set in motion by the program faculty, by CEP or GC, or by the overseeing dean.

Where the proposing unit is **program faculty or overseeing dean**, the proposal must address:

1. Justification.
2. A statement of whether discontinuance is motivated by fiscal considerations, and, if so, a comprehensive and detailed budgetary justification. If the program is approved to charge self-supporting fees or Professional Degree Supplemental Tuition, a description of which unit is responsible to cover any potential deficit or costs resulting when the income ends must be included.
3. A teach out plan describing how students will be able to complete the program with respect to catalog rights.
4. References to relevant external review documents.
5. Confirmation of program faculty, department or interdepartmental group agreement if proposed by the faculty. Program faculty comments if the proposal is not written by the program chair.
6. Comments from relevant deans.

The overseeing dean transmits the proposal with a recommendation to the VPAA. The VPAA transmits the proposal to CEP, GC, and CPB. CEP will be asked to comment on the impact of

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<sup>9</sup> UC Santa Cruz Program Review Procedures <http://academicaffairs.ucsc.edu/external-review/index.html>

graduate program discontinuance, and GC will be asked to comment on the impact of undergraduate program discontinuance.

When the proposing unit is **CEP or GC**, the Academic Senate will consult with the program faculty, overseeing dean, and the VPAA.

In cases where the discontinuance of an *undergraduate* degree program is not motivated by fiscal considerations, the decision of CEP is final. In cases where the discontinuance is motivated by fiscal considerations, the decision to approve the discontinuance is made by the CPEVC in consultation with CPB and CEP. The VPAA announces the decision to campus, identifies the effective date, and reports the decision to UCOP.

Where discontinuance of a *graduate* degree program is not motivated by fiscal considerations, the decision of GC is final. In cases where discontinuance is motivated by fiscal considerations, the decision to approve the discontinuance is made by the CPEVC in consultation with CPB and GC. The campus decision will be reported to UCOP by the VPAA. The campus decision is final if the discontinuance was reported in the Five-Year Planning Perspective, the Divisional Senate is appropriately involved, and any Universitywide implications are satisfactorily addressed. However, either CCGA and/or UC Academic Affairs may request systemwide review of the decision and the process by which the decision was made. If systemwide review is requested, CCGA must approve the final discontinuance plan and the UC President must approve implementation.<sup>10</sup> The VPAA's announcement of graduate program discontinuance to the campus will occur after the question of potential systemwide review is resolved.

### **Suspension of Admissions**

Suspension of student admissions to an undergraduate or graduate degree program and temporary removal from the course catalog and other campus publications may be appropriate for reasons such as faculty unavailability or budgetary reduction. The process and decision authority for suspension parallels the discontinuance process.

Careful attention to process and clear communication is required due to the potential disruptive impact on students, respect for student catalog rights, required Senate consultation, and decision purview contingency. Announcements made to students and information published on program web sites or other media during the consultation process must clearly state that program suspension is *proposed*; consultation with the VPAA before issuing any communications is strongly recommended.

The procedure to suspend admissions to a degree program may be set in motion by the program faculty, by CEP or GC, or by the overseeing dean. In cases where suspension justification is due to fiscal considerations, the proposing party should clearly state they are *proposing* suspension, and that the *decision to implement* the proposal will be made following consultation.

Proposals to suspend admissions to undergraduate degree programs are best initiated in fall or winter quarter for implementation the following academic year. Proposals to suspend admissions

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<sup>10</sup> UC Compendium (<http://senate.universityofcalifornia.edu/resources/2014CompendiumFINAL.pdf>)

to graduate degree programs should be initiated substantially prior to the program's annual application period. Consultation with the VPAA prior to commencing the suspension process is strongly recommended.

Where suspension of a degree program is not motivated by fiscal considerations, the decision of CEP or GC is final. In cases where suspension is motivated by fiscal considerations, the decision to implement the suspension plan is made by the CPEVC in consultation with CEP or GC, and CPB. Further review of graduate program suspension may be requested by CCGA.

The campus decision is announced by the VPAA who identifies the effective date and requests the one year program status update, if relevant.

### **Undergraduate**

Where the proposing unit is the **program faculty or overseeing dean**, the proposal states the justification, impacts on other programs, the suspension time period, and a teach out plan describing how enrolled students will complete the program with respect to catalog rights. The dean transmits the proposal, with a recommendation and program faculty comments, to the VPAA. The VPAA transmits the proposal to CEP and CPB.

*Undergraduate* program suspension may be approved for one or two years. If suspension is approved for two years, the program faculty will report the program status after one year.

When the proposing unit is **CEP**, the Academic Senate will consult with the program faculty, overseeing dean, and the VPAA. The term period of an undergraduate degree program suspension is the decision of CEP. For suspensions in excess of one year, program faculty are asked to report on the status of the program after one year to CEP with copies to CPB, the VPAA, VPDUE, and overseeing dean.

### **Graduate**

Where the proposing unit is the **program faculty**, the department chair or interdepartmental director will report the program faculty's decision to suspend graduate admissions to the GC, with copies to the overseeing dean, Vice Provost and Dean of Graduate Studies (VPDGS), the VPAA, and CPB. The report should address justification, impacts on other programs, teachout plan to cover catalog rights, and proposed suspension time period. Program faculty will provide annual notification to the GC with copies to CPB, the VPAA, VPDGS, and overseeing dean until admissions are resumed.

When the proposing unit is **GC**, the Academic Senate will consult with the program faculty, overseeing dean, and the VPAA. The term period of *graduate* degree program suspension is the decision of GC. For suspensions in excess of one year, program faculty are required to report on the status of the program after one year to GC with copies to CPB, the VPAA, VPDGS, and overseeing dean.

### **Name Change Undergraduate**

The process for changing the name of an *undergraduate* degree program is identical to the process of establishing one, but the proposal itself may be quite brief. A proposal for a major program name change should include a concise description of the proposed change and why it is warranted at this time. The proposal should include a discussion of how such a change responds to student and faculty interests. If the name change signifies a major shift in program direction, such that new resources are required to make the change viable, then the overseeing dean must explicitly commit the resources.

The overseeing dean transmits the proposal with a recommendation to the VPAA. The VPAA transmits the proposal to CEP and CPB. Subsequent to Senate approval, the VPAA announces the name change, identifies the effective date and reports the decision to UCOP.

### **Graduate**

The process for changing the name of a *graduate* degree program name parallels the process for establishing a graduate degree program. The proposal includes a concise description of the proposed change and why it is warranted at this time. The proposal should include a discussion of how such a change responds to student and faculty interests.

After reviewing for resource implications, the overseeing dean transmits the proposal with a recommendation to the VPAA. The VPAA transmits the proposal to GC and CPB. Subsequent to GC approval, the VPAA forwards the campus decision to CCGA for systemwide review. CCGA has final authority to decide if the name change is deemed a simple change, or requires comprehensive review. A simple name change applies when the name change does not also involve (or signal) a change in the program degree requirements and/or does not require substantial new resources. If CCGA feels that the name change is associated with fundamental program modification, a change in degree requirements, or need for substantial new resources, they may request a comprehensive program review. Final campus announcement follows CCGA concurrence. The VPAA announces the name change, identifies the effective date and reports the decision to UCOP.

### **Hybrid, Joint, Self-Supporting, and Professional Degree Supplementary Tuition Graduate Programs**

#### **Hybrid degree programs**

Undergraduate/Graduate hybrid degree programs are programs that allow undergraduate students to complete undergraduate and graduate programs simultaneously.<sup>11</sup> The establishment of a new hybrid degree program mirrors the approval process for a new graduate degree program, with the exception that the UC Compendium specifies that hybrid program proposals are reviewed by a joint subcommittee of CEP and GC. Upon campus approval, the hybrid program proposal is forwarded to CCGA. Per the CCGA Handbook<sup>12</sup>, CCGA will normally provide pro forma concurrence with the campus action for a proposed hybrid program that is simply a new articulation between existing bachelor's and graduate degree programs, unless it judges that there are particular issues that justify a more extended review.

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<sup>11</sup> UC Compendium (<http://senate.universityofcalifornia.edu/resources/2014CompendiumFINAL.pdf>), Section II.A.1.

<sup>12</sup> CCGA Handbook (<http://senate.universityofcalifornia.edu/committees/ccga/CCGAHandbookJune2014Final.pdf>), page 5.

### **Joint Graduate Degree Programs**

The establishment of new joint graduate degree programs with other higher education institutions (e.g., California State University) mirrors the approval process for individual graduate degree programs. The first step is to request permission to negotiate between the University of California and the partner institution. Faculty considering a joint graduate degree program must consult the VPAA prior to proceeding. Full review criteria are found in the UC Compendium and CCGA Handbook.

