

## Graduate Council

Wednesday, May 13, 2015

1:00 – 2:30 pm

KL 362

 [GC 2014-2015 Resources / Agendas and Meeting Packets/May 13, 2015](#)

	AGENDA	Pg.	Time
I.	<b>Strategic Academic Focusing and Graduate Programs</b> – <i>Provost Peterson</i>		<b>20 min.</b>
II.	<b>Chair’s Report</b> - <i>Professor Kathleen Hull</i>		<b>5 min.</b>
	- April 30 Division Council meeting		
	- May 6 CCGA meeting		
	o Informational: <a href="http://ga.berkeley.edu/wp-content/uploads/2015/04/wellbeingreport_2014.pdf">http://ga.berkeley.edu/wp-content/uploads/2015/04/wellbeingreport_2014.pdf</a>		
III.	<b>Vice Chair’s Report</b> - <i>Professor Mike Dawson</i>		<b>5 min.</b>
	- Update on GC-PROC-UGC subcommittee	<i>Pg. 1</i>	
IV.	<b>Consent Calendar</b>		
	- Approval of the Agenda		
	- Approval of the April 1 and April 29 meeting minutes	<i>Pg. 2-9</i>	
	- Approval of revised Physics Policies and Procedures	<i>Pg. 10-47</i>	
V.	<b>Latest revisions to Draft Policy on Concentrations and Designated Emphases</b> - <i>Professor Hull</i>	<i>Pg. 48-53</i>	<b>5 min.</b>
	<b>Action:</b> Review and discuss the revised draft policy developed by the Policy Subcommittee in light of consultation with Office of the Registrar.		
VI.	<b>Discussion of CCGA SSGPDP Memo</b> - <i>Professor Hull</i>	<i>Pg. 54-56</i>	<b>5 min.</b>
	CCGA has completed its analysis and recommendations regarding the issues associated with self-supporting graduate professional degree programs (SSGPDPs).		
	<b>Action:</b> Discuss memo and consider how to integrate these recommendations into campus policies		
VII.	<b>Campus Review Item</b>		<b>5 min.</b>
	- UC Merced’s Review under the WSCUC Standards	<i>Pg. 57-90</i>	
	UC Merced initiated its efforts to re-affirm accreditation by WSCUC which will conclude with an Accreditation Visit in spring 2018 and, in June 2018, the WSCUC Commission decision to re-affirm accreditation for a period of 6, 8 or 10 years. The first step in the Institutional Review Process for re-		

affirmation is to complete, as an institution, the *Review under the WSCUC Standards*. All Senate standing committees are asked to review.

**Action requested:** Review the report and send any comments to the Senate chair by May 15.

**VIII. Consultation with VPDGE Marjorie Zatz**

**5 min.**

- Updates on GradSlam competition and the National Summit on Undocumented Students
- PDST process and policy
- Admissions and enrollment projections
- Planning for next year- specifics on summary of exceptions to admissions and funding policies

**IX. Executive Session - GC Members Only**

**40 min.**

**X. Informational Item**

*Pg. 91*

Memo confirming that Office of the Registrar staff adjusted the Banner minimum grade for prerequisite graduate courses to “B” to reflect the Regulations of the Merced Division.

## **Update on Joint GC-PROC-UGC subcommittee on program review policy documents**

M. Dawson (VC GC) & C. Viney (VC UGC) w/ Laura Martin (CIA)

In April 2014, in a memo to the members of PRC, UGC, and GC, the chairs of those committees proposed a two step process to address issues in the academic program review process and make it more beneficial and less burdensome, which included creating PROC and placing responsibility for PROC's staff support in the Office of Institutional Assessment.

Step 2 of this process (see below) could not be completed in AY 2014-2015, due to staff turnover in the academic senate, delays in creating and filling the Program Review Manager position in the Office of Institutional Assessment, and the scale of the project. The subcommittee was able to develop a plan for a new and more efficient process but did not have time to address the language of the policy,. The documents currently duplicate information, contain inconsistencies in terminology between sections, and may need significant revision of to accurately and clearly describe the current process.

2. For AY2014-2015, senate and administration work on refining SACAP (renamed to PROC) charge and senate, SACAP, OIA responsibilities for revised academic program review process. UGC and GC, with SACAP, further refine undergraduate and graduate program review policies to bring in line with new process and improve the efficiency of the overall review process. For example, this may result in consolidation of UGC/GC policies into one policy, changes to enable review of departmentally aligned undergraduate and graduate programs at the same time, etc.

In order to carry over this project into the next academic year, we propose the following

1. That the PROC-UGC-GC subcommittee be reconvened in AY 2015-2016.
2. That Co-Chairs Dawson and Viney continue to serve on the committee.
3. That UGC and GC take advantage of the support available from the recently hired Program Review Manager and Senate Analyst in translating the policy revisions that were recommended by the subcommittee in AY 2014-2015 into the text of the policy, including reorganization and consolidation as appropriate. Changes are to be carefully tracked for transparency, and the subcommittee will make a thorough review before continuing its work in the Fall.

**Graduate Council (GC)**  
**Meeting Minutes**  
**Wednesday, April 1, 2015**  
**1:30 p.m. – 3:00 p.m.**

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**I. Chair's Report – Professor Kathleen Hull**

- DivCo (3/19)

The Senate Chair reported that Vice Chancellor for Research Sam Traina has received numerous faculty complaints about operations at the Sponsored Projects Office. The VCR expects some of the problems will be addressed after the new SPO director is hired (a search is currently underway) and new software systems are operational.

CAPRA reported that there are some concerns with faculty input on the 2020 Project, specifically with respect to the percent allocation of space to different uses (e.g., wet lab, dry lab, office, etc.). Although DivCo representatives provided faculty input to all design teams during campus visits, the underlying assumptions about space needs and the quantitative breakdown of space to be supplied in the initial RFP have never been presented to the faculty. DivCo will be sharing these concerns with the Provost/EVC.

- CRTE Program Review (3/30)

GC will need to follow and contribute to CRTE program review, especially regarding issues of graduate student co-curricular training and the need to avoid overlap with similar programs Dean Zatz anticipates offering in the future.

**II. Vice Chair's Report – Professor Michael Dawson**

- Campus Visit of WSCUC Staff Liaison to UC Merced (3/12)

Barbara Gross Davis met with various admin and faculty groups. The intent is to set the scene for UC Merced's re-affirmation of accreditation. The local team will be headed by Prof. Nate Monroe. The campus self-study is due in the summer of 2017. One suggestion raised, with the prospect of core competencies for graduate education on the horizon, is that institutional outcomes for the degree embodied in Program Learning Outcomes might suffice, in which case PLOs take on added significance for illustrating engaged thoughtful faculty stewardship.

**III. Consent Calendar**

- The agenda was unanimously approved as presented.
- Meeting minutes for February 25, 2015 and March 11, 2015 were approved as presented.
- Graduate group bylaws for Psychological Sciences were approved.
- Graduate group bylaws for Applied Mathematics have potential contradictory information that should be confirmed by the graduate group. Specifically, Article II.D stipulates that faculty activity is appraised every three years, while Article V notes that membership is reviewed every four years.

**Action:** Senate Analyst will send request to Applied Mathematics Chair to confirm if these two sections of the bylaws should be reconciled.

**IV. Campus Review Items**

- **Global Arts Studies Major**

GC is concerned that education within graduate programs with which GASP faculty who are affiliated with IH will suffer since the proposal does not indicate GASP faculty graduate teaching in the faculty rotation and implies that full participation in graduate teaching and mentoring must await additional faculty hires if the major is approved.

**Action:** GC Chair will prepare and send comment memo to Senate Chair before April 6 deadline.

- **Medical Education Task Force**

**Action:** Senate Analyst will notify Senate Chair that Changqing Li will represent GC on this task force.

**Action:** Senate Analyst will notify Senate Chair of this approval.

- **Joint Senate-Administration Academic Degree Programs Working Group**

**Action:** Senate Analyst will notify Senate Chair that GC Chair Hull will represent GC in this working group.

**V. Systemwide Review Items**

- **Revised Presidential Policy on Sexual Harassment and Sexual Violence**

GC discussed the ambiguity of the policy with respect to consensual relationships between graduate students and undergraduate students, especially since the status of graduate student may vary between “employee” (e.g., TA) and student (e.g, not a TA) from one semester to the next..

**Action:** Chair will prepare and send comment memo to Senate Chair before April 10 deadline for comment.

- **Revisions to Senate Bylaw 128.D.2**

**Action:** Senate Analyst will inform Senate Chair by April 15 deadline that GC declines to opine on this issue.

- **Revisions to Senate Bylaw 182**

**Action:** Senate Analyst will inform Senate Chair by May 5 deadline that GC declines to opine on this issue.

**VI. Graduate Group Policy Review Items**

- **Graduate Group Concentrations and Designated Emphases**

The policy subcommittee presented a stream-lined revision to the draft policy and proposed forms for discussion. The membership agreed that the draft policy was sufficient to move forward with a meeting with the Registrar to confirm the implementation is possible and get feedback on the draft policy and forms.

**Action:** Policy subcommittee will meet with Registrar to discuss draft policy and implementation forms.

- **Course Request Form and Policy**

The policy subcommittee presented proposed changes based on their discussion and feedback from ALO Martin. Reference to “WASC compliant” syllabi has been dropped, and the new guidance gives more authority to the graduate assessment coordinator regarding syllabus

“compliance.” The revisions stress that the purpose of the course schedule is to justify credit hours, while allowing flexibility (i.e., not necessary to list specific dates/readings). GC approved the changes.

**Action:** Senate Analyst will prepare cover memo and send revised guidance to Graduate Group Chairs.

### VII. Discussion Item: Proposed Parking Permit Renewal Policy

Student representative Brandon Stark shared student concerns about parking priority recommendations FDWAF made to TAPS that might undermine graduate student access to preferred parking or campus parking in general. Stark noted that collective bargaining agreements guarantee TAs equal rights as employees of like employment (e.g., part-time employees), so FDWAF recommendations with respect to graduate student parking may conflict with such agreements. Stark suggested that parking issues might be eased if transportation was viewed as a package (i.e., also consider Catracks schedules/routes, etc.), and he noted that graduate students can't buy parking permits online (i.e., they must stand in line at TAPs to get a permit), which is burdensome. GC members agreed that TAPS should be encouraged to allow online access to parking permit renewal/purchase for graduate students, and that TAPS should consider a weighted approach to parking allocation that would give graduate students better standing in acquiring parking permits.

**Action:** None. GC should be prepared to offer comment on these issues should input be sought from DivCo.

### VIII. Consultation with VPGDE Marjorie Zatz

- Graduate admission data to date: 589 applications, 244 admitted, 71 SIR
- Fellowship offers have gone out, encompassing 2-3 times that money actually available, since some prospective students will decline. Grad Division is starting to hear from awardees, and is sending out reminders to others. The proposal for small grants is being developed
- Dissertation Bootcamp will take place in June. The Dean would like to hire editors to work with students during bootcamp.
- IT stuff moving along. The Dean suggested that perhaps the GC awards subcommittee could participate in testing some aspects of the system. This work should be completed over the summer, and fully online applications will be available for next year.

### IX. Executive Session

There being no further business, the meeting adjourned.

Attest:

Kathleen Hull, Chair

Minutes Prepared by:

Kathleen Hull, Chair

**Graduate Council (GC)**  
**Minutes of Meeting**  
**April 29, 2015**

Pursuant to call, the Graduate Council met at 1:00 pm on April 29, 2015 in Room 362 of the Kolligian Library, Chair Kathleen Hull presiding.

I. Chair's Report

Chair Hull updated GC members on the following:

April 23 Meeting of the Division:

- The Provost/EVC provided updates on the Strategic Academic Focusing initiative. He conducted two open fora with faculty members and acknowledged concerns that were raised in these discussions. At the open fora, faculty members inquired whether there should be revisions to the FTE allocation listed in the plan and a change of percentage in the allocation to the pillars versus the foundational areas. Faculty are also concerned about the process and composition of the search committees. There was no question and answer period following the Provost's remarks at the Meeting of the Division. Chair Hull mentioned that there is a Division Council meeting tomorrow and she will suggest that the Provost's hiring plan be distributed to each Senate standing committee for review and comment. An example of why GC must opine on the hiring plan: a particular graduate group just submitted its CCGA proposal which contained its expectations for FTE lines. The Provost's hiring plan alters these expectations.
- The Chancellor gave remarks on the Project 2020 plan and reiterated the reasons for the public/private partnerships, the Regents' response to the plan, and the RFP process. As with the Provost's updates, there was no question and answer period that followed. Chair Hull stated that she will raise this issue at tomorrow's Division Council meeting.

## II. Consent Calendar

- Approval of the Agenda

**ACTION:** Today's agenda was approved as presented

- Approval of the April 15 meeting minutes

**ACTION:** Minutes were approved as presented

- Approval of Social Sciences Graduate Group Bylaws

**ACTION:** Bylaws were approved as presented

- Discontinuation of WCH courses 200-299

**ACTION:** Graduate Council approved the discontinuation of WCH 200-291, but will suggest to SSHA that it allow WCH 295-299 to remain in place, as WCH graduate students prefer not to transfer to IH.

## III. CRFs

- ME 291- Mechanical Engineering Seminar Series

- QSB 285- Biostatistics

Graduate Council held discussions over email, expressing concern over ME 291's non-compliance with UCM's credit hour policy and QSB 285's grading scale. After contacting the respective instructors, Graduate Council drafted memos to be submitted to the instructors with a request for revisions. Both draft memos were reviewed by Council members via email prior to this meeting.

**ACTION:** Graduate Council to submit memos to ME 291 and QSB 285 instructors with requests for revisions.

## IV. Campus Review Item

- Proposed revisions to the MAPP pertaining to the LPSOE and LSOE series. Prior to this meeting, Graduate Council drafted a memo containing the following concerns: LPSOE/LSOEs serving as primary faculty advisors and the unevenness of the appraisal of LPSOE/LSOEs across campus when only a few in this series teach graduate courses and mentor students. Lastly, Graduate Council recommended that the teaching and



mentoring component of the MAPP draft chapter be restricted to undergraduate students. Council members agreed with the draft memo's points.

**ACTION:** Graduate Council to send the memo to the Senate chair.

V. Systemwide Review Item

- Proposed guidelines for managing equity.

At the April 15 Graduate Council meeting, members discussed the proposed guidelines and identified the following concerns: clarification needed on the oversight of academic issues, clarification on the rights and responsibilities of graduate students including the issue of original contribution versus employment, and the language referring to "conflict of interest committee" should be changed to the "office" responsible for conflict of interest issues, as not all campuses have a standing committee.

**ACTION:** Graduate Council chair to draft a revised memo that will be circulated to Council members for review and approval. A final memo will then be transmitted to the Senate chair.

VI. Consultation with VPDGE Zatz

VP Zatz reported on the following:

She is submitting a proposal – with the school deans and several computational faculty members as PIs and co-PIs – for a National Science Foundation Research Traineeship (NRT) IGE entitled "From Computational Literacy to Fluency: Developing and Piloting an Institution-Wide Graduate Certificate in the Computational Sciences." Students who complete the program would receive a certificate of excellence in computational sciences that will be noted in their transcript in the qualifications field.

A discussion ensued among Council members about the implications of awarding additional certificates for graduate students and that any such document with a UC seal needs to be approved by CCGA. A Council member pointed out the need for a future policy that would provide checks

and balances about the proliferation of certificates and would state what Graduate Council wants to see in proposals for certificate programs.

VP Zatz continued her announcement by mentioning that the pilot program would consist of 16 students per year across campus from Quantitative Systems Biology, Applied Math, Chemical and Chemical Biology, Cognitive Information Sciences, Electrical Engineering and Computer Science, Mechanical Engineering, and Physics. A two-day workshop will be held in the fall semester and two half-day meetings will be conducted during the academic year. The students would work in interdisciplinary teams on projects involving the national laboratories, industry firms, and faculty members. Students will be eligible to apply in their 2<sup>nd</sup> or 3<sup>rd</sup> year and would need faculty approval and support.

VP Zatz asked if she can include Graduate Council's endorsement in the proposal.

**ACTION:** As Council members had not been sent the proposal beforehand, the Council agreed to provide VP Zatz with a general memo stating that it is aware of this pilot proposal and is supportive of the opportunity for our graduate students that this potential traineeship represents.

VP Zatz concluded by announcing the following:

- 139 SIR compared to 101 from last year.
- Dissertation boot camp in June.
- Graduate Advocacy Day was highly successful and students met with eleven Assemblymembers, Senators, and their staff.
- Inquiry about fellowship rankings. (The Graduate Council awards subcommittee members were absent from today's meeting but are completing their rankings remotely.)

VII. Executive Session  
Confidential. No minutes taken.

There being no further business, the meeting was adjourned at 2:30 pm.

Attest:

Kathleen Hull, GC Chair

Minutes taken by: Simrin Takhar, Senate Analyst

DRAFT

GRADUATE COUNCIL (GC)

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**Policy for Graduate Group Policies and Procedures  
Template and Instructions****Approve by Graduate Council on October 21, 2014**

All graduate programs must have approved *Policies and Procedures*. Graduate programs may not operate under policies that have not been reviewed and approved by Graduate Council.

**Instructions**

This document provides a template for formatting and guidance for drafting the *Policies and Procedures* of graduate groups at UC Merced. *Policies and Procedures* should follow the format provided, beginning with cover page (see page 3 of this document) and table of contents. Enumerated headings and subheadings in bold must appear in the *Policies and Procedures* and table of contents. Thus, the table of contents forms a checklist of sorts for Graduate Group *Policies and Procedures*; if a particular section does not pertain to a group, it can be so labeled. Text in regular style font provides guidance and instruction. Italicized text provides sample language for graduate groups to consider.

Where appropriate please hyperlink directly to other relevant documents, such as the graduate group's bylaws or Graduate Division policies.

**Format**

Graduate Group *Policies and Procedures* should be prepared as a Word document and be formatted according to the layout in the template. Documents developed before October 21, 2014, GC recommends that groups consider adopting the current Graduate Group *Policies and Procedures* template, but at the very least, groups must have the information that is specifically outlined in the template.

A cover memo from the program chair and the *Policies and Procedures* in Word format should be forwarded by email to the Graduate Council Analyst in the Academic Senate Office. Please consult the [staff directory](#) to find the email address of the Graduate Council Analyst. The cover memo from the graduate program Chair or delegated faculty member should include:

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1. The date and manner in which the program approved the proposed new or modified *Policies and Procedures*, (e.g., in a program meeting or by an e-mail ballot), including the vote.
2. If the proposed modifications are in response to a recommendation in the program's recent Program Review Oversight Committee (PROC) report, address this in the memo and provide the date of the PROC report.

**Review Process**

## Graduate Council- *Policies and Procedures* Template

### **1. ~~Policy Subcommittee Review~~**

~~The Graduate Council Analyst will review the revised document for compliance with the template and will either return to the program for revisions, or forward to the Policy Subcommittee. The subcommittee reviews *Policies and Procedures* in the order received. If revisions or clarifications are required, the subcommittee will communicate with the graduate program chair. Once the subcommittee has completed the review, the document will be forwarded to Graduate Council for final review and approval.~~

### **2. ~~Graduate Council Review~~**

~~Graduate Council, as a whole, will conduct a final review of the *Policies and Procedures* transmitted by the subcommittee. The Graduate Council may approve the document as submitted or may request additional edits. In the case that the *Policies and Procedures* are approved contingent upon the edits being made, the graduate program Chair will be notified of Council's action. Once the program has complied with Council's request, the document is then considered approved.~~

~~The final approved document, reflecting Council's approval date, will be forwarded to the program via email with a cover memo from Graduate Council approving the document. The program will be instructed to maintain a copy of the *Policies and Procedures* and Council's approval letter in their files.~~

Graduate Council- Policies and Procedures Template

GRADUATE GROUP NAME PHYSICS  
Ph.D. AND/OR MS/MA DEGREE REQUIREMENTS

Revised: ~~{List previous year(s) and current revision date}~~ Mar.25, 2015 (prior: Jan. 2015, Feb. 2014)

Graduate Council Approval: \_\_\_\_\_

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  - c) Education Policy Committee

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B. Master's Degree Requirements

- ~~1) Degree Plan I- Thesis~~
  - ~~a) Program Learning Outcomes (PLOs)~~
  - ~~b) Course Requirements - Core and Electives~~
    - ~~i) Core Courses~~
    - ~~ii) Elective Courses~~
    - ~~iii) Summary~~
  - ~~c) Special Requirements~~
  - ~~d) Advancement to Candidacy~~
  - ~~e) Thesis Requirements~~
- 1)2) Degree Plan II- Non-thesis 4
  - a) Program Learning Outcomes (PLOs)
  - b) Course Requirements - Core and Electives
    - i) Core Courses
    - ii) Elective Courses
    - iii) Summary
  - c) Special Requirements
  - d) Advancement to Candidacy
  - e) Comprehensive Examination
    - i) Timing
    - ii) Outcome
  - 3) Degree Plan - Professional Masters - Pending development of policies and procedures for Professional masters programs at the campus level.
- 2)4) Advising Structure and Mentoring 8

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## Graduate Council- Policies and Procedures Template

<u>35) Committees</u>	<u>8</u>	Formatted: Font: 11 pt
a) Thesis Committee		Formatted: Font: 11 pt
b) Comprehensive Examination Committee		
c) Other		
<u>46) Normative Time to Degree</u>	<u>9</u>	Formatted: Font: 11 pt
<u>57) Typical Timeline and Sequence of Events</u>	<u>9</u>	Formatted: Font: 11 pt
<u>68) Sources of funding</u>	<u>9</u>	Formatted: Font: 11 pt

### C. Doctoral Degree Requirements

<u>1) Program Learning Outcomes (PLOs)</u>	<u>10</u>	Formatted: Font: 11 pt
<u>2) Course Requirements - Core and Electives</u>	<u>11</u>	Formatted: Font: 11 pt
a) Core Courses		Formatted: Font: 11 pt
b) Elective Courses		
c) Summary		
<u>3) Special Requirements</u>	<u>15</u>	Formatted: Font: 11 pt
<u>4) Dissertation Plan</u>	<u>15</u>	Formatted: Font: 11 pt
<u>5) Advising Structure and Mentoring</u>	<u>16</u>	Formatted: Font: 11 pt
<u>6) Committees</u>	<u>16</u>	Formatted: Font: 11 pt
a) Candidacy Committee		
b) Doctoral Committee		
c) Other		
<u>7) Advancement to Candidacy</u>	<u>17</u>	Formatted: Font: 11 pt
<u>8) Qualifying Examination Requirements</u>	<u>18</u>	Formatted: Font: 11 pt
<u>9) Dissertation Requirements</u>	<u>19</u>	Formatted: Font: 11 pt
<u>10) Normative Time to Degree</u>	<u>19</u>	Formatted: Font: 11 pt
<u>11) Typical Timeline and Sequence of Events</u>	<u>20</u>	Formatted: Font: 11 pt
<u>12) Sources of Funding</u>	<u>21</u>	Formatted: Font: 11 pt
<u>13) Leaving the Program Prior to Completion of the PhD Requirements.</u>	<u>22</u>	Formatted: Font: 11 pt

### D. General Information

<u>1) PELP, In Absentia and Filing Fee Status</u>	<u>22</u>	Formatted: Font: 11 pt
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## Graduate Council- Policies and Procedures Template

### A. Introduction

1) Aims and Scope: The mission of the Physics graduate program at UC Merced is to train our the next generation of scientific leaders. Our graduates will be well prepared to conduct and communicate independent research at the knowledge frontier, advance fundamental understanding of the world around us and use physics to solve important problems in society.

