

**UC Merced Policy and Procedure Manual
Campus Organization and Management
Establishment of Schools/Colleges**

Approved:

Supersedes: none

Policy for the Establishment of Schools/Colleges

Establishing a school or college is a significant resource commitment by the campus and should be given careful consideration by the campus administration, Divisional Senate, system-level administration and the systemwide Senate. The Compendium provides a detailed description of the review once it has been approved by the campus administration and Divisional Senate. This document outlines the policy for campus review of a proposal to establish a school or college, professional or otherwise.

Establishing a school or college is a **two-step** process that requires at least two years to complete. At least one year prior to submitting a full proposal, a pre-proposal for the school/college must be submitted to the campus administration and Divisional Senate sequentially and, if approved by both, to the systemwide administration and Senate for review. The Compendium outlines the review process for the systemwide administration and Senate review. After those proposing the school receive comments from both the systemwide administration and Senate, the campus may prepare a full proposal. The full proposal is reviewed first by the campus administration, the Divisional Senate and then, if approved by the campus, sent to the systemwide administration and Senate for review.

As per the Compendium, approval of a school or college requires a favorable review by the systemwide Senate, review by designated state officials, approval recommendations by the President to the Board of Regents, and approval by the Board of Regents. If a campus fails to establish a school or college within seven years of the date of Regental approval, it must submit a post-proposal. The post-proposal updates the original proposal and must provide clear and compelling justification for the school or college in light of the current budget and curricular environment since the initial Regental approval.

The process to propose a school or college is listed below.

I. Initial Systemwide Notification of Prospective Action

If the proposed school or college has not been listed on the campus's Five-Year Planning Perspective, it should be added to the planning list with a description provided to the EVC/Provost at the time the campus begins to review the pre-proposal.

II. Development of the Pre-proposal

- A. The Compendium requires a pre-proposal at least one year before the proposal. The pre-proposal should address the review categories outlined in the Compendium (academic rigor, financial viability, need for the school/college, fit within the UC System and with the segments). These review categories are captured in the required, pre-proposal (and ultimately proposal) format outlined in Appendix I.
- B. If the proposal is for a professional school, Appendix E of the Compendium applies. Professional school criteria, identified as such, are also addressed in Appendix I.
- C. It is expected that proposal proponents will undertake the following in the development of the pre-proposal:
 - i. Work closely with the Chancellor and EVC/Provost regarding required elements of the (pre-)proposal relative to broader campus planning/budget efforts
 - ii. Work with the Office of the Vice Chancellor of Research on the required elements that relate to the research needs of the faculty

- iii. Work with the Office of the Vice Chancellor and CFO on the required elements that relate to the finances of the proposed school
- iv. Work with the University Librarian regarding resource needs
- v. Work with the relevant school Deans and faculties directly impacted by the proposed school or college
- vi. Work with relevant Senate review committees and Divisional Council to discuss required elements of the (pre-)proposal

III. Pre-proposal Review by the Campus Administration

- A. The (pre-)proposal is submitted to the EVC/Provost and the campus-level administrative review is coordinated by the Office of the EVC/Provost. Any administrative review conflicts of interest will be addressed by the EVC/Provost, or the Chancellor should they include the EVC/Provost.
- B. Upon receipt, and following determination that the (pre-)proposal is complete and addresses the requirements outlined in Appendix I, the EVC/Provost's Office distributes the (pre-)proposal, and any associated documents, for a preliminary review to the following administrative bodies. Additional preliminary reviews may be solicited at the discretion of the EVC/Provost.
 - i. *Office of Financial Planning and Analysis*: reviews the resource requirements/sources for the proposed school or college.
 - ii. *School Deans*: evaluate the proposed school or college's effects on their school, faculty, undergraduate and graduate programs.
 - iii. *Vice Provost and Dean of Undergraduate Education*: evaluates the proposed school or college's effects on undergraduate education at UC Merced, including contributions to academic distinction.
 - iv. *Vice Provost and Dean of Graduate Education*: evaluates the proposed school or college's effects on graduate education at UC Merced, including contributions to academic distinction.
 - v. *Vice Chancellor for Research*: evaluates the proposed school/college's contribution to the campus' research priorities, including contributions to research distinction, and related administrative support needs.
 - vi. *Provost/Executive Vice Chancellor*: assesses the proposed school or college in the context of broader campus initiatives and evaluates its feasibility in light of the campus's academic and enrollment goals and budget.
- C. Upon conclusion of the administrative review process, the EVC/Provost transmits the review documents, including all administrative assessments and the administration's preliminary evaluation of the proposal's feasibility and the campus's ability to support the proposed school/college, to the Divisional Senate. At this juncture the administration does not make any recommendation to either endorse or not endorse the proposed school/college.