### **Self-Supporting Graduate Program**

Self-Supporting Graduate Programs allow the university to serve non-traditional students above and beyond the resources provided by the state. A program is held to the same UC academic standards of quality as regular graduate degree programs. Program approval follows the process for new graduate degree programs. This process includes proposal format and systemwide review and approval by CCGA, however a self-supporting fee proposal is necessary in addition to the curricular proposal. The self-supporting proposal must include any relevant UCOP tables as well as a demand curve detailing the price versus enrollment for any comparators. The self-supporting fee proposal must accompany the complete curricular proposal when it is submitted to the Senate. Campus and systemwide budget office review are required; the proposing faculty must consult the VPAA and the Office of Planning and Budget. See Appendix D for narrative items that must be addressed.

### **Professional Degree Supplementary Tuition Graduate Program**

Professional Degree Supplementary Tuition (PDST) is additional mandatory tuition assessed to students in graduate professional degree programs. PDST programs must adhere to the same UC academic standards as other graduate degree programs. Program approval mirrors the process for new graduate degree programs, including proposal format and systemwide review and approval by CCGA, however a PDST proposal is necessary in addition to the curricular proposal. The PDST proposal must include any relevant UCOP tables as well as a demand curve detailing the price versus enrollments for any comparators. The PDST proposal must accompany the complete curricular proposal when it is submitted to the Senate. Campus and systemwide budget office review are required; faculty proposers must consult the VPAA and the Office of Planning and Budget.

### **Graduate Academic Certificate<sup>13</sup>**

Graduate Academic Certificate (GAC) programs fall in between degree programs and non-degree programs. Certificates awarded bear the official seal of the University of California. Program approval mirrors the process for new graduate degree programs, including proposal format and systemwide review and approval by CCGA. A GAC is defined by the following criteria<sup>14</sup>:

- Students are not required to be enrolled in another graduate program;
- The program is not offered solely through a UC Extension program;
- The program has an independent admissions process, which requires at least a Bachelor's degree for admission; and

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<sup>13</sup> Senate Regulation 735

<sup>14</sup> UC Compendium (pg. 17) <http://senate.universityofcalifornia.edu/resources/2014CompendiumFINAL.pdf>

- The program carries a minimum of 3 quarters of full-time resident study.

For the process to establish a non-SR 735 conforming graduate certificate to be offered in conjunction with already established graduate degrees, see graduate non-degree programs in the next section.

## **NON-DEGREE PROGRAMS – DESIGNATED EMPHASIS, CERTIFICATE, CONCENTRATIONS, CONTIGUOUS BACHELOR’S/MASTER’S, MINORS, OTHER**

### **Nature of a Non-Degree Program**

The campus recognizes multiple curricular programs to provide opportunity for students to focus their interests. These foci provide structure within which specific issues can be explored and the student’s particular interests can be addressed. These programs do not lead to conferral of a degree, or combine requirements from established degrees. The curriculum is supervised by a program faculty and overseen by an academic unit.

### **Criteria**

*Undergraduate* non-degree programs include certificates, concentrations, intensive majors, combined majors, minors, College curriculum, including Core courses, and other curricular programs using academic coursework. Intensive majors and combined majors are built on pre-existing majors. Concentrations allow students to pursue interests within their major degree; certificates and minors allow students to pursue interests separate from their major degree. To develop a common understanding among students, faculty and staff, alternate program names such as “track” and “emphasis” or other terms should not be used. Consult CEP for explicit program criteria and comprehensive definitions and all other undergraduate non-degree curriculum.<sup>15</sup>

*Graduate* non-degree programs include designated emphases, contiguous bachelor’s/master’s programs, and non-SR 735 conforming certificates offered in conjunction with established graduate programs. Designated Emphasis (DE) denotes a broadening of training that comes from adding course work, training and/or research work from an external department, degree-granting program, or cross-departmental grouping of faculty who together offer a designated emphasis. A DE provides for an official degree annotation that is noted on both the transcript and diploma. A contiguous bachelor’s/master’s path is a means by which an undergraduate may complete an existing bachelor degree and an existing master’s degree sequentially in one additional post-baccalaureate year. A certificate provides additional specific training offered in conjunction with another professional or academic degree, and is reflected on the receiving student’s transcript. A non-SR 735 conforming certificate is not a standalone program, and is overseen by an academic unit, the Graduate Division, or campus research center. Consult GC for explicit program criteria and comprehensive definitions.<sup>16</sup>

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<sup>15</sup> <http://senate.ucsc.edu/committees/cep-committee-on-educational-policy/policies-guidelines/UgradDegreeDefinitions2009-WEB.pdf>

<sup>16</sup> <http://senate.ucsc.edu/committees/gc-graduate-council/policies-and-memoranda%20/index.html>

## **Establishment Undergraduate**

The decision on *undergraduate* curricular approval lies with CEP. CEP will consult with CPB if the program requires new resources. The VPAA advises on resource viability.

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

Program faculty initiate a program proposal that addresses:

1. The program's academic objectives.
2. The internal resources needed to mount and sustain the program.
3. The number of students likely to participate.
4. The program's impacts on long term academic plans.
5. Course and other requirements (including prerequisite chains).
6. Curriculum and leave plans demonstrating frequency of offering and capacity to offer the curriculum in the face of faculty leaves.
7. Catalog copy.
8. Discontinuance - How the program will be discontinued if student demand does not justify its continuance, if faculty interests change, or if resources are reduced. Campus approval is required for discontinuance; catalog copy rights apply to undergraduate minors<sup>17</sup>.

Program faculty submit the proposal for establishment to the overseeing dean for consideration. The dean is responsible for transmitting the proposal to the VPAA with a cover letter that describes long term planning implications, affirms whether the program is resource neutral or requires new resources, and makes a recommendation. Programs requiring new resources require the dean's explicit funding commitment. The VPAA transmits the proposal to CEP for approval, which determines when the program shall be published in the General Catalog and Admissions materials. The campus decision is announced by the VPAA.

## **Graduate**

The decision on *graduate* curricular approval lies with GC. Consult GC for explicit proposal requirements and procedures.<sup>18</sup> Dean comments on resources should be provided upon submission of the proposal and the entire proposal is transmitted to GC, and copied to the VPAA. The VPAA may provide comment to GC.

GC determines when the program may be published in the General Catalog and Admission materials. The campus decision is announced by the VPAA.

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<sup>17</sup> Per <http://senate.ucsc.edu/committees/cep-committee-on-educational-policy/policies-guidelines/majors/CatalogRights2010.pdf>

<sup>18</sup> <http://senate.ucsc.edu/committees/gc-graduate-council/policies-and-memoranda%20/index.html>

### **3+1+1 Program<sup>19</sup>**

The decision on 3+1+1 curricular approval lies with GC (for approval of potential modifications in program admissions and for potential double-counting of courses) and the Committee on Admissions and Financial Aid (for the approval of admission of the program participants as limited status students).

Program faculty submit the proposal for establishment of a 3+1+1 program with a draft MOU to the overseeing dean for consideration. The dean is responsible for transmitting the proposal to the VPAA with a cover letter that describes long term planning implications, affirms whether the program is resource neutral or requires new resources, and makes a recommendation. Programs in need of new resources require the dean's explicit funding commitment.

The VPAA transmits the proposal to the divisional senate for approval. It is within the purview of GC to consult with CPB and CEP. The VPAA advises on resource viability. Upon approval by GC and CAFA, the final approval rests with the CP/EVC.

### **Maintenance**

Non-Degree program resources and academic unit administration are determined upon program establishment. For programs overseen by a single department, the department is responsible for allocating the required primary instructional resources to the program. For programs overseen by an interdepartmental group, the charter describes how resource responsibility is distributed among multiple departments.

In parallel with degree programs, minor curricular changes are done through the catalog copy process; routine resource or administration change of non-degree programs is the responsibility of the overseeing dean and does not require central administration or Senate consultation; change that has the potential to reduce program curricular viability must be reviewed. By definition, resource reduction and academic unit administration change excludes any change to the curriculum, i.e. the established program is maintained.

Changes requiring review must be reported to the VPAA who will coordinate Academic Senate consultation. The overseeing dean should consult the VPAA to determine if a proposed change fits criteria for review. Examples of change requiring review include:

- Moving a non-degree program's academic unit administration home from one department or interdepartmental group to another,
- Resource reduction that may reduce program curricular viability by eliminating required courses.

Examples of change not requiring review include:

- Advising and/or administrative staff are re-organized or consolidated.
- Instructional support, such as Readers and Teaching Assistants, are reduced.