1) Briefly summarize the aims, focus, and scope of the program, including listing the concentrations within the program and degrees offered.

2) Admissions Requirements:— All persons seeking admission to graduate standing must make formally application for admission through the Graduate Division's on-line application system. Applications are reviewed by the Admissions Committee, which makes recommendations on admission to the Graduate Division; the Graduate Dean makes final decisions on admission. The deadline for receipt of applications is December 15 for enrollment in the Fall semester. Applicants are encouraged to contact individual faculty members about their areas of research and teaching interests prior to applying.

Materials to be submitted:

The complete official application form;

The application fee;

All official university/college/junior college transcripts;

An official Graduate Record Exam (GRE) score report. Only the general tests are required, but the subject test in physics is also recommended;

Three letters of recommendation from instructors or supervisors who can comment on the applicant's scholarly ability and promise as a researcher;

Official score reports from the Test of English as a Foreign Language (TOEFL) if the applicant's native language or language of instruction is other than English.

The minimum requirement for graduate admission to UCM is a bachelor's degree, or any other degree or certificate which the Graduate Council accepts as equivalent, and a grade point average no lower than 3.0 on a 4.0 scale. This minimum will be waived only under circumstances where the applicant has demonstrated strong academic skills subsequent to their undergraduate studies. Performance on the GRE, accomplishments in undergraduate research, and letters of recommendation will also be evaluated as important determinants of an applicant's potential for success in graduate education. Foreign students from non-English speaking countries are required to attain a minimum score on the TOEFL exam as required by UC Merced policy for admission to graduate programs. Students from non-English speaking countries will normally be interviewed by telephone by a member of the Admissions Committee in order to evaluate English proficiency.

2) State all requirements for admission to the graduate group as applicable to each degree offered in the program. Specify the prerequisites and procedures to make up deficiencies. State minimum GPA, minimum test scores, and requirements for placement exams, if applicable.

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## Graduate Council- Policies and Procedures Template

~~Note that applicants must fulfill Graduate Division requirements and submit a completed graduate online application, and any supplemental material the graduate group requires.~~

~~*For example: Consideration for graduate group admission requires a bachelor's degree, three letters of recommendation, official transcripts, GRE scores, TOEFL or IELTS score (if applicable) and submission of the graduate online application with fee by the stated admission deadline. A minimum GPA of 3.0 is required. Admission decisions are made on a case by case basis. Meeting some or all of these criteria does not guarantee admission, but merely eligibility. The decision to recommend admission to the Vice Provost and Dean of Graduate Education will be made by the Graduate Group Admissions Committee on the basis of available space and the competitiveness of applicants compared to the eligible pool.*~~

~~a) **Prerequisites:** If specific topics of coursework are required as a prerequisite, list them in tabular form.~~

~~b) **Deficiencies:** Please indicate when coursework deficiencies should be completed, note that they cannot be taken S/U.~~

~~*For example: Coursework deficiencies should be made up by the end of the first academic year following initial enrollment by earning a letter grade of "B" or better.*~~

### 3) General Committees:

#### Executive Committee

The Executive Committee shall determine and implement policy for the good of the Group and represent the interests of the Group to the University and other agencies. The Executive Committee will consist of three members who will serve rotating terms of three years. The Group chair will serve as an *ex officio* member of the Committee. It will be the responsibility of the Executive Committee to prepare an annual slate of nominees that will be put before the membership for election to serve on the Executive Committee. Members can be re-elected and serve two consecutive three year terms but must sit out one election cycle before running for a third term. The Executive Committee will make appointments to the standing committees from the membership of the group.

#### Membership Committee

The Membership Committee shall consist of three members appointed by the Chair of the EC for terms of three years. The Membership Committee will be responsible for reviewing applications from faculty who wish to be part of the Group. In addition, the Committee will review the membership of each member of the Group every four years. Members of the Membership Committee will excuse themselves while their own cases are being reviewed.

#### Educational Policy Committee

The Committee on Educational Policy shall consist of the chair of the Group, two graduate advisors, and two additional representatives and serve a term of three years. Membership on this committee is limited to regular UC Merced faculty. The EPC is responsible for establishing and guiding the educational programs of the Group. The EPC in consultation with the group faculty will determine changes in coursework, exam,

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## Graduate Council- Policies and Procedures Template

and teaching requirements for students in the Group. The EPC will periodically conduct reviews of the program and will oversee the self-study associated with formal program reviews.

### Admissions Committee

The Admissions Committee is charged with the development of recruiting materials for the Group, reviewing applications for admissions, and exploring graduate student support mechanisms. The Admissions Committee shall consist of the chair of the Group, two members, one of who will serve as the Graduate Admissions Chair, and serve a term of one year.

3) List all committees that are relevant to the program administration (i.e., not student or degree specific committees) in your graduate group: Executive Committee, Admissions Committee, Education Policy Committee, etc. These descriptions must be consistent with the group's bylaws.

4) a) Executive Committee: Describe the structure and role.

5) b) Admission Committee: Describe constitution and role in the admission process.

6) c) Education Policy Committee: Describe structure and role, including how a student goes about developing his/her study plan (as applicable).

7)

## B. Master's Degree Requirements

The master's degree is attained by: Plan I, the Thesis option, or Plan II, the Comprehensive Examination option. A graduate group may offer the option of one or both plans with the approval of the Graduate Council. Plans I and II are described in the UC Merced Graduate Policies and Procedures Handbook. Each of these plans has minimal coursework requirements, but programs may impose additional requirements. A minimum of two semesters in academic residence is required prior to the award of a master's degree. Note that CCGA pays special attention to the requirement that all master's degrees have a capstone element that is satisfied by the requirement of thesis or comprehensive examination. Where these mechanisms are not present, there is a capstone project of some kind that should:

(1) Tie together two or more areas of specific content that would typically be the subject of a class or a sequence of classes.

(2) Can be individual or group based exercises. If a project is group based, the individual student's achievements and contributions should be assessed through robust means. This could be detailed, for example, through the generation of an individual report by the student, periodic performance evaluations at various points in the project, individual assignments, and/or comprehensive specification of the individual team member's role that can be tied to specific outcomes in a group report.

(3) The report should be evaluated by at least two reviewers; and at least one of them should have no direct vested interest in the success of the student.

(4) Should be a single coordinator or advisor who judges the appropriateness of planned projects and their timelines, following guidelines established by the program faculty.

1) Degree Plan I - Thesis: Briefly state the minimum coursework unit requirement and capstone element for the master's degree.

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## Graduate Council- Policies and Procedures Template

~~*For example: Degree Plan I. This plan requires a minimum of 24 semester units in approved courses, at least 20 of which must be earned in 200-series graduate level courses exclusive of credit given for thesis research and preparation. A general examination is also required.*~~

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a) ~~**Program Learning Outcomes (PLOs):** Provide the Program Learning Outcomes for Degree Plan I.~~

b) ~~**Course Requirements—Core and Electives (total # units)**~~

~~Discuss the course requirements. Include a tabular list with the following information:~~

~~i) **Core Courses (total # units)**~~

~~Indicate course number, course name, and number of units~~

<del>Course Number</del>	<del>Course Name</del>	<del>Units</del>
<del>GC-200</del>	<del>Graduate Council—Core</del>	<del>4</del>

~~ii) **Elective Courses (total # units)**~~

~~Indicate course number, course name, and number of units~~

<del>Course Number</del>	<del>Course Name</del>	<del>Units</del>
<del>GC-201</del>	<del>Graduate Council—Elective</del>	<del>4</del>

1)

~~iii) **Summary:** Indicate how many total units (core and elective) are required. State that a minimum course load is 12 units each academic semester, and that per UC regulations students cannot enroll in more than 12 units of graduate level courses (200). If applicable to your graduate group, please note that electives are chosen with the approval of the graduate advisor.~~

~~*For example: 16 units of core coursework and 8 units of participatory seminars are required for a total of 24 units. Full-time students must enroll for 12 units per semester including research, academic and seminar units. Courses that fulfill any of the graduate group course requirements may not be taken S/U. Once course requirements are completed, students can take additional classes as needed, although the 12 units per semester are generally fulfilled with a research class (provide course number) and perhaps seminars.*~~

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~~e) **Special Requirements:** Specify any special requirements such as a foreign language requirement, examination requirement, seminar presentation requirement, teaching requirements, capstone requirement, etc. If no special requirements, please state "N/A."~~

~~d) **Advancement to Candidacy:** State when the student is expected to advance to candidacy.~~

~~*For example: Before advancing to candidacy for the Master's degree, a student must have satisfied all plan requirements set by the graduate program and must have maintained a minimum GPA of 3.0 in all course work undertaken. Normally, students*~~

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## Graduate Council- Policies and Procedures Template

~~advance by the end of the (number) semester. The student must file the appropriate paperwork (Application for Advancement to Candidacy for the Master's Degree and Conflict of Interest Form).~~

- e) ~~**Thesis Requirements:** If there are any program specific requirements, such as length or format of any written or oral requirement, specify these in this section. Please specify a typical timeline to help students understand the process of completing a thesis; for example, state when they form their committee, how often the committee meets with the student, and the possible outcomes once the thesis is submitted. Please also state that should the committee determine that the thesis is unacceptable, a recommendation to disqualify the student will be made to the Vice Provost and Dean of Graduate Education.~~

~~*For example: Thesis committee meetings: The candidate and advisor should meet at least once a year with the other members of the thesis committee to discuss progress and any changes in research objectives.*~~

~~*Thesis: Research for the Master's thesis is to be carried out under the supervision of a faculty member of the program and must represent an original contribution to knowledge in the field. The thesis research must be conducted while the student is enrolled in the program. The thesis is submitted to the thesis committee at least one month before the scheduled defense. All committee members must approve the thesis in its entirety and sign the title page before the thesis is submitted electronically to the Graduate Division for final approval. Should the committee determine that the thesis is unacceptable, even with substantial revisions; the program may recommend the student for disqualification from the program to the Vice Provost and Dean of Graduate Education.*~~

~~*The thesis must be submitted by the deadline in the semester in which the degree is to be conferred. Those students who complete requirements and submit thesis after the end of the semester and prior to the start of the subsequent semester will earn a degree for the following semester, but will not be required to pay fees for that semester. Instructions on preparation of the thesis are available in the UCM Thesis and Dissertation Manual and a schedule of dates for filing the thesis in final form are published on the Graduate Division website in the calendar and deadlines section.*~~

**Degree Plan II- Non-thesis:** Students may be admitted to the graduate program in Physics to work towards a Masters Degree (M.S.). Additionally, a Ph.D. student who has been in residence for at least two semesters, is in good academic standing, and has completed at least the four core courses may petition the Admissions Committee to pursue a terminal M.S. degree. The recipient of a M.S. degree is understood to possess knowledge of a broad field of learning that extends well beyond that attained at the undergraduate level, but is not necessarily expected to have made a significant original contribution to knowledge in that field.

Students are normally admitted to the graduate program in Physics to work toward the Ph.D. degree. The Physics group has established the following requirements for the M.S. degree. Each M.S. student has a committee with at least three members.

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## Graduate Council- Policies and Procedures Template

- Complete at least two semesters of full-time academic residence (12 units minimum) at UC Merced;
- Pass the preliminary examination
- Complete at least 24 semester hours of upper-division and graduate course work with a cumulative grade-point average of at least 3.0. At least 16 semester hours must be from regular, letter-graded lecture or discussion courses, while the remaining 8 hours may be research or similar courses;
- Pass a comprehensive oral examination administered by the faculty committee. This examination will test the student's understanding of the main concepts in the field at the graduate level. If the student has advanced to candidacy, the qualifying exam can be used to substitute for the comprehensive oral examination requirement.

In addition, the M.S. program requires attendance at physics seminars and M.S. students are recommended to take research units (PHYS 295), attend journal clubs and group meetings to help fulfill their unit requirements. Many of the mandatory Physics courses are "letter grade only". Graduate students should be aware that grades obtained of B- may land them in a state of unsatisfactory degree progress, as they must maintain an overall GPA of 3.0, and their semester GPA must not remain below 3.0 for two consecutive semesters. Graduate students should also be advised that S/U grades do not count towards GPA calculation by the registrar.

**Residency:** In accordance with SR 682 and 686, the minimum residency requirement for any advanced degree is two semesters. M.S. students must be registered as a full-time student for at least one semester before advancement to candidacy. M.S. students must be in residency for at least one semester after advancement to candidacy before conferral of the degree. For the purposes of determining residency, only the Fall and Spring semester will be counted; however, the summer semester may be counted in evaluating students on academic probation. Residency is established by satisfactory completion of at least 12 units of graduate coursework (including research) per term. Ordinarily, a graduate student shall not receive credit for more than 12 units of graduate courses in any semester. The physics graduate group only accepts full time students. Exceptions will only be granted for students in the Masters Degree program with the permission of the graduate group chair, in consultation with the Executive Committee.

**Scholarship:** Graduate students must maintain at least a 3.0 grade-point average to be considered in good academic standing or to be awarded an academic graduate degree. A student whose cumulative graduate grade-point average falls below 3.0, or who is judged not to be making satisfactory progress toward the degree by his or her graduate advisor or faculty committee, will be placed on academic probation. The student will then be allowed a maximum of two semesters to make up the deficiencies and be returned to good academic standing. Otherwise, the student will be dismissed from the graduate program.

Specific scholarship requirements are as follows:

1. Only courses in the 100 and 200 series in which the student receives grades of "B" or above, or "S" may be counted in satisfaction of the requirements for advanced degrees.

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A course in which a student receives a “C” or “D” or lower cannot be used to satisfy the unit requirement for the degree but will count in determining the grade point average.

2 Candidates must maintain ~~an average of at least three grade points per unit~~ a 3.0 grade point average in all upper division and graduate courses elected during their residence as graduate students at the University of California. Students must maintain ~~an average~~ a grade point average of 3.0 for advancement to candidacy and conferral of the degree.

3 Courses graded “S/U” will not be counted in determining grade point averages.

4 Students must make satisfactory progress on their programs of study as determined by their graduate advisor.

~~2) Briefly state the minimum coursework unit requirement and capstone element for the master’s degree.~~

~~3) For example: Degree Plan II. This plan requires a minimum of 30 semester units in approved courses, at least 24 of which must be from graduate level courses in the 200 series. A comprehensive final examination in the major subject is required of each candidate. No thesis is required.~~

~~4)~~

Program Learning Outcomes (PLOs): Graduates of the Physics Masters program will:

1) Possess a broad foundation in the fundamentals of physics and a deep understanding of their chosen subfield, which will permit them to understand and critically evaluate current research.

2) Be proficient in professional skills necessary to lead a productive career in physics or a related career.

3) Communicate both fundamental concepts of physics and details of their own research effectively, in written and oral form, to expert and non-expert audiences.

~~a) Provide the Program Learning Outcomes (PLOs) for Degree Plan II.~~

~~b)~~

**e) Course Requirements - Core and Electives (total # units 27 units minimum)**

Discuss the course requirements. Include a tabular list with the following information:

**i) Core Courses (total # units)**

Indicate course number, course name, and number of units

Course Number	Course Name	Units
GC 200	Graduate Council Core	

**ii) Elective Courses (total # units)**

Indicate course number, course name, and number of units

Course Number	Course Name	Units
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## Graduate Council- Policies and Procedures Template

GC-201	Graduate Council Elective	
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All Ph.D. and Masters students in the Physics group are required to take:

### A. Core Course Requirements:

To be completed within the first four semesters.

- 1) PHYS 237 - Quantum Mechanics I
- 2) PHYS 210 - Electrodynamics
- 3) PHYS 212 - Statistical Mechanics
- 4) PHYS 205 - Classical Mechanics

### B. Electives:

To be completed at any time during the PhD or Masters

- 1) An elective from the physics courses
- 2) A second elective, which may be chosen from any graduate level course in the School of Natural Sciences or Engineering

Physics electives include advanced physics courses such as Quantum Mechanics II, Condensed Matter Physics, Biophysics and any other PHYS 2XX courses available. They can also include graduate courses from the applied math, BEST or chemistry groups as long as they are 3 units and taken as a graded class. Any elective must be at least 3 units and we require at least one elective be a course outside the student's primary research area for Ph.D students, which can be selected by discussion with the student's graduate advisor or the graduate group chair for Physics.

C. In addition, students must take 1 unit of BEST/QSB294 Responsible Conduct of Research, 4 semesters of Physics seminar.

Other courses may be added to these lists as fulfilling the requirements at any time, as designated by the physics faculty.

**Summary:** Indicate how many total units (core and elective) are required. The required courses noted above and electives together constitute a minimum of 27 units. If a student would like to attain a waiver for any of the courses above, the rules are:

1. No waiver will be granted unless the student has passed the preliminary exam.
2. For waivers regarding elective courses, a student can only ask for a waiver on one elective course. All core courses can be waived if competency is demonstrated.
3. For a waiver on any of the courses, the student will need to attain the waiver from the faculty member who taught the course most recently. The faculty member granting the waiver will only do so if the student can successfully complete an exam in the course. This exam can be given at any time at the faculty and student's convenience, any time of the year. The final decision to grant the waiver will be taken by the Graduate Division.

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## Graduate Council- Policies and Procedures Template

Course electives must be regular graduate courses (not research or independent study). Courses offered by other graduate programs may be taken as electives but require approval of the graduate advisor. Requirements for formal course work beyond the minimum are flexible and are determined by the individual student's background and research topic in consultation with the graduate advisor.

All Physics graduate students must successfully complete their core course requirements with a grade of S or B or better. A student may petition the graduate chair for a single B- grade to be accepted. Graduate students should be aware that grades obtained of B- may land them in a state of unsatisfactory degree progress, as they must maintain an overall GPA of 3.0, and their semester GPA must not remain below 3.0 for two consecutive semesters. Graduate students should also be advised that S/U grades do not count towards GPA calculation by the registrar.

iii) ~~Also note that a~~ minimum course load is 12 units each academic semester, and that per UC regulations students cannot enroll in more than 12 units of graduate level courses (200). If applicable to your graduate group, please note that electives are chosen with the approval of the graduate advisor.

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**Special Requirements:** There is no foreign language course requirement. One semester of teaching assistantship is ~~r~~required. As noted in the course requirements, ~~7~~ students must take 1 unit of BEST/QSB294 Responsible Conduct of Research and 4 semesters of Physics seminar. All students in the group are required to pass a written preliminary examination that tests undergraduate-level understanding of the fundamental concepts in the field. This exam is administered twice each year, at the beginning of Fall and Spring semesters. The exam consists of three papers – Classical Mechanics, Quantum Mechanics and Electromagnetism. Students may elect to take the exam for the first time at the start of either the first or second semester in residence. The exam may be taken once each time it is offered, but must be passed no later than the start of the fourth semester. Students need to pass each paper individually but not necessarily at the same time. Students who have not passed the exam by the start of their fourth semester may be subject to dismissal.

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d) ~~Instructions available on section B.1.b.~~

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e) ~~Advancement to Candidacy: State when the student is expected to advance to candidacy.~~

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~~For example:~~ Before advancing to candidacy for the Master's degree, a student must have satisfied all plan requirements set by the graduate program and must have maintained a minimum GPA of 3.0 in all course work undertaken. Normally, students advance by the end of the ~~(number)~~third semester. The student must file the appropriate paperwork. ~~(Application for Advancement to Candidacy for the Master's Degree.)~~

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**Comprehensive Examination:** The comprehensive exam is a 2 hour long oral exam administered by the student's faculty committee at the end of the fourth semester. Describe the comprehensive exam. Is it an oral or written exam? Who writes the questions and how many questions are there? Who grades the exam? When is it given? State that the results of the examination must be reported to Graduate Division using the Final Report for the Master's Degree Form found on the Graduate Division website. Also state that when ~~When~~ students take



## Graduate Council- Policies and Procedures Template

the exam, they must be registered or in current filing fee status. The scope of the oral exam is the candidate's coursework. The committee's unanimous vote is required to pass a student on the exam. If a student does not pass the exam, the committee may recommend that the student be reexamined one more time on the entire examination or on the components failed. The second exam must take place within 15 days of the first exam. The second exam may have a format different from the first, but the substance should remain the same. The examination may not be repeated more than once. A student who does not pass on the second attempt is subject to disqualification from further graduate work in the program. Once passed, the Final Report for the Master's Degree Form is signed by the Program Graduate Advisor and then forwarded to the Graduate Division. The deadlines for completing this requirement are listed each semester in the Graduate Division website. The committee must report to the Graduate Council via the Vice Provost and Dean of Graduate Education within 30 days.

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~~2) i) **Timing:** Students may take the comprehensive examination once they have advanced to candidacy. However, it is important that the timing of the exam satisfy the regulations as noted in the CCGA handbook<sup>1</sup>, which indicates that the capstone requirement be completed at or near the end of the coursework for the Master's degree.~~

~~ii) **Outcome:** Examinations can result in either a pass, fail, or partial pass by unanimous consensus of the Comprehensive Examination Committee. The categories are described below.~~

~~a. A student has passed when the Comprehensive Examination Committee unanimously votes that the student passed the entire examination with scholarship that is at least acceptable. The committee must report to the Graduate Council via the Vice Provost and Dean of Graduate Education within 30 days. If agreed unanimously by the committee the student may be allowed to make minor modifications prior to submitting the results of the examination.~~

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~~b. A student has failed when the Comprehensive Examination Committee votes unanimously that the student failed the entire examination. The second examination may have a format different from the first, but the substance should remain the same. A student whose performance on the second attempt is also unsatisfactory, or who does not undertake a second examination within a reasonable period of time, is subject to academic disqualification. A third examination may be given only with the approval of the Graduate Group committee and the Vice Provost and Dean of Graduate Education.~~

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~~c. A student has partially passed when the Comprehensive Examination Committee votes unanimously that the student passed some components but failed others. In this instance, the following apply:~~

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~~i. The student has the option of taking a second examination as detailed in above on the components failed; and~~

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<sup>1</sup> Policies Affecting Graduate Degree Programs, page 1, of <http://senate.universityofcalifornia.edu/committees/ccga/CCGAHandbook2012-13FinalDraft.pdf>

## Graduate Council- Policies and Procedures Template

~~i. The chair of the committee must write a letter to the student, with a copy to the Graduate Division, conveying the information about the student's performance (pass, fail, or partial pass) on each of the components covered during the examination.~~

~~*For example: Fulfillment of the Comprehensive Examination is the last requirement of the M.S. Plan II. A student may take the comprehensive examination once they have advanced to candidacy. However, it is important that the capstone requirement be completed at or near the end of the coursework for the Master's degree; for most students, the exam is taken at the end of the X semester.*~~

~~The comprehensive examination requires passing a (provide length of exam and type) administered by that Qualifying Examination Committee. The scope of the oral exam is the candidate's coursework as well as the capstone project.~~

~~The committee's unanimous vote is required to pass a student on the exam. If a student does not pass the exam, the committee may recommend that the student be reexamined one more time on the entire examination or on the components failed. The second exam must take place (time) of the first exam. The second exam may have a format different from the first, but the substance should remain the same. The examination may not be repeated more than once. A student who does not pass on the second attempt is subject to disqualification from further graduate work in the program.~~

~~Once passed, the Final Report for the Master's Degree Form is signed by the Program Graduate Advisor and then forwarded to the Graduate Division. The deadlines for completing this requirement are listed each semester in the Graduate Division website. The committee must report to the Graduate Council via the Vice Provost and Dean of Graduate Education within 30 days.~~

### ~~5) Degree Plan- Professional Masters~~

~~Policies and Procedures for Professional Masters programs are in development at the campus level.~~

~~**Advising Structure and Mentoring:** State where the Mentoring Guidelines can be found and specify the role of the Graduate Group Chair, graduate advisor, staff, etc. Note: Groups may choose to adopt the GC approved UCM Mentoring Guidelines. Masters students are mentored by a graduate advisor who is appointed by the Graduate Group Chair and is a resource for information on academic requirements, policies and procedures, and registration information. The Graduate Group Coordinator assists students with identifying appointments and general university policies. Mentoring practices are consistent with UCM Mentoring guidelines.~~

~~**3) For example: The graduate advisor is the faculty member who supervises the student's research and thesis. The Graduate Advisor, who is appointed by Graduate Group Chair, is a resource for information on academic requirements, policies and procedures, and registration information until the Thesis Committee is formed. The Graduate Group Staff assists students with identifying appointments and general university policies. The Mentoring Guidelines can be found in (describe how it can be obtained; if on the web provide a web address that will not likely change over the next few years).**~~

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## Graduate Council- Policies and Procedures Template

**6) Master's Degree Committees:** List all committees that are relevant to a Master's education in your program, for example the Thesis Committee, Comprehensive Committee, etc. Please be sure these committee descriptions are consistent with your bylaws.

