

DIVISION COUNCIL

Wednesday, September 3, 2014

Time: 10:00-12:00 p.m.

Call-in Number: 1-866-740-1260, Access Code: 7244512

KL 362

Supporting Documents available on crops: [DivCo1415 Resources / Meeting Agenda's & Materials / September 3, 2014](#) 

Item	Discussion Time
<p>I. Chair's Report and Announcements--Chair Sun</p> <ul style="list-style-type: none"> • Welcome • Summary of Summer 2014 business conducted via Email • DivCo Welcome Packet (pp. 3-22) • Senate Website & CROPS site • Targeted Reviews • Conflict of Interest 	15 min
<p>II. Consent Calendar</p> <p>A. Approval of the Agenda</p>	
<p>III. Planning for 2014-2015--Chair Sun</p> <p>Identification of 2014-2015 DivCo goals.</p> <p>Action: Discussion</p>	20 min
<p>IV. Program Review: PROC Update (pp. 23-69)--Chair Sun</p> <p>The Periodic Review Oversight Committee (PROC) replaces the Senate-Administration Council on Assessment and Planning Committee (SACAP). PROC is a joint committee of the Senate and Administration that supports and advances UC Merced's educational and institutional effectiveness and organizational learning through its campus-wide advisory and oversight responsibilities for academic and administrative assessment both periodic and annual.</p> <p>Action: Discussion of PROC and associated Senate workload issues.</p>	20 min
<p>V. UC Merced Campus Parking (pp. 70)--Chair Sun</p> <p>10 min</p> <p>Parking permits are purchased on a first come, first serve basis. The system does not allow permanent employees such as faculty and staff to renew permits within a specified time period, nor does it set aside a specific number of faculty permits before issuing additional permits to non-permanent employees and students.</p>	

Action: Discuss and provide feedback to the administration.

VI. Chairs Reports: 2014-2015 Goals

30 min

- CAP-Member Tsoulouhas
- CAPRA-Chair Kelley
- CoC-Chair LiWang
- GC-Chair Hull
- COR-Chair Noelle
- FWDAF-Chair Ortiz
- CRE-Chair Vanderschraaf
- UGC-Chair Vevea

VII New Business

VIII. Adjourn

Items Sent to Committees for Review:

- Senate Administration IT Advisory Council return due date: October 3, 2014 **(pp. 71-72)**

Informational Items:

- AB 2350 (Bonilla) Postsecondary Education: Equity in Higher Education Act: prevention of pregnancy discrimination. **(pp. 73-74)**
- Senate Assessment Plan **(pp. 75-77)**

Correspondence

- DivCo to Provost/EVC Peterson: Establishment and Review of Campus Research Units. **(pp. 78-97)**

UC MERCED DIVISION COUNCIL

LIST OF ATTACHMENTS:	Page
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Division Council Roster 2014-2015

NAME	EMAIL	PHONE	SCHOOL
Jian-Qiao Sun, Chair	jsun3@ucmerced.edu	209-228-4540	SOE
Cristián Ricci, Vice Chair	cricci@ucmerced.edu	209-228-2946	SSHA
Robin DeLugan	rdelugan@ucmerced.edu	209-228-4032	SSHA
Thomas Hansford	thansford@ucmerced.edu	209-228-4037	SSHA
Kathleen Hull	khull3@ucmerced.edu	209-228-4026	SSHA
Anne Kelley	amkelley@ucmerced.edu	209-228-4345	SNS
David Noelle	dnoelle@ucmerced.edu	209-228-4101	SSHA
Rudy Ortiz	rortiz@ucmerced.edu	209-228-2964	SNS
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Peter Vanderschraaf	pvanderschraaf@ucmerced.edu	209-228-4603	SSHA
Jack Vevea	jvevea@ucmerced.edu	209-228-4945	SSHA

<u>Staff Support</u>		
Dejeuné Shelton	dshelton2@ucmerced.edu	209-228-7954

Fall Meeting Schedule (Wednesday 10:00am-12:00pm)