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<sup>19</sup> <http://academicaffairs.ucsc.edu/program-development/process-maps/new-311-nondegree-pgrm.html>

The overseeing dean responsible for reporting the change must consult with the program faculty and relevant academic units such as departments with associated curriculum. Where program curriculum crosses divisional or school boundaries, the overseeing dean will consult with the other relevant dean(s). Program faculty are responsible for evaluating how the change may affect the curriculum. The dean must describe the proposed lines of authority and mechanism for dispute resolution between academic units if relevant.

The overseeing dean transmits a proposal that addresses:

1. Justification, resource impacts and effective date.
2. Required enclosures:
  - a. Program faculty assessment of how the change may affect curriculum.
  - b. Comments from relevant deans and associated department chairs.
  - c. Proposed MOU and organizational chart between academic units, or charter amendments, as relevant.

For undergraduate programs, the dean sends the proposal to the VPAA, and then the VPAA transmits the proposal to CEP. For graduate programs, the proposal is routed directly to GC with a copy to the VPAA. CPB shall also be consulted for both undergraduate and graduate proposals. Subsequent to Senate consultation, the VPAA announces the change, identifies the impact on program review, and notifies relevant campus units including the CPEVC, Office of the Registrar, and the Office of Planning and Budget. If relevant, a final signed MOU or charter is required by the effective date and is reported to the VPAA.

### **Review and Re-Approval**

All academic programs will be reviewed in conjunction with the program's sponsoring academic unit regularly scheduled external review. The VPAA will determine any review procedural modifications necessary to best fit the program's size and complexity.

Re-approval of non-degree programs (minors, concentrations) occurs at the time of the external review allowing for continuation to the next review cycle.<sup>20</sup> For *graduate* programs, GC will assess non-degree programs within department or academic program reviews on the regular department cycle. For non-degree programs outside a department or academic program, a review will occur every 8 years. For *undergraduate* programs (e.g., minors, concentrations), CEP will assess the program based upon the following criteria:

- Student participation rates.
- Continued faculty interest.
- Program integration into long-term academic plans.
- Budget conditions.

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<sup>20</sup> Review Procedures: <http://academicaffairs.ucsc.edu/external-review/index.html>

### **Discontinuance**

Program discontinuance, and subsequent removal from the course catalog and other campus publications, may be appropriate for a variety of reasons such as:

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

The procedure to discontinue a non-degree program may be set in motion by the program faculty, by CEP or GC, or by the overseeing dean.

The process for discontinuance parallels the discontinuance process for degree programs, and the decision authority is contingent. In cases where discontinuance is not motivated by fiscal considerations, the decision of CEP or GC is final. In cases where discontinuance is motivated by fiscal considerations, the decision is announced by the VPAA following consultation with CEP and/or GC, and CPB.

Where the proposing unit is the program faculty or overseeing dean, the proposal addresses justification, implications to other programs, and how enrolled students will complete their planned course of studies with respect to applicable catalog rights. The dean transmits the proposal, with program faculty comments and recommendation, to the VPAA. The VPAA transmits the proposal to CEP and/or GC.

Where the proposing unit is CEP or GC, the Academic Senate will consult with the program faculty, overseeing dean, and the VPAA.

The campus decision is announced by the VPAA.

### **Suspension**

Program suspension and temporary removal from the course catalog and other campus publications may be appropriate for reasons such as:

- Faculty unavailability.
- Budgetary re-allocation or reduction.

The process for suspension parallels the discontinuance process. The procedure to suspend a non-degree program may be set in motion by the program faculty, by CEP or GC, or by the overseeing dean. In cases where suspension justification is due to fiscal considerations, the proposing party should clearly state they are *proposing* suspension, and that the *decision to implement* the proposal will be made following consultation.

As with degree program suspensions, careful attention to process and clear communication is required due to the potential disruptive impact on students, respect for student applicable catalog rights, required Senate consultation, and decision purview contingency. Announcements made to students and information published on program web sites or other media during the consultation

process must clearly state that program suspension is *proposed*; consultation with the VPAA before issuing any communications is strongly recommended.

Proposals to suspend admissions to non-degree programs are best initiated in fall or winter quarter for implementation the following academic year. Consultation with the VPAA prior to commencing the suspension process is strongly recommended.

Where the proposing unit is the **program faculty or the dean**, the proposal states the justification, impacts on other programs, the suspension time period, and how enrolled students will complete the program with respect to applicable catalog rights. The dean transmits the proposal, with recommendation and program faculty comments, to the VPAA. The VPAA transmits the proposal to CEP or GC, and to CPB.

Where the proposing unit is **CEP or GC**, the Academic Senate will consult with the program faculty, overseeing dean, and the VPAA.

*Undergraduate* program suspension may be approved for one or two years. If suspension is approved for two years, the program faculty will report the program status after one year. The term of *graduate* program suspension is determined by GC.

Where suspension is not motivated by fiscal considerations, the decision of CEP or GC is final. In cases where suspension is motivated by fiscal considerations, the decision is announced by the VPAA following consultation. In all cases, the VPAA makes the final campus announcement and requests the one year program status update if relevant.

### **Name Change**

The process for changing the name of a non-degree program is identical to the process of establishing one, but the proposal itself may be quite brief. A proposal for a name change will include a concise description of the proposed change and why it is warranted at this time. The proposal should include a discussion of how such a change responds to student and faculty interests. If the name change signifies a major shift in program direction, such that new resources are required to make the change viable, then the overseeing dean must explicitly commit the resources.

The overseeing dean transmits the proposal with a recommendation to the VPAA. The VPAA transmits the proposal to CPB, CEP and/or GC. Subsequent to Senate approval, the VPAA announces the name change and identifies the effective date.

### **III. ACADEMIC UNITS ESTABLISHMENT, DISESTABLISHMENT AND CHANGE**

Departments and interdisciplinary groups are the academic units customarily responsible for academic program sponsorship at UC Santa Cruz. Actions involving departments are carried out on the campus and reported to UCOP.

Colleges, subject matter units, divisions and schools are also academic units but are not further discussed in this document. Actions involving divisions, schools and colleges require systemwide review. Campus procedures regarding their establishment or disestablishment will parallel the process for departments, followed by relevant systemwide approval. Consult the VPAA regarding any actions for colleges or schools.

#### **DEPARTMENTS**

##### **Nature of a Department**

A *department* is an academic unit containing ladder-rank faculty members offering instruction and carrying out research, scholarship, or other creative activity in a titled, recognized discipline or area of investigation and scholarship. A department typically offers degree programs at the undergraduate and/or graduate level. It may, in addition, offer service curriculum toward general education or in support of degree programs overseen by other units. A department holds faculty provisions and its members have Bylaw 55 rights.<sup>21</sup> The department chair represents the department faculty. Department governance is described in by-laws. A department's autonomous status must be approved by the administration on the advice of the Academic Senate.

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

##### **Criteria**

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

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<sup>21</sup> Academic Senate Bylaw 55 Departmental Voting Rights <http://www.universityofcalifornia.edu/senate/manual/blpart1.html#bl55>

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

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

### **Establishment**

A proposal to establish a new department may originate with faculty participants in an existing degree program, or, in the case of new initiatives, any faculty group or senior academic administrator may advance a proposal. A proposal for a new department should demonstrate that the new unit meets the four criteria listed above.

From the start, and throughout the process, the proposing group should consult with a particular academic dean (or deans in the case of proposed cross-divisional activities). In the end, a department will be housed in a division or school. Once established, there will be a single academic dean who oversees the new unit as the responsible administrative officer. During the planning and proposal process, however, it may be sensible to involve more than one dean.

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

The cognizant dean then reviews the proposal. The dean may consult with Senate committees and the VPAA, as appropriate, for comment on the proposal under development.

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

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

Where the proposed department coincides with an existing group of instructional program faculty members, the most recent external review of the existing degree program should be considered. The recommendations of the external review should be incorporated into the department proposal.

### **Maintenance and Review**

The dean within whose division or school the department is housed is responsible for administrative support and space allocation. In the third year after a new department is approved, the dean will prepare a written review, assessing its progress in achieving the goals set out in the initial proposal. This report, together with the department's formal academic plan, will be submitted to the VPAA. On a regular schedule thereafter, the new department will be examined under the campus academic program review process.<sup>22</sup>

### **Disestablishment**

On rare occasions, it may prove necessary to consider the disestablishment of a department whose curriculum and/or research presents grave deficiencies or which has ceased to function effectively as an independent unit. It may also become necessary to disestablish departments for financial reasons or if the number of students in the department's program falls below a level that justifies the need for a separate administrative unit. The procedure to disestablish a department may be set in motion by a vote of the by-law 55 faculty members appointed to the department, by CEP and/or GC, or by the overseeing dean. Such an initiative may or may not result from an unfavorable external review, but in most cases it will be desirable to consider the most recent external review in the proposal.

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<sup>22</sup>Academic Program Review Procedures <http://academicaffairs.ucsc.edu/external-review/index.html>.