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**a) Thesis Committee:** State how nominations to the committee membership are obtained. Note that a Thesis Committee is comprised of a minimum of three voting members of the University of California Academic Senate and nominations are submitted to the Vice Provost and Dean of Graduate Education for formal appointment in accordance with Graduate Council policy; Qualifying Examination Committees are appointed by the graduate group. The Chair of committee shall always be a member of the Merced Division and of the Graduate Group supervising the master's program. Indicate whether or not the advisor is a member of the committee and indicate how the Chair of the committee is chosen.

~~For example: Thesis Committee: The student, in consultation with his/her graduate advisor and graduate group chair, nominate (number) faculty to serve on the Thesis Committee. These nominations are submitted to the Graduate Division for formal appointment in accordance with Graduate Council policy. A committee of three faculty members shall approve the subject, pass on the content of thesis, and administer the general examination. Usually one of the committee members directs the work.~~

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**b) Comprehensive Examination Committee:** State how nominations to the committee membership are obtained, and any limitations on committee composition and function.

**a) For example: Comprehensive Examination Committee:** The student, in consultation with his/her graduate advisor and graduate group chair, nominate (number)three faculty(including the advisor) to serve on the Comprehensive Examination Committee. These nominations are submitted to the Graduate Division for formal appointment in accordance with Graduate Council policy. ThisA committee of three faculty members shall approve the subject, pass on the content of examination, and administer the examination. Usually one of the committee members directs the examination

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**7) 4) Normative Time to Degree:** Normative Time is the elapsed time (calculated to the nearest semester) that a student would need to complete all requirements for the degree, assuming that they are engaged in full-time study and making adequate progress. The student must advance to candidacy and complete the degree within the limitations established by the Graduate Group and approved by the Graduate Council. The normative time to degree is two years.

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**5) Typical Timeline and Sequence of Events:** A Sample Plan for Completing the M.S. Degree in the Normative Time to Degree.

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Fall 1	Spring 1	Fall 2	Spring 2
<u>PHYS210 C (4)</u> <u>Electrodynamics and Optics I</u>	<u>PHYS237 C (4)</u> <u>Quantum Mechanics I</u>	<u>PHYS238 (4)</u> <u>Quantum Mechanics II</u>	<u>PHYS241 (4)</u> <u>Condensed Matter Physics</u>

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**Graduate Council- Policies and Procedures Template**

<u>Fall 1</u>	<u>Spring 1</u>	<u>Fall 2</u>	<u>Spring 2</u>
<u>PHYS205 C (4)</u> <u>Classical Mechanics</u>	<u>PHYS 212 C (4)</u> <u>Statistical Mechanics</u>	<u>PHYS 270 (2)</u> <u>Academic Writing in Graduate Studies</u>	
<u>OSB/BEST 294 (1)</u> <u>(Responsible Research)</u>	<u>PHYS 295 (3)</u> <u>Graduate Research</u>	<u>PHYS 295 (5)</u> <u>Graduate Research</u>	<u>PHYS 295 (7)</u> <u>Graduate Research</u>
<u>PHYS293 (1)</u> <u>Physics Colloquium</u>	<u>PHYS293 (1)</u> <u>Physics Colloquium</u>	<u>PHYS293 (1)</u> <u>Physics Colloquium</u>	<u>PHYS293 (1)</u> <u>Physics Colloquium</u>
	<u>Pass Preliminary Exam</u>		<u>Pass Comprehensive Exam</u>

~~8) Provide an example of a study plan; semester by semester, indicating when advancement to candidacy occurs, and when the thesis is due or the comprehensive examination is taken. Also specify the effect of deficiencies at admission on the timeline.~~

~~9) For example:~~

<del>10) Year One</del>	<del>11) Fall</del>	<del>12) Spring</del>
<del>13) -</del>	<del>14) GC 200 - Introduction to GC</del>	<del>15) GC 210 - GC Seminar</del>
<del>16) -</del>	<del>17) GC 201 - Introduction to GC Discussion</del>	<del>18) GC 220 - GC Professional Seminar</del>
<del>19) -</del>	<del>20) GC 202 - Introduction to GC Review</del>	<del>21) GC 230 - GC Seminar</del>
<del>22) -</del>	<del>23) -</del>	<del>24) -</del>
<del>25) Year Two</del>	<del>26) Fall</del>	<del>27) Spring (Comprehensive Exam completed)</del>
<del>28) -</del>	<del>29) GC 240 - GC Course</del>	<del>30) GC 260 - GC Seminar</del>
<del>31) -</del>	<del>32) GC 250 - GC Course</del>	<del>33) GC 280 - Directed Study</del>
<del>34) -</del>	<del>35) GC 255 - GC Course</del>	<del>36) GC 285 - Independent Study</del>

~~37)~~

~~38) 6) Sources of Funding: Describe how students are typically supported in the program. Include information on minimum and maximum limitations on Teaching Assistantships; also reference other sources, particularly those provided by Graduate Division and the graduate group (e.g., via competitions run through the Executive Committee). Allude to other sources not run through the graduate group but by individual professors and external sources. Rather than simply listing all possible opportunities, providing a realistic guide of possible funding and sources that can help students be successful in acquiring their own~~

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## Graduate Council- Policies and Procedures Template

Students will be typically supported as Teaching assistants unless they are self-financing.

### **C. Doctoral Degree Requirements**

The Doctor of Philosophy degree is not granted by the University of California merely for the fulfillment of technical requirements, such as residence or the completion of fundamental courses. The recipient of a Ph.D. degree is understood to possess thorough knowledge of a broad field of learning and to have given evidence of distinguished accomplishment in that field; the degree is a warrant of critical ability and powers of imaginative synthesis. The degree also signifies that the recipient has presented a doctoral dissertation containing an original contribution to knowledge in his or her chosen field of study.

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The Physics group has established the following requirements for the Ph.D. degree:

- Complete at least four semesters of full-time academic residence (12 units minimum) at UC Merced;
- Complete the required courses with a letter grade of at least "B" in each course ("S" in seminar courses graded S/U);
- Serve as a teaching assistant for at least one semester;
- Pass a preliminary examination;
- Pass the oral Ph.D. qualifying examination;
- Present and successfully defend a doctoral dissertation containing an original contribution to knowledge in the field.

**Residency:** In accordance with SR 682 and 686, the minimum residency requirement for any advanced degree is two semesters. The minimum residency requirement for the Ph.D. degree is four semesters. Before advancement to candidacy Ph.D. students must be registered in regular University courses as a full-time student for at least two semesters. For the purposes of determining residency, only the Fall and Spring semester will be counted; however, the summer semester may be counted in evaluating students on academic probation. Residency is established by satisfactory completion of at least 12 units of graduate coursework (including research) per term. Ordinarily, a graduate student shall not receive credit for more than 12 units of graduate courses in any semester. The physics graduate group only accepts full time students. Exceptions will only be granted for students in the Masters Degree program with the permission of the graduate group chair, in consultation with the Executive Committee.

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**Scholarship:** Graduate students must maintain at least a 3.0 grade-point average to be considered in good academic standing or to be awarded an academic graduate degree. A student whose cumulative graduate grade-point average falls below 3.0, or who is judged not to be making satisfactory progress toward the degree by his or her graduate advisor or faculty committee, will be placed on academic probation. The student will then be allowed a maximum of two semesters to make up the deficiencies and be returned to good academic standing. Otherwise, the student will be dismissed from the graduate program.

## Graduate Council- Policies and Procedures Template

Specific scholarship requirements are as follows:

Only courses in the 100 and 200 series in which the student receives grades of "B" or above, or "S" may be counted in satisfaction of the requirements for advanced degrees. A course in which a student receives a "C" or "D" or lower cannot be used to satisfy the unit requirement for the degree but will count in determining the grade point average.

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Candidates must maintain an average of at least ~~three grade points~~ 3.0 per unit in all upper division and graduate courses elected during their residence as graduate students at the University of California. Students must maintain an average grade point of 3.0 for advancement to candidacy and conferral of the degree.

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Courses graded "S/U" will not be counted in determining grade point averages.

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Students must make satisfactory progress on their programs of study as determined by their graduate research advisor.

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**Program Learning Outcomes (PLOs):**

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Graduates of the Physics PhD program will:

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1) Possess a broad foundation in the fundamentals of physics and a deep understanding of their chosen subfield, which will permit them to understand and critically evaluate current research.

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2) Have the experimental, theoretical, and/or computational skills necessary to conduct and lead independent responsible research and contribute to knowledge in their chosen subfield.

3) Identify new research opportunities, which may cross traditional discipline boundaries, plan effective strategies for pursuing these opportunities and conduct research that makes a new contribution to knowledge in their chosen subfield of physics and solve important problems in society.

4) Communicate both fundamental concepts of physics and details of their own research effectively, in written and oral form, including in a classroom setting to expert and non-expert audiences. This includes the publication of original research results in peer reviewed scientific journals.

1) Provide the Program Learning Outcomes (PLOs) for the Doctoral Degree. In addition, PLOs specific to stages within the degree may be listed here or under other sections, for example Qualifying Examination and Dissertation requirements.

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2) Course Requirements - (27 units minimum)

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All Ph.D. and Masters students in the Physics group are required to take:

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A. Core Course Requirements:

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**Graduate Council- Policies and Procedures Template**

To be completed within the first four semesters.

- 1) [PHYS 237 - Quantum Mechanics I](#)
- 2) [PHYS 210 - Electrodynamics](#)
- 3) [PHYS 212 - Statistical Mechanics](#)
- 4) [PHYS 205 - Classical Mechanics](#)

**B. Electives:**

To be completed at any time during the PhD or Masters

- 1) An elective from the physics courses (see table below)
- 2) A second elective which may be chosen from any graduate level course in the School of Natural Sciences or Engineering

Physics electives include advanced physics courses such as Quantum Mechanics II, Condensed Matter Physics, Biophysics and any other PHYS 2XX courses available. They can also include graduate courses from the applied math, BEST or chemistry groups as long as they are 3 units and taken as a graded class. Any elective must be at least 3 units and we require at least one elective be a course outside the student's primary research area for Ph.D students, which can be selected by discussion with the student's graduate advisor or the graduate group chair for Physics.

C. In addition, students must take 1 unit of BEST/QSB294 Responsible Conduct of Research, 4 semesters of Physics seminar.

Other courses may be added to these lists as fulfilling the requirements at any time, as designated by the physics faculty.

Physics Graduate Level Courses

<u>Course number</u>	<u>Title, units</u>	<u>Description</u>	<u>Recent Instructor(s)</u>
<a href="#">PHYS 204</a>	<a href="#">Biophysics [4]</a>	<a href="#">Aims to give students an understanding of relevant physical principles for biological systems, introduce them to experimental and theoretical techniques of biophysics and to communicate the excitement of cutting-edge biophysics research. Topics include diffusion, fluids, entropic force, motor proteins, enzymes, nerve impulses, networks and evolution</a>	<a href="#">Gopinathan</a>
<a href="#">PHYS 205 (Core)</a>	<a href="#">Classical Mechanics [4]</a>	<a href="#">Topics in classical mechanics, including Lagrangian and Hamiltonian formulations, Conservation Laws and Symmetry and the relationship, Calculus of variations and variational principle, Euler angles and rigid body dynamics, Oscillations and normal</a>	<a href="#">Scheibner</a>

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**Graduate Council- Policies and Procedures Template**

		<u>modes.</u>	
<u>PHYS</u> <u>210</u> <u>(Core)</u>	<u>Electrodynamics</u> <u>and Optics I [4]</u>	<u>Continuation of electrodynamics. Wave guides</u> <u>and resonant cavities, Multipole radiation,</u> <u>Relativistic charged particles in electromagnetic</u> <u>fields, Collisions between charged particles and</u> <u>radiation from moving charges with relativistic</u> <u>corrections, introductory</u> <u>magnetohydrodynamics.</u>	<u>Winston</u>
<u>PHYS</u> <u>211</u>	<u>Electrodynamics</u> <u>and Optics II [4]</u>	<u>Theory and practical application of molecular</u> <u>quantum mechanics. Schrödinger equation and</u> <u>matrix representations of quantum mechanics;</u> <u>simple exactly solvable model problems;</u> <u>calculation of observable properties; vibrational</u> <u>and electronic wave functions; approximation</u> <u>methods; quantum mechanics of spectroscopy.</u>	
<u>PHYS</u> <u>212</u> <u>(Core)</u>	<u>Statistical</u> <u>Mechanics [4]</u>	<u>Topics include: General principles of statistical</u> <u>mechanics including microcanonical,</u> <u>macrocanonical and grand canonical ensembles,</u> <u>fluctuations and equilibrium. Thermodynamics</u> <u>including Legendre transforms and Maxwell</u> <u>relations, fluctuations and stability and Landau</u> <u>theory. Quantum statistical mechanics</u> <u>including Bose-Einstein and Fermi-Dirac</u> <u>statistics.</u>	<u>Gopinathan</u>
<u>PHYS</u> <u>237</u> <u>(Core)</u>	<u>Quantum</u> <u>Mechanics I [4]</u>	<u>Introductory Quantum Mechanics starting with</u> <u>simple Quantum two-state systems and one</u> <u>dimensional problems, Uncertainty relations,</u> <u>Solution of Schrodinger's equation for</u> <u>important two and three dimensional physical</u> <u>situations, Angular momentum, identical</u> <u>particles and spin statistics. Hydrogen and</u> <u>multi-electron atoms.</u>	<u>Tian,</u> <u>Scheibner</u>
<u>PHYS</u> <u>238</u>	<u>Quantum</u> <u>Mechanics II [4]</u>	<u>Perturbation methods, both stationary and</u> <u>time-dependent, Scattering, interaction with</u> <u>electromagnetic fields, Stark effect,</u> <u>Measurement theory and decoherence,</u> <u>Quantum Hall effect.</u>	<u>Tian</u>
<u>PHYS</u> <u>241</u>	<u>Condensed</u> <u>Matter Physics [4]</u>	<u>An introduction to the physics of materials</u> <u>designed for graduate students in physics or</u> <u>chemistry. The course will cover traditional</u> <u>solid state physics and include topics in soft</u> <u>matter. This class will examine the relationship</u> <u>between microscope structure and bulk</u> <u>properties in different properties.</u>	<u>Hirst, Ghosh</u>
<u>PHYS</u> <u>248</u>	<u>Quantum Optics</u> <u>[3]</u>	<u>Covers the quantum nature of light, atom-light</u> <u>interaction and experimental quantum optics. It</u>	<u>Sharping</u>

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**Graduate Council- Policies and Procedures Template**

		<u>will provide a basis for research in the field of quantum optics. Fundamental concepts and techniques will be linked to modern experimental research.</u>	
<u>PHYS 249</u>	<u>Introduction to Quantum Field Theory [4]</u>	<u>Introduces quantum field theory with a special emphasis on quantum electrodynamics (QED). Topics include canonical quantization of scalar fields, electromagnetic fields, perturbation theory and renormalization methods among others.</u>	<u>Chiao</u>
<u>PHYS 270</u>	<u>Academic Writing in Graduate Studies [2]</u>	<u>Designed to increase the writing proficiency of graduate students, with a focus on strategies for reading critically, organizing and developing thoughts, choosing appropriate vocabulary, and generating and revising writing in a given scientific field. Topics address scientific disciplines. Projects may include writing abstracts, research reports, literature reviews, posters, and grant proposals.</u>	
<u>PHYS 290</u>	<u>Current Topics in Physics and Chemistry [3]</u>	<u>Exploration of current research directions, problems, and techniques in molecular and materials chemistry, physics and engineering. Course format emphasizes student-led presentation, analysis, and discussion of reading assignments from the current and recent scientific literature. Topics determined by the instructor and changes each semester.</u>	
<u>PHYS 291</u>	<u>Physics and Chemistry Seminar [1]</u>	<u>Graduate seminar on current research in molecular and materials chemistry, physics, and engineering. Satisfactory/Unsatisfactory grading only.</u>	<u>NA</u>
<u>PHYS 292</u>	<u>Special Topics in Physics [1-4]</u>	<u>Treatment of a special topic or theme in Physics at the graduate level. May be repeated for credit. Laboratory included.</u>	
<u>PHYS 293</u>	<u>Physics Colloquium [1]</u>	<u>This is a colloquium series with talks on a wide range of research topics in Physics. Speakers for the colloquia are primarily invited researchers from other Institutions. Some of the seminars additionally showcase the research performed by UC Merced Physics faculty, post doctoral researchers and graduate students. This is a forum to introduce the undergraduate and graduate students to cutting edge research in Physics conducted on-site and elsewhere, and to give them an opportunity to meet researchers and faculty from other Universities/Research</u>	<u>NA</u>

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## Graduate Council- Policies and Procedures Template

		<u>Institutions.</u>	
<u>PHYS</u> <u>295</u>	<u>Graduate</u> <u>Research [1 - 15]</u>	<u>Supervised research. Permission of instructor</u> <u>required. S/U grading only.</u>	<u>Multiple</u> <u>sections each</u> <u>semester</u>
<u>PHYS</u> <u>298</u>	<u>Directed Group</u> <u>Study [1 - 6]</u>	<u>Group project under faculty supervision.</u> <u>Permission of instructor required. S/U grading</u> <u>only.</u>	
<u>PHYS</u> <u>299</u>	<u>Directed</u> <u>Independent</u> <u>Study [1 - 6]</u>	<u>Independent project under faculty supervision.</u> <u>Permission of instructor required. S/U grading</u> <u>only.</u>	<u>Multiple</u> <u>sections each</u> <u>Fall</u>

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\*Required Core courses for both M.S. and Ph.D degrees have been indicated (Core)

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### 2) — Core and Electives (total # units)

Briefly state the minimum coursework unit requirement and capstone element for the Ph.D. degree. Please note that courses taken toward a graduate degree at another institution cannot be transferred for credit toward a Ph.D. at UCM. However, a course requirement may be waived if a similar course was taken at another institution. The General Petition form should be used for all requests for waivers of course work.

### 3) —

4) — Include all your core and elective course requirements in a summary table. Provide the following information:

### 5) a) — Core Courses (total # units)

Indicate course number, course name, and number of units

<u>6) — Course</u> <u>Numbe</u> <u>r</u>	<u>7) — Course Name</u>	<u>8) — Units</u>
<u>9) — GC 200</u>	<u>10) — Introduction to Graduate</u> <u>Council</u>	<u>11) — 4</u>

### 12) b) — Elective Courses (total # units)

Indicate course number, course name, and number of units

<u>13) — Course</u> <u>Numbe</u> <u>r</u>	<u>14) — Course Name</u>	<u>15) — Units</u>
<u>16) — GC 222</u>	<u>17) — Graduate Council</u> <u>Seminar</u>	<u>18) — 4</u>

e) — Summary: The required courses noted above and electives together constitute a minimum of 27 units. This does not include research units that will be taken as described below. If a student would like to attain a waiver for any of the courses above, the rules are:

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1. No waiver will be granted unless the student has passed the preliminary exam.
2. For waivers regarding elective courses, a student can only ask for a waiver on one elective course. All core courses can be waived if competency is demonstrated.
3. For a waiver on any of the courses, the student will need to attain the waiver from the faculty member who taught the course most recently. The faculty member granting the waiver will only do so if the student can successfully complete an exam in the course. This exam can be

## Graduate Council- Policies and Procedures Template

given at any time at the faculty and student's convenience, any time of the year. The final decision to grant the waiver will be taken by the Graduate Division.

Course electives must be regular graduate courses (not research or independent study). Courses offered by other graduate programs may be taken as electives but require approval of the graduate advisor. Requirements for formal course work beyond the minimum are flexible and are determined by the individual student's background and research topic in consultation with the graduate advisor.

All Physics graduate students must successfully complete their core course requirements with a grade of S or B or better. A student may petition the graduate chair for a single B- grade to be accepted. Graduate students should be aware that grades obtained of B- may land them in a state of unsatisfactory degree progress, as they must maintain an overall GPA of 3.0, and their semester GPA must not remain below 3.0 for two consecutive semesters. Graduate students should also be advised that S/U grades do not count towards GPA calculation by the registrar. A minimum course load is 12 units each academic semester, and that per UC regulations students cannot enroll in more than 12 units of graduate level courses (200).

19) —Research units: Indicate how many total units (core and elective) are required. Also note that a minimum course load is 12 units each academic semester, and that per UC regulations students cannot enroll in more than 12 units of graduate level courses per semester. If applicable to your program, please note that electives are chosen with the approval of the graduate advisor.

For example: 18 units of core coursework, 16 lab units, 12 units of electives and 8 units of participatory seminars are required for a total of 54 units. Full-time students must enroll for 12 units per semester including research, academic and seminar units. Courses that fulfill any of the program course requirements may not be taken S/U. Once course requirements are completed, students can take additional classes as needed, although the 12 units per semester are generally fulfilled with a research class (number 295) and perhaps seminars. Per UC regulations students cannot enroll in more than 12 units of graduate level courses per semester.

3) Special Requirements: There is no foreign language course requirement. One semester of teaching assistantship is -required. As noted in the course requirements, -students must take 1 unit of BEST/QSB294 Responsible Conduct of Research and 4 semesters of Physics seminar.

All students in the group are required to pass a written preliminary examination that tests undergraduate-level understanding of the fundamental concepts in the field. This exam is administered twice each year, at the beginning of Fall and Spring semesters. The exam consists of three papers – Classical Mechanics, Quantum Mechanics and Electromagnetism. Students may elect to take the exam for the first time at the start of either the first or second semester in residence. The exam may be taken once each time it is offered, but must be passed no later than the start of the fourth semester. Students need to pass each paper individually but not necessarily at the same time. Students who have not passed the exam by the start of their fourth semester may be subject to dismissal.

