

Policy and Procedures for the Transfer, Consolidation, Disestablishment¹ of an Academic Unit

I. Purpose and Scope

One or more academic units may be consolidated, disestablished (TCD) or reconstituted² in response to changing research or scholarly interests, or serious deficiencies. In most cases, such an action will be part of a proposal to transfer, consolidate or discontinue an academic degree program. The following circumstances may create conditions that lead to the initiation of these procedures: a decline in student demand over time; insufficient number of faculty to carry out the academic mission, deficiencies that come to light as the result of a programmatic review; extreme financial constraints, usually in conjunction with other factors, or programmatic changes over time that call for reorganization of units.

All academic units shall be transferred, consolidated, or disestablished according to the procedures in this document.

When the TCD of an academic unit is associated with other actions, (such as the TCD of a degree program, or a reorganization plan) a single proposal describing all the coordinated actions should be submitted. Each action will be reviewed in context and in accordance with the policy for that action.

II. Authority and Coordination

- A. The Regents, upon recommendation of the president, have authority to approve TCD of colleges and schools.
- B. The chancellor has authority to approve TCD of a division, department, program (the academic unit), interdisciplinary group, and division within a department, following consultation with appropriate academic officers and the Academic Senate.
- C. The EVC coordinates campus review of proposals for academic instructional units and proposals for multiple actions, and determines a timetable for the conduct of the review. Coordination may be delegated to the Office of Budget and Planning (BAP), the Graduate Division, or the Academic Senate Office, as appropriate. The EVC approves actions in cases of expedited review and conveys information about the action as stated in IV.
- D. For Academic Senate Review:
 1. The Academic Senate Executive Council defines the process to be followed within the context of these procedures, determines the timetable for Senate conduct of the review, instructs councils and committees, and provides advice as needed.
 2. The Council on Planning and Budget is the designated council for TCD actions involving academic units, and has authority to make the final recommendation to the Faculty Legislature, subject to Executive Council review.

¹ UC convention is to use the term “disestablishment” for academic units and “discontinuance” for academic programs. This document adheres to that convention. See [Definitions](#).

² Reconstitution proposals may include a number of TCDD actions and other actions, such as name change; see [Definitions](#).

III. Source of Proposals for TCDD³ Actions

- A. Upon a majority vote, the faculty of an academic unit may propose TCDD actions for that unit.
- B. The faculty executive committee (FEC) of the school or college containing the unit in question may propose TCDD actions.
- C. The chancellor, EVC, and dean of the academic unit(s) may propose TCDD actions.
- D. The Graduate and Undergraduate Councils of the Academic Senate may propose TCDD actions as a result of programmatic reviews.

IV. Expedited Review

Initiators of a TCD action may request an expedited review of the proposal. Such a request must include a cogent rationale for expediting the process. The memorandum must confirm that all parties, including the affected faculty, the FEC, and appropriate dean(s), are in agreement on the proposal and that there is no impact on other units. Under such conditions, campus reviewing agencies may limit the scope of their review and reach a decision expeditiously.

V. TCD Review Procedures for a College or School

- A. Early Planning Stage--Campus Five-Year Perspective
 - 1. Before preparing a proposal for a TCD action for a college or school, consultation with the faculty, the EVC and other appropriate administrators is strongly recommended. Ongoing consultation with the administration is recommended.
 - 2. If possible, two years before final campus action on a TCD is expected, the anticipated action should be listed in the [Campus Five-Year Perspective](#). A two-page summary regarding the proposed action must be included with the submission.
 - 3. Based on the two-page summary, the Academic Council chair and/or UC provost and executive vice president will inform the chancellor (via the EVC) of any systemwide concerns regarding potential universitywide impacts or inadequate divisional Senate involvement..
- B. Proposal Transmittal and Coordination
 - 1. TCD of an academic unit or multiple TCDD action should adhere to the format provided in the appendix of this policy. For the formatting of a TCDD proposal involving the transfer, consolidation, or discontinuance of a graduate or undergraduate program, also refer to the respective policy for such action. A proposal for a TCD action, or multiple TCDD actions, is forwarded to the EVC in electronic form.
 - 2. The EVC decides whether Senate and administrative reviews should take place simultaneously, depending on the nature of the proposal.
 - 3. The EVC sends the proposal with a request for review and action/comment to the Academic Senate Executive Council, the appropriate deans, vice chancellors, librarian, and the Office of Budget and Planning, depending on the source and nature of the proposal.