September 3, KL 362

October 8, KL 362

November 5, KL 397

December 3, KL 362

	Council	CAP (7)	CAPRA (6)	CoC (8)	GC (6)	COR (5)	Faculty Welfare, Div & Academic Freedom (5)	P&T (5)	Rules & Elections (3)	UGC (10)	PROC (Senate/Admin Committee)
Chair	Jian-Qiao Sun ☉	Ray Gibbs ☉	Anne Kelley ☉	Patricia LiWang ☉	Kathleen Hull ☉	David Noelle	Rudy Ortiz ☉	Onuttom Narayan (UCSC)	Peter Vanderschraaf ☉	Jack Vevea ☉ - UCEP	Cristián Ricci Tom Peterson
Vice Chair	Cristián Ricci	Dave Kelley ☉	Joshua Viers ☉		Mike Dawson	Deborah Wiebe	Tanya Golash-Boza ☉	Paul Maglio	Lin Tian	Christopher Viney (BOARS)	Joshua Viers Liz Whitt
CAPRA	Anne Kelley ☉	Michael Modest	Mukesh Singhal ☉	Erik Menke ☉	Syantani Ghosh ☉	Jason Hein☉	Linda Cameron ☉	Jodi S. Holt (UCR) ☉	Rick Dale ☉	YangQuan Chen	Christopher Viney Marjorie Zatz
UGC	Jack Vevea	Fanis Tsoulouhas (Management) ☉	Cristián Ricci	Kevin Mitchell ☉	Sachin Goyal ☉	Masashi Kitazawa	Shawn Newsam ☉	Tom Joo (UCD)- ☉ Fall Only		Sholeh Quinn	Mike Dawson Charles Nies
GC	Kathleen Hull	Rajiv Singh (Physics - UCD)☉	Jan Wallander ☉	Kara McCloskey ☉	Changqing Li	YangQuan Chen: nv ☉	Wei-Chun Chin			Paul Gibbons	TBD - VC COR Laura Martin
COR	David Noelle :nv	John Leslie Redpath (Biology - UCI)☉	Marilyn Fogel ☉	Wei-Chun Chin	Ramesh Balasubramaniam		Nestor Oviedo			Anne Zanzucchi ☉	Tanya Golash-Boza Dan Feitelberg
CoC	Patricia LiWang ☉	Michelle Yeh (UCD Eastern Asian Lanugae and Cultures) ☉		Paul Gibbons						Katherine Brokaw	TBD - GE Rep. (MUST BE SNS)
CAP	Fanis Tsoulouhas (Management) ☉	Gary Jacobson (Political Sci - UCSD) ☉		Anna Song						Nigel Hatton	
FWDAF	Rudy Ortiz ☉			Alex Whalley						Linda- Anne Rebhun	
Parliam.	Peter Vanderschraaf									Carrie Menke ☉	
At-Large	Robin DeLugan ☉									Harish Bhat	
At-Large	Tom Hansford									Marcos-Garcia-Ojeda	
										Mario Sifuentez-Spring Only	
UG, Student			TBD								TBD
Grad. Student			TBD		TBD						
Ex Officio Chair		Jian-Qiao Sun*	Jian-Qiao Sun*	Jian-Qiao Sun*	Jian-Qiao Sun*	Jian-Qiao Sun*	Jian-Qiao Sun*	Jian-Qiao Sun*	Jian-Qiao Sun*	Jian-Qiao Sun*	
Ex Officio Vice Chair		Cristián Ricci*			Cristián Ricci*	Cristián Ricci*	Cristián Ricci*	Cristián Ricci*	Cristián Ricci*	Cristián Ricci*	
Ex Officio Adm					VPDGE Marjorie Zatz	VCR Samuel Traina*	VPF Gregg Camfield*				VPDUE Elizabeth Whitt*
Ex Officio Adm											Interim VCSA Charles Nies*

SOE SNS SSHA External

☉ continuing member
*non voting

GC Subcommittees:
Awards
CRF
Policy

COR Subcommittees:
Awards
Library Working Group

UGC Subcommittees:
Awards
Admissions/Financial Aid
General Education
Programs, Policies, & CRF

Merced Representatives to Systemwide Committees 2014-2015

Academic Council (COUNCIL)

Jian-Qiao Sun, SOE (new member)

jsun3@ucmerced.edu

209-228-4540

Academic Personnel (UCAP)