The initiating body will present a proposal, including faculty comments, and a plan for disestablishment as well as a plan for discontinuance of any affected instructional programs to the VPAA. If the overseeing dean initiates the proposal, the senate faculty appointed to the department must explicitly be asked for individual written responses to the proposal. The possibility of conversion of a department managed program to an interdepartmental program, or transfer of a program to another academic unit should be addressed. The plan for disestablishment should include a plan for the re-assignment of any remaining Senate faculty members to other units,<sup>23</sup> a process that must comply with academic personnel policies and procedures and in which CAP will be actively engaged. If the department's academic programs are to be discontinued, compliance with campus discontinuance procedures is required.

The VPAA will consult with CEP and/or GC, CAP, and CPB, and will then recommend action to the CPEVC. Final approval is the purview of the CPEVC. The CPEVC announces the campus decision, and the VPAA reports the action to UCOP.

### **Name Change**

The process for changing the name of a department is the same as the process for establishing one, but the proposal itself may be quite brief. A proposal for a department name change should include a concise description of the proposed change and why it is warranted. The proposal should include a discussion of how such a change will better serve students and faculty. If the name change signifies a major shift in program direction, such that either new resources are required and/or faculty members might be compelled to transfer in and/or out of the newly named department, then the proposal should follow the more elaborate guidelines set forth for the establishment of a new department.

The overseeing dean transmits the proposal to the VPAA who coordinates Senate consultation. The campus decision is announced by the VPAA with an effective date.

## **INTERDEPARTMENTAL GROUPS**

### **Nature of an Interdepartmental Group**

An *interdepartmental group* is an academic unit consisting of program faculty appointed to various departments that is approved to offer at least one academic program. Interdepartmental groups do not hold budgeted faculty provisions. Interdepartmental group governance is supported by program faculty by-laws defining membership and decision authority, and an administrative charter describing resources. A program chair or director represents the program faculty.

### **Criteria**

When an academic program's primary instructional resources are distributed among more than one department, the program faculty must be chartered. The charter is a resource and management contract agreed to by executive officers of the relevant academic units. Resources described in the charter are those needed to sustain program viability, including at least courses, student advising, staffing, equipment, and space. The charter articulates the resource agreements between participating academic units and the overseeing dean.

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<sup>23</sup> In accord with CAPM 416.220, Guidelines for FTE Transfers <http://apo.ucsc.edu/policy/capm/416.220.html> or CAPM 417.220, Joint Appointments for Senate Faculty <http://apo.ucsc.edu/policy/capm/417.220.html>.

In addition to the charter, faculty by-laws are required, stipulating program faculty governance structure, membership rules, selection and duties of program chair, faculty voting rights on curricular or organizational issues, reporting to a designated overseeing dean, and other management agreements.

The charter and program faculty by-laws must accompany new academic program proposals in the approval process. The purpose of the charter and by-laws is to guarantee stability of the academic program.

Individual program faculty commit to an interdepartmental group by way of the agreements described in the charter to which their departments are signatories. The individual program faculty and their department chair, acting on behalf of the department faculty, must agree on the extent of the commitment of program faculty members to the proposed academic program. It is the overseeing dean's responsibility to see that the terms and agreements of the charter are responsibly met. When primary instructional resources are derived from multiple divisions or schools, all relevant deans are signatories to the charter.

### **Establishment**

Interdepartmental groups are approved in parallel with their academic program establishment. Program administration is described in the academic program proposal; faculty by-laws and a signed charter are appended to the proposal. Approval of the interdepartmental group occurs simultaneously with academic program approval.

### **Maintenance and Review**

Routine maintenance and review is the responsibility of the program faculty and overseeing dean. Changes requiring charter amendments justified by significant academic program change require campus review. The amended charter accompanies the proposal for academic program change.

Interdepartmental group formal review occurs in conjunction with academic program review.

If there is disagreement among the charter signatories, (for example, one department wants to conclude its commitment, but others do not), the overseeing dean will mediate the matter and propose charter amendments that may or may not affect program viability. Charter amendments must be reviewed by the Academic Senate as stipulated in the charter. The overseeing dean transmits the charter amendments, with justification and program faculty comment to the VPAA who coordinates Academic Senate consultation.

### **Disestablishment**

Interdepartmental groups exist as long as the academic program they sponsor is established, or until the academic program is moved to another academic unit. The charter serves for an indefinite period or as stipulated. It may be re-negotiated at any time, or discontinued by agreement among the overseeing dean and other charter signatories.

The interdepartmental group disestablishment process parallels academic program discontinuance, unless the academic program has a simple administrative home change (see Section II, Academic

Degree Program Maintenance or Academic Non-degree Program Maintenance) or is transferred to another academic unit (see section IV).

**Name Change**

The process for changing the name of an interdepartmental group typically parallels the name change of the academic program offered. The proposal may be quite brief, including a concise description and justification. The proposal should include a discussion of how such a change will better serve students and faculty.

The overseeing dean transmits the proposal to the VPAA who coordinates Senate consultation. The campus decision is announced by the VPAA with an effective date.

#### IV. TRANSFER, CONSOLIDATION, DISESTABLISHMENT AND DISCONTINUATION

One or more academic units or programs may be transferred, consolidated, disestablished or discontinued in response to changing research or scholarly interests or serious deficiencies. Circumstances initiating these actions may include a decline in student demand; insufficient number of program faculty; deficiencies that come to light as the result of a programmatic review; extreme financial constraints; or programmatic changes over time that call for unit reorganization. *Note: TCDD actions typically address large scale re-organization of schools, colleges, and academic divisions, affecting multiple departments and programs. Individual program or department administrative home change, discontinuance, and disestablishment are addressed under actions specific to departments or programs in this document. Consult the VPAA for process questions.*

These four processes substantially transform academic units and impact academic programs. It is important to differentiate among them:

- **Transfer:**  
Moving an academic program or academic unit into another academic unit that subsumes it.
- **Consolidation:**  
Combining two or more academic programs or academic units to form a new unified program or unit.
- **Disestablishment:**  
Eliminating an academic unit.
- **Discontinuance:**  
Eliminating an academic program.

A reconstitution will include one or more TCDD actions defined above and refers to any combination of actions treated as a unified plan. Most often, one or more actions are central to the plan, which may include name changes or establishments as concomitant actions, and a single proposal describing all coordinated actions is required. Each action will be reviewed in context and in accordance with the policy for that action.

The process and final authority is contingent on the academic unit and academic program. Actions involving departments, subject matter units, and interdepartmental groups are decided at the campus level and reported to UCOP. If favorably reviewed by the relevant Academic Senate committee(s) and approved by the campus administration, the decision is implemented. Actions involving schools and colleges require systemwide review and are approved by the Regents.<sup>24</sup>

Before preparing a proposal for a TCDD action, consult with the faculty, the CPEVC, and the VPAA. If possible, two years before final campus action on a TCDD is expected, the proposed action should be included in the annual campus Five-Year Perspective. The systemwide Academic

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<sup>24</sup> UC Compendium –  
<http://senate.universityofcalifornia.edu/resources/2014CompendiumFINAL.pdf>

Senate and/or UC Provost may inform the campus of any systemwide concerns regarding potential Universitywide impacts on the consultation process.

**Department Transfer, Consolidation, and/or Disestablishment**

Department establishment, disestablishment, and name change procedures are addressed in Section III. The procedures for department TCDD actions are the same, but there may be one comprehensive proposal addressing all proposed actions. Consult the VPAA for process questions.

## APPENDIX A1 Interdepartmental Program Charters

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The *program charter* specifies the membership and resource funding of the program faculty. Charters are resource and management contracts that are agreed to by the executive officers of relevant administrative units. The purpose of the charter is to guarantee resource and management stability for interdepartmental or interdivisional programs. Charters *must* accompany new program proposals when the primary instructional resources of the program are allocated to more than one department. By-Laws specify faculty governance, including changes in membership, selection of the director, program committees, and control over curriculum.

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

### 1. Program Definition

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

### 2. Program Faculty

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

### 3. Resources

Specify which academic unit is responsible for allocating specific resources, including, but not limited to:

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

### 4. Program Review

Interdepartmental degree program reviews may be incorporated with an administering department's review, or conducted independently. Please state which review mode is proposed and why.

### 5. Program Discontinuance

Specify how the degree program will be discontinued if student demand does not justify its continuance or if faculty interests change. Approval must comply with campus procedures and policies, including permitting enrolled students to complete the program and sustaining student catalog rights.

## **6. Signatories**

The charter should be signed by the following: the chairs of all departments from which contributions of resources are considered essential; the academic deans to whom these departments report; and the dean responsible for program oversight.<sup>25</sup> These persons sign as executive officers of their units, and the departmental and divisional resources (but not individual faculty members) are bound by the agreement.