IV. Pre-proposal Review by the Merced Division of the Academic Senate

- A. The Senate Chair distributes, to all standing committees of the Academic Senate, the (pre-)proposal and associated administrative reviews. Lead committees for the review are the school executive committees, the Committee on Academic Planning and Resource Allocation, the Committee on Research, Graduate Council and Undergraduate Council.
- B. Because all faculties may be impacted by a school or college, directly or indirectly, each school's review of the (pre-)proposal will be accompanied by a school-wide poll assessing the faculty's support for the proposal (see Appendix II for a template). School polls, like committee comments, inform Divisional Council's deliberations.
- C. Upon receiving full Senate review of the proposed school or college, as well as the school polls, Divisional Council will decide to endorse the (pre-)proposal or not endorse with requested revisions. The Divisional Council's decision will be transmitted to the EVC/Provost's office along with the (pre-)proposal and all Senate reviews.

V. Campus Approval Process

- A. Upon receipt of the Divisional Senate's review of the (pre-)proposal the EVC/Provost's Office will review the (pre-)proposal in light of their preliminary review and the Divisional Senate's review and elect to either endorse or not endorse the (pre-)proposal.
- B. If the Divisional Senate, or the EVC/Provost's Office review under Section V. A., does not endorse the (pre-)proposal the (pre-)proposal will be returned to the proposal proponents by the EVC/Provost's office with a request for revision and response to the feedback provided by the review. Proposal proponents may then revise the (pre-)proposal and submit for re-review, returning to Step III. The resubmission should be accompanied by a cover letter detailing the proponent's responses to the administrative and committee reviews.
- C. Proponents have 30 days to notify the Provost's Office of their intention to submit a revised (pre-)proposal, including an estimated date of resubmission, or indicate that the (pre-)proposal will not be resubmitted. Failure to notify within 30 days constitutes an intent to not submit a revised (pre-)proposal. Either indicating that a (pre-)proposal will not be resubmitted or failing to notify the EVC/Provost's Office of the proposer's intention will remove the (pre-)proposal from campus consideration.

VI. Pre-proposal Submission to UC System

- A. If both the Divisional Council and the administration endorse the pre-proposal, the EVC/Provost recommends the pre-proposal for the Chancellor's approval.
- B. With approval, the Chancellor will submit the pre-proposal to the UC Provost together with all campus review documents.

VII. Systemwide Administrative and Senate Review

- A. The UC Provost transmits the pre-proposal to both the Academic Affairs and the systemwide Senate for review as outlined in the Compendium.
- B. Formal comments from these two reviews will be transmitted to the campus. The Academic Council's comments will be sent to the proposal's proponents with copies to the Provost/EVC and the Divisional Senate Chair.

VIII. Development of the Full Proposal

Following receipt of system-level comments, the proposal proponents will revise and expand the pre-proposal into a full proposal, elaborating on the criteria outlined in Appendix I, as appropriate, and addressing campus and system-level comments. Campus level and systemwide level reviews will inform the level of detail required.

IX. Campus Administration Review of Full Proposal

Upon receipt of the full proposal and associated cover letter, the EVC/Provost's Office initiates campus review, returning to Step III above.