³ Acronym includes Discontinuance of an academic program and Disestablishment of an academic unit. See the Policy and Procedures for the Transfer, Consolidation or Discontinuance of a Graduate or Undergraduate Program Leading to a Degree or Certificate for information specific to such actions.

C. Academic Senate Review

1. The Executive Council determines specific procedures and time-frames, depending on the nature of the proposal. Senate review is expected to be completed within the established timetable.
2. The proposal is forwarded to CPB and the college/school FEC for review and recommendation.
3. College/School Review

The FEC's review includes consultation with faculty within the college or school. The FEC's recommendation and rationale, including the results of any faculty votes taken, are sent to CPB, within the established timetable.

FEC review does not preclude CPB from also consulting with college or school faculty.

4. CPB's review includes: analysis of the proposal's fit with the campus academic and long range plans, its impact on campus budget, on other units, faculty FTE and the physical resources involved, appropriateness of the proposed disposition of those resources, analysis of the impact on the college/school faculty and adherence to academic personnel policies.

In carrying out its reviews, CPB may consult any group or individual they deem appropriate, including but not limited to:

- The Council on Faculty Issues and Awards
- The Graduate and Undergraduate Councils
- The Committee on Academic Personnel
- The relevant academic dean and graduate dean
- Students enrolled in programs offered by units in the college or school
- University/campus counsel
- The Committee on Privilege and Tenure

After receipt of the FEC's report and all documentation deemed necessary, CPB writes its final report and recommendations for submission to the Executive Council. The report will contain:

- A summary of comments/recommendations of the FEC, and all other relevant responses pertaining to CPB's purview
 - CPB's specific recommendations
 - The rationale for the recommendations
 - Documentation of votes taken
5. The final report is forwarded to the Executive Council. If the report is deemed complete, the chair of the Senate places the item with final recommendations on an agenda of the Faculty Legislature for action (endorsement or not), and informs the EVC of the outcome.

D. Administrative Review and Final Action

1. Each administrator to whom the proposal is sent should ensure appropriate consultation within his/her area of responsibility and provide an analysis with the following considerations:
 - School/college resource impact and potential reallocation
 - Impact on other units
 - Affected academic appointments

- Affected staff positions
 - Evaluation of the proposal's consistency with academic plans and objectives, including the consequences for other units
2. Each administrator forwards his/her analysis and recommendation to the EVC within the established timetable.
 3. Upon receipt of both administrative and Senate responses, the EVC sends the proposal and related documentation to the chancellor for final action.
 4. If the chancellor approves the proposal, the chancellor or designee submits the proposal for systemwide review as prescribed by Distribution List 12 of the [Compendium](#). If the chancellor does not approve the proposal, he/she notifies the EVC, and informs the initiators and reviewing bodies. The proposal may be amended to address the chancellor's concerns or be withdrawn.

E. Off-Campus Review of Proposal

NOTE: The systemwide review process is described in Section III.B of the [Compendium](#) (*Universitywide Review Processes For Academic Programs, Academic Units, And Research Units, July 1999*). In brief, once the proposal is submitted for systemwide review, it is simultaneously considered by Academic Affairs staff, California Postsecondary Education Council (CPEC) (if requested), the Coordinating Committee on Graduate Affairs (CCGA), the University Committee on Educational Policy (UCEP), the University Committee on Planning and Budget (UCPB), and any other Senate committees the Academic Council chair selects. Upon favorable review by the Senate, CPEC's concurrence (if it has requested review), and the President's recommendation to approve, the Regents vote on the proposed TCDD action.

F. Upon Approval of the TCD Action Involving a College or School

The UC provost and executive vice president reports the approval to the chancellor. The chancellor informs the initiators, BAP, the campus registrar, and other campus individuals identified in the proposal. Publications, including electronic resources, may not reflect a TCD action until it receives Regental approval.