David F. Kelley, SNS (continuing member)

dfkelley@ucmerced.edu

209-228-7950

Board of Admissions and Relations w/Schools (BOARS)

Christopher Viney, SOE (new member)

cviney@ucmerced.edu

209-228-4359

Education Policy (UCEP)

Jack L. Vevea, SSHA (new member)

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International Education (UCIE)

Virginia Adan-Lifante, SSHA (continuing member)

Vadan-lifante@ucmerced.edu

209-228-2903

Planning and Budget (UCPB)

Anne Meyers Kelley, SNS (continuing member)

amkelley@ucmerced.edu

209-228-4345

Privilege and Tenure (UCPT)

Onuttom Narayan, UCSC (new member)

onarayan@ucsc.edu

831-459-4123

Assembly of the Academic Senate

Robin Maria DeLugan, SSHA (continuing member)

rdelugan@ucmerced.edu

209-228-4032

Alternate

Thomas G. Hansford, SSHA (new member)

thansford@ucmerced.edu

209-228-4037

Academic Freedom (UCAF)

TBD

Affirmative Action and Diversity (UCAAD)

Rudy M. Ortiz, SNS (continuing member)

rortiz@ucmerced.edu

209-228-2964

Committees (UCOC)

Patricia LiWang, SNS (continuing member)

pliwang@ucmerced.edu

209-228-4568

Coordinating Committee on Graduate Affairs (CCGA)

Kathleen L. Hull, SSHA (new member)

khull3@ucmerced.edu

209-228-4026

Faculty Welfare (UCFW)

TBD

Library and Scholarly Communications (UCOLASC)

Deborah Wiebe, SSHA (new member)

dwiebe@ucmerced.edu

209-228-4614

Preparatory Education (UCOPE)

Sholeh A. Quinn, SSHA (new member)

squinn@ucmerced.edu

209-228-4593

Research Policy (UCORP)

David C. Noelle, SSHA (new member)