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## Graduate Council- Policies and Procedures Template

a) ~~Specify any special requirements such as a foreign language requirement, teaching requirements, etc. If none, state "N/A."~~

b) ~~**Teaching Requirement:** Most graduate programs require all graduate students pursuing the Ph.D. to acquire teaching experience at the post-secondary level under faculty supervision. This requirement is usually satisfied by appointment as a Teaching Assistant or Teaching Fellow in undergraduate courses. Refer to Academic Appointment and Graduate Student Employment in the Graduate Policies and Procedures Handbook for definitions, responsibilities, and requirements related to teaching titles.~~

c) ~~**Language Requirement:** If part of the graduate program, completion of any language requirement may occur any time prior to completion of all other degree requirements unless otherwise specified by the program. It is preferable, however, that they be satisfactorily completed before a student advances to candidacy. The graduate program may decide how the examinations are to be given. The Graduate Division should be notified in writing of the type of test taken and the date passed.~~

**20) 4).Dissertation Plan:** In accordance with University of California policy, a minimum of four semesters in academic residence is required prior to awarding the Ph.D. Typically, a longer period of study, four to six years, is required for completion of all degree requirements. It is the responsibility of the Graduate Group to inform the student upon admission to the program of the expected degree time. All graduate students are considered resident graduates not candidates for a degree, unless admitted to candidacy after completion of all candidacy requirements and approval by the Graduate Division after formal application. A student advances to candidacy for the Ph.D. upon successfully demonstrating a high level of scholarship at the Ph.D. level, and upon completing all preparatory work and demonstrating readiness to proceed to the dissertation phase.

### **5).Advising Structure and Mentoring:**

Selection of advisor: The heart of the Physics Ph.D. program is the completion of a piece of original scientific research leading to the preparation and defense of a Ph.D. thesis. To this end, each student should discuss research interests and possible Ph.D. projects with faculty in the group as early as possible, and select a graduate research advisor by the end of the first year of study. Selection of a graduate research advisor must be approved by the graduate group and must occur before the student's faculty committee can be constituted. The student and the graduate research advisor together will develop a research topic, and research will normally occupy a majority of the student's time after the first year of residence. Interdisciplinary projects are encouraged, as are research collaborations with faculty or senior scientists outside UC Merced.

Rotations: Students will be assigned two mentors, one each for the first two semesters, when they first enroll, based on the preferences they indicate and faculty availability and interest. Students will perform rotations of 1-3 research units in each assigned mentor's lab. Rotations will typically consist of activities that form part of the group's routine, including attending and

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## Graduate Council- Policies and Procedures Template

presenting at group meetings, one-on-one weekly meetings with the mentor, literature review and readings and possible work on short-term projects. Rotations are for the students to gain exposure to different working environments, integrate into the graduate student community and learn more about ongoing research. Requests for changes to the assigned mentors can be made in exceptional circumstances and approval will be granted at the discretion of the graduate group chair. There is no implied commitment from either mentor to take on the students nor are students expected to choose one of the two mentors as their graduate research advisor. In the case that a faculty member is paying a student during the first year as a graduate student researcher, the rotation requirement will be waived.

Graduate advisors are also a resource for information on academic requirements, policies and procedures, and registration information and can minimally direct the students to the appropriate information. The Graduate Group Coordinator assists students with identifying appointments and general university policies. Mentoring practices are consistent with UCM Mentoring guidelines.

~~21) State where the program's Mentoring Guidelines can be found and the role of the graduate advisor, graduate group chair, graduate group coordinator, etc. Note: Groups may choose to adopt the GC approved UCM Mentoring Guidelines.~~

~~*For example: The Graduate Advisor is the faculty member who supervises the student's research and dissertation. The Graduate Chair, who is appointed by the Vice Provost and Dean of Graduate Education, is a resource for information on academic requirements, policies and procedures, and registration information until the Doctoral Committee is formed. The Graduate Group Coordinator assists students with identifying appointments and general university policies. The Mentoring Guidelines can be found (describe how it can be obtained; if on the web provide a web address that will not likely change over the next few years)*~~

6) Doctoral Degree Committees: The graduate advisor, normally in consultation with the student and other program faculty, recommends appointment of faculty members to advise on and supervise the student's dissertation research as part of their examination committees. Final approval of the membership on these committees rests with the Graduate Dean. The Candidacy Committee is charged with determining the fitness of the student to proceed with the doctoral dissertation through a formal Qualifying Examination. The Doctoral Committee shall supervise the preparation and completion of the dissertation and the final examination. In the Physics group, one committee shall serve as both candidacy and doctoral committee for a single student.

Advanced degree committees in the Physics group shall consist of at least three members. One must be the student's graduate advisor, one other must be a UC Merced faculty member in the group who is not an advisor of the student (who is also appointed as Chair), and one other may be from outside the group. This outside member may be a regular or adjunct faculty member from any UC campus or an individual from outside the University of California who has special expertise and qualifications. In this case, the graduate advisor should submit a brief statement indicating the appointee's affiliation and title and how the prospective appointee has special expertise or qualifications that are not represented on the campus. In addition to the justification letter from the graduate advisor, a curriculum vitae and a letter from the proposed

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Comment [CM2]: Same thing as "major advisor?" I thought we were going to consistently use one of the phrases.

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## Graduate Council- Policies and Procedures Template

appointee indicating a willingness to serve must be submitted to the Graduate Dean for review and approval.

A student may opt to choose a graduate advisor from outside of the physics group faculty (for example in applied math or chemistry). In such a case a nominal additional advisor from the physics group will be assigned in addition to the regular committee membership and will be responsible for ensuring the appropriateness of the student's research project.

All members of the committee must be in attendance for Ph.D. qualifying and final examinations or Master's comprehensive oral examination. All members of the committee must approve the Ph.D. dissertation. If a committee member's absence from campus for an extended period of time makes scheduling of examinations unreasonably difficult, the student may request that the committee be reconstituted. Reconstitution of the committee may also be justified by a substantial change in the student's thesis topic or may be required by the departure of a committee member from the university. When membership changes must be made, the graduate advisor in consultation with the student should recommend a new committee member, giving the reason for the change. The reason must be acceptable to the Graduate Dean.

~~22) List all committees that are relevant to PhD education in your program, for example the Candidacy Committee, Doctoral Committee, etc. Please be sure these committee descriptions are consistent with your bylaws.~~

~~a) **Candidacy Committee:** The Candidacy Committee is charged with determining the fitness of the student to proceed with the doctoral dissertation through a formal Qualifying Examination. Specify how nominations for committee membership are selected. State that the Candidacy Committee is comprised of a minimum of three faculty who are voting members of the University of California, Academic Senate and nominations of non faculty members (i.e. Professional Researchers or faculty members from other universities) will be considered on an exception only basis. Refer to the Graduate Policies and Procedures Handbook on Doctoral Candidacy Committee for further details on the appointment process.~~

~~*For example: The student, in consultation with graduate advisor, nominates three faculty to serve on the Candidacy Committee. These nominations are submitted to the Graduate Group Chair for formal appointment in accordance with Graduate Council policy. The Application for Qualifying Examination available on the Graduate Division website must be submitted one month prior to the proposed examination date. Students must be in good academic standing and registered for the semester in which the examination is held. The Candidacy Committee conducts the exam and submits results to the Graduate Division using the Qualifying Examination Report Form.*~~

~~b) **Doctoral Committee:** The Doctoral Committee shall supervise the preparation and completion of the dissertation and the final examination. Specify how and when nominations for committee membership are solicited. State that member nominations are submitted to the Graduate Division for formal appointment in accordance with Graduate Council policy.~~

**Comment [CM3]:** Graduate advisor? Let's keep it consistent.

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## Graduate Council- Policies and Procedures Template

~~*For example: The Doctoral Committee is a three member committee selected by Candidacy Committee, in consultation with the graduate student, the doctoral committee chair (usually the graduate advisor), and the Graduate Group Chair, on the Advancement to Candidacy for the Degree of Doctor of Philosophy Form. The majority of the committee should be affiliated with the program. The role of the Dissertation Committee is to advise the doctoral student on the research topic and methods, and then to review the final completed dissertation for acceptance. The Doctoral Committee Chair should determine the desires of the individual members regarding assistance with the research and dissertation review at the time the doctoral committee is constituted. Students are expected to meet with the Chair of their doctoral committee regularly. Doctoral committee members are expected to read and comment on a dissertation within (indicate time lapse) from its submission. The student and faculty will coordinate a timeline for the student to present the thesis to the doctoral committee. This timeline must allow all doctoral committee members enough time to fulfill their responsibilities within the indicated deadline.*~~

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**7) Advancement to Candidacy:** All students in the Physics Ph.D. program are required to pass an oral qualifying examination before advancement to candidacy for the Ph.D. degree. Students are expected to take and pass the qualifying examination before the end of their third year of graduate study unless they successfully petition the Graduate Group Chair to take it at a specific later date. The qualifying examination may not be scheduled until the preliminary examination has been passed and the four core courses have been completed. The intent of this examination is to ascertain the breadth of a student's comprehension of fundamental facts and principles that apply in his or her major field of study. It will also determine the student's ability to think critically about the theoretical and practical aspects of the field. Accordingly, the examination should be focused on the student's field of research but may and should venture into other areas of scholarship that underlie or impinge on the thesis topic. The scope of this examination should be communicated to student by the committee chair at least two months in advance of the exam date.

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At least four weeks before the qualifying exam, the student will provide to the faculty committee a written document that describes his or her research topic, summarizes progress to date, and outlines what he or she proposes to do, why it is relevant, and what will be learned. The format of the research proposal will be determined by the student in consultation with their advisor and committee; however the proposal must follow the format of a research proposal to a major funding agency in the student's area of research. The committee will review this document with the student and determine if the student has outlined a project that is appropriate for a Ph.D. If not, the student is given a month to rewrite the research plan. Once the research plan is approved the student may take the oral portion of the Qualifying Examination.

### **8) Qualifying Examination:**

The examination committee is the same as the student's faculty committee. The graduate advisor is a voting member of the committee, but will normally not participate in the examination except to provide technical clarifications as requested by the other members of the committee.

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## Graduate Council- Policies and Procedures Template

The date of the examination is arranged between the student and the committee chairperson. At least four weeks prior to the examination date, the student will provide to the committee a research proposal (typically about ten pages) that describes his or her research topic, summarizes progress to date, and outlines what he or she proposes to do, why it is relevant, and what will be learned (see Sec.2.3.5 for details on the proposal). A pre-qualifying meeting will be conducted two weeks before the actual exam, where the student can present a trial run of their qualifying exam presentation and the committee will provide feedback. The committee then conducts the actual examination on the pre-arranged date, and immediately thereafter submits the results of the examination to Graduate Division.

The committee members should include in their deliberations such factors as relevant portions of the previous academic record, performance on the examination, and an overall evaluation of the student's performance and potential for scholarly research as indicated during the examination. A unanimous decision is required for a "Pass". If not all members of the committee vote to pass, they must write a report explaining their decision and must inform the student of the reasons for the decision. A student who has not passed the examination may repeat the qualifying examination after a preparation time of at least three months. The examination must be held by the same committee except that members may be replaced, with the approval of the graduate advisor, for cause such as extended absence from the campus. Failure to pass the examination on the second attempt means that the student is subject to disqualification from further study for the doctoral degree.

Upon successful completion of the examination, the student is given an application for advancement to candidacy by the examining committee chair. When it is filled out and signed by the graduate advisor and graduate group chair, the student pays a candidacy fee and submits the form to Graduate Division. Upon advancement to candidacy for the degree, the faculty committee is then charged to guide the student in research and in the preparation of the dissertation.

~~23) —9) State when the student is expected to advance to candidacy.~~

~~For example: Before advancing to candidacy for a doctoral degree, a student must have satisfied all requirements set by the graduate program, must have maintained a minimum GPA of 3.0 in all course work undertaken, and must have passed unanimously the Qualifying Examination before the Candidacy Committee appointed to administer that examination. Normally, students advance by the end of the (number) semester. The student must file the appropriate paperwork (Advance to Candidacy for the Degree of Doctor Philosophy Form and Conflict of Interest Form) with the Graduate Division and pay the candidacy fee in order to be officially promoted to Ph.D. Candidacy.~~

~~24) Qualifying Examination Requirements: State all of the examination requirements. Specify the nature of the examinations and when they are taken. Separate each section accordingly.~~

~~For example:~~

~~a) Qualifying Examination~~

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## Graduate Council- Policies and Procedures Template

### ~~i.— General Information~~

~~All students will complete all course requirements before taking their Qualifying Examination. Passing this exam makes the student eligible for advancement to candidacy. The qualifying exam should be taken by the (number) semester and no later than the end of the (number) semester after admission to the Ph.D. program.~~

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~~The Qualifying Examination should evaluate both general preparedness in the discipline, and specific competence to pursue the proposed dissertation topic. In its deliberation, the Committee ordinarily will review the student's academic record, preliminary examinations and evaluations by other faculty. The Committee may conduct any other examination it deems appropriate. The Committee ordinarily will review an outline of the proposed dissertation project, and will determine by oral examination the student's competence in that area. When, by unanimous vote, the Committee decides the student is qualified for the dissertation phase, it shall recommend advancement to candidacy to the Graduate Council via the Vice Provost and Dean of Graduate Education. Following its formal appointment, the Committee is free to adopt whatever procedures it deems appropriate to conduct the Qualifying Examination for candidacy, subject to the rules of the program and those specified below:~~

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~~— Administration of the Candidacy Examination must conform to the policies established by the Graduate Council.~~

~~— The student must be given adequate notice of the content, form and time of the examination.~~

~~— The Committee must meet to decide upon the procedures to be followed, and the student given an opportunity to comment upon the selected procedures.~~

### ~~ii.— Conduct of the Exam~~

~~Although the formal Qualifying Examination for candidacy ordinarily is conducted in a single day, the Committee may meet intermittently over a longer period, and may decide to reexamine the student on one or more topics after a specified interval. When the Committee meets to conduct the oral Qualifying Examination, it must report to the Graduate Council via the Vice Provost and Dean of Graduate Education within 30 days. Upon completion of the qualifying examination and all other Graduate Group requirements for Advancement to Candidacy, the results should be submitted to the Graduate Division on the Qualifying Examination Report Form. The Qualifying Examination Report Form must be signed by all committee members at the time the candidacy examination is concluded and submitted even if the student failed the examination. Prior to convening a student committee for advancement to candidacy exam, the Faculty Advisor, the Graduate Group Chair, and the graduate student must sign the Statement on Conflict of Interest form that is included in the Advancement to Candidacy for the Degree of Doctor of Philosophy form. If the unanimous recommendation of the Committee is favorable, the student must pay the current advancement to candidacy fee to the campus Cashier's Office that will validate the advancement to candidacy form. The student must then submit the advancement to candidacy form to the Graduate Division. The candidate and graduate program will be notified of formal~~

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## Graduate Council- Policies and Procedures Template

~~advancement and the appointment of a Doctoral Committee. Advancement to Candidacy begins with the first academic term following completion of all requirements (including submission of all forms).~~

### ~~iii. Outcome of the Exam~~

~~Before voting upon its recommendation for or against candidacy, the Committee, as a whole, shall meet with the student, and any member of the Committee will have the right to pose appropriate questions to the student. The Committee must conclude its examination when convened with the student present. The committee, having reached a unanimous decision, shall inform the student of its decision to:~~

~~• Pass A student has passed when the Qualifying Examination Committee unanimously votes that the student passed the entire examination with scholarship that is at least acceptable. The committee must report to the Graduate Council via the Vice Provost and Dean of Graduate Education within 30 days. If agreed unanimously by the committee the student may be allowed to make minor modifications prior to submitting the results of the examination.~~

~~• Fail A student has failed when the Qualifying Examination Committee votes unanimously that the student failed the entire examination. The second examination may have a format different from the first, but the substance should remain the same. A student whose performance on the second attempt is also unsatisfactory, or who does not undertake a second examination within a reasonable period of time, is subject to academic disqualification. A third examination may be given only with the approval of the Graduate Group committee and the Vice Provost and Dean of Graduate Education.~~

~~• Partial Pass A student has partially passed when the Qualifying Examination Committee votes unanimously that the student passed some components but failed others. In this instance, the following apply:~~

~~○ The student has the option of taking a second examination as detailed in above on the components failed; and~~

~~○ The chair of the committee must write a letter to the student, with a copy to the Graduate Division, conveying the information about the student's performance (pass, fail, or partial pass) on each of the components covered during the examination.~~

~~If a unanimous decision takes the form of "Partial Pass" or "Fail", the Chair of the Candidacy Committee must include in its report a specific statement, agreed to by all members of the committee, explaining its decision and must inform the student of its decision.~~

### Dissertation:

The Ph.D. dissertation must be creative and independent work that can stand the test of peer review. The expectation is that the material will serve as the basis for publication(s) in a peer reviewed journal. The final confirmation of the quality of a PhD dissertation is the ability to publish the research results in a peer-reviewed journal. The research field may influence the timing and work required to publish research results, making it difficult to define the number of publications required for each dissertation. For this reason, whether a student has made

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## Graduate Council- Policies and Procedures Template

sufficient progress for the PhD will ultimately be determined by the student's advisor and thesis committee. The process of writing journal articles will be undertaken with the assistance and guidance of the student's research adviser. Published work should be presented to the graduate committee at the time of the student's thesis defense. The work must be the student's, and it must be original and defensible. The student is encouraged to discuss with members of the faculty committee both the substance and the preparation of the dissertation well in advance of the planned defense date. Detailed instructions on the form of the dissertation and abstract may be obtained from the Graduate Division office.

The student must provide a copy of the dissertation to each member of the faculty committee and allow each committee member at least four weeks to read and comment on it. If one or more committee members believe that there are significant errors or shortcomings in the dissertation or that the scope or nature of the work is not adequate, the student must address these shortcomings before scheduling a defense. Once the committee members are in agreement that the dissertation is ready to be defended (although minor errors or matters of controversy may still exist), the final examination date may be scheduled by the student in consultation with the committee. The date must be reported to the Graduate Dean, and one copy of the dissertation filed, no later than three weeks before the proposed date of the final examination.

The Ph.D. final examination consists of an open seminar on the dissertation work followed by a closed examination by the faculty committee. During the examination, the student is expected to explain the significance of the dissertation research, justify the methods employed, and defend the conclusions reached. At the conclusion of the examination, the committee shall vote on whether both the written dissertation and the student's performance on the exam are of satisfactory quality to earn a University of California Ph.D. degree. A majority is required for a pass. Members of the committee may vote to make passing the exam contingent on corrections and/or revisions to the dissertation. In this case, the committee will select one member, normally the graduate advisor, who will be responsible for approving the final version of the dissertation that is submitted to Graduate Division.

8) **Dissertation Requirements:** Generally describe the dissertation (and final examination) and if you have any additional program specific requirements, such as length or presentation format of any written or oral requirement, specify these in this section.

*For example:*

*a. Final Examination*

*If a final examination is required by the graduate program, the Doctoral Committee supervises that examination, the focus of which is the content of the doctoral dissertation. Ordinarily, the final examination will be given just prior to the completion of the dissertation and while the student is in residence during a regular academic session. Administration of the final examination is subject to the policies of the Graduate Council governing critical examinations. Upon completion of the final examination (if required) and approval of the dissertation, the Doctoral Committee recommends, by submission of the Report on Final Examination of the Ph.D. Degree Form, the conferral of the Ph.D. subject to final submission of the approved dissertation for deposit in the University Archives. The Committee recommendation must be unanimous.*

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## Graduate Council- Policies and Procedures Template

### ~~b. General Requirements~~

~~The submission of the dissertation is the last step in the program leading to the award of an advanced degree. All dissertations submitted in fulfillment of requirements for advanced degrees at UCM must conform to certain University regulations and specifications with regard to format and method of preparation. The UCM Thesis and Dissertation Manual are available at the Graduate Division website. The Doctoral Committee certifies that the completed dissertation is satisfactory through the signatures of all Committee members on the signature page of the completed dissertation. The doctoral committee chair is responsible for the content and final presentation of the manuscript.~~

~~Filing instructions are found in the UCM Thesis and Dissertation Manual. The advanced degree manuscript is expected to be submitted by the deadline in the semester in which the degree is to be conferred. The end of the semester is the deadline for submitting dissertations during each semester. Those students who complete requirements and submit dissertations after the end of the semester and prior to the start of the subsequent semester will earn a degree for the following semester, but will not be required to pay fees for that semester. In accordance with UC and UCM policy, all approved thesis/dissertation manuscripts automatically become available for public access and circulation as part of the UC Libraries collections.~~

### ~~c. Dissertation~~

~~The research conducted by the student must be of such character as to show ability to pursue independent research. The dissertation reports a scholarly piece of work of publishable quality that solves a significant scientific problem in the field and is carried out under the supervision of a member of the program while the student is enrolled in the program. The chair of the doctoral committee must be a member of the program and must be immediately involved with the planning and execution of the experimental work done to formulate the dissertation.~~

~~Students should meet regularly with their dissertation committee. The dissertation must be submitted to each member of the dissertation committee at least one month before the student expects to make the defense. Informing committee members of progress as writing proceeds helps the members to plan to read the dissertation and provide feedback. The dissertation must be approved and signed by the dissertation committee before it is submitted to Graduate Division for final approval.~~

**10) Normative Time to Degree:** The Physics group places no strict limits on the length of time a graduate student may remain in residence. However, it is normally expected that successful completion of the Ph.D. will require no more than six years. In order to ensure satisfactory progress toward the degree, each student must meet with his or her faculty committee for an annual review of progress at a mutually agreeable time prior to the first day of each Fall semester. At least three members of the committee, including the graduate advisor, must be present. The committee will review the student's progress toward the degree during the past

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## Graduate Council- Policies and Procedures Template

year and develop a time table, mutually agreeable among student, graduate advisor, and faculty committee, for completion of the remaining requirements. The annual report of the committee will become part of the student's record. Should the committee conclude that the student is not making satisfactory progress toward the degree, the student may be placed on academic probation. This requirement of annual meetings with the committee necessitates that students identify and sign on with a particular graduate advisor and form a faculty committee before the end of their second year and advance to candidacy by the end of their third year.

~~9) Normative Time is the elapsed time (calculated to the nearest semester) that students need to complete all requirements for the degree, assuming that they are engaged in full-time study and making adequate progress. There are two parts to Normative Time: Normative Time to Advancement to Candidacy and Normative Time in Candidacy. The first represents the number of semesters needed to complete all of course requirements and pass any required Qualifying Exams. This may be different for students entering with master's degrees versus those who pursue the Ph.D. directly after the bachelor's degree. The second represents the remaining semesters that are recommended for completion of the dissertation. Please note both expectations here.~~

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### 11) Typical Timeline and Sequence of Events

A sample timeline for the first 8 semesters of courses for a PhD student is shown below.

<u>Fall 1</u>	<u>Spring 1</u>	<u>Fall 2</u>	<u>Spring 2</u>
<u>PHYS210 C (4)</u> <u>Electrodynamics and Optics I</u>	<u>PHYS237 C (4)</u> <u>Quantum Mechanics I</u>	<u>PHYS 238 (4)</u> <u>Quantum Mechanics II</u>	<u>PHYS241 (4)</u> <u>Condensed Matter Physics</u>
<u>PHYS205 C (4)</u> <u>Classical Mechanics</u>	<u>PHYS 212 C (4)</u> <u>Statistical Mechanics</u>		
<u>QSB/BEST 294 (1)(Responsible Research)</u>	<u>PHYS 295 (3)</u> <u>Graduate Research</u>	<u>PHYS 295 (7)</u> <u>Graduate Research</u>	<u>PHYS 295 (7)</u> <u>Graduate Research</u>
<u>PHYS293 (1)</u> <u>Physics Colloquium</u>	<u>PHYS293 (1)</u> <u>Physics Colloquium</u>	<u>PHYS293 (1)</u> <u>Physics Colloquium</u>	<u>PHYS293 (1)</u> <u>Physics Colloquium</u>

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C = core class, brackets indicate units.