VI. TCD Review Procedures for a:

Division (within a college or school)

Department

Program (the academic unit)

Interdisciplinary Group (transfer and consolidation only)

Division within a Department (transfer and consolidation only)

A. Early Planning Stage

The proposal initiators should consult with the dean of the college/school in which the unit resides. Ongoing consultation between the initiators and the college/school administration is recommended. The proposed action is generally included in the [Campus Five-Year Perspective](#) at least one year prior to final campus action, especially for multiple-action proposals including a graduate program. The Office of the President (OP) will notify the EVC if a systemwide review of the proposed action is required.

B. The procedures of V B, C, and D apply unless there is an expedited review (see IV).

C. Administrative Review and Final Action

1. Each administrator to whom the proposal is sent should ensure appropriate consultation within his/her area of responsibility and provide an analysis with the following considerations:
 - Potential impact of proposal on the administrator's area of responsibility
 - Impact on academic appointments
 - Impact on staff
 - Evaluation of the proposal's consistency with academic plans and objectives, including the consequences for other units

Administrative review is expected to be completed within the established timetable.

2. Upon receipt of administrative as well as Senate responses, the EVC sends the proposal and related documentation to the chancellor for final action.
3. If the chancellor approves the proposal, the EVC informs the UC provost and executive vice president of the action. If the chancellor does not approve the proposal, he/she notifies the EVC, who informs the initiators and reviewing bodies. The proposal may be amended to address the chancellor's concerns or withdrawn.

VII. Disestablishment of an Interdisciplinary Group or Division within a Department

If the proposed action includes discontinuance of all academic programs administered by an interdisciplinary group or division within a department, once discontinuation is approved, disestablishment of the interdisciplinary group or division that administered the academic program is automatic, and no review procedures are required.

VIII. General Provisions

A. Conflict of Interest

Any member of any council or committee in these proceedings, including non-Senate representatives, who might be directly affected by the proposed TCDD action must recuse him/herself from any council or committee discussion of the TCDD and may not serve on any other committee engaged in determining the outcome of the TCDD proposal. A member is directly affected if the college/school/department/program/unit in which he/she is formally affiliated is subject to TCDD action, or if the member/representative has a familial, or financial interest. Recusals become effective at the beginning of a reviewing agency's consideration of the proposal.

B. General Considerations

The welfare of affected faculty and staff should be a significant consideration in TCD actions. Where disestablishment of the academic unit under review has been recommended and approved, provisions will be made for an orderly phase-out.

1. If positions of tenured faculty are affected the University will be committed to making every effort to retain those faculty. Where possible, those faculty members will be reassigned to other appropriate programs or departments on campus, after consultation with the academic units involved and with the Committee on Academic Personnel. Where appropriate relocation on campus is not a reasonable possibility, every effort will be made to arrange for transfer to a comparable program on another campus in the UC system, or for some other accommodation that will minimize the disruption of the personal and professional lives of the individuals involved. In addition, the phase-out period will be extended long enough in time to permit reasonable opportunity for non-tenured faculty or of tenured faculty who do not wish to

stay to find other positions. All University and campus policies with respect to the rights of faculty must be observed.

2. Whenever possible, affected staff personnel will be transferred to similar positions at UCSB. All University and campus human resources policies with respect to staff positions must be observed.

C. Unresolved Issues

Specific circumstances and any issues pertaining to TCDD actions not covered explicitly in this policy shall be resolved by the EVC and/or Executive Council subject to approval by the Committee on Rules, Jurisdiction and Elections.

Appendix 1

Format for Proposals for TCD of Academic Units or TCDD Actions

What is being proposed

If from faculty or Senate agency, the vote of the program faculty or agency

The reasons for the proposed action, including supporting data

The effect of the proposed action on faculty and any mitigating recommendations

The effect of the proposed action on enrolled students and any mitigating recommendations

The effect of the proposed action on the staff and any mitigating recommendations

The effect of the proposed action on other academic units or academic programs

Documentation of any consultation that has occurred before or during formulation of the proposal

Background information, providing relevant history.

Approved/Endorsed: Executive Council, 5/20/08
 Faculty Legislature, 11/06/08
 Chancellor, 12/23/08