## **7. Amendments**

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

## **8. Oversight**

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

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<sup>25</sup> Resources include courses, faculty time, administrative assistance, space, instructional support, and any other required resource.

## **APPENDIX A2**

### **Interdepartmental Program Bylaws**

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

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## **COASTAL AND MARINE POLICY**

### **FACULTY BYLAWS**

#### **PROLOGUE**

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

#### **ARTICLE I. ORGANIZATION AND APPOINTMENT OF THE PROGRAM FACULTY**

##### **Principal Faculty**

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

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

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

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

##### **Associate Faculty**

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

#### **ARTICLE II. COMMITTEES OF THE FACULTY**

##### **Executive Committee**

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

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

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

### **Standing Committees**

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

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

### **Ad Hoc Committees**

Dissertation Committees: Per the program described in the proposal, each doctoral candidate shall have a dissertation committee comprised of at least three members, including one director and at least two readers. At least two members of the dissertation committee shall be either principal or participating program faculty members. Dissertation committee appointment shall follow procedures and policies issued by GC in accordance with SCB 13.21.<sup>26</sup>

## **ARTICLE III. ACADEMIC ADVISING**

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

## **ARTICLE IV. MEETINGS**

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<sup>26</sup> Academic Senate Manual, Appendix D

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

#### **ARTICLE V. QUORUM**

Meetings of the principal faculty shall be noticed seven days or more in advance *via* email or regular mail. Fifty-one percent of the principal faculty members shall constitute a quorum of a meeting. Unless otherwise provided for in these by-laws, the meetings shall be conducted according to the meeting procedures followed by the Academic Senate. Minutes of previous meetings shall be approved by a simple majority.

#### **ARTICLE VI. AMENDMENTS**

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

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

## APPENDIX B Graduate Program Proposal

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### Graduate Degree Program Proposal Submission

The overseeing academic dean submits a completed new program proposal to the Vice Provost for Academic Affairs. The dean's endorsement letter should clearly commit to program resource needs as described in the proposal. The dean's letter should address at least the following:

- Relationship of the proposed program to the current school or division academic plan.
- Program faculty capacity to launch and sustain the program.
- Resource commitment of existing and proposed program funding, including student support, staffing, space, and specialized equipment as relevant.

### Graduate Degree Program Proposal Format

The University of California establishes the required format for new graduate degree program proposals that is documented in the Coordinating Committee on Graduate Affairs Handbook.<sup>27</sup> UC Santa Cruz Academic Senate and Administration have augmented this template with descriptive details necessary for local campus approval procedures. The UC Office of the President and the systemwide CCGA must review new graduate degree programs after they are approved on campus. Additional information regarding the UC systemwide approval process for graduate programs is available from the Coordinating Committee on Graduate Affairs (CCGA):

<http://senate.universityofcalifornia.edu/files/committees/ccga/ccga-handbook-august-2016.pdf>

#### **TITLE:**

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

NOTE: If the program proposes to charge PDST please expand the phrasing to read "a program of professional graduate studies with PDST in \_\_\_"; if the program is self-supporting, please expand the phrase to read "a Self-Supporting Professional Graduate Degree Program in".

#### **DATE OF PREPARATION:**

NOTE: if the proposal has been revised in the process of campus review, please include all dates: that of the first submission and that of each revision. The content forwarded to CCGA will be the latest version.

#### **EXECUTIVE SUMMARY:**

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<sup>27</sup> [http://senate.universityofcalifornia.edu/\\_files/committees/ccga/ccga-handbook-august-2016.pdf](http://senate.universityofcalifornia.edu/_files/committees/ccga/ccga-handbook-august-2016.pdf)

A concise exposition setting forth the chief features of the program in language accessible to those outside the specific field.

## **SECTION 1. INTRODUCTION**

A statement setting forth the following:

1. Aims and objectives of the program. Any distinctive features of the program should be noted; include a description of the expected profile of the target audience (e.g., educational background; work experience; proportion of in-state, out-of-state, and international students). Indicate student competencies, i.e. program learning outcomes, that are achieved in the program. Include an appendix with a multiyear plan for assessing effectiveness of instruction of learning outcomes and a curriculum alignment matrix showing how the curriculum supports the learning outcomes and where they are assessed.
- i.) Historical development of the field and historical development of departmental strength in the field.
  - ii.) Timetable for development of the program including enrollment projections.
    - a) Specify the timing for:
      - i.) Program approval timeline, including estimated campus approval and estimated CCGA and UCOP approval. If the proposal involves a PDST fee, or is for a self-supporting graduate professional degree program (SSGPDP) then estimate the timeline of campus and UC approval of those separate fees.
      - ii.) New faculty hires.
      - iii.) Course approvals.
      - iv.) First availability of core offerings.
      - v.) Draft of catalog copy. (A program statement must accompany the proposal to be considered for catalog copy).
      - vi.) Availability of space/facilities needed for program.
      - vii.) Admission year for first cohort of graduate students.
      - viii.) Anticipated year of awarding first degrees.
    - b) Consistency of enrollment projections with the campus enrollment plan. State if any other programs will have their enrollments reduced in order to accommodate the proposed program.
  - iii.) Relation of the proposed program to existing campus programs and the to the campus academic plan.
    - a) If the program is not in the campus academic plan, why is it important that it be begun now? State evidence of high campus priority.
    - b) Could the curriculum be offered just as effectively within an existing structure (e.g. as a pathway or emphasis within an existing graduate program)?
    - c) What overlaps exist between the proposed curriculum and the curricula of other units on this campus?
    - d) Effect of the proposed program on undergraduate programs offered by the sponsoring department(s).

- e) In the case of a self-supporting professional graduate degree program (SSPGDP), explain clearly any possible impacts on existing state-supported graduate or undergraduate programs, and how those impacts will be avoided or mitigated.
- iv.) Interrelationship of the program with other UC campuses and/or regional public or private institutions, if applicable.
- a) Discuss the possibility of cooperation or competition with other programs within the University. Proposers should be aware of any similar proposals for new programs that may be in preparation on other campuses (Office of Planning and Budget has access to the systemwide Five-year Perspectives lists for all UC campuses).
  - b) Differences from other similar programs within the University and other California institutions.
  - c) Draft proposals are required to be sent out to all departments or programs on other UC campuses offering similar degrees to solicit reviews (see end of this appendix for sample cover letter language). Append review letters obtained from chairs of such departments. This solicitation is most useful if it occurs early enough to allow the proposers to take advantage of any feedback before campus review.
- v.) Department or group which will administer the program.
- a) Administrative home for purposes of student major advising, *etc.*
  - b) Append agreements in place to assure that courses and other faculty effort essential to the program will be available to assure any current cohort of students the opportunity for timely completion of the degree program.
  - c) Append a signed charter and faculty bylaws (Appendix A) if the proposal is sponsored by an interdepartmental group.
- vi.) Plan for evaluation of the program within the offering department or interdepartmental group, by the Academic Senate and campus-wide.

## **SECTION 2. PROGRAM**

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

1. Undergraduate preparation for admission.
2. Foreign language. Describe the need or lack of a need for foreign language competence. “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) Master's I (thesis) and/or Master's II (comprehensive exam or capstone); Doctoral. State if multiple pathways are offered; provide a separate description for each.
  - c) Unit requirements.
  - d) Required and recommended courses, including teaching requirement.
  - e) (For Master's Plan II only) Description of capstone element, either a comprehensive exam or an individual or group project (include details about supervision and individual evaluation).
  - a) When a degree proposal must have licensing or certification, list the requirements of the agency or agencies involved in the proposal, especially the specific courses needed to satisfy such requirements.
4. Field examinations – written and/or oral.
  5. Qualifying examinations – written and/or oral.
  6. Explanation of special requirements over and above Graduate Division's minimum requirements.
  7. Relationship of master's and doctor's programs.
  8. Special preparation for careers in teaching.
  9. Sample program.
  10. Normative time from matriculation to degree. (Assume student has no deficiencies and is enrolled full-time.).
    - a) Specify the normative lengths of time for pre-candidacy and for candidacy periods. NOTE: If normative time is subsequently lengthened to more than six years, prior approval of CCGA is required.
    - b) Other incentives to support expeditious times-to degree: 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. State evidence of student demand, including course demand, student inquiries, and any statistics or other detailed documentation that student demand is stable and long lasting. Please estimate proportion of in-state, out-of-state, and international enrollment.
2. Opportunities for placement of graduates. It is important for proposals to provide detailed and convincing evidence of job market needs. A market analysis should entail a valid analysis of a robust range of comparators. This is especially true for programs in graduate fields now well represented among UC campuses and California independent universities, as well as programs in the same field proposed by more than one campus. If UC already offers programs in the

field, what are their placement records in recent years? What recent job listings, employer surveys, assessments of future job growth, etc. can be provided to demonstrate a strong market for graduates of this program, or for graduates of specialty areas that will be the focus of the program? If enrollment is expected to be heavily international, are international graduates expected to seek employment in U.S. or to work abroad?