dnoelle@ucmerced.edu

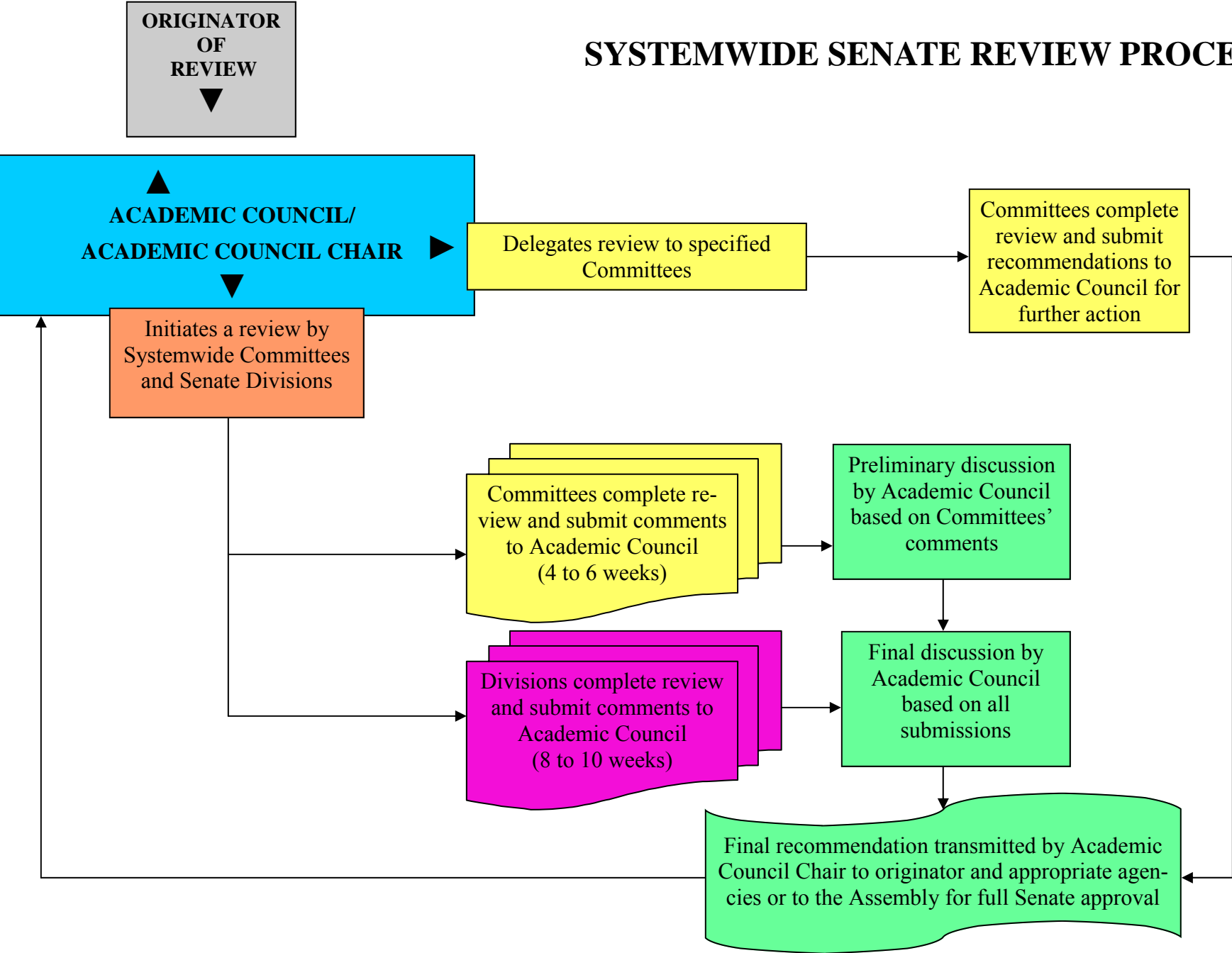
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2014-2015 UNIVERSITYWIDE ACADEMIC SENATE COMMITTEE MEETING SCHEDULE												
	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG
ASSEMBLY				10		11		15		10		
				Lobby-1		Lobby-1		Lobby-1		Lobby-1		
2nd Wednesdays												
COUNCIL	24	22	24	17	28	25		1 & 29	27	24	29	
4th Wednesdays	CSU, East Bay	CSU, East Bay	CSU, East Bay	CSU, East Bay	5320	Lobby-1		1-Rm____? 29 -Lobby-1	Lobby-1	Lobby-1	CSU, East Bay	
Council iLincs, 9-11 am		8, 29	?	N/A	N/A	4	N/A	8	6	3	1, 29	
RETREAT	10											
Comm C/VCs	Lobby-1											
RETREAT	23											
Div chrs/Vchairs/Directors	CSU, East Bay											
ACSCANR			13			12			14			
2nd Thursdays			12322			12322			12322			
ACSCOLI				11		19			14			
				12322		11326			5320			
BOARS -10mtgs/year		3	7	5	2	6	6	3	1	5	3	
1st Fridays		11326	Lobby-1	5320	5320	11326	11326	Lobby-1	5320	5320	5320	
CCGA 9 mtgs/yr		1	5	3	7	4	4	8	6	3	1	
1st Wednesdays		10325	5320	5320	5320	5320	5320	5320	5320	5320	10325	
EDIT	22,23	31		12	30			3	29			
Fridays	UC Press	UC Press		UC Press	UC Press			UC Press	UC Press			
TFIR		17	21	19	16	20	20	17	15	19	17	
3rd Fridays		12129	6113	6113	12322	9204	9204	10325	9204	9204	9204	
UCAAD 4 mtgs./yr		16			15			16		18		
Thursdays		12322			5320			5320		5320		
UCAF 2 mtgs/yr			25				17					
Tuesday/Thursdays			11326				12322					
UCAP 4 mtg/year			12		14		11		13			
2nd Wednesdays			9204		5320		5320		5320			