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<u>Fall 3</u>	<u>Spring 3</u>	<u>Fall 4</u>	<u>Spring 4</u>
<u>PHYS 295 (12)</u> <u>Graduate Research</u>	<u>PHYS 295 (12)</u> <u>Graduate Research</u>	<u>PHYS 295 (12)</u> <u>Graduate Research</u>	<u>PHYS 295 (12)</u> <u>Graduate Research</u>
<u>Fall 5</u>	<u>Spring 5</u>	<u>Fall 6</u>	<u>Spring 6</u>
<u>PHYS 295 (12)</u> <u>Graduate Research</u>	<u>PHYS 295 (12)</u> <u>Graduate Research</u>	<u>PHYS 295 (12)</u> <u>Graduate Research</u>	<u>PHYS 295 (12)</u> <u>Graduate Research</u>

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**Graduate Council- Policies and Procedures Template**

The physics group has developed the following sample guidelines for students to make good progress in the PhD program.

<u>Year/semester</u>	<u>Activities</u>
<u>Year 1 (Semesters 1,2)</u>	<u>Learn about all research groups</u> <u>Perform rotations with assigned mentors</u> <u>Take classes</u> <u>Pass preliminary exam (if applicable)</u> <u>Pick PhD advisor by end of second semester</u>
<u>Summer 1</u>	<u>Begin full time research with PhD advisor</u>
<u>Year 2 (Semesters 3,4)</u>	<u>Continue full time research with PhD advisor</u> <u>Take one class per semester if necessary</u> <u>Assemble faculty committee (beginning of third semester)</u> <u>Prepare for qualifying exam</u> <u>Schedule qualifying exam (during fourth semester) – defend PhD research proposal</u> <u>Apply for candidacy after passing qualifying exam (end of fourth semester)</u>
<u>Years 3</u>	<u>Conduct research</u> <u>Prepare manuscripts for publication</u> <u>Present work at a scientific conference; network for career</u>
<u>Years 4</u>	<u>Conduct research</u> <u>Continue publishing manuscripts</u> <u>Present work at a scientific conference; network for career.</u>
<u>Year 5 (Semesters 9,10)</u>	<u>Conduct research</u> <u>Present work at a scientific conference; network for career</u> <u>Declare candidacy for graduation (ninth semester)</u> <u>Defend and publish dissertation (tenth semester)</u>

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10) For example:

<u>11) Year</u>	<u>12) Fall</u>	<u>13) Spring (first year exam completed)</u>
<u>14) GC # e</u>	<u>15) GC 200- Introduction to GC</u>	<u>16) GC 210- GC Seminar</u>
<u>17) GC # e</u>	<u>18) GC 201- Introduction to GC Discussion</u>	<u>19) GC 220- GC Professional Seminar</u>
<u>20) GC # e</u>	<u>21) GC 202- Introduction to GC Review</u>	<u>22) GC 230- GC Seminar</u>
<u>23) GC # e</u>	<u>24) GC # e</u>	<u>25) GC # e</u>

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**Graduate Council- Policies and Procedures Template**

<del>26) Year</del>	<del>27) Fall</del>	<del>28) Spring</del>
<del>29) Year</del>	<del>30) GC 240 GC Course</del>	<del>31) GC 260 GC Seminar</del>
<del>32) Year</del>	<del>33) GC 250 GC Course</del>	<del>34) GC 280 Directed Study</del>
<del>35) Year</del>	<del>36) GC 255 GC Course</del>	<del>37) GC 285 Independent Study</del>
<del>38) Year</del>	<del>39) Year</del>	<del>40) Year</del>
<del>41) Year</del>	<del>42) Fall</del>	<del>43) Spring (advancement to PhD candidacy)</del>
<del>44) Year</del>	<del>45) GC 270 GC Course</del>	<del>46) GC 295 Practicum</del>
<del>47) Year</del>	<del>48) GC 290 Directed Study</del>	<del>49) GC 290 Directed Study</del>
<del>50) Year</del>	<del>51) Qualifying Exam Preparation</del>	<del>52) Qualifying Exams</del>
<del>53) Year</del>	<del>54) Year</del>	<del>55) Year</del>
<del>56) Year</del>	<del>57) Dissertation</del>	

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Comment [MB4]: It may be a good idea to mention that this is contingent upon the availability of teaching assistantship positions.

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**12) Sources of Funding:**

Newly admitted students will normally be supported as graduate TAs during their first two semesters in residence, with Ph.D students being prioritized. After that, students will be supported as either TAs or GSRs depending on availability of TAs and the research advisor's funding situation.

New students who cannot be appointed as TAs because of limited English proficiency or lack of available TA positions may be appointed as GSRs for their first one or two semesters by mutual agreement of the student and the research advisor. The conditions of appointment will be the same as

## Graduate Council- Policies and Procedures Template

in #3 and #4 below. Normally all students will be required to TA for at least one semester as long as a suitable TA position is available. TA experience at other institutions could satisfy this requirement.

Graduate students serving as GSRs during the academic year will be appointed at 49.9% at the step for which the monthly stipend is most nearly equal to that for a first year TA in the Natural Sciences. There will be no additional or reduced pay during break periods.

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Graduate students serving as GSRs during the summer will be appointed at the step determined above. The appointment will be 60% for students who have not yet been advanced to candidacy for the Ph.D. degree, and 70% for those who have been advanced to candidacy. Students are expected to spend the remainder of their time pursuing independent study toward the degree. GSRs do not accrue paid vacation time.

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Students are also encouraged to make use of other sources of funding including Physics Summer Fellowships, campus-wide fellowships provided by the Graduate Division as well as extra-mural funding opportunities from both federal, state and private sources. Lists of these are available on the Graduate Division website.

Following advancement to candidacy, doctoral students who are not California residents will have their Nonresident Tuition reduced by 100 percent for a maximum of three consecutive calendar years. Any such student who continues to be enrolled or who re-enrolls after receiving the reduced fee for three years will be charged the full Nonresident Tuition that is in effect at that time.

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Exceptions to these policies may be made at the recommendation of the student's research advisor, the graduate group chair, and the graduate dean.

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~~59) Describe how students are typically supported in your program. Include information on minimum and maximum limitations on Teaching Assistantships; also reference other sources, particularly those provided by Graduate Division and the graduate group (e.g., via competitions run through the Executive Committee). Allude to other sources not run through the graduate group but by individual professors and external sources. Rather than simply listing all possible opportunities, providing a realistic guide of possible funding and sources that can help students be successful in acquiring their own funding.~~

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~~Following advancement to candidacy, doctoral students who are not California residents will have their Nonresident Tuition reduced by 100 percent for a maximum of three consecutive calendar years. Any such student who continues to be enrolled or who re-enrolls after receiving the reduced fee for three years will be charged the full Nonresident Tuition that is in effect at that time.~~

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## Graduate Council- Policies and Procedures Template

60) Leaving the Program Prior to Completion of the PhD Requirements: *Include this section if your program offers en lieu or terminal masters.*

*For example:*

13) A student admitted for the Ph.D. degree, which, in the judgment of the unit's graduate affairs committee should not continue past the master's degree, must be notified in writing by the Graduate Group Chair of the Graduate Group offering the degree. A copy of the letter must be sent to the Vice Provost and Dean of Graduate Education. In some cases a doctoral student may choose to leave the program with a master's degree only. It is the responsibility of the Graduate Group unit to notify the Graduate Division via the Change of Degree form so that the student's record may be updated to reflect the student's degree status. This notice must include the student's written permission to have his/her degree objective changed officially from doctorate to master's.

### D. General Information

- 1) PELP, In Absentia and Filing Fee status. *Include, at least, the following statement:* Information about PELP (Planned Educational Leave Program), In Absentia (reduced fees when researching out of state), and Filing Fee status can be found in the Graduate Group Policies and Procedures Handbook available on Graduate Division.

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1 | **GRADUATE COUNCIL (GC)**

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2 |

3 | **Process for Establishing Concentrations and Designated Emphasis within Graduate**

4 | **Degree Programs**

5 |

6 | Approved on ?

7 |

8 | 1) **Introduction**

- 9 | a) Graduate programs may want formal acknowledgement on student transcripts of
- 10 | specific, focused coursework completed within the graduate program, or formal
- 11 | acknowledgement on the transcript of additional graduate coursework and other
- 12 | requirements met at the University of California, Merced within a specific field of study
- 13 | outside of a student's graduate program. For example, such acknowledgement may be
- 14 | necessary when applying for a teaching position at a community college, or may be
- 15 | desirable as a complement to information available in a letter of recommendation
- 16 | prepared by the student's advisor.
- 17 | b) Such formal acknowledgement is established by a graduate program for all students
- 18 | within the program, rather than on a case-by-case basis, via the mechanisms described
- 19 | herein. Such acknowledgement is only available for programs that have been subject to
- 20 | review and approval by Graduate Council and, as necessary, CCGA. There are two
- 21 | options (i.e., Concentrations and Designated Emphases). There is no option for a
- 22 | "custom" concentration or emphasis.

23 |

24 | 2) **Definitions and Criteria**

- 25 | a) **Concentration** - A subcurriculum such as a new method of inquiry or an important field
- 26 | of application that may be interdisciplinary and is applicable to an existing graduate
- 27 | program. It usually consists of a coordinated set of at least 4 **graduate level** courses (in
- 28 | addition to independent research/study) delivered by the graduate program faculty in
- 29 | conjunction with examinations and a thesis and/or dissertation, and is joined with
- 30 | established graduate program curricula in a manner such that the requirements of the
- 31 | graduate program and the concentration are met concurrently. Concentrations have
- 32 | significant research and teaching components and must be approved by the Graduate
- 33 | Council. The availability of concentrations is noted in each program's description in the
- 34 | *General Catalog*. Each concentration and its requirements are described, and a summary
- 35 | of all concentrations are provided. It is the responsibility of **the** graduate group to
- 36 | review and update the catalog text pertaining to concentrations, so that current practice
- 37 | is officially recorded. Concentrations are usually reflected explicitly in the content and
- 38 | tenor of the thesis and/or dissertation. The graduate group is also responsible for
- 39 | tracking the concentration(s) of students in the program and providing that information
- 40 | to the Registrar upon the student's completion of all requirements for the degree.
- 41 | i) **Primary Concentration** - A primary concentration is listed on a student's transcript.
- 42 | **and on the diploma**

Comment [rev1]: Note that GC will have to update our guidelines for CCGA proposals to include these definitions and make it clear that these terms may not be used to describe anything other than what is defined herein

- 43 ii) **Secondary Concentration** – A secondary concentration is available only to PhD  
 44 students and is not listed on a student's transcript, ~~or on the diploma~~  
 45 b) **Designated Emphasis** - A program of study, often interdisciplinary, that focuses on a  
 46 specific area of scholarship and does not reside in the student's graduate program. A  
 47 designated emphasis exists as an external, free-standing graduate program, only open to  
 48 PhD students already accepted into another graduate program at the University of  
 49 California, Merced. It has a defined course of study (in addition to independent  
 50 research/study) that is the same regardless of a student's primary program of study and  
 51 provides somewhat less depth and expertise in a subject (usually three graduate level  
 52 courses) than the student's primary program of study. The subject matter of the  
 53 designated emphasis is integrated into the dissertation, but the coursework and other  
 54 requirements are *in addition to* degree requirements for students who are not  
 55 participating in a designated emphasis. Students do not apply to a designated emphasis  
 56 as part of their admission to UC Merced, but may apply to one with the consent of their  
 57 advisor during their course of study, usually prior to taking his/her Qualifying  
 58 Examination. A designated emphasis is not required as part of any graduate degree. A  
 59 designated emphasis must be approved by the Graduate Council. The designated  
 60 emphasis is listed on the student's transcript ~~and diploma~~. The offering of designated  
 61 emphasis is noted in the *General Catalog*. The requirements are specified under the  
 62 offering program's description. Programs other than the offering program may wish to  
 63 include the option of pursuing a designated emphasis in their catalog descriptions, and  
 64 point students towards suggested possible emphases, according to disciplinary affinity  
 65 and program history.  
 66
- 67 3) **Process for Establishing a Concentration**
- 68 a) Complete and submit a dated "Graduate Group Summary Form" describing the existing  
 69 program. If officially establishing an existing concentration, the accompanying cover  
 70 letter should reference the appropriate pages describing the requirements for the  
 71 concentration(s) within the approved CCGA proposal (and date of approval).  
 72 b) A request to revise an existing, or establish a new, concentration must also include the  
 73 following appendices:  
 74
- 75 (1) Request for Approval to Modify Graduate Degree Requirements Form, including  
 76 a letter describing the revised or new concentration, the rationale for revision or  
 77 addition, the need, and the potential resource implications. Please note that  
 78 WSCUC Substantive Change review may be required if the proposed alterations  
 79 would result in a "significantly different degree program."
  - 80 (2) Revised and Dated Graduate Group Summary Form
  - 81 (3) Revised Graduate Group Catalog Copy
  - 82 (4) Revised Graduate Group Website Copy
  - 83 (5) Revised/New and Complete Course Request Form Packet(s)
  - 84 (6) Letter(s) of Support from the Lead Dean and affected graduate groups, if  
 85 appropriate.

Comment [rev2]: Let's discuss at GC

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c) **Routing Process**

- i) For concentration(s) as described in the original, approved CCGA proposal:
  - (1) Graduate Group submits the dated Graduate Group Summary Form and cover letter to the Graduate Council
  - (2) Graduate Council conducts a preliminary review and sends the form and cover letter to the Office of Institutional Assessment, Vice Provost and Dean of Graduate Education, and the Office of the Registrar for comment.
  - (3) Once comments are received, the Graduate Council reviews comments and approves or rejects the Graduate Group’s request to acknowledge an existing concentration. Graduate Council’s decision is communicated to the Graduate Group and a copy of the decision is sent to the Office of Institutional Assessment, Vice Provost and Dean of Graduate Education, and the Office of the Registrar.
- ii) For revised or new concentration(s):
  - (1) Graduate Group submits the dated Graduate Group Summary Form, cover letter, and all required appendices to the Graduate Council
  - (2) Graduate Council conducts a preliminary review and sends the form, cover letter, and appendices to the Office of Institutional Assessment, Vice Provost and Dean of Graduate Education, Office of the Registrar, and the Committee on Academic Planning and Resource Allocation for comment
  - (3) Once comments are received, the Graduate Council reviews comments and approves or rejects the Graduate Group’s request to acknowledge a revised or new concentration. Graduate Council’s decision is communicated to the Graduate Group and a copy of the decision is sent to the Office of Institutional Assessment, Vice Provost and Dean of Graduate Education, Office of the Registrar, and the Committee on Academic Planning and Resource Allocation

**Comment [MD3]:** Bump heading onto next page?

**Comment [MD4]:** Do we need to be more explicit about copy for the catalogue, i.e. when it goes to the registrar and the site gets updated? I think we don’t need to, but am just wondering. (Also for similar concluding actions elsewhere?)

4) **Process for Establishing a Designated Emphasis**

- a) Faculty considering creation of a new DE should agree on a definition and description of the DE and meet with the Vice Provost and Dean of Graduate Education and the Lead Dean to discuss the nature of the DE, the faculty affiliated with the proposal, the proposed timeline for program implementation, and the potential impact on current graduate degree programs.

Interested faculty must prepare a DE proposal for the designated emphasis following guidelines and meeting requirements below.

- i) **Description of the Designated Emphasis**  
Provide a description of the academic rationale for the Designated Emphasis, including recent developments in the field and the Designated Emphasis’ importance to students and faculty at UC Merced.

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- 129 ii) Requirements for the Designated Emphasis  
 130 Describe the criteria used to determine admission. Describe the curriculum,  
 131 qualifying examination requirements (if any), dissertation requirements (if any), and  
 132 the Designated Emphasis conferral process. Provide course descriptions for core  
 133 courses and electives. Describe the Designated Emphasis' potential impact on time to  
 134 degree completion.
- 135 iii) Graduate Group Administration  
 136 Provide a description of how the Designated Emphasis will be administered. List the  
 137 Chair and Executive Committee of the Graduate Group. Describe the structure for  
 138 student advising and the appointment of faculty to the qualifying examination and  
 139 the dissertation committees.
- 140 iv) Resources  
 141 The proposal should address the resources available, such as staff support, student  
 142 support, and available facilities, and the issue of resources required to administer the  
 143 Designated Emphasis. If no additional resources are required, this should be stated.  
 144 If additional resources are required, they should be described and the source of  
 145 support should be identified.
- 146 v) Appendices  
 147 (a) A completed and dated "Designated Emphasis Degree Requirements" form  
 148 (b) Bylaws of the Designated Emphasis Graduate Group (following the template  
 149 for Graduate Group Bylaws)  
 150 (c) The proposal should include letters of support from the Lead Dean and Vice  
 151 Provost and Dean of Graduate Education regarding the resources and  
 152 implications of support for the proposed Designated Emphasis.  
 153 (d) Letter of endorsement from the Graduate Group Chair of the doctoral  
 154 program with which the majority of participating faculty are affiliated and  
 155 selected letters from faculty who agree to participate in the Designated  
 156 Emphasis.  
 157 (e) Roster of participating faculty (participating faculty must be Academic  
 158 Senate members eligible to serve on higher degree committees).  
 159
- 160 b) Requests to revise the curriculum and/or admission requirements for an existing  
 161 Designated Emphasis must be submitted to, and approved by, the Graduate Council.  
 162 The following information should be included in the request:
- 163 i) A Graduate Group Summary Form, a Request for Approval to Modify Graduate  
 164 Degree Requirements Form, and cover letter from the chair of the Designated  
 165 Emphasis that outlines the reasons for the changes requested and includes any  
 166 justification necessary. Of particular concern to the Graduate Council is the impact of  
 167 the changes on the time to degree in the affiliated graduate programs.  
 168 (a) Please note that letters of support from affiliated Graduate Groups chairs  
 169 may be necessary if the proposed revisions might impact the normative time  
 170 to degree.

**Comment [MD5]:** Do we want to see evidence of majority support within the group? At least more than just a breakaway group? Or is this effectively covered by having Deans review resource implications?

**Comment [MD6]:** Need possessive form? Is it plural or singular?

- 171 | ii) A letter of support from the Lead Dean regarding resources and implications of
- 172 | support for the changes requested must also accompany the cover letter.
- 173 | iii) A revised and dated "Designated Emphasis Degree Requirements" form. The last
- 174 | approved version of the Designated Emphasis requirements approved by Graduate
- 175 | Council should be included as Appendix A.

176 | c) Routing Process

177 | i) For a new Designated Emphasis

- 178 | (1) Graduate Group submits the proposal for "pre-review" by the Graduate Division
- 179 | to ensure that the proposal contains required information and to identify
- 180 | problems that may slow the formal proposal review process. Graduate Division
- 181 | provides the results of this pre-review in a memo to the proposing group.
- 182 | (2) Graduate Group submits the proposal, appendices, and response to Graduate
- 183 | Division pre-review to the Graduate Council. Graduate Council conducts a
- 184 | preliminary review. If the proposal is found satisfactory in this preliminary
- 185 | review, Graduate Council sends the proposal and attachments to the Vice
- 186 | Provost and Dean of Graduate Education, the Committee on Academic Planning
- 187 | and Resource Allocation, and Undergraduate Council for comment.
- 188 | (3) Once comments are received, the Graduate Council reviews the comments and
- 189 | approves or rejects the Graduate Group's proposal. Graduate Council's decision
- 190 | is communicated to the Graduate Group and a copy of the decision is sent to the
- 191 | Office of Institutional Assessment, Vice Provost and Dean of Graduate
- 192 | Education, Office of the Registrar, Divisional Council. Graduate Council will
- 193 | notify the Coordinating Committee on Graduate Affairs (CCGA), the relevant
- 194 | UC systemwide committee, of the approval of a new Designated Emphasis
- 195 | program.

196 | ii) -For a revised Designated Emphasis

- 197 | (1) Graduate Group submits the dated Graduate Group Summary Form and all
- 198 | other required documents to the Graduate Council.
- 199 | (2) Graduate Council conducts a preliminary review and sends the form and related
- 200 | documents to the Office of Institutional Assessment, Vice Provost and Dean of
- 201 | Graduate Education, Office of the Registrar, and the Committee on Academic
- 202 | Planning and Resource Allocation for comment.
- 203 | (3) Once comments are received, the Graduate Council reviews comments and
- 204 | approves or rejects the Graduate Group's request to revise the Designated
- 205 | Emphasis. Graduate Council's decision is communicated to the Graduate Group
- 206 | and a copy of the decision is sent to the Office of Institutional Assessment, Vice
- 207 | Provost and Dean of Graduate Education, Office of the Registrar, and the
- 208 | Committee on Academic Planning and Resource Allocation.

209 | e) —

210 | i) Graduate Division Preview

211 | Proposals for new Designated Emphasis programs should be "previewed" by the

212 | Graduate Division to ensure that the proposal contains required information. The

213 |

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Comment [rev7]: Should this be another (new?) term to distinguish from regular Grad Groups?

Comment [MD8]: "free-standing graduate program" is used on line 49.

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Comment [rev9]: ditto

Comment [rev10]: ditto

Comment [rev11]: ditto

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Comment [rev12]: ditto

Comment [rev13]: ditto

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214 ~~purpose of this step is to identify problems that may slow the formal proposal~~  
215 ~~review process.~~  
216 ~~ii) Graduate Council Approval~~  
217 ~~Proposals are then reviewed by the Graduate Council. The council's Policy~~  
218 ~~Subcommittee will review the entire proposal. Final approval is by the Graduate~~  
219 ~~Council. No further review is required on or off campus.~~  
220 ~~iii) Off-campus notification~~  
221 ~~Graduate Council will notify the Coordinating Committee on Graduate Affairs~~  
222 ~~(CCGA), the relevant UC systemwide committee, of the approval of a new~~  
223 ~~Designated Emphasis program.~~  
224

DRAFT

# UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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BERKELEY • SANTA CRUZ

COORDINATING COMMITTEE ON GRADUATE AFFAIRS (CCGA)  
Jutta Heckhausen, Chair  
[heckhaus@uci.edu](mailto:heckhaus@uci.edu)

ACADEMIC SENATE  
University of California  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, California 94607-5200

April 21, 2015

## CAMPUS GRADUATE COUNCIL CHAIRS

Dear Colleagues:

CCGA has had several in-depth discussions of the issues associated with self-supporting graduate professional degree programs (SSGPDPs). The attached document summarizes our analysis of the situation and our recommendations. SSGPDPs raise important issues for each of our campuses and the UC system. They need close attention and in-depth discussion between the Senate and administration on each campus. This will hopefully result in joint action guided by strategic academic planning.

We ask you, as chair of your campus Graduate Council, to bring this issue to discussion in your council, and then – informed by this discussion – start a conversation with the administration (provost's office and planning and budget leaders) on your campus. In this process, it likely will be useful to also involve the Council on Planning and Budget on your campus.

All the best and please keep us posted (via your CCGA representative) on how things progress!

Jutta Heckhausen

A handwritten signature in cursive script that reads "Jutta Heckhausen".