3. Importance to the discipline.
4. Ways in which the program will meet the needs of society. What evidence justifies the proposed degree program will meet a genuine societal need? Cite relevant literature where available.
5. Relationship of the program to research and /or professional interests of the faculty.
6. Program Differentiation. How will the proposed program distinguish itself from existing UC and California public or private institutions, from similar programs proposed by other UC campuses? Statistics or other detailed documentation of need should be provided.

#### **SECTION 4. FACULTY**

A statement on current faculty and immediately pending appointments. This should include a list of faculty members, their ranks, their highest degree and other professional qualifications, and a citation of relevant publications; data concerning faculty should be limited to only that information pertinent to the Committee's evaluation of faculty qualifications. If proposers wish to submit full CVs for participating faculty, they should combine and append them to the proposal.

For interdepartmental group programs only, one copy of letters from participating faculty indicating their interest in the program should be included. Memoranda of Understanding, in the form of charters and faculty by-laws for teaching resources required to administer the graduate program curriculum, must be appended. In addition, comments from all chairs of departments with graduate programs closely related to or affected by the proposed program should be appended.

For SSGPDP, please include all of the information requested in Appendix D.

#### **SECTION 5. COURSES**

A list of present and proposed courses including instructors and supporting courses in related fields. The catalog description of all present and proposed courses that are relevant to the program should be appended, along with descriptions of how the courses will be staffed and how the staffing of the program will affect existing course loads, as well as descriptions of the relationship of these courses to specific fields of emphasis and future plans.

NOTE: for online courses, include details about the platform to be used; delivery partner, if any; plan for initial creation of online content, and plan for periodic refreshing of content; synchronous vs. asynchronous contact with faculty and TAs; provisions for cohort-formation and peer learning; assessment of student work, including provisions for security or identity authentication.

#### **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.
  - a) Are the current holdings sufficient to support a new graduate program?
  - b) What kinds of retrospective materials (monographic and serial fills) will be required for graduate level research?
  - c) Does the library currently subscribe to the most important scholarly serial publications (print or electronic) in the field?

*Note: Consult with library staff and request a brief report on library materials, phasing of new acquisitions, and the projected resource impact. Append librarian report.*
3. Computing costs.
4. Equipment - Append inventory of current equipment and future needs.
5. Space and other capital facilities - Append inventory of current facilities and future requirements.
6. Other operating costs (technical and administrative staff, supplies and expense, lab maintenance and other facilities). Append description of current staffing levels and future requirements.
7. Indicate the intended 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.
  - a) What will the effects of reallocation be on existing programs?
  - b) 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 programs?
  - c) How is the resource plan clearly related to campus enrollment and resource plans?
  - d) When the proposed program is fully implemented, how will faculty FTE be distributed among contributing and new programs?

## **SECTION 7. GRADUATE STUDENT SUPPORT**

Include detailed plans for providing sufficient graduate student support.

1. Define strategy for meeting support needs.
2. How many teaching assistantships will be available? Will resources for the TAs be provided through approved enrollment growth, reallocation, or combination? How will any reallocations affect support in existing graduate programs?

3. Describe external and internal support sources. In fields that depend on federal research grants, these plans should also discuss current availability of faculty grants that can support graduate students and funding trends in agencies expected to provide future research or training grants.
4. Describe any campus fund-raising initiatives that will contribute to support of graduate students.
5. Append graduate student support table listing maximum number of students projected and sources of support for the first five years of the program following this sample format:

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

NOTE: An SSGPDP and any proposal involving PDST should explain what financial aid will be available or why it is not necessary to make a provision for financial aid, and should discuss the implications of the fee structure for the diversity of the projected clientele.

### **SECTION 8. GOVERNANCE**

If the program is offered by an interdepartmental group, or a unit that does not/has not offered graduate degrees, then describe the group. A charter and faculty by-laws must be appended.

### **SECTION 9. 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 (for all proposals for new degree titles), the complete text of the proposed amendments or new regulations should be provided.

### **SECTION 10. UCOP SUMMARY**

Append the summary questionnaire required by University of California Office of the President (see Appendix E below).

## **Appendices**

In addition to the main document outlined above, proposals must include an appendix with a multiyear plan for assessing effectiveness of instruction of learning outcomes and a curriculum alignment matrix showing how the curriculum supports the learning outcomes and where they are assessed.

Proposals may include additional appendices as appropriate providing supporting details, e.g., some or all of the following: the CVs of the principal faculty administering and teaching in the new program; documentation of market surveys or other evidence of demand for the degree; letters of support from local industry or other potential employers or sponsors of potential students; budget spreadsheets; listing of comparable degree programs; sample syllabi of proposed new courses.

### **SAMPLE LETTER SENT BY PROPOSERS TO CHAIRS OF PROGRAMS OFFERING THE SAME OR A COMPARABLE DEGREE AT ANOTHER UC CAMPUS**

(to be sent to all appropriate chairs or program directors)

*Dear Chair (or Program Director),*

*At UC Santa Cruz, we are in the process of proposing a new graduate program leading to [degree title]. In accordance with the review policy established by the systemwide Coordinating Committee of Graduate Affairs (CCGA), I am providing you, as the Chair of an existing comparable program, with a copy of the current draft of our proposal. We would be very grateful for any feedback you may wish to offer us, so that the proposal may be made as strong as possible before submission.*

*As background, please understand that the format and contents of the proposal follow the required outline found in the CCGA Handbook and have additional items required for our campus review. Internal and external reviewers will later be asked to address the following four points when examining our final submission:*

- *Quality and academic rigor of the program,*
- *Adequacy of the size and expertise of faculty to administer the program,*
- *Adequacy of the facilities and budgets, and*
- *Applicant pool and placement prospects for the graduates*

*If you wish to provide feedback, we would like to receive it within four weeks of the date of this letter, since we expect to submit the proposal for campus review at that time.*

## APPENDIX C Undergraduate Program Proposal

### Submission Packet and Proposal Format

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#### **PART 1. Undergraduate Degree Program Proposal Submission**

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

A completed submission packet should include:

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

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

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

#### **PART 2. Undergraduate Program Proposal Format**

The proposal template for undergraduate programs is modeled after the format for new graduate degree program proposals which is established by the University of California.<sup>28</sup> The template has been augmented with descriptive details necessary for UC Santa Cruz approval procedures.

##### **TITLE**

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

##### **DATE OF PREPARATION**

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<sup>28</sup> <http://senate.universityofcalifornia.edu/resources/2014CompendiumFINAL.pdf>

## SECTION 1. INTRODUCTION

A statement setting forth the following:

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

- b) Provide evidence supporting the view that this demand will be stable and long lasting.
  - c) Graduate career placement opportunities; cite employment prospect data and literature where possible. Append relevant statistics and clippings.
7. Program Evaluation. Program reviews will occur according to established campus review guidelines and consolidated with the sponsoring department's review. Interdepartmental undergraduate program reviews will be consolidated with the administrative home department's review. State which departmental review will include the proposed program.

## **SECTION 2. CURRICULUM**

1. List all present and proposed courses and their instructors. Distinguish clearly between existing and new course offerings, required courses and electives. Include courses offered in related fields and confirm stakeholder agreement based on student catalog rights.
  - a) Indicate when newly proposed courses will become available.
  - b) Define the schedule (i.e., fall, winter, spring) and frequency of course offerings (e.g. annually, every quarter, semi-annually etc.).
  - c) Append the catalog description of all required and recommended courses.
  - d) Discuss the relationship of these courses to specific fields of emphasis.
  - e) Describe the course offering structure, how do they build on each other? Include a major map, chart, spreadsheet, or drawing by hand that shows the prerequisite structures (see examples at xxxx).
2. Curriculum Plan. Describe how the new course load will be distributed among existing faculty and future hires for three years taking account existing course loads and projected senate faculty leaves and absences.
3. Program Learning Outcomes:
  - a) A multiyear plan for assessing effectiveness of instruction of learning outcomes noted in Section 1, part 1.
  - b) A curriculum alignment matrix showing how the curriculum supports the learning outcomes and where they are assessed.
4. Student Program of study:
  - a) Specific fields of emphasis.
  - b) Unit requirements.
  - c) Required and recommended courses - if multiple pathways offered, provide separate description for each.
  - d) Student Study Plans for frosh and transfers (demonstrating students can complete degree in normative time). Include different pathways for students entering with varying levels of writing and mathematical proficiency, if applicable. Map general education courses and college requirements where they are integrated into the major (see examples at xxxx or use a table).
  - e) Explanation of any special requirements or enhancements. (e.g. Education Abroad, internships, etc.)