2014-2015 UNIVERSITYWIDE ACADEMIC SENATE COMMITTEE MEETING SCHEDULE												
	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG
UCCC			18									
			5320									
UCEP 7 mtgs/yr		6	3	1	5	2	2	6	4	1		
1st Mondays		5320	5320	5320	5320	5320	5320	5320	5320	5320		
UCFW-11 mtgs./yr & FWTF		10	14	12	9	13	13	10	8	12	10	
2nd Fridays		11326	Kaiser 1217	5320	5320	11326	11326	5320	5320	5320	5320	
UCFW HCTF												
UCIE 4 mtgs/yr		17		16			20		15			
Fridays		12322		11326			11326		5320			
UCOC 2 mtgs/yr			6					22				
			9204					11326				
UCOLASC 3 mtgs/yr		31		19		20		24	29			
Fridays/Wed.		11326		iLinc		Lobby-1		Lobby-1	5320			
UCOPE 3mts/yr & EMS					29			24				
Fridays					11326			11326				
UCOPE-EMS- 2nd Friday April								10				
								11326				
UCORP 8 mtgs/yr		13	10	8	12	9	9	13	11	8	13	
2nd Mondays		5320	5320	5320	5320	5320	5320	5320	5320	5320	5320	
UCPB 8 mtgs/yr		7	4	2	6	3	3	7	5	2	7	
1st Tuesdays		No room yet	5320	5320	5320	5320	5320	5320	5320	5320	5320	
UCPT 2 mtgs/yr				4					18			
				12322					5320			
UCR&J mtgs via telecon												

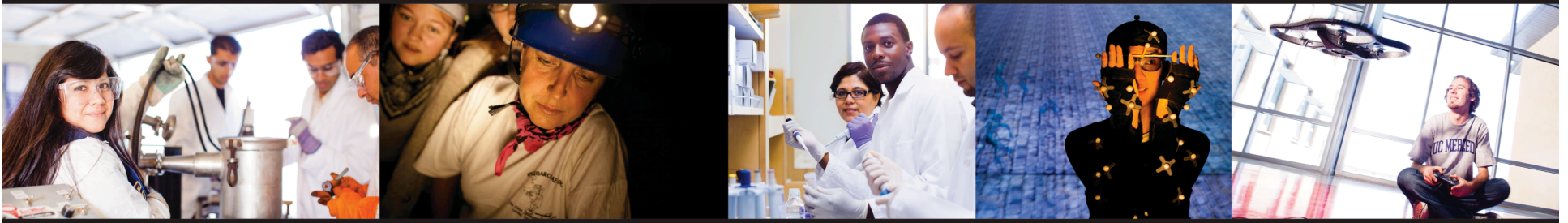
2014-2015 UNIVERSITYWIDE ACADEMIC SENATE COMMITTEE MEETING SCHEDULE												
	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG
ICAS												
STAFF MTGS. Monthly												
SEN. DIR. MTGS.												
REGENTS MTGS.	17 - 18		19 - 20		21 - 22		18 - 19		21 - 22		22 - 23	
REGENTS VISITS												
HOLIDAYS	1 - Labor Day		11 - Vets Day; 27-28 Thxgiving	24-25 Winter; 31 New Year	1 - New Year:							

SYSTEMWIDE SENATE REVIEW PROCESS





THE MERCED DIVISION OF THE ACADEMIC SENATE



346A Kolligian Library
<http://senate.ucmerced.edu>
senateoffice@ucmerced.edu

UC's Tripartite Mission

- Teaching
- Research and Scholarly Endeavors
- Service



What is the Academic Senate?



