

## **ESTABLISHMENT OF AN ACADEMIC UNIT**

### **I. Purpose and Scope**

These procedures describe the steps required to establish a college, school, division, department, program (the academic unit), interdisciplinary group, or division within a department. All academic units shall be established according to these procedures.

When the establishment of an academic unit is associated with other actions (such as the establishment of new degree programs), a single proposal describing all the coordinated actions may be submitted. Each action will be reviewed and approved in accordance with the policy for that action. The office of the executive vice chancellor (EVC) will coordinate campus review of proposals with multiple actions.

### **II. Authority and Coordination**

- A. The Regents, upon recommendation of the president, have final authority to approve a new college and school.
- B. The chancellor has final authority to approve new a new 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 will coordinate campus review of proposals for academic instructional units and proposals for multiple actions. Coordination may be delegated to the Office of Budget and Planning (BAP), the Graduate Division, or the Academic Senate Office, as appropriate.

### **III. Procedures for the Establishment of a College or School**

- A. Early Planning Stage--campus Five-Year Perspective
  1. Before preparing a detailed proposal for establishing a new college or school, consultation with the faculty and the EVC is strongly recommended. Consultation with the academic dean and provost is suggested. Ongoing consultation with the administration is essential to a successful proposal.
  2. As planning moves forward, but at least two years before a new college or school is approved on campus, the anticipated action should be listed in the campus Five-Year Perspective. A two-to-five page description of the new college or school must be included with the submission.
  3. Before the start of the next academic year, the systemwide Academic Planning Council will send to the chancellor a summary of the reactions and suggestions of systemwide Academic Senate committees without implying approval or denial. The chancellor (via the EVC) will forward the information to the proposal's initiators with copies to relevant deans/provosts, BAP, and the chair of the Academic Senate. This information should be considered in preparing the formal proposal.
- B. Proposal Development
  1. The initiators should consult with the EVC or designated administrative officer prior to preparation of the draft proposal to discuss any areas of concern, and the "Format for the Proposal of a new College or School." (See Appendix I)
  2. The initiators submit an electronic copy or three paper copies of a draft proposal to the EVC for preliminary review. Comments from staff in the offices of the EVC and BAP, and others

from whom the EVC may request preliminary review are intended to assist the initiators in including information critical to the proposal's evaluation.

#### C. Campus Review of Proposal

1. The initiators submit the formal proposal in electronic form, with one paper copy to the EVC. (If paper copies are submitted in lieu of an electronic file, twenty copies should be submitted.)
2. The EVC determines whether campus and systemwide review of the proposal will occur sequentially or concurrently. With concurrent review, the systemwide processes described in section D take place while the proposal is being reviewed on campus. Final approval would be given after the proposal is approved on campus and the approved proposal is determined to be substantially the same as the proposal reviewed systemwide. The remaining steps assume the proposal is receiving sequential review, but the process for concurrent review is essentially the same. (See the Compendium for further information on concurrent review.)
3. The EVC sends the proposal with a request for review and comment to the chair of the Academic Senate, faculty executive committees, (FECs), the vice chancellor for research, the university librarian, dean of the Graduate Division, academic deans and provosts, and BAP.
4. The EVC consolidates responses, including his/her own, and notifies the initiators of any recommended changes to the proposal. Reviewing bodies named above (C.3.) receive a copy of the recommended changes and of the responses from other reviewing bodies. If a revised proposal is not required, see step C.6.
5. When the initiators submit a revised proposal to the EVC, it will be reviewed by the EVC, or staff, for its incorporation of recommended changes. The EVC may request review and comment from the reviewing bodies named above (C.3.). There may be several iterations of this step before the proposal is considered final.
6. The EVC sends the final proposal to the chair of the Academic Senate for action.
7. If the proposal is essentially the same as in Step 3, it will be placed on the Faculty Legislature agenda for action. If it is a substantially revised proposal it may be reviewed again by Senate agencies prior to action by the Faculty Legislature. The chair of the Academic Senate sends written notification to the EVC of the outcome of the Faculty Legislature's vote (endorsement or not).
8. The EVC sends the proposal and related documentation to the chancellor for final action. 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 [link]. 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 meet the chancellor's concerns or withdrawn.