Jutta Heckhausen, Ph.D.  
Chair, CCGA

cc: Mary Gilly, Academic Council Chair  
Daniel Hare, Academic Council Vice Chair  
Aimée Dorr, Provost  
CCGA Members  
Gary Leal, UCPB Chair  
Hilary Baxter, Academic Senate Executive Director  
Todd Greenspan, Director of Academic Planning  
Kimberly Peterson, Academic Planning Analysis Manager

Enclosures (1)



# UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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COORDINATING COMMITTEE ON GRADUATE AFFAIRS (CCGA)  
Jutta Heckhausen, Chair  
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ACADEMIC SENATE  
University of California  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, California 94607-5200

April 21, 2015

## **CCGA Recommendations Regarding Self-Supporting Graduate Professional Degree Programs**

Current planning on different campuses in the UC system indicates that three campuses (UCI, UCLA, UCSD) anticipate starting a relatively large number of new self-supporting graduate professional degree programs, whereas the other campuses have plans for few or no such programs. Given the potentially substantial impact - for better or worse - of these programs on our campuses' instruction and research, CCGA has developed the following statements and recommendations for consideration by the divisional Graduate Councils. We hope you find these helpful in the immediate and intermediate future to guide your judgment and initiatives as well as joint academic planning with the administration on your campus.

### **Self-supporting graduate professional degree programs differ from traditional academic programs.**

The complementary missions of a Research One university are research and instruction. What distinguishes UC from the Cal State system is its dedication to research, both pure and applied. Professional programs do not typically focus, as do our doctoral programs, on the generation of new discovery. They exist, in large part, to train and to certify working professionals. Apart from our well-established state-supported professional schools of law, medicine, public health, social work, and business, these programs supplement our core mission in research and instruction. In the aftermath of large budget cuts to the University of California system, the development of self-supporting graduate professional degree programs promises new streams of revenue for our campuses. At the same time, these professional programs help address the needs of the State's working professionals for high quality graduate education. Of course, all educational programs need the robust involvement of the faculty in the relevant academic unit. Faculty engagement is a prerequisite for creating any educational programs, whether traditional academic or professional.

**A distinguishing feature of self-supporting graduate professional degree programs is that they have a predominantly applied focus**, as seen in reviews of recent proposals for new self-supporting programs. This is often reflected in the capstone requirement and its focus on applied research and not on generating new discovery. Students in professional programs are typically working full-time or are looking to pursue a specific career.

**CCGA recommends that Graduate Council and Provost's Offices on the individual campuses should jointly engage in strategic planning for self-supporting professional graduate programs.** For the already very active campuses in this regard, the conversation probably needs to focus on prioritizing and sequencing new proposals and their start-up funding. For the less active campuses, Senate-

administration discussions might focus on exploring opportunities and identifying and overcoming possible obstacles (e.g., regional constraints may be overcome with online formats). CCGA would like to see in the introduction section of every proposal for a new self-supporting program answers to the following questions: How does this program fit into the campus' priority planning for self-supporting programs and into its overall strategic academic plan?

**We recommend that campuses conduct rigorous marketing analyses to identify the professional graduate programs that will attract robust cohorts of applicants over the next decade.** Launching a self-supporting program takes a significant investment of faculty and administrative time as well as start-up funds. To assess the market for some self-supporting programs, campuses may look at the professional education needs in their local or regional community, whereas for evaluating the potential for other programs, particularly those that promise the on-line delivery of courses, campuses may want to evaluate national or international demand. Estimates of market need for a given professional program should be based on high-quality and specifically targeted analyses, which may require seeking the input from a consulting company for higher education institutions or for economic modeling.

**We recommend that campuses invest in these programs with sufficient start-up packages for developing new courses and advertising, additional faculty where needed, and support services necessary** to ensure not just self-supporting status, but sufficient growth to yield revenue beyond mere cost-coverage.

**CCGA believes strongly that self-supporting professional master programs must adhere to UC's commitment to affordability and accessibility and should have solid financial aid components.** This implies that a significant part of the revenue from a new program should be reinvested in financial aid, particularly in programs that are targeting applicants with limited financial means.

**Our campuses and their respective Senate Graduate Councils and Offices for Planning and Budget should assess at regular intervals (possibly every three years) whether these programs are thriving,** whether the funds they generate are supporting the core mission of the university, and whether they are draining faculty time from teaching in traditional academic programs or from research.

**If programs do not thrive, there needs to be a process in place, administered by the respective Graduate Councils, to sunset them.** With the judicious choice of particular programs to develop, self-supporting programs should be generating strong revenue by year five.

**We strongly recommend that campuses think ahead about the proper distribution of "profits" from these programs.** We know that some programs will be more financially successful than others, and we fear that serious inequities might result. We strongly recommend, therefore, that campuses think ahead about the proper distribution of "profits" from these programs between the sponsoring department, school, and general campus. We realize the need for incentives, but we also fear a situation in which some parts of a given campus may enjoy the lion share of revenue generated by professional programs, while other parts of that campus, where entrepreneurial efforts are less promising, languish with far less support for their research and doctoral programs.

In sum, CCGA recommends that the Graduate Councils on all campuses engage in serious strategic academic and budgetary planning efforts regarding SSGPDPs with the cooperation of their campus' Provost and key leaders in budget and planning.



UNIVERSITY OF CALIFORNIA, MERCED  
5200 NORTH LAKE ROAD  
MERCED, CA 95343

April 20, 2015

Jian-Qiao Sun  
Chair, UC Merced Division of the Academic Senate  
UC Merced

RE: UC Merced's Review under the WSCUC Standards

Dear Chair Sun:

As you know, this semester UC Merced initiated its efforts to re-affirm accreditation by the WASC Senior College and University Commission (WSCUC, formerly "WASC"). This process, which involves several stages<sup>1</sup>, will conclude with an Accreditation Visit in spring 2018 and, in June 2018, the WSCUC Commission decision to re-affirm accreditation for a period of 6, 8 or 10 years. The Chancellor and Provost expect UC Merced to earn a 10-year re-affirmation period, continuing our record of strong accreditation reviews.

The first step in the Institutional Review Process for re-affirmation is to complete, as an institution, the *Review under the WSCUC Standards*. Through this first step, UC Merced will

1. Undertake a preliminary, systematic institutional self-analysis under the [WSCUC Standards](#), the commitments, standards, and criteria UC Merced must be in substantial compliance with for accreditation to re-affirmed.
2. Identify strengths and areas of good practice.
3. Identify areas that may need attention.
4. Generate a required document for our accreditation review; the *Review under the WSCUC Standards* is the basis for the second essay of the [institutional self-study report](#), and the conclusions and supporting evidence are carefully validated by the external review team.

The WSCUC Steering Committee has completed a draft of the *Review under the WSCUC Standards* on behalf of the campus, and is now seeking feedback on this draft.

**Toward that end, I write to invite the Academic Senate to review the document, with a particular focus on Standards 2, 3, and 4, and return comments to me (with a cc to Laura Martin) by Thursday**

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<sup>1</sup> The stages of the Institutional Review Process (IRP) for re-affirmation, and the campus' timeline for this work, are available on the [Re-affirmation page](#) of UC Merced's accreditation website, [accreditation.ucmerced.edu](http://accreditation.ucmerced.edu).

**May 21<sup>st</sup>.** If this is not possible, please respond with an alternative submission date as soon as possible.

When reviewing the document, the faculty of the Senate should consider the extent to which they agree with

1. The Steering Committee's *Self-Review Rating* (column 3) and rating of *Importance to Address* (column 4) for each Criteria for Review (CFR). WSCUC's scoring rubric is provided in the box in the upper left hand portion of p. 2 of the document.
2. The responses to the Synthesis/Reflections questions for each of the four standards.

If there is disagreement with a self-rating score, **these differences can be noted in the document using the PDF sticky note or highlight function. Alternative scores, together with a brief explanation for the conclusion, including hyperlinks and/or references to evidence in support of the conclusions, are welcome.**

**Similarly, the PDF sticky note and/or highlight function can be used to comment on and/or modify responses to the Synthesis/Reflection questions.<sup>2</sup>**

To increase the efficiency of the work, we recommend dividing the work of reviewing each Standard among individuals or teams of individuals.

**Laura Martin, the campus' Accreditation Liaison Officer (ALO), and I are happy to meet with the Senate to review this process and/or answer questions.** Please note that the first page of the worksheet includes a helpful overview, including

- the purpose of the worksheet , *Purpose of Worksheet*
- the relationship of the WSCUC Standards, Criteria for Review (CFR), and Guidelines, *The WSCUC Standards, CFRs, and Guidelines*
- guidance for completing the worksheet, *Using this Worksheet*

Finally, please know that, in addition to the Senate, a broad array of institutional stakeholders have been invited to review and comment on this draft, including but not limited to the School Executive Committees, campus administrative leadership, and student leadership.

On behalf of the Steering Committee, thank you very much for your assistance in completing this significant first stage in our re-affirmation of accreditation effort. We look forward to your feedback.

Sincerely,  
Nate Monroe  
Associate Professor, and Chair, WSCUC Steering Committee

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<sup>2</sup> We chose not to offer Word documents as we have found the tables quite difficult to work with and somewhat unstable in their formatting.



## Review under WSCUC Standards and Compliance with Federal Requirements

### Purpose of the Worksheet

This worksheet is designed to assist planning groups preparing for a WASC Senior College and University Commission (WSCUC) review to undertake a preliminary, systematic institutional self-analysis under the WSCUC Standards by identifying strengths and areas of good practice as well as areas that may need attention. Institutions will also use this worksheet to identify, and insert references to, key supporting documentation to support its judgments. Teams will follow these references to verify the completeness of the information. After being used to stimulate discussion and to help focus the review, the completed worksheet will then be submitted with the self-study for evaluation as evidence for Component 2 of the Institutional Report at the time of the Offsite Review, with follow up as needed at the time of the Accreditation Visit. The submission of this worksheet with the institution's self study helps to validate that the institution has been reviewed under all Standards and relevant Criteria for Review.

### The WSCUC Standards, CFRs, and Guidelines

The WSCUC Standards guide institutions in self-review, provide a framework for institutional submissions, and serve as the basis for judgments by evaluation teams and the Commission. Each Standard is set forth in broad holistic terms that are applicable to all institutions. Under each of the four Standards are two or more major categories that make the application of the Standard more specific. Under each of these categories are Criteria for Review (CFRs), which identify and define specific applications of the Standard. Guidelines, provided for some but not all CFRs, identify typical or common forms or methods for demonstrating performance related to the CFR; institutions, however, may provide alternative demonstrations of compliance. This worksheet contains all the CFRs and Guidelines from the 2013 *Handbook of Accreditation*. An "X" in the cell indicates a cross-reference to other CFRs that touch on related issues.

### Using this Worksheet

The worksheet is used during the early stages of planning for the Institutional Report and may be revisited later when preparing for further reviews. For each CFR, institutions are asked to give themselves a rating indicating how well they are doing, to identify the importance of addressing the CFR as an aspect of the review, and to provide comments as appropriate, about their self-assessment. Key areas may thereby be identified where more evidence is needed or more development required. Institutions may have members of the planning group complete the worksheet individually with responses reviewed by the group as a whole. Or an institution may divide the worksheet by Standards with different groups completing each standard. Use these or other approaches to complete the worksheet.

Once the institution has completed this self-review process, priorities that are identified using this form should be integrated with the institution's context, goals, and planning in the development of its report. Summary questions are provided in the worksheet as a means of assisting institutions in determining areas of greatest concern or areas of good practice to be addressed or highlighted in institutional reports. Please include the summary sheets with the submission of this worksheet.

### Compliance with Federal Requirements

In addition to the Review, there are four checklists that team members will complete during the Accreditation Visit and attach to their team report in order to ensure that the institution is in compliance with the federal requirements cited in the checklists. The institution is expected to provide the links to the needed information in anticipation of the team's review at the time of the visit.

## Review under WSCUC Standards

<p>Provide the institution's consensus rating for columns 3 and 4; add comments as appropriate in column 5. For un-shaded cells in Column 6, delete text and provide links or references to evidence in support of findings. Column 7 is for staff and teams to verify documentation and for teams to comments on evidence.</p> <p><b><u>Self-Review Rating</u></b>          1= We do this well; area of strength for us          2= Aspects of this need our attention          3= This item needs significant development          0= Does not apply</p> <p><b><u>Importance to address at this time</u></b>          A:U= High priority – Urgent          A:OA = High priority – Ongoing attention needed in light of 2020-related growth.          B= Medium priority          C= Lower priority          0= Does not apply</p>	<p style="text-align: center;"><b>Institutional Information</b></p> <p>Institution: University of California, Merced</p> <p>Type of Review:  <input checked="" type="radio"/> Comprehensive for Reaffirmation</p> <p>Date of Submission: ____/____/____  <small style="margin-left: 100px;">Mo</small>    <small style="margin-left: 40px;">Day</small>    <small style="margin-left: 40px;">Year</small></p> <p>Institutional Contact: Laura Martin, ALO</p>
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<b>Standard 1. Defining Institutional Purposes and Ensuring Educational Objectives</b> <i>The institution defines its purposes and establishes educational objectives aligned with those purposes. The institution has a clear and explicit sense of its essential values and character, its distinctive elements, its place in both the higher education community and society, and its contribution to the public good. It functions with integrity, transparency, and autonomy.</i>						
Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
Institutional Purposes						
1.1 The institution's formally approved statements of purpose are appropriate for an institution of higher education and clearly define its essential values and character and ways in which it contributes to the public good.	The institution has a published mission statement that clearly describes its purposes. The institution's purposes fall within recognized academic areas and/or disciplines.	2	C	Though functional, the mission could benefit from revision. A recurrent theme is that the mission statement is overly long and slightly outdated. Recently, CAPRRA noted that the mission is not a relevant reference document. Rated as a lower priority in light of more urgent and important priorities. Steering Committee noted that UCM might consider updating its mission after the self-study is complete, permitting revisions to be informed by the outcomes of the self-study process.	Evaluated during comprehensive review through Component 1: <i>Introduction.</i>  <ul style="list-style-type: none"> <li><a href="#">Mission</a></li> <li><a href="#">Principles of Community</a></li> </ul>	

<p>1.2 Educational objectives are widely recognized throughout the institution, are consistent with stated purposes, and are demonstrably achieved. The institution regularly generates, evaluates, and makes public data about student achievement, including measures of retention and graduation, and evidence of student learning outcomes. X 2.4, 2.6, 2.10, 4.2</p>		2	B/A:OA	<ul style="list-style-type: none"> <li>To what extent are educational objectives widely recognized? How do we know?</li> <li>How are educational objectives shared/communicated within the institution (students, faculty, staff) as the institution grows?</li> <li>As an institution, need to consider how we will make public "evidence of student learning outcomes", beyond those reported in the UC Merced Profile and in keeping with our campus principles of assessment.</li> <li>IRDS makes data on student achievement including retention and grad available, but it is difficult to get there from any of main landing pages. Propose adding assessment/student success link on campus homepage under "About."</li> </ul>	<p>Evaluated during comprehensive review through Component 3: <i>Degree Programs</i> and Component 5: <i>Student Success</i>.</p> <p>Public disclosure links verified by Annual Report.</p>	
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Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<b>Integrity and Transparency</b>						
<p>1.3 The institution publicly states its commitment to academic freedom for faculty, staff, and students, and acts accordingly. This commitment affirms that those in the academy are free to share their convictions and responsible conclusions with their colleagues and students in their teaching and writing. X 3.2, 3.10</p>	<p>The institution has published or has readily available policies on academic freedom. For those institutions that strive to instill specific beliefs and world views, policies clearly state how these views are implemented and ensure that these conditions are consistent with generally recognized principles of academic freedom. Due-process procedures are disseminated, demonstrating that faculty and students are protected in their quest for truth.</p>	1	C	<ul style="list-style-type: none"> <li>Commitment is publicly stated in system-wide APM (APM – 010). Hard to know how easy it is to locate from campus.</li> <li>What about for staff who work with academics? Do they need/receive orientation on academic freedom? Is there existing policy for non-academic staff regard academic freedom?</li> </ul>	<ul style="list-style-type: none"> <li>Academic Freedom Statement in system-wide Academic Personnel Manual (<a href="#">APM -010</a>)</li> <li>Academic freedom for Unit 18 lecturers is provided in Article 2 of <a href="#">MOU</a> with UC.</li> <li><a href="#">Principles of Community</a></li> </ul>	



<p>1.4 Consistent with its purposes and character, the institution demonstrates an appropriate response to the increasing diversity in society through its policies, its educational and co-curricular programs, its hiring and admissions criteria, and its administrative and organizational practices. X 2.2a, 3.1</p>	<p>The institution has demonstrated institutional commitment to the principles enunciated in the <a href="#">WSCUC Diversity Policy</a>.</p>	<p>1</p>	<p>A:OA</p>	<ul style="list-style-type: none"> <li>• Campus has a clear commitment to diversity as stated in our mission, but needs to continue to focus on diversity as a campus, including in all its definitions, across all areas.</li> <li>• Would campus benefit from a strategic plan for diversity?</li> </ul>	<p>Evaluated during comprehensive review.</p>	
<p>1.5 Even when supported by or affiliated with governmental, corporate, or religious organizations, the institution has education as its primary purpose and operates as an academic institution with appropriate autonomy. X 3.6 – 3.10</p>	<p>The institution does not experience interference in substantive decisions or educational functions by governmental, religious, corporate, or other external bodies that have a relationship to the institution.</p>	<p>1</p>	<p>C</p>	<p>The University is governed by The Regents, which under <a href="#">Article IX, Section 9</a> of the California Constitution has "full powers of organization and governance" subject only to very specific areas of legislative control. The article states that "the university shall be entirely independent of all political and sectarian influence and kept free therefrom in the appointment of its Regents and in the administration of its affairs." Consistent with this, the UC Merced operates with appropriate autonomy.</p>	<p>Evaluated during comprehensive review.</p>	
<p>1.6 The institution truthfully represents its academic goals, programs, services, and costs to students and to the larger public. The institution demonstrates that its academic programs can be completed in a timely fashion. The institution treats students fairly and equitably through established policies and procedures addressing student conduct, grievances, human subjects in research, disability, and financial matters, including refunds and financial aid.  X 2.12</p>	<p>The institution has published or has readily available policies on student grievances and complaints, refunds, etc. The institution does not have a history of adverse findings against it with respect to violation of these policies. Records of student complaints are maintained for a six-year period. The institution clearly defines and distinguishes between the different types of credits it offers and between degree and non-degree credit, and accurately identifies the type and meaning of the credit awarded in its transcripts. The institution's policy on grading and student evaluation is clearly stated and provides opportunity for appeal as needed.</p>	<p>1</p>	<p>C</p>	<p>Truthful information about academic goals, programs, services and costs to students is available to students and the larger public on campus websites including those of the <a href="#">Registrar</a>, <a href="#">Student Affairs</a>, <a href="#">Disability Services</a>, <a href="#">Office of Student Life</a>, <a href="#">Student Conduct (Student Judicial Affairs)</a>, and <a href="#">Financial Aid</a>.</p>	<p>Evaluated during comprehensive review.</p> <p>Truthful representation and complaint policies evaluated during comprehensive review</p>	

Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<p>1.7 The institution exhibits integrity and transparency in its operations, as demonstrated by the adoption and implementation of appropriate policies and procedures, sound business practices, timely and fair responses to complaints and grievances, and regular evaluation of its performance in these areas. The institution's finances are regularly audited by qualified independent auditors.</p> <p>X 3.4, 3.6. 3.7</p>		1	C	<p>UC Merced has a high level of integrity and transparency in its operations as evidenced by commitment to an appropriately resourced Office of Campus Culture &amp; Compliance (OC3) placed within the Chancellor's Office for the highest degree of independence when evaluating campus operations. OC3 is organized to ensure coordinated independent evaluation of business processes through the Internal Audit function as well as through compliance monitoring within the Ethics &amp; Compliance Program. Coordination of campus-wide policies and procedures has been consolidated under OC3 to enhance access to and development of local procedures. Timely and fair responses to complaints and grievances have received robust attention at UC Merced. Coordination of complaints across all functional areas at UC Merced is being carried out by OC3, with emphasis on promoting efficiencies, improving accountability, and tracking complaints and outcomes through disposition so we are better able to understand and improve culture in real time.</p>	Audits submitted with Annual Report.	

<p>1.8 The institution is committed to honest and open communication with the Accrediting Commission; to undertaking the accreditation review process with seriousness and candor; to informing the Commission promptly of any matter that could materially affect the accreditation status of the institution; and to abiding by Commission policies and procedures, including all substantive change policies.</p>		<p>1</p>	<p>C</p>	<p>UC Merced carefully attends to accreditation requirements, including those related to substantive change, with the support of the ALO and Substantive Change Coordinator. UC Merced continues to develop practices (e.g. ALO ex-officio on Graduate Council) to ensure that we abide by these expectations. When questions arise we work with WSCUC staff to gather answers and understand the implications for the campus.</p>	<p>Evaluated during comprehensive review through Component 1: <i>Introduction</i>.</p> <p>Commitments to integrity with respect to WSCUC policies are demonstrated in prior interactions with WSCUC.</p>	
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### Synthesis/Reflections on Standard One

1. After completing this analysis, what are the two or three most important issues that emerged from the self-review of this Standard?

- Our mission is outdated and could benefit from revision. The Steering Committee suggested that revisions might be an outcome of the self-study process associated with re-affirmation of accreditation.
- We meet these expectations but our documentation needs to be more accessible to stakeholders. For instance, the academic freedom policy and student success data.

2. Looking overall at the quality and effectiveness of the institution's data gathering and systems to support the review process, what are institutional **strengths** under this Standard?

- The campus does a good job of collecting data that illustrates we meet to this Standard (and CFR), in fact and in spirit.

3. Looking again at the overall quality and effectiveness of the institution's data gathering and systems, what are **areas to be addressed or improved** under this Standard?

- We need to better job of making crucial information—such as, the eight guiding principles, academic freedom, commitment to diversity, and student outcomes—easily accessible to internal and external stakeholders.