5. Graduation requirements, including comprehensive exit requirements.
6. Major Admission Requirements.
  - a) Describe high school and transfer student preparation recommended or required including courses, foreign language, or test requirements.
  - b) Will there be a formal qualification policy? If so, append a major qualification form.<sup>29</sup>
  - c) Describe any specialized pre-requisites for acceptance to the major (field examinations, portfolio reviews, etc.). What assurances are there that specialized admission requirements will not put any student group at a disadvantage?
  - d) Are necessary course articulation agreements in place with community colleges?

### **SECTION 3. FACULTY**

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

### **SECTION 4. RESOURCE REQUIREMENTS**

1. If applicable, state that no new resources will be required and describe how the program will be funded. If new resources are required, estimate for the first 3 years the additional cost of the program, by year, for each of the following categories:
  - a) FTE faculty.
  - b) Library acquisitions (consult with librarians).
  - c) Computing costs.
  - d) Equipment (append inventory of current equipment and future needs).
  - e) Space and other capital facilities (append inventory of current facilities and future requirements).
  - f) Other operating costs (supplies and expense, maintenance of labs and other facilities).
  - g) Teaching Assistants.
  - h) Technical and administrative/advising staff (append description of current staffing level and future requirements).
2. Indicate the intended sources of funding for all new costs.
  - a) If program is to be funded by internal reallocation, explain how internal resources will be generated and/or realigned and the effects of reallocation on existing programs.
  - b) Clearly separate out any unmet needs.
  - c) Describe opportunities/activities for securing external support.

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<sup>29</sup> <http://senate.ucsc.edu/committees/cep-committee-on-educational-policy/policies-guidelines/majors/Major%20Qualification%20PolicyFormMarch2014.pdf>

- d) What resources (soft funding for instructors and staff, space, etc.) are indispensable to the operation of the proposed program; clearly separate basic requirements from long-term desires.
- e) For the program's first five years, describe the schedule on which these resources need to become available.
- f) Relate phasing of funding to targets for enrollments, majors, degrees, or other measures of workload accountability.

## **SECTION 5. PROGRAM ADMINISTRATION**

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

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

## **SECTION 6. CHANGES IN SENATE REGULATIONS AND WASC APPROVAL**

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

The Western Association of Schools and Colleges (WASC) Senior College and University Commission (WSCUC) is the accrediting agency for the University of California. New degree titles or new programs that involve instructional activities at off-campus locations or use distance-learning technologies may require prior substantial change approval from WSCUC.<sup>30</sup> Please contact Meg Lehr ([mlehr@ucsc.edu](mailto:mlehr@ucsc.edu)) for questions concerning this.

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<sup>30</sup> <http://www.wascsenior.org/resources/subchange>

## APPENDIX D

### Guidelines for Self-Supporting Graduate Professional Degree Proposal (SSGPDP)

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A proposal for a new SSGPDP should follow the proposal format specified for new graduate programs (Appendix B), in addition to the SSGPDP-specific items listed below. These guidelines address the common concerns that have arisen in SSGPDP reviews.

An SSGPDP proposal must address the following:

#### 1. *Faculty Teaching and Advising*

- a) Faculty teaching ratio: What fraction of the program courses will be taught by ladder rank faculty?
- b) Faculty workload: How many faculty members, and what proportion of the department's/program's faculty, will be involved in teaching courses in the proposed program? How many additional courses, on top of their state-supported program teaching load will they be responsible for?
- c) Faculty overload: Among the courses taught by faculty, what percentage will be done by faculty overload? What percentage by faculty buyout (i.e., money from the program going to the department so that the department can hire someone else to teach what the faculty would have taught)?
- d) New faculty: Does the extra workload require the hiring of new tenure-track faculty and/or full or part-time lecturers?

#### 2. *Faculty Advising*

- a) Will there be a program director for advising students or assisting with job placement? Is the person an existing faculty or staff member? How will the person be compensated?
- b) Are faculty involved in advising students on requirements such as capstone projects or master theses? If so, how many faculty members? What is the expected faculty to student ratio for these activities?

#### 3. *Facilities and Staff Support*

- a) Any dedicated space for the proposed program?
- b) Will the courses be taught in existing facilities? If so, how will the arrangement impact the scheduling of existing classes, and how much will the existing facilities be used?

- c) Any additional facilities required for the program? E.g., classrooms, laboratories, recording facilities (for online lectures/discussions)
- d) Who provides support? Does the program require staff personnel? Will new additional staff be hired? If so, how many?
- e) Will the courses of the program create need for additional TAs? Are there enough graduate students to serve as TAs?

4. *Financial Accessibility*

- a) In accordance with the 2016 Presidential Policy on “Self-Supporting Graduate Professional Degree Programs,” a proposal must state an articulated financial accessibility goal for their students and a student financial support plan for achieving that goal.
- b) Examples of possible student financial support plan components include providing scholarships or grants from the program’s own resources (e.g., return-to-aid from program tuition and fees assessed but not from state funds or tuition and/or fees charged to students in state-supported programs, or funds raised through private philanthropy), providing tuition and fee waivers, participation in federal and/or private loan programs, and participation in other external support programs such as veterans benefits.
- c) If financial aid is the primary means to achieve financial accessibility, proposal shall state its rate of return-to-aid (if zero, state zero).

5. *Impacts on Related State-supported Programs*

- a) Will the enrollment of any existing state-supported program(s) be adversely affected by the creation of the program?
- b) How would faculty participation (both in teaching and advising) in existing state-supported programs be affected by the proposed program?
- c) How would staff supported of existing state-supported programs be affected by the proposed program?
- d) Will there be foreseeable impacts on the class sizes offered by the existing state-supported programs?
- e) Will new courses offered by the proposed program be made available to students enrolled in state-supported programs of the same department or school?
- f) Will the new program create competing needs for instructional facilities and physical and intellectual infrastructures in the proposed department/school? Will new infrastructures and facilities be created to share with related state-supported programs?

6. *Admissions Criteria*

- a) What are the expected initial and steady-state enrollments?
- b) What are the admissions criteria? How do they compare to other similar programs of comparable standing?
- c) Do admissions criteria specify some type of work experience in the field?
- d) What measures are taken to ensure that unqualified students are not admitted for financial reasons?

7. *Financial Viability Analyses*

- a) Include a market analysis of the viability of the self-supporting program.
- b) Include a copy of the cost analysis that is submitted to Planning and Budget and UCOP.
- c) Specify the source and nature of any financial support, including start-up funding and loan(s).
- d) Specify the launch date of the new program.
- e) Describe the phase-in process to demonstrate that it satisfies the self-supporting requirement of a SSGPDP and specify when the phase-in period is forecasted to end.

**APPENDIX E**  
**Five-Year Planning Perspectives-Questionnaire**

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The questionnaire for describing an anticipated action included in a campus' *Five-Year Planning Perspective* should follow the format outlined below. Information should be presented concisely to comply with page guidelines of 2-5 pages for creating a school or college, and 1-2 pages for all others proposed actions. Information should be focused on the anticipated action (creation, transfer, consolidation, disestablishment, discontinuance) and the entity (graduate degree program, school or college) This form is only required for new graduate degree programs, schools, divisions, or colleges.

1. Campus:
2. Program Name and Anticipated Action:
3. Description of and Reasons for Anticipated Action:
4. Relationship to Existing Campus Programs, Units, and Mission:
5. Resources:
6. Funding:
7. Students:
8. Employment Implications:
9. UC Campuses and Other California Institutions with Similar Offerings:
10. Anticipated Campus Review and Implementation Dates:

## **APPENDIX F**

### **Department Establishment Proposal**

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#### **Department Establishment Proposal Submission**

The overseeing academic dean submits a completed new department proposal to the Vice Provost for Academic Affairs. The dean's endorsement letter should clearly commit to department resource needs and their funding sources as described in the proposal. The dean's letter should address at least the following:

- Faculty FTE total at department establishment and near term projection as described in most recent division or school academic plan.
- Administrative support
- Facilities/space
- Append and address comments received from related or affected departments within the same school or division as the proposed department.

#### **Department Establishment Proposal Format**

A proposal for a new department should demonstrate that the new unit meets the four criteria described above in the UC Santa Cruz guidelines. Address all topics in the following outline, additional topics or appendices may be added as necessary to fully describe the proposed department.

#### **TITLE:**

A proposal for the establishment of the department of \_\_\_\_\_.

#### **DATE OF PREPARATION:**

#### **SECTION 1. Sustainability, Size, and Rationale**

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

## **SECTION 2. Administrative Structure and Self-governance**

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

## **SECTION 3. Research and Teaching Distinction**

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

## **SECTION 4. Resource Requirements**

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

## **APPENDIX G**

### **Undergraduate Minor Program Proposal**

#### **TITLE**

A proposal for a minor in \_\_\_\_\_ (e.g., English/Biology).