X. Full Proposal Review of the Merced Division of the Academic Senate

- A. Following receipt of the full proposal, and administrative reviews, the Senate conducts a review as outlined in Step IV above.

XI. Submission of Full Proposal

- A. If the full proposal is approved by both the campus administration and the Divisional Senate the Chancellor will submit the full proposal to the UC Provost and the Academic Council Chair for review as outlined in the Compendium.
- B. In the case that the full proposal is not approved by either the administration or the Divisional Senate, the full proposal will be returned to its proponents. The proposal proponents may revise the full proposal and initiate a re-review of the full proposal, starting with Step III above.

Appendix I: Format for Pre-Proposal/Proposal of a School or College

A proposal, either pre or final, for a school or college must address the elements outlined in this appendix in addition to any issues identified by reviews of the campus's Five-Year Planning Perspective when the school or college was originally added to the campus' Five-Year Planning Perspective.

Cover Letter: All submissions must be accompanied by a cover letter. The cover letter for the initial submission should include the results of a vote by the faculty proposing the school/college. For all subsequent submissions, including both pre and full proposals, the cover letter should detail the proponents' responses to comments received.

Cover Page and Title: The cover page should include following elements: (1) name of the school or college, (2) list of faculty proposing the school or college, with a lead contact identified, (3) an effective start date for the school or college, and (4) date of the proposal (or revision).

- I. Table of Contents:** Provide a table of contents for the proposal.
- II. Executive Summary:** Provide a brief summary of the proposed school, highlighting the main features of the proposal.
- III. Introduction to the Proposed School/College:** The introduction should provide the following information:
 - A. Provide a brief history of the proposed school or college.
 - B. Describe the school or college including the proposed departments or units.
 - C. Articulate the academic mission of the proposed school or college.
 - D. Describe the consultation process used to develop the proposal with both the campus administration and faculty.
 - E. Describe how the proposed school/college will inform the campus of their progress toward achieving their goals after the school is created.
- IV. Campus Need for the Proposed School/College:** To make the case for the campus fit of the proposed school/college, this section should address the following:
 - A. Explain how the proposed school or college will build on existing academic strengths.
 - B. Describe the void the school or college will be filling and at what scale.
 - C. Describe the contribution the proposed school or college will make to the broader campus academic/strategic plan as well as to existing programs.
 - D. Describe how the proposed school or college supports existing campus priorities and initiatives.
 - E. Describe how the proposed college or school will contribute to the campus' goals for research and teaching.
 - F. Describe how the proposed college or school will contribute to the campus's goals for equity, diversity and inclusion.
 - G. Identify criteria, metrics and goals (consistent with established academic planning criteria and metrics), as well as timelines for review, to reflect how the school will assess their proposed contributions to research, teaching, equity, diversity and inclusion.
- V. Relationship of Proposed School/College to Other UC Campuses and Other Higher Education Institutions in the Region and Nationally:** To address the fit of the proposed school or college to the UC system and its placement in the broader California public and private higher educational landscape, the proposal should address the following:
 - A. Compare the proposed school or college to existing schools/colleges or units at the other UCs, California higher education institutions (public and private) and national institutions. Describe the features of the proposed school or college that distinguish it from these other entities.

- B. Describe the societal needs that will be met by the creation of the proposed school/college.
- C. Describe the proposed school's or college's relationship with potential competing institutions in the region. Describe how the proposed school or college will distinguish itself.
- D. Describe how the proposed school/college fits in with the broader UC system priorities and initiatives.
- E. Describe how the proposed school/college will develop into a top-ranked school/college with an academic program consistent with a research university of UC quality (*for Professional Schools only*).