## Standard 2: Achieving Educational Objectives Through Core Functions

*The institution achieves its purposes and attains its educational objectives at the institutional and program level through the core functions of teaching and learning, scholarship and creative activity, and support for student learning and success. The institution demonstrates that these core functions are performed effectively by evaluating valid and reliable evidence of learning and by supporting the success of every student.*

Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<b>Teaching and Learning</b>						
2.1 The institution's educational programs are appropriate in content, standards of performance, rigor, and nomenclature for the degree level awarded, regardless of mode of delivery. They are staffed by sufficient numbers of faculty qualified for the type and level of curriculum offered. X 3.1	The content, length, and standards of the institution's academic programs conform to recognized disciplinary or professional standards and are subject to peer review.	1.5 - UG 1.5 - Grad	A:OA	Content, length, and standards of academic programs, graduate and undergraduate conform to recognized disciplinary and professional standards. Programs are also subject to rigorous peer review, both at the time they are proposed and once every seven years via program review. Faculty: student ratios at the institutional level are in keeping with our UC peers, although ratios vary across programs. Faculty are appropriately qualified for the curriculum as vetted through faculty hiring and peer review processes and, in some cases as appropriate, administrative review. Additional faculty are needed as programs continue to grow. We are engaged in integrative planning as an institution in support of the goal of 10,000 students by 2020.	Evaluated during comprehensive review, documented in "Credit Hour and Program Length Checklist"	

Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<p>2.2 All degrees—undergraduate and graduate—awarded by the institution are clearly defined in terms of entry-level requirements and levels of student achievement necessary for graduation that represent more than simply an accumulation of courses or credits. The institution has both a coherent philosophy, expressive of its mission, which guides the meaning of its degrees and processes that ensure the quality and integrity of its degrees.</p> <p>X 3.1 – 3.3, 4.3, 4.4</p>		<p>2 - UG 1- Grad</p>	<p>A:U - UG C - Grad</p>	<p>At the undergraduate level, entry level requirements are clearly defined and set at the system-level. Within the major and standalone minors, PLOs and associated rubrics define levels of student achievement that represent more than an accumulation of courses or credits. As an institution, we are in the process of clarifying and fully defining the meaning of the baccalaureate degree as part of our re-examination of General Education. At the graduate level, degrees are clearly defined in terms of entry level requirements as articulated in program-level policies and procedures, and the Graduate Advisor Handbook. Capstone experiences are required for masters (thesis or comprehensive exam) and PhD (dissertation); expectations associated with degree completion (PLOs, rubrics) define levels of student achievement necessary for graduation and represent more than an accumulation of courses or credits. There is a coherent philosophy that guides the meaning of graduate degrees, including learning outcomes for the Masters and PhD, and processes to ensure the quality and integrity.</p>	<p>Program descriptions in Catalog.</p> <ul style="list-style-type: none"> <li>• <a href="#">UCM Catalog</a></li> </ul> <p>See also program websites:</p> <ul style="list-style-type: none"> <li>• <a href="#">School of Social Sciences, Humanities and Arts</a></li> <li>• <a href="#">School of Natural Sciences</a></li> <li>• <a href="#">School of Engineering</a></li> </ul> <p>Also evaluated during comprehensive review through Component 3: <i>Degree Programs</i> and Component 4: <i>Educational Quality</i>.</p>	

Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<p>2.2a Baccalaureate programs engage students in an integrated course of study of sufficient breadth and depth to prepare them for work, citizenship, and life-long learning. These programs ensure the development of core competencies including, but not limited to, written and oral communication, quantitative reasoning, information literacy, and critical thinking. In addition, baccalaureate programs actively foster creativity, innovation, an appreciation for diversity, ethical and civic responsibility, civic engagement, and the ability to work with others. Baccalaureate programs also ensure breadth for all students in cultural and aesthetic, social and political, and scientific and technical knowledge expected of educated persons. Undergraduate degrees include significant in-depth study in a given area of knowledge (typically described in terms of a program or major). X 3.1 – 3.3</p>	<p>The institution has a program of General Education that is integrated throughout the curriculum, including at the upper division level, together with significant in-depth study in a given area of knowledge (typically described in terms of a program or major).</p>	<p>3 – UG</p>	<p>A:U</p>	<p>The score of three reflects the status of GE; we are in the process of revising General Education to address the description outlined in the guideline. A process is in place to attend to student development and assessment of the core competencies for all majors through the program learning outcomes.</p>	<p>Description of General Education program with reference to Core Competencies.</p> <p>Also evaluated during comprehensive review through Component 3: <i>Degree Programs</i> and Component 4: <i>Educational Quality</i>.</p>	
<p>2.2b The institution's graduate programs establish clearly stated objectives differentiated from and more advanced than undergraduate programs in terms of admissions, curricula, standards of performance, and student learning outcomes. Graduate programs foster students' active engagement with the literature of the field and create a culture that promotes the importance of scholarship and/or professional practice. Ordinarily, a baccalaureate degree is required for admission to a graduate program. X 3.1 – 3.3</p>	<p>Institutions offering graduate-level programs employ, at least, one full-time faculty member for each graduate degree program offered and have a preponderance of the faculty holding the relevant terminal degree in the discipline. Institutions demonstrate that there is a sufficient number of faculty members to exert collective responsibility for the development and evaluation of the curricula, academic policies, and teaching and mentoring of students.</p>	<p>1 -Grad</p>	<p>B</p>	<p>See CFR 2.2. We clearly meet all aspects of this CFR, including as described in the guideline. We demonstrate this to WSCUC with every substantive review for new graduate programs. Initially, there were a number of conjoined undergraduate/graduate courses; with growth of faculty this has decreased to an appropriate number.</p>	<p>Evaluated during comprehensive review through Component 3: <i>Degree Programs</i> and Component 4: <i>Educational Quality</i>.</p>	

Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<p>2.3 The institution's student learning outcomes and standards of performance are clearly stated at the course, program, and, as appropriate, institutional level. These outcomes and Standards are reflected in academic programs, policies, and curricula, and are aligned with advisement, library, and information and technology resources, and the wider learning environment. X 3.5</p>	<p>The institution is responsible for ensuring that out-of-class learning experiences, such as clinical work, service learning, and internships which receive credit, are adequately resourced, well developed, and subject to appropriate oversight.</p>	<p>1 – UG 1 -Grad (with respect to the CFR, 3 with regard to the guideline, if we choose to accept the guideline)</p>	<p>A:OA (with respect to the CFR); B with respect to the guideline.</p>	<p>As described in the CFR, this is an area strength for us. The "A" rating recognizes the need to acculturate new faculty as we continue to grow. Regarding the guideline: there are questions about resourcing for co-curricular experiences like internships or service learning that address the needs of our students specifically, e.g. financial needs, or the factors related to local context.</p>	<p>Evaluated during comprehensive review through Component 3: <i>Degree Programs</i>.</p>	
<p>2.4 The institution's student learning outcomes and standards of performance are developed by faculty and widely shared among faculty, students, staff, and (where appropriate) external stakeholders. The institution's faculty take collective responsibility for establishing appropriate standards of performance and demonstrating through assessment the achievement of these standards. X 4.3 – 4.4</p>	<p>Student learning outcomes are reflected in course syllabi.</p>	<p>1 – UG 2 – Grad</p>	<p>A:OA</p>	<p>By Regental authority, policy and practice, faculty are responsible for curriculum, including student learning outcomes, standards of performance, and for demonstrating through assessment student achievement of these standards. Student learning outcomes are required for approval of new courses, and appear in the syllabi of nearly all courses. At the graduate level, shared expectations for learning as reflected in systematic assessment of program outcomes that advances a shared set of standards among faculty is still evolving. The "A" rating recognizes the need to acculturate new faculty as we continue to grow.</p>	<p>Evaluated during comprehensive review through Component 3: <i>Degree Programs</i>, Component 4: <i>Educational Quality</i>, and Component 6: <i>Quality Assurance</i>.</p>	



Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<p>2.5 The institution's academic programs actively involve students in learning, take into account students' prior knowledge of the subject matter, challenge students to meet high standards of performance, offer opportunities for them to practice, generalize, and apply what they have learned, and provide them with appropriate and ongoing feedback about their performance and how it can be improved. X 4.4</p>		<p>2 - UG 1 - Grad</p>	<p>A:U – UG A:OA - Grad</p>	<p>Rated as a 2 for the undergraduate level, because we need to address these expectations for General Education. There is also some thought that expectations for student performance, and support to help students meet those expectations, may not be uniformly high across all undergraduate programs. Some programs and courses may benefit from development in this area.</p>	<p>Evaluated during comprehensive review.</p>	
<p>2.6 The institution demonstrates that its graduates consistently achieve its stated learning outcomes and established standards of performance. The institution ensures that its expectations for student learning are embedded in the standards that faculty use to evaluate student work. X 4.3 – 4.4</p>	<p>The institution has an assessment infrastructure adequate to assess student learning at program and institution levels.</p>	<p>1.5 – UG 1.5 -Grad</p>	<p>A:OA</p>	<p>UCM has a strong academic assessment infrastructure, growing understanding of practice and use of results to inform teaching and curriculum. Student achievement of academic standards is also considered during program review. Assessment of student learning in GE is in development. At the graduate level, we need continue to attend to assessment as programs grow and new programs are added.</p>	<p>Evaluated during comprehensive review through Component 3: <i>Degree Programs</i>, Component 4: <i>Educational Quality</i>, and Component 6: <i>Quality Assurance</i>.</p>	

Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<p>2.7 All programs offered by the institution are subject to systematic program review. The program review process includes, but is not limited to, analyses of student achievement of the program's learning outcomes; retention and graduation rates; and, where appropriate, results of licensing examination and placement, and evidence from external constituencies such as employers and professional organizations. X 4.1, 4.6</p>		<p>1 – UG 1 -Grad</p>	<p>A:OA</p>	<p>All academic and co-curricular programs are subject to program review on a seven year cycle. By policy, reviews consider student learning outcomes, retention and graduation rates. The process is overseen and coordinated by the Periodic Oversight Review Committee, which is working to strengthen periodic review as a means for advancing program and institutional goals.</p>	<ul style="list-style-type: none"> <li>• Academic program review policies: <a href="#">Undergraduate</a>, <a href="#">Graduate</a></li> <li>• Academic program review schedules: <a href="#">Undergraduate</a>, <a href="#">Graduate</a></li> <li>• Student Affairs Program Review <a href="#">policy</a> and <a href="#">schedule</a></li> </ul> <p>[Description of Program Review process and calendar for academic and co-curricular units.]</p> <p>Also addressed during review through Component 3: <i>Degree Programs</i>, Component 4: <i>Educational Quality</i>, Component 5: <i>Student Success</i>, and Component 6: <i>Quality Assurance</i>.</p>	

**Scholarship and Creative Activity**

<p>2.8 The institution clearly defines expectations for research, scholarship, and creative activity for its students and all categories of faculty. The institution actively values and promotes scholarship, creative activity, and curricular and instructional innovation, and their dissemination appropriate to the institution's purposes and character. X 3.2</p>	<p>Where appropriate, the institution includes in its policies for faculty promotion and tenure the recognition of scholarship related to teaching, learning, assessment, and co-curricular learning.</p>	<p>2 - UG 1 - Grad 1 - Faculty</p>	<p>A:OA</p>	<p>The extent to which expectations for research, scholarship and creative activity is defined for undergraduates varies with major as described in program learning outcomes and degree overview. The institution is working to clarify this aspect of the meaning of the baccalaureate degree. These requirements are available to all faculty, Senate and non-Senate as codified in the Academic Personnel Manual (APM 210) and MOU, respectively. Instructional and curricular innovation is encouraged. Faculty are encouraged to apply for graduate training grants from funding agencies, and this activity is recognized in personnel reviews. The "A" rating recognizes the need to acculturate new faculty as we continue to grow. [Note: <a href="#">Recommendation</a> by Review Team for Initial Accreditation (p.30): "In the tenure and promotion process, consider research on teaching as a standard, acknowledging the firm foundation of assessment. View this as a form of scholarship."]</p>	<p>Policies related to faculty and student research.</p> <ul style="list-style-type: none"> <li>• Senate Faculty: <a href="#">APM 210</a></li> <li>• Non-Senate, lecturing faculty: <a href="#">MOU</a></li> </ul>
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<p>2.9 The institution recognizes and promotes appropriate linkages among scholarship, teaching, assessment, student learning, and service. X 3.2</p>		<p>2 – UG 2 - Grad</p>	<p>A:OA</p>	<p>Appropriate linkages are recognized in system-wide policy governing appointment and promotion for <a href="#">Senate faculty</a>: “Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions.” (APM-210). Some non-Senate faculty also engage in scholarship on teaching, pedagogy, and assessment. However, interpretation and recognition of these expectations varies across by-law units. The campus also continues to work on recognizing assessment as part of teaching (at course and program levels). Toward this end, the Graduate Division, the Office of Institutional Assessment and the Center for Research on Teaching Excellence offer a learning community “Assessment as Pedagogy and Planning” for faculty and graduate students. Interest in the learning community increases with each offering suggesting a growing recognition of the importance of assessment/culture of assessment. The campus is also working on mechanisms for assessing mentoring in interdisciplinary context, especially across schools.</p>	<p>Policies related to faculty evaluation, promotion, and tenure.</p> <ul style="list-style-type: none"> <li>• Senate Faculty: <a href="#">APM 210</a></li> <li>• Non-Senate, lecturing faculty: <a href="#">MOU</a></li> </ul>	
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Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<b>Student Learning and Success</b>						
<p>2.10 The institution demonstrates that students make timely progress toward the completion of their degrees and that an acceptable proportion of students complete their degrees in a timely fashion, given the institution's mission, the nature of the students it serves, and the kinds of programs it offers. The institution collects and analyzes student data, disaggregated by appropriate demographic categories and areas of study. It tracks achievement, satisfaction, and the extent to which the campus climate supports student success. The institution regularly identifies the characteristics of its students; assesses their preparation, needs, and experiences; and uses these data to improve student achievement.</p>	<p>The institution disaggregates data according to racial, ethnic, gender, age, economic status, disability, and other categories, as appropriate. The institution benchmarks its retention and graduation rates against its own aspirations as well as the rates of peer institutions.</p>	<ul style="list-style-type: none"> <li>• 2 - UG (TTD, and degree completion)</li> <li>• 1.5 – Grad</li> <li>• 1 -both (for data collection and disaggregation, etc.)</li> </ul>	<p>A:U - UG A:OA – Grad and both</p>	<p>UCM's data collection efforts are sound in relation to the expectations described in this CFR. At the undergraduate level, we are actively seeking to understand barriers to completing a degree in four years in order to improve the fraction of students completing in a timely fashion. These efforts could benefit from greater coordination campus-wide. On finer scales than described in this CFR, we need to improve data gathering and use in support of student success. At the graduate level, TTD and degree completion rates are commensurate with national norms, but we strive to continue to improve. We are in the process of further systematizing data collection at the graduate level.</p>	<p>Included in Annual Report.</p> <p>Also evaluated during comprehensive review in Component 6: <i>Quality Assurance</i>.</p>	
<p>2.11 Consistent with its purposes, the institution offers co-curricular programs that are aligned with its academic goals, integrated with academic programs, and designed to support all students' personal and professional development. The institution assesses the effectiveness of its co-curricular programs and uses the results for improvement. X 4.3 – 4.5</p>		<p>UG:</p> <ul style="list-style-type: none"> <li>• 2 (for alignment and support for all students' personal and professional development),</li> <li>• 3 (for integration),</li> <li>• 2 (for assessment and use of results)</li> </ul> <p>Grad:</p> <ul style="list-style-type: none"> <li>• 2 (for alignment and support for all students' personal and professional development),</li> <li>• 2 (for integration),</li> <li>• 2 (for assessment and use of results)</li> </ul>	<p>A:U – UG A:OA - Grad</p>	<p>At undergraduate level, co-curricular programs are designed to support all students' personal and professional development, and are aligned with academic goals. They are not, however, integrated with academic programs. At the graduate level, Student Affairs and Graduate Division are offering programs that are aligned with academic goals, and designed to support all students' personal and professional development. At both levels, co-curricular assessment is happening but not consistently.</p>	<p>Evaluated during comprehensive review.</p>	

<p>2.12 The institution ensures that all students understand the requirements of their academic programs and receive timely, useful, and complete information and advising about relevant academic requirements. X 1.6</p>	<p>Recruiting materials and advertising truthfully portray the institution. Students have ready access to accurate, current, and complete information about admissions, degree requirements, course offerings, and educational costs.</p>	<p>2 - UG 2 - Grad</p>	<p>A:U</p>	<p>UG advising is an area to strengthen, particularly with respect to ensuring <i>all</i> students understand the requirements of their academic programs and receive timely and useful information. For instance, data suggest that a significant fraction of students struggle with degree planning. At the graduate level, annual student reviews are critical to ensuring students understand and receive timely advice about degree requirements; we are working to strengthen this aspect of graduate education.</p>	<p>Evaluated during comprehensive review; documented in "Marketing and Recruitment Review" Checklist.</p>	
<p>2.13 The institution provides academic and other student support services such as tutoring, services for students with disabilities, financial aid counseling, career counseling and placement, residential life, athletics, and other services and programs as appropriate, which meet the needs of the specific types of students that the institution serves and the programs it offers. X 3.1</p>		<p>2 - UG 2 - Grad</p>	<p>B</p>	<p>UCM provides all listed services for undergraduates. We are unclear about the extent to which services are systematically assessed to ensure they meet the needs of UC Merced's students. Relevant services also exist at the graduate level, but we have additional needs, including residential life for international students in particular, and mental health services oriented for graduate students. Assessment is happening but not consistently at both levels.</p>	<p>Evaluated during comprehensive review.</p>	
<p>2.14 Institutions that serve transfer students provide clear, accurate, and timely information, ensure equitable treatment under academic policies, provide such students access to student services, and ensure that they are not unduly disadvantaged by the transfer process. X 1.6</p>	<p>Formal policies or articulation agreements are developed with feeder institutions that minimize the loss of credits through transfer credits.</p>	<p>3 (UG) 0 (Grad)</p>	<p>A:U</p>	<p>At undergraduate level, it is not clear what is working and what is not working. Transfer success is a system-wide priority.</p>	<p>Evaluated during comprehensive review through Component 5: <i>Student Success</i>. Also documented in "Transfer Credit Policy Checklist".</p>	

## Synthesis/Reflections on Standard Two

1. After completing this analysis, what are the two or three most important issues that emerged from the self-review of this Standard?

### Undergraduate Level:

- Clarifying the meaning of the baccalaureate degree, including as a means for contextualizing the contributions of the major, GE, and the co-curriculum. (CFR 2.2)
- Addressing all aspects of GE including its contribution to the undergraduate degree, the learning outcomes of General education, its contributions to student development of the Core Competencies, its design to cultivate intended learning outcomes, and our mechanisms for sustainably assessing student achievement of intended outcomes. (CFR 2.2a, 2.5, 2.6)
- Undergraduate advising (CFR 2.12)

### Graduate

- Assessment of graduate academic programs is evolving and needs continued development to ensure meaningful, valid and reliable results on which to take action. (CFR 2.4, 2.6)
- More consistent implementation of annual reviews of student progress. (CFR 2.12)

### Undergraduate and Graduate

- More systematic collection of data to assess the extent to which our services meet the needs of our students, including intended learning outcomes, and using the results for improvement. (CFR 2.11, 2.13)

2. Looking overall at the quality and effectiveness of the institution's data gathering and systems to support the review process, what are institutional **strengths** under this Standard?

With respect to Standard 2 CRF's, the evaluations above were made on the basis of available and informative evidence. This includes data/information on academic program outcomes assessment and student success metrics (at least at undergraduate level), demographics etc.

3. Looking again at the overall quality and effectiveness of the institution's data gathering and systems, what are **areas to be addressed or improved** under this Standard?

- Graduate assessment: At the graduate level, we are still building systematic review processes and data sets as programs move to standalone status. We are working toward program-level dashboards.
- Undergraduate: strengthening our ability to further disaggregate data to explain and examine patterns in IRDS data.
- Undergraduate and Graduate, Academic and Co-Curricular: We are working to improve our ability to easily track assessment activity and aggregate results at levels above the program/unit to inform planning and decision making. Data exist but need to be readily available to a broader array of constituents and would benefit with being coupled to other metrics (e.g. student success) to provide a holistic picture of student learning, student success, and support for these core institutional functions.

## Review under WSCUC Standards

<p>Provide the institution's consensus rating for columns 3 and 4; add comments as appropriate in column 5. For un-shaded cells in Column 6, delete text and provide links or references to evidence in support of findings. Column 7 is for staff and teams to verify documentation and for teams to comments on evidence.</p> <p><b><u>Self-Review Rating</u></b>          1= We do this well; area of strength for us          2= Aspects of this need our attention          3= This item needs significant development          0= Does not apply</p> <p><b><u>Importance to address at this time</u></b>          A:U= High priority – Urgent          A:OA = High priority – Ongoing attention needed in light of 2020-related growth.          B= Medium priority          C= Lower priority          0= Does not apply</p>	<h3 style="text-align: center;">Institutional Information</h3> <p>Institution: University of California, Merced</p> <p>Type of Review:          ® Comprehensive for Reaffirmation</p> <p>Date of Submission: ___/___/___            Mo      Day      Year</p> <p>Institutional Contact: Laura Martin, ALO</p>
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**Standard 3. Developing and Applying Resources and Organizational Structures to Ensure Quality and Sustainability** *The institution sustains its operations and supports the achievement of its educational objectives through investments in human, physical, fiscal, technological, and information resources and through an appropriate and effective set of organizational and decision-making structures. These key resources and organizational structures promote the achievement of institutional purposes and educational objectives and create a high-quality environment for learning.*

Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importanc e to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<b>Faculty and Staff</b>						
3.1 The institution employs faculty and staff with substantial and continuing commitment to the institution. The faculty and staff are sufficient in number, professional qualification, and diversity and to achieve the institution's educational objectives, establish and oversee academic policies, and ensure the integrity and continuity of its academic and co-curricular programs wherever and however delivered. X 2.1, 2.2b	The institution has a faculty staffing plan that ensures that all faculty roles and responsibilities are fulfilled and includes a sufficient number of full-time faculty members with appropriate backgrounds by discipline and degree level.	1	A:OA	The institution engages in fair hiring practices to ensure diversity in staff and faculty recruitment efforts. Diversity efforts are based on Affirmative Action Goals per the institutions Affirmative Action Plan. While we are confident in the fulfillment of this core deliverable, it remains a continuous high priority to maintain adherence to and delivery of a consistently high standard.	Evaluated during comprehensive review.	



Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importanc e to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<p>3.2 Faculty and staff recruitment, hiring, orientation, workload, incentives, and evaluation practices are aligned with institutional purposes and educational objectives. Evaluation is consistent with best practices in performance appraisal, including multisource feedback and appropriate peer review. Faculty evaluation processes are systematic and are used to improve teaching and learning.</p> <p>X 1.7, 4.3, 4.4</p>		2	A:OA	<p>The institution has established policies to ensure recruitment and hiring of faculty and staff are aligned with the mission.</p> <p>HR's Strategic Plan recognizes the long-range smart growth plans as detailed in the UCM's Workforce Planning exercise so that all hiring, training and development is integrated around a smart growth model to leverage people, skills and technology in the most efficient, effective and self-fulfilling way possible with continued focused dialogue anchored in the University's mission.</p> <p>Once on-boarded, the staff are evaluated annually with emphasize on essential functions, goals, achievements, core competencies, and professional development needs. Performance management training for supervisors is offered annually. Enhancement to our staff performance appraisal system, coupled with mandatory training and a reemphasis on overall employee training and development is a key component of the new HR Strategic Plan. Significant changes to streamline the appraisal process are underway. Institution offers cash and non-cash awards to recognize exceptional performance and innovation.</p>	<p><a href="#">Faculty Handbooks</a></p> <p><a href="#">Academic Personnel Manual (APM)</a> and <a href="#">Merced Academic Personnel Policies and Procedures (MAPP)</a></p> <p><a href="#">UC Policy PPSM 20 Recruitment</a></p> <p><a href="#">PPSM 23 - Performance Management Policy, Performance Management Guidelines, Performance Appraisals, Employee &amp; Supervisor Resources, Halogen.</a></p> <p><a href="#">STAR &amp; Innovation Awards</a></p>	

<p>3.3 The institution maintains appropriate and sufficiently supported faculty and staff development activities designed to improve teaching, learning, and assessment of learning outcomes. X 2.1, 2.2b, 4.4</p>	<p>The institution engages full-time, non-tenure-track, adjunct, and part-time faculty members in such processes as assessment, program review, and faculty development.</p>	<p>2</p>	<p>A:OA</p>	<p>Faculty development in support of teaching, learning and assessment of student learning outcomes is provided in several ways: through programming and resources provided by the Center for Research on Teaching Excellence (CRTE,) in the Office of Undergraduate Education and the Academic Personnel Office, and in small part by the Office of Institutional Assessment. Faculty work on program assessment is supported by assessment specialists, one per school and one at the graduate level. CRTE resources are available to all faculty, lecturing and Senate. They are also available to staff and complement professional development opportunities in assessment offered by the Division of Student Affairs.</p> <p>At an institutional level, the Periodic Review Oversight Committee (PROC) is charged with advisory and oversight responsibilities for academic and administrative assessment, annual and periodic. This includes recommending appropriate resourcing in support of assessment, and facilitating processes by which assessment practices act to align resources with academic mission, campus strategic plans, and resources.</p> <p>A score of "2" is given for several reasons: (1) in part because the CRTE is undergoing periodic review in spring 2015, including an examination of "sufficient support". (2) It also reflects the need to better integrate engagement in assessment (as teaching at course and program levels) into the tenure and promotion process. (3) Also, while lecturing faculty are involved in program review, their involvement in annual program assessment varies across programs. (4) Under PROC's guidance, we are still developing assessment processes that facilitate alignment of educational and administrative activities and resourcing with campus goals. The "A" score reflects the need to continue to attend to these needs this as the campus faculty numbers grow rapidly over the next five years in keeping with 2020 planning.</p>	<p>Policies, budgets, or other indicators of faculty development programs.</p> <ul style="list-style-type: none"> <li>- Center for Research on Teaching Excellence <a href="#">Faculty Development Services</a></li> <li>- <a href="#">Non-Senate Faculty access to Instructional Support in MOU</a></li> <li>- <a href="#">Assessment specialist services</a> for faculty and staff</li> <li>- <a href="#">PPSM 50</a> Professional Development Policy for Staff Members</li> <li>- <a href="#">Professional Development Programs</a> for Staff Members</li> <li>- <a href="#">Lynda.com</a> Access for staff and faculty</li> </ul>	
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**Fiscal, Physical, and Information Resources**

<p>3.4 The institution is financially stable and has unqualified independent financial audits and resources sufficient to ensure long-term viability. Resource planning and development include realistic budgeting, enrollment management, and diversification of revenue sources. Resource planning is integrated with all other institutional planning. Resources are aligned with educational purposes and objectives. X 1.1, 1.2, 2.10, 4.6, 4.7</p>	<p>The institution has functioned without an operational deficit for at least three years. If the institution has an accumulated deficit, it should provide a detailed explanation and a realistic plan for eliminating it.</p>	<p>2</p>	<p>A:OA</p>	<p>UC Merced's budget is based on estimated revenue expected to be received which is reviewed and adjusted to actuals throughout the year. Enrollment management is done in coordination with the University of California system as a whole and is reconciled against the long range plan for UC Merced. A tone at the top has been established and communicated campus-wide regarding current and future budget alignment with our Academic Strategic Plans, workforce planning initiatives, and our long range 2020 Project, which is a long-term strategic plan to grow the campus over the next 5 years. A long range financial plan has been developed to forecast the financial impact of the aforementioned plans. The financial plan outlines the targets that must be met for the campus to achieve financial sustainability.</p> <p>The diversification of revenue sources has been the most difficult in that the campus is in growth mode and many of the sources are not eligible to be used for capital use. Revenues received totaled \$224.8 million from a variety of sources from student tuition and fees, which accounted for 23% of total revenues, State Educational Appropriations from the State of California (47% of total revenue), auxiliary enterprises (10%), Grants and contracts (8% of total revenue), and other sources. State Educational Appropriations requires advance approval from the State of California before it can be used for capital purposes but the amount eligible is capped. As a result, a majority of the amounts are not eligible for capital use. Likewise, grants and contracts are typically not eligible for capital use. Additionally, over the last three years, the Campus has shown positive increases in the net position of the campus (i.e. no operational deficits).</p> <p>While individual campuses within the University of California do not issue stand-alone financial statements, the University of California System-wide maintains a net position (i.e. equity) of \$11.3 billion with a cash and investment portfolio totaling \$21.6 billion. Based on the</p>	<p>Audits submitted with Annual Report.</p> <p>Also evaluated during comprehensive review in Component 7: <i>Sustainability</i>.</p>	
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				official records of the UC, UC Merced share of total cash and investments totaled \$171 million with a positive net position balance of \$56 million as of June 2014. The UC, on a consolidated basis, received an unqualified opinion for the fiscal year then ended June 30, 2014 from its independent accounting firm KPMG.		
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<p>3.5 The institution provides access to information and technology resources sufficient in scope, quality, currency, and kind at physical sites and online, as appropriate, to support its academic offerings and the research and scholarship of its faculty, staff, and students. These information resources, services, and facilities are consistent with the institution's educational objectives and are aligned with student learning outcomes. X 1.2, 2.1, 2.2</p>	<p>The institution provides training and support for faculty members who use technology in instruction. Institutions offering graduate programs have sufficient fiscal, physical, information, and technology resources and structures to sustain these programs and to create and maintain a graduate-level academic culture.</p>	<p>3</p>	<p>A:U</p>	<p>UCM lacks sufficient or dedicated staffing and staff skill availability to support faculty in online course development, classroom use of technology and the use of a research cyberinfrastructure. As well, the content production and data delivery infrastructure is dated and lacks robustness, performance reliability, and standards-based installation and lifecycle. However, a new cloud-based LMS was launched in Jan 2015 that provides a solid foundation for the delivery of online course content. For spring semester 2015, approximately 376 faculty have activated an LMS course account as all grade submissions occur via this tool. At present five faculty are designing online courses per the UCOP ITLI funding and are using resources from other UC campus' for course and content development.</p> <p>Funding is in place to launch a multiyear upgrade of the campus network beginning April 2015. The IT Strategic Workforce Plan includes a request for a Director of Academic and Emerging Technology (Phase 1, launched in February 2015), along with a request for 10 staff lines to support content and course development and classroom technology support (Phase 2). The following 2 Goals are specified in the IT Strategic plan and scheduled to launch with the conclusion of Phase 1 of the IT workforce plan and the hiring of a Director of Academic and Emerging Technology: (2.1.5) Build and execute a classroom technology roadmap and (3.1.) Define vision for technology for teaching and learning. A Cyberinfrastructure external review occurred in March 2015 and we are waiting for final recommendations. Two proposals were submitted on 22 March, 2015 to NSF Solicitation 14-521 CC*DNI (Campus Infrastructure - Data, Networking, and Innovation) for funding to support faculty research computing needs.</p>	<p>Evaluated during comprehensive review.</p>	
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Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importanc e to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<b>Organization Structures and Decision-Making Processes</b>						
3.6 The institution's leadership, at all levels, is characterized by integrity, high performance, appropriate responsibility, and accountability.		1	C	The institution has assembled a leadership team that is committed to high performance goals and aspirations as evidenced by the launch of the Academic Focusing Initiative, workforce planning and the 2020 Project.	Evaluated during comprehensive review.	
3.7 The institution's organizational structures and decision-making processes are clear and consistent with its purposes, support effective decision making, and place priority on sustaining institutional capacity and educational effectiveness.	The institution establishes clear roles, responsibilities, and lines of authority.	2	A:OA	<p>The institution has well defined organizational structures to facilitate shared governance as evidenced by the establishment of the Periodic Annual Review Committee (PROC). PROC is a committee, co-chaired by the Provost and the Vice Chair of the Academic Senate, includes faculty and administrative representation. It was established to consolidate Academic and Administrative Reviews to reaffirm the shared governance concept. Under the leadership of the Vice Chancellor for Business and Administrative Services, the university's administration has undertaken a comprehensive workforce planning process to ensure the organizational structure facilitates efficient service and effective decision support structures.</p> <p>One area of potential improvement concerns the duties and responsibilities of Bylaw Unit chairs. Currently, unit chairs have responsibility for many duties outlined in APM 245, but the final authority for decision-making in those areas rests with the school deans. Over the next several years, the university could evolve to better align responsibility with authority for functions that reside respectively with the deans and unit chairs.</p>	Evaluated during comprehensive review in Component 7: <i>Sustainability</i> .	
3.8 The institution has a full-time chief executive officer and a chief financial officer whose primary or full-time responsibilities are to the institution. In addition, the institution has a sufficient number of other qualified administrators to provide effective educational leadership and management.		1	C	The institution has assembled a solid leadership team who display the ability to provide effective educational leadership and management. The Chancellor serves as the full-time chief executive officer and Vice Chancellor of Planning and Budget serves as the chief financial officer. Both are accountable to the campus and serve as part of the Senior Management Group of the University of California.	Position Descriptions for CEO, CFO.	

<p>3.9 The institution has an independent governing board or similar authority that, consistent with its legal and fiduciary authority, exercises appropriate oversight over institutional integrity, policies, and ongoing operations, including hiring and evaluating the chief executive officer. X 1.5 – 1.7</p>	<p>The governing body comprises members with the diverse qualifications required to govern an institution of higher learning. It regularly engages in Self-review and training to enhance its effectiveness.</p>	<p>1</p>	<p>0</p>	<p>The University is governed by The Regents, which under <a href="#">Article IX, Section 9</a> of the California Constitution has "full powers of organization and governance" subject only to very specific areas of legislative control. The article states that "the university shall be entirely independent of all political and sectarian influence and kept free therefrom in the appointment of its Regents and in the administration of its affairs." There is an annual review of the CEO by conducted by the President.</p>	<p><a href="#">University of California Board of Regents, membership and biographies.</a></p> <p><a href="#">Board of Regents Standing Committees and Membership</a></p> <p><a href="#">Bylaws of the Board of Regents</a></p> <p><a href="#">Academic Senate Policy on Review of Chancellors</a></p>	
<p>3.10 The institution's faculty exercises effective academic leadership and acts consistently to ensure that both academic quality and the institution's educational purposes and character are sustained. X 2.1, 2.4, 2.5, 4.3, 4.4</p>	<p>The institution clearly defines the governance roles, rights, and responsibilities of all categories of full- and part-time faculty.</p>	<p>1</p>	<p>C</p>	<p>The institution has established governance structures through the Standing Orders of the Regents that outline the responsibilities clearly. In addition, the structures are also outlined in the Bylaws of the UCM Academic Senate.</p>	<p>Faculty governing body charges, bylaws and authority:</p> <p><a href="#">Standing Orders of the Regents of the UC</a></p> <p><a href="#">Bylaws of the UC Academic Senate</a></p> <p><a href="#">UC Merced Academic Senate</a></p>	

### Synthesis/Reflections on Standard Three

1. After completing this analysis, what are the two or three most important issues that emerged from the self-review of this Standard?

- While UC Merced has outlined clear roles and responsibilities for its administration and administrative structures, there is a need to further define the academic administrative structure. UCM has strategically decided to establish a multi-disciplinary structure; however, there is need to have some clear lines of responsibility in the context of the traditional departmental structure while still preserving the unique nature and synergistic benefits of a multi-disciplinary organization.
- The institution has deployed several strategic initiatives for mapping out the future of UCM through its Strategic Academic Focusing Initiative, the Workforce Planning initiative and the 2020 Project (Physical Planning initiative). The development of the Campus Financial plan consolidates the work of the aforementioned plans into a financial viability and sustainability plan.
- Given that UC Merced prides itself on being the first university of the 21st century, the need for additional support of IT infrastructure and workforce plan was highlighted as critical area for improvement. UCM lacks sufficient/dedicated staff with the skills to support faculty in online course development, classroom use of technology and the use of a research cyberinfrastructure. As well, the content production and data delivery infrastructure is dated and lacks robustness, performance reliability, and standards-based installation and lifecycle. While funding is in place to launch a multiyear upgrade of the campus network beginning April 2015, there is still a need to address the workforce needs for IT.

2. Looking overall at the quality and effectiveness of the institution's data gathering and systems to support the review process, what are institutional **strengths** under this Standard?

An area of strength, showcased in this process, is that the institution employs faculty and staff with substantial and continuing commitment to the institution. Through its hiring practices, and commitment to excellence in teaching, the institution employs a diverse faculty and staff and it provides for continued professional development. Also the institution has launched a several long range planning initiatives to ensure that the campus is able to deliver its mission of teaching and research through excellence in academia, workforce and physical resources. While these plans are still in development, the institution plans to integrate the plans for a comprehensive deployment in the near future.

3. Looking again at the overall quality and effectiveness of the institution's data gathering and systems, what are **areas to be addressed or improved** under this Standard?

One area that is both a high priority for the institution, and needs significant development, is the provision and access to information and technology resources. This important focus area is linked to our institutional needs to enhance the institution's ability to utilize data gathered to improve programmatic success. As mentioned in the review Standards 2, and 4, the UC Merced generally has effective data gathering processes; however, data resides in a significant number of data systems, which makes the process of enabling cross-referenced data analytics challenging. Therefore, the consolidation of data systems to enable effective development of the institution's data warehousing capabilities are also important.



## Review under WSCUC Standards

<p>Provide the institution's consensus rating for columns 3 and 4; add comments as appropriate in column 5. For un-shaded cells in Column 6, delete text and provide links or references to evidence in support of findings. Column 7 is for staff and teams to verify documentation and for teams to comments on evidence.</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top; padding: 5px;"> <p><b><u>Self-Review Rating</u></b>                      1= We do this well; area of strength for us                      2= Aspects of this need our attention                      3= This item needs significant development                      0= Does not apply</p> </td> <td style="width: 50%; vertical-align: top; padding: 5px;"> <p><b><u>Importance to address at this time</u></b>                      A:U= High priority – Urgent                      A:OA = High priority – Ongoing attention needed in light of 2020-related growth.                      B= Medium priority                      C= Lower priority                      0= Does not apply</p> </td> </tr> </table>	<p><b><u>Self-Review Rating</u></b>                      1= We do this well; area of strength for us                      2= Aspects of this need our attention                      3= This item needs significant development                      0= Does not apply</p>	<p><b><u>Importance to address at this time</u></b>                      A:U= High priority – Urgent                      A:OA = High priority – Ongoing attention needed in light of 2020-related growth.                      B= Medium priority                      C= Lower priority                      0= Does not apply</p>	<p style="text-align: center;"><b>Institutional Information</b></p> <p>Institution: University of California, Merced</p> <p>Type of Review:  <span style="margin-left: 40px;">® Comprehensive for Reaffirmation</span></p> <p>Date of Submission: ____/____/____  <span style="margin-left: 100px;">Mo            Day            Year</span></p> <p>Institutional Contact: Laura Martin, ALO</p>
<p><b><u>Self-Review Rating</u></b>                      1= We do this well; area of strength for us                      2= Aspects of this need our attention                      3= This item needs significant development                      0= Does not apply</p>	<p><b><u>Importance to address at this time</u></b>                      A:U= High priority – Urgent                      A:OA = High priority – Ongoing attention needed in light of 2020-related growth.                      B= Medium priority                      C= Lower priority                      0= Does not apply</p>		

**Standard 4. Creating an Organization Committed to Quality Assurance, Institutional Learning, and Improvement**  
*The institution engages in sustained, evidence-based, and participatory self-reflection about how effectively it is accomplishing its purposes and achieving its educational objectives. The institution considers the changing environment of higher education in envisioning its future. These activities inform both institutional planning and systematic evaluations of educational effectiveness. The results of institutional inquiry, research, and data collection are used to establish priorities, to plan, and to improve quality and effectiveness.*

Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<b>Quality Assurance Processes</b>						
4.1 The institution employs a deliberate set of quality-assurance processes in both academic and non-academic areas, including new curriculum and program approval processes, periodic program review, assessment of student learning, and other forms of ongoing evaluation. These processes include: collecting, analyzing, and interpreting data; tracking learning results over time; using comparative data from external sources; and improving structures, services, processes, curricula, pedagogy, and learning results. X 2.7, 2.10		2	A:OA	UC Merced employs a set of quality assurance process. Examples include new curriculum approval process, new program approval process, periodic program review, teaching evaluation by students, etc. However, the dissemination of information is limited. Additionally, how to meet the academic services and curriculum development needs to reflect our students or our growth, is an area for improvement.	Evaluated during comprehensive review in Component 6: <i>Quality Assurance</i> and Component 7: <i>Sustainability</i> .	

Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
4.2 The institution has institutional research capacity consistent with its purposes and characteristics. Data are disseminated internally and externally in a timely manner, and analyzed, interpreted, and incorporated in institutional review, planning, and decision-making. Periodic reviews are conducted to ensure the effectiveness of the institutional research function and the suitability and usefulness of the data generated. X 1.2, 2.10		2	B	In 2014, Institutional Research and Decision Support underwent periodic review with a focus on the development of a collaborative service. There is a sense that data are generated, but data need to be made available to all faculty and staff in a timely manner, and clear pathways to acquire data need to be developed.	Evaluated during comprehensive review in Component 6: <i>Quality Assurance.</i>	
<b>Institutional Learning and Improvement</b>						
4.3 Leadership at all levels, including faculty, staff, and administration, is committed to improvement based on the results of inquiry, evidence, and evaluation. Assessment of teaching, learning, and the campus environment—in support of academic and co-curricular objectives—is undertaken, used for improvement, and incorporated into institutional planning processes. X 2.2 – 2.6	The institution has clear, well-established policies and practices—for gathering, analyzing, and interpreting information—that create a culture of evidence and improvement.	2	A:U	Improvements as a result of inquiry, evidence and evaluation are not readily implemented, as more focus is placed on research, it takes precedent over assessment of teaching. Better evidence of co-curricular effectiveness needs to be developed beyond satisfaction and participation data.	Evaluated during comprehensive review through Component 3: <i>Degree Programs,</i> Component 4: <i>Educational Quality,</i> Component 6: <i>Quality Assurance,</i> and Component 7: <i>Sustainability.</i>	

Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
<p>4.4 The institution, with significant faculty involvement, engages in ongoing inquiry into the processes of teaching and learning, and the conditions and practices that ensure that the standards of performance established by the institution are being achieved. The faculty and other educators take responsibility for evaluating the effectiveness of teaching and learning processes and uses the results for improvement of student learning and success. The findings from such inquiries are applied to the design and improvement of curricula, pedagogy, and assessment methodology. X 2.2 – 2.6</p>	<p>Periodic analysis of grades and evaluation procedures are conducted to assess the rigor and effectiveness of grading policies and practices.</p>	<p>1</p>	<p>A:OA</p>	<p>UCM has a strong, faculty-owned, academic assessment infrastructure, growing understanding of practice and use of results to inform teaching and curriculum. The teaching evaluation performed by students is a good process for faculty to sustain or improve their teaching quality. Curriculum committees, Undergraduate Council and Graduate Council together play good roles in keeping our courses in high quality. Evaluation of programs is achieved through two processes: (1) student evaluations, in which student feedback provides a basis for change in the classroom regarding improvements in curriculum and pedagogy; (2) coupled annual program learning outcomes assessment and program review processes that focus on student learning results in support of program improvement.</p>	<p>Evaluated during comprehensive review in Component 6: <i>Quality Assurance</i> and Component 7: <i>Sustainability</i>.</p>	
<p>4.5 Appropriate stakeholders, including alumni, employers, practitioners, students, and others designated by the institution, are regularly involved in the assessment and alignment of educational programs. X 2.6, 2.7</p>		<p>2</p>	<p>A:OA</p>	<p>The School of Engineering has appointed Board of Advisors comprised of professionals that provide guidance to the educational programs. UCM's alumni population is now sufficiently large and advanced to contribute to advisory boards and they should be added as a means of connecting UCM's growing campus community to external stakeholders. Plans to develop other advisory boards are underway. Both graduate and undergraduate students have voiced concern that their request for courses and program topics go unheard.</p>	<p>Evaluated during comprehensive review in Component 6: <i>Quality Assurance</i> and Component 7: <i>Sustainability</i>.</p>	

Criteria for Review (1)	Guidelines (2)	Self-Review Rating (3)	Importance to Address (4)	Comments (5)	Evidence (Un-shaded only) (6)	Team/Staff Verification (7)
4.6 The institution periodically engages its multiple constituencies, including the governing board, faculty, staff, and others, in institutional reflection and planning processes that are based on the examination of data and evidence. These processes assess the institution's strategic position, articulate priorities, examine the alignment of its purposes, core functions, and resources, and define the future direction of the institution. X 1.1, 1.3		2	B	Continued growth of the university requires the institution to continually reconsider its direction, which requires input from faculty, staff, and administrators. While the rapid growth and pace of decision making often limits the frequency of engaging all these constituencies, improvement in campus-wide engagement in planning is needed.	Evaluated during comprehensive review in Component 6: <i>Quality Assurance</i> and Component 7: <i>Sustainability</i> .	
4.7. Within the context of its mission and structural and financial realities, the institution considers changes that are currently taking place and are anticipated to take place within the institution and higher education environment as part of its planning, new program development, and resource allocation.		2	A:OA	This process needs to occur throughout the continued rapid growth of the university. For example, the recent curtailment of undergraduate admissions was a smart response given the space and financial restrictions given the current growth rate.	Evaluated during comprehensive review in Component 6: <i>Quality Assurance</i> and Component 7: <i>Sustainability</i> .	

### Synthesis/Reflections on Standard Four

1. After completing this analysis, what are the two or three most important issues that emerged from the self-review of this Standard?

- Effectively using the data collected to inform decisions, from course improvements, to program updates, to campus planning.
- Engaging the multiple constituency groups to both provide valuable data points on the institution and to help inform strategic planning.
- Rapid growth and development of the campus requires thoughtful, data informed planning to best direct new programs and growth of current efforts.

2. Looking overall at the quality and effectiveness of the institution's data gathering and systems to support the review process, what are institutional **strengths** under this Standard?

- The structures are in place to engage various constituency groups.
- The tools exist and data are collected on all levels of the campus experience.
- The processes to perform annual assessment review and periodic program review are in place and help ensure on-going quality review of academic programs, student services, and administrative operations.

3. Looking again at the overall quality and effectiveness of the institution's data gathering and systems, what are **areas to be addressed or improved** under this Standard?

- The paths to access institutional data points are not apparent.
- The lack of transparency on data informed decision-making generates skepticism that such activity occurs.
- The engagement of campus constituents in planning needs to be broadened and deepened.



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May 8, 2015

To: Kathleen Hull, Chair, Graduate Council (GC)  
From: Laurie Herbrand, University Registrar  
Re: Minimum Grade for Graduate Prerequisite Courses

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Office of the Registrar staff recently discovered that the UC Merced Banner student information system setting for the minimum grade required for several graduate course prerequisites was a "C-" grade. This memo is to confirm that after consulting with you, Office of the Registrar staff have adjusted the minimum grade to "B" to reflect the Regulations of the Merced Division.

The use of a minimum grade in an institution's student information system blocks unqualified students from registering in a course. In other words, the assumption is that a student cannot advance to the "next" course without a "passing" grade in the prerequisite course. For UCM graduate students, this is a "minimum level of B or better by a graduate student" according to Regulations of the Merced Division:

**PART I GENERAL REGULATIONS**

**SECTION 1: GRADES (Am 30 Jan 08)**

**A. Grading System**

*UC Merced's grading system is as follows.*

*A Excellent*

*B Good*

*C Fair*

*D Barely passing*

*F Not passing*

*P Passed (grade of C- or better by an undergraduate student)*

*S Satisfactory (passed at a minimum level of B or better by a graduate student)*

*NP Not passed (undergraduate only) U Unsatisfactory (graduate only)*

*I Incomplete*

*IP In progress*

*W Withdrew*

*NR No report (when an instructor fails to report a grade for a student)*

Please note that if a faculty member desires a more restrictive prerequisite minimum grade, it can be listed on the course CRF.

Please let me know if you have any questions or need additional information.

cc: Marjorie Zatz, Vice Provost and Dean of Graduate Education