#### **DATE OF PREPARATION**

#### **SECTION 1. INTRODUCTION**

A statement setting forth the following:

1. Purpose and objectives of the program. Describe distinctive features, including pedagogical underpinnings. Articulate learning outcomes to indicate the competencies students will achieve in the minor.
2. The timetable for development of the program and enrollment projections. Specify the timing for:
  - a. Effective date (first year of appearance in General Catalog, first quarter for students to declare the minor)
  - b. New faculty hires (if applicable).
  - c. Course approvals for any courses not currently approved (if applicable). Note that approval of the program does not confer approval of individual courses contained therein. All new course offerings must be approved independently by CEP and/or GC via the OCA system.
3. Relationship of the proposed program to existing campus programs. State if any other programs in the sponsoring academic unit may have their enrollments impacted (reduced or increased) with the establishment of the minor. Include impacts on courses and programs offered by other academic units.
4. Student demand. Provide an estimate of expected enrollment, and any available evidence of student demand, such as enrollment trends, admissions trends, student inquiries, or course enrollments in related academic programs.
5. Program evaluation and re-approval. State which departmental review will include the proposed program for evaluation and re-approval by CEP.
6. Program discontinuance. The procedure to discontinue a minor may be set in motion by the program faculty.
  - a. Include a statement acknowledging catalog copy rights of enrolled students, and faculty commitment to a teach-out plan.
  - b. If this is an interdepartmental minor, state the process for program faculty decision to propose discontinuance.

## **SECTION 2. CURRICULUM**

1. List all present and proposed courses and their instructors. Distinguish clearly between existing and new course offerings, required courses and electives. Include all prerequisite courses. Describe the course offering prerequisite structure, including a description of how courses build on each other.
2. Curriculum Plan. Provide a three-year curriculum plan for the proposed minor, in relation to any other academic program also offered by the sponsoring department, noting where courses overlap. Describe how the new course load will be distributed among existing faculty and future hires for three years taking into account existing course loads and projected ladder faculty leaves and absences.
3. Student Program of study:
  - a. Unit requirements.
  - b. General education and college requirements – how do they integrate with the program?
  - c. Explanation of any special requirements or enhancements (e.g. Education Abroad, internships, etc.).
4. Expected Preparation. Describe any preparation recommended or required. Any specialized admission requirements must include an evaluation that indicates that no student group is at a disadvantage.

## **SECTION 3. FACULTY**

Describe program faculty, include immediately pending appointments and projected future hires, if applicable. List program faculty, core faculty first and then affiliated faculty.

## **SECTION 4. RESOURCE REQUIREMENTS**

This section should be written in collaboration with the overseeing dean and other department/program chairs, if applicable. Comment on how existing resources will support the new program and whether existing resources are sufficient to cover the needs of the new program and all other existing programs. Please address faculty, staffing (administrative, advising, and/or technical; it is helpful to explicitly specify the supporting staff positions), GSIs or TAs, specialized equipment, and other operating costs. If no additional resources will be required, describe how the program will be supported within existing resources.

If new resources are required, the department or overseeing dean must explicitly commit to funding in the proposal or in a support letter.

## **APPENDICES:**

1. Draft program statement for the General Catalog.
2. Catalog description of all required (including pre-requisite) and recommended courses.

3. If applicable, solicit and append comments from chairs of departments with programs and/or faculty closely related to or affected by the proposed program.
4. If applicable, copies of letters/emails indicating interest and commitment to the program of participating faculty external to the sponsoring department (required for interdepartmental programs).
5. If applicable, a signed charter and bylaws if the principal program faculty are not the exact same as the department faculty (e.g., from multiple departments, or not the whole faculty of a department).

## APPENDIX H Definitions

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**Academic Programs** An academic *program* is a set of course offerings and a set of requirements that lead to a degree or focus student interests on specific topics. The curriculum of all programs of studies is supervised by a *program faculty*.

Degree/Degree Title – A degree is certification awarded upon satisfactory completion of a specific academic or professional program of courses and other requirements. Degree titles are posted on transcripts and diplomas. Degree titles new to campus require systemwide approval. Santa Cruz is currently authorized to confer the following degrees:

### ACADEMIC DEGREE TITLES

Bachelor of Arts (B.A.)  
Bachelor of Science (B.S.)  
Bachelor of Music (B.M.)  
Master of Arts (M.A.)  
Master of Science (M.S.)  
Master of Fine Arts (M.F.A.)  
Doctor of Philosophy (Ph.D.)

### PROFESSIONAL DEGREE TITLES

Doctor of Musical Arts (D.M.A.)  
Doctor of Education (Ed.D.)

Degree Program – A degree program is an approved set of courses, examinations, and other requirements within a discipline or across disciplines that leads to a degree, commonly referred to as a “major” at the undergraduate level. Degree programs are identified both by the title of the degree conferred, and by the disciplinary area in which the degree is awarded.

Non-Degree Program – Curriculum structured to provide student focus on specific topics. Minors, concentrations, and designated emphasis are examples. See the Committee on Educational Policy and Graduate Council links for comprehensive academic program definitions.<sup>31</sup>

Program Faculty – Program faculty are a group of faculty approved to offer one or more academic programs that may be degree programs, non-degree programs, or both. Program faculty may be appointed to one or various departments.

Program Viability – Sufficient resources to assure that all students currently pursuing the program can complete the requirements in a timely way. Resources include at least courses, faculty, staff, space, and equipment.

**Academic Units** Academic Units are organizations approved to offer curriculum and administer academic programs, both degree and non-degree.

College – A college at UC Santa Cruz is an academic unit that may offer courses and degrees and which may superimpose undergraduate graduation requirements beyond degree and general campus requirements. College faculty recommend the award of undergraduate degrees.

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<sup>31</sup> CEP: <http://senate.ucsc.edu/committees/cep-committee-on-educational-policy/policies-guidelines/UgradDegreeDefinitions2016-WEBSw.pdf>

GC: <http://senate.ucsc.edu/committees/gc-graduate-council/policies-and-memoranda%20/index.html>

Department – A department is an academic unit that usually offers undergraduate and graduate degree programs. Departments typically represent a well-established discipline and are headed by a chair.

Division – A division is an academic unit comprised of one or more departments that offer undergraduate and graduate degree programs. A division is headed by a dean.

Interdepartmental Group – An interdepartmental group is composed of a number of faculty appointed to various departments that offers at least one interdisciplinary degree program. The group is governed by faculty by-laws and does not hold permanent faculty FTE. Interdepartmental groups report to a single overseeing dean.

School – A school is an academic unit typically comprising one or more departments that offer one or more professional degree programs. A school is headed by a dean.

Stakeholder – Departments that request the addition of a course or course(s) that are sponsored by another department must seek approval before adding these to the proposed curricula.<sup>32</sup>

Subject Matter Unit – A subject matter unit administers subject specific curriculum that does not lead to a degree. The Language Program, Writing Program, and Science Communication Program are examples of subject matter units. Subject matter units report to a dean.

### **Actions**

Establishment – Creation of a new academic program or academic unit.

Suspension – Suspension is a temporary cessation of student admissions to an academic degree or non-degree program.

Discontinuance – Eliminating an academic program.

Disestablishment – Eliminating an academic unit.

### **Titles and Acronyms**

CPEVC – Campus Provost and Executive Vice Chancellor

CEP – Committee on Educational Policy

CPB – Committee on Planning and Budget

CCGA – Coordinating Committee on Graduate Affairs

GC – Graduate Council

UCOP – University of California, Office of the President

VPAA – Vice Provost for Academic Affairs

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<sup>32</sup> <http://registrar.ucsc.edu/forms/facultystaff/index.html>

## APPENDIX I

### References

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Universitywide Review Processes for Academic Programs, Academic Units, and Research Units  
– “The Compendium” September 2014 edition

<http://senate.universityofcalifornia.edu/resources/2014CompendiumFINAL.pdf>

UC Santa Cruz Academic Program Review Procedures

<http://academicaffairs.ucsc.edu/external-review/index.html>

Coordinating Committee on Graduate Affairs Handbook

<http://senate.universityofcalifornia.edu/committees/ccga/CCGAHandbookJune2014Final.pdf>

UC Santa Cruz Committee on Educational Policy

<http://senate.ucsc.edu/committees/cep-committee-on-educational-policy/index.html>

UC Santa Cruz Graduate Council

<http://senate.ucsc.edu/committees/gc-graduate-council/index.html>

Systemwide Professional School Planning: Recommended Guidelines and Model

<http://www.universityofcalifornia.edu/senate/committees/ucpb/profschoolplan.pdf>