#### D. 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*)[\[link\]](#). In brief, the proposal is reviewed by the Office of the President Academic Affairs staff who send their comments to the Coordinating Committee on Graduate Affairs (CCGA), University Committee on Planning and Budget (UCPB), University Committee on Educational Policy (UCEP) Chairs and the Academic Council Chair who may forward to other Senate committees as necessary. A simultaneous review is conducted by the California Postsecondary Education Commission (CPEC). The Academic Council receives the comments of systemwide Academic Senate committees and acts as arbiter in the case of disagreement on

their final recommendations. The Academic Council reports the Senate's recommendations to the provost & senior vice president, who makes a recommendation to the president. The president recommends approval to The Regents who vote to establish the college or school.

E. Upon Approval of the College or School

The senior vice president and provost reports the approval to the chancellor, copying the initiators, the campus registrar, and other campus bodies identified in the proposal. The college or school may not be publicized or listed in campus publications before receiving regental approval.

IV. Procedures for the Establishment of a

- **Division (within a college or school)**
- **Department**
- **Program (the academic unit)**
- **Interdisciplinary Group (formerly "small p" program)**
- **Division Within a Department**

A. Early Planning Stage

1. When a new division, department, program, interdisciplinary group, or division within a department is envisioned, the unit's initiators should consult with the divisional dean and dean or provost of the college/school in which the unit will reside. Ongoing consultation between the initiators and the college/school administration is essential to a successful proposal.
2. If planning for the new unit proceeds, the dean or provost notifies the EVC, who informs the chancellor.

B. Proposal Development

1. The initiators prepare a draft proposal following the "Format for the Proposal of a New Division, Department, Program, Interdisciplinary Group, or Division Within a Department" (Appendix II.)
2. The initiators submit the draft proposal to the EVC, via the college dean or provost, for preliminary review. Comments from the dean's and/or provost's office, the office of the EVC, BAP, and others from whom the EVC may request preliminary review, are intended to assist the initiators in including information critical to the proposal's evaluation.

C. Campus Review of Proposal

1. The initiators submit the formal proposal in electronic form, with one paper copy, to the EVC.
2. The EVC sends the proposal with a request for review and comment to the chair of the Academic Senate (who is responsible for coordinating appropriate Senate review), the vice chancellor for research, the university librarian, dean of the Graduate Division, the dean or provost of the college or school in which the unit will reside, the FEC of that college or school, and the office of BAP. (When the new unit is a division within a department, consultation is primarily with the appropriate deans and provost, FEC, and the Academic Senate. The EVC may decide to limit the request for comment to those bodies.)
3. If, in the judgment of the EVC, the responses call for changes in the proposal, the EVC will send the initiators a memo describing the recommended changes, with copies of the reviewers' comments. If a revised proposal is not required, see step C.6.

4. When the initiators submit a revised proposal to the EVC, it will be reviewed by the EVC or staff for its incorporation of recommended changes. The EVC may request review and comment from the reviewing bodies named above (C.2.). There may be several iterations of this step before the proposal is considered final.
5. If the proposal remains substantially the same as the proposal submitted to the Academic Senate (step 2), the EVC requests that the Academic Senate chair place the proposal on the next agenda of the Faculty Legislature. If the proposal has been significantly revised, the EVC will send the revised proposal to the chair of the Academic Senate, requesting final action by the Senate. Following review by appropriate Senate agencies, the Faculty Legislature votes to either endorse or not endorse the proposal. The Academic Senate chair reports the results of the vote to the EVC.
6. The EVC submits the proposal and documentation to the chancellor for final action. If the proposal is not approved, the EVC notifies the initiators, providing the reasons it was not approved. Proposal initiators, following consultation with the EVC, may decide to modify and resubmit the proposal or withdraw it.
7. If the chancellor approves the new unit, he/she notifies the EVC, who notifies the initiators, deans and provosts, all other reviewing bodies, and the registrar of the establishment of the new unit, its formal name, and effective date.