VI. Academic Rigor of the Proposed School/College: To make the case for the academic rigor of the proposed school or college, the proposal should address the following points:

- A. Identify any existing academic programs to be included in the proposed school or college and describe any programs to be developed within the first five years of establishing the school or college. Proposal proponents are advised to consult the campus's procedures for the establishment of undergraduate and graduate programs to understand the process and implications for the school's timeline for development.
- B. Describe the specific goals of the proposed school/college's current and future (next 5-year) academic programs and identify criteria and metrics, consistent with the campus' academic planning efforts, that can be used to assess them.
- C. Explain the relationship of existing and proposed programs to other programs on campus.
- D. Project the school or college's enrollment for the first five years of operation and when the school or college reaches maturity. This enrollment should include students in all state supported undergraduate and graduate programs, distinguishing undergraduate from graduate. Provide data to support these projections as well as external data to validate the projections.
- E. Describe how the proposed school/college will attract qualified candidates for their existing and proposed programs and how this will be achieved and assessed.
- F. Describe the future employment prospects for students enrolled in the proposed school or college's programs.
- G. Explain society's need for professionals in the fields within the proposed school/college. What are the projected employment opportunities for the professional graduates? (*for Professional schools only*)
- H. Outline the proposed curriculum that can be evaluated by those in the field (*for Professional schools only*).
- I. Describe how access to the school will be ensured. How will opportunities for qualified students who might otherwise be less likely to avail themselves of higher-level training in the field be considered? (*for Professional schools only*)

VII. School-wide Governance, Administration, and Development: To address the academic governance structure for the proposed school/college, the proposal should include the following:

- A. Identify the existing departments to be included in the proposed school or college, and any departments to be established within the first five years of the school or college's operation.
- B. Provide a list of potential faculties, if known, to be included in the proposed school/college together with their existing department and school.
- C. Describe any existing centers, research units, etc. to be included in the proposed school or college or to be established in the first five years of its operation.
- D. Outline the administrative structure used to govern the proposed school/college and the corresponding bylaws and regulations. Include any governance committees. Summarize this structure visually using an organization chart.
- E. Describe the advising and mentoring structure needed to support the proposed school or college's programs and activities.

VIII. Financial Viability of the Proposed School: To address the financial requirements of the proposed school or college, and its ability to cover these expenses, the proposal should cover the following for the first five years of the school or college's operation and at maturity:

- A. Outline the resource requirements for the proposed school/college. This should include: faculty FTE, faculty administrative positions, staff FTE, equipment, computing and IT costs, library acquisitions, and other operating expenses. Include a letter from the library addressing its capacity to meet the resource needs for the proposed school/college.
- B. Describe the balance between full-time faculty at various ranks and lecturers/other temporary or part-time teaching.
- C. Identify any FTE in particular specialties that are required for the proposed school/college.
- D. Identify any space and capital requirements for the proposed school or college, including renovations. Identify the funding sources for these requirements and how they fit into the broader campus planning efforts.
- E. Define the proposed school or college's anticipated operating budget. This will include all anticipated sources of revenue, including philanthropy, and all expenditures including projected faculty and staff FTE. In the case that revenue sources involve a reallocation of existing campus resources, the impact of these changes should be discussed in detail. Validate the projections using external benchmarks (e.g. budgets for other similar schools/colleges).
- F. Identify potential sources of philanthropy and levels of funding to support the school or college. If donations will be integral to the financial viability of the proposed school/college (either in full or in part), a five-year development plan for establishing these funding sources should be provided and the feasibility of these projections analyzed.

Appendices: Include here any materials the authors judge to support the proposal.

Appendix II: Template for School Poll

Listed below is template for a school poll on the proposed school or college. Schools are not required to follow this template, and are encouraged to deliberate on the proper mechanism that will elicit feedback from their faculty. The decision on the protocol used for eliciting a poll lies solely within the school, however a yes/no poll of all the faculty is a required element of the review procedure.

Proposed Template

Faculty in (insert description of the proposing faculty) are proposing that a (insert name of proposed school/college) be established at UC Merced. Based on your review of the proposal materials, please answer the following questions:

Do you support the establishment of the (insert proposed school/college name)?

Yes No

If you wish to comment on your decision regarding the establishment of (insert proposed school/college name), please briefly describe your reasons.

(insert space for open response)