Endorsed: Faculty Legislature, 3/4/04  
Approved: Executive Vice Chancellor, 3/12/04

## **APPENDIX I FORMAT FOR THE PROPOSAL OF A NEW COLLEGE OR SCHOOL**

A proposal for a new college or school must address the following points in addition to any issues identified by reviewers when the unit was listed on the campus Five-Year Perspective:

Title: Proposal for a (name of new college or school), proposed by (list initiators), effective (planned implementation date).

### Section 1. Introduction

1. Description of the new college or school structure, including proposed department(s) and other units.
2. Mission of and rationale for the new college or school.
3. Relation of new college or school to campus academic plan and to existing programs on campus. How will new college or school build on existing academic strengths?
4. Comparison of the new college or school to similar units at other UC campuses, other California educational institutions, and other universities nationwide. Description of the features that distinguish the proposed college/school from other similar units.
5. Role of the proposed college or school in meeting university and state needs.
6. Projected total enrollment over five years and when college or school reaches maturity. Discussion of the basis for the projection.
7. Description of consultations leading to the proposal.

### Section 2. Programs

1. Academic degree programs to be offered by the new college or school and the status of those programs or program proposals. The proposal may include proposed degree programs; see Policies and Procedures on Establishment of Undergraduate and Graduate Programs for requirements.
2. Description of what other programs or activities, centers, etc. are envisioned for the college or school.

### Section 3. Structure

1. Description of the administrative structure of the college or school, including committees.
2. Description of the advising/mentoring structure and plans.

### Section 4. Faculty

List of potential members of the college/school faculty, if known.

### Section 5. Resource Requirements

The resources needed for each of the first five years in the following categories:

1. Faculty FTE
2. Staff FTE
3. Space or other capital facilities
4. Equipment
5. Computing costs
6. Library acquisitions
7. Other operating expenses.
8. Projected FTE and budgetary needs/goals at optimum size.

Expected sources of funding. If the reallocation of existing resources is required, state the effect on existing programs.

Provide a draft of enabling legislation for the college/school Faculty. The draft may be supplied later in the review process; contact the director of the Academic Senate for assistance.

## **Appendix II Format for the Proposal of a New Division, Department, Program, Interdisciplinary Group, and Division within a Department**

The proposal should address the following points, in addition to any issues raised during the early planning stage and review of earlier draft proposals:

Title: Proposal for a (name of new unit), proposed by (list initiators), effective (planned implementation date).

### Section 1. Introduction

1. Description of new unit
2. Rationale for and mission of the new unit
3. Relationship of the new unit to campus academic plan. How will new unit build on campus strengths and contribute to campus goals?
4. Comparison of the new unit to similar units at other UC campuses, other California educational institutions, and other universities nationwide.
5. Discussion of how the new unit will affect and interact with existing campus units.
6. Projected total enrollment over five years and when the unit has reached maturity.

### Section 2. Program

1. Academic degree programs offered by new unit and the status of those programs or proposals. The proposal may include proposed degree programs; see Policies and Procedures for Establishment of Undergraduate and Graduate Programs for requirements.

### Section 3. Structure

1. Description of the administrative structure of the unit, include committees.
2. Description of the advising/mentoring structure and plans.

### Section 4. Faculty

List of potential faculty members of the department/program/interdisciplinary group/division.

### Section 5. Resource Requirements

The resources needed for each of the first five years in the following categories:

1. Faculty FTE.
2. Staff FTE.
3. Space or other capital facilities.
4. Equipment.
5. Computing costs.
6. Library acquisitions.
7. Other operating expenses.
8. Project FTE and budgetary needs/goals at optimum size of the unit.

The expected sources of funding. If the reallocation of existing resources is required, state the effect on existing programs.