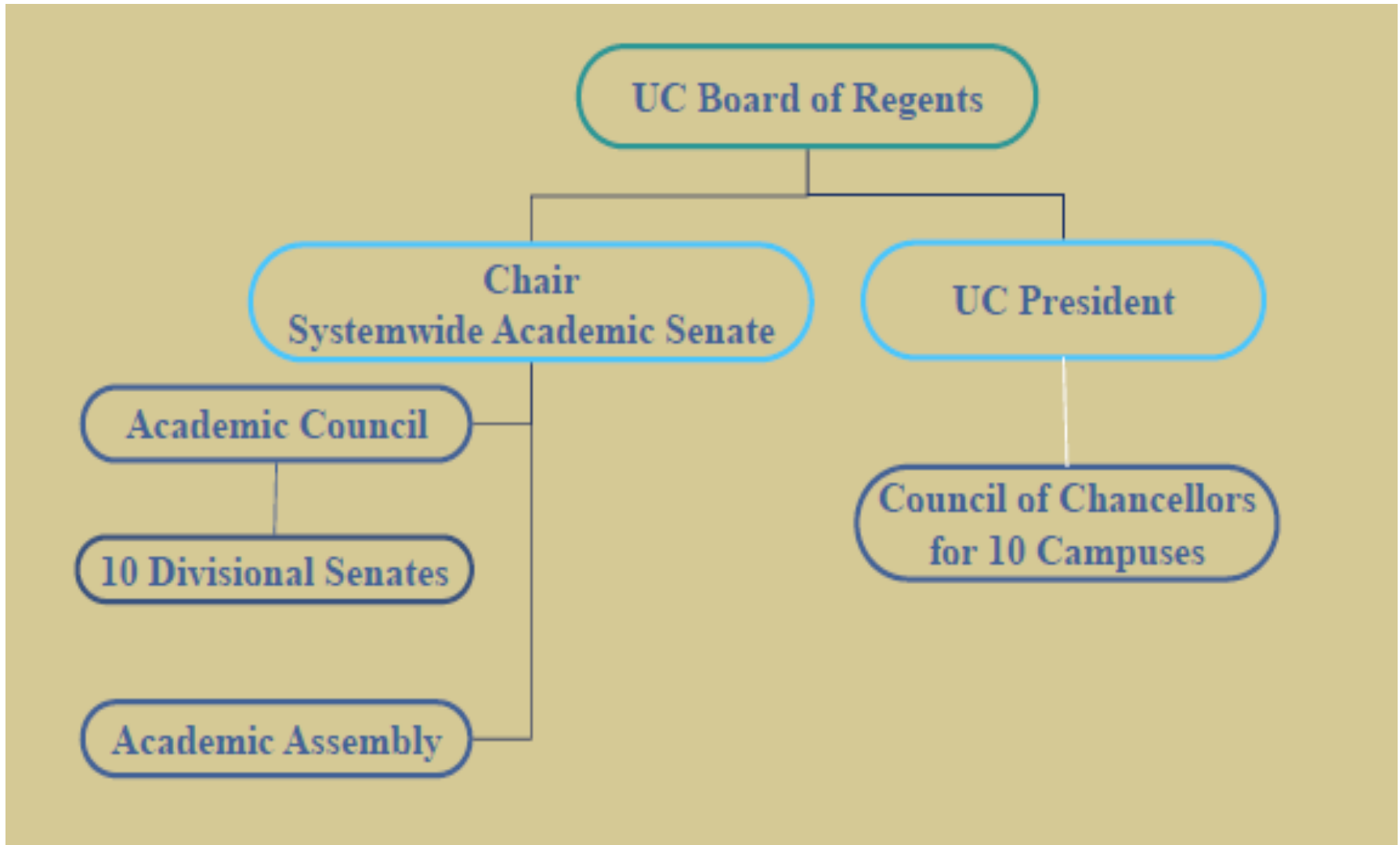
- The Academic Senate of the University of California is acknowledged to be a highly developed and influential faculty government.
- It is the vehicle through which University of California faculty share in the operation and management of the University.
- The Senate is empowered by UC's governing body, [the Board of Regents](#), to exercise direct control over academic matters of central importance to the University.

Shared University Governance



- The UC Merced Academic Senate operates as a legislative body and as a system of committees run by and for the faculty.
- Through involvement with the Senate, faculty become part of the larger community and have the opportunity to learn, serve, and lead.
- Shared governance brings with it the responsibility of contributing to the community.
- Faculty must participate in the discussions, analyses, and decisions that will determine the University's future.

Systemwide Academic Senate



Senate Councils and Committees

- Teaching/Education
 - ▣ Undergraduate Council (UGC)
 - ▣ Graduate Council (GC)
- Research/Scholarship
 - ▣ Committee on Academic Personnel (CAP)
 - ▣ Committee on Research (COR)
- Budget Planning & Resources
 - ▣ Committee on Academic Planning and Resource Allocation (CAPRA)
- Service/Outreach
 - ▣ Committee on Committees (CoC)
- Faculty Interests and Rights
 - ▣ Committee on Faculty Welfare, Diversity, and Academic Freedom (FWDAF)
 - ▣ Committee on Privilege and Tenure (P & T)
 - ▣ Committee on Rules and Elections (CRE)

<http://www.senate.ucmerced.edu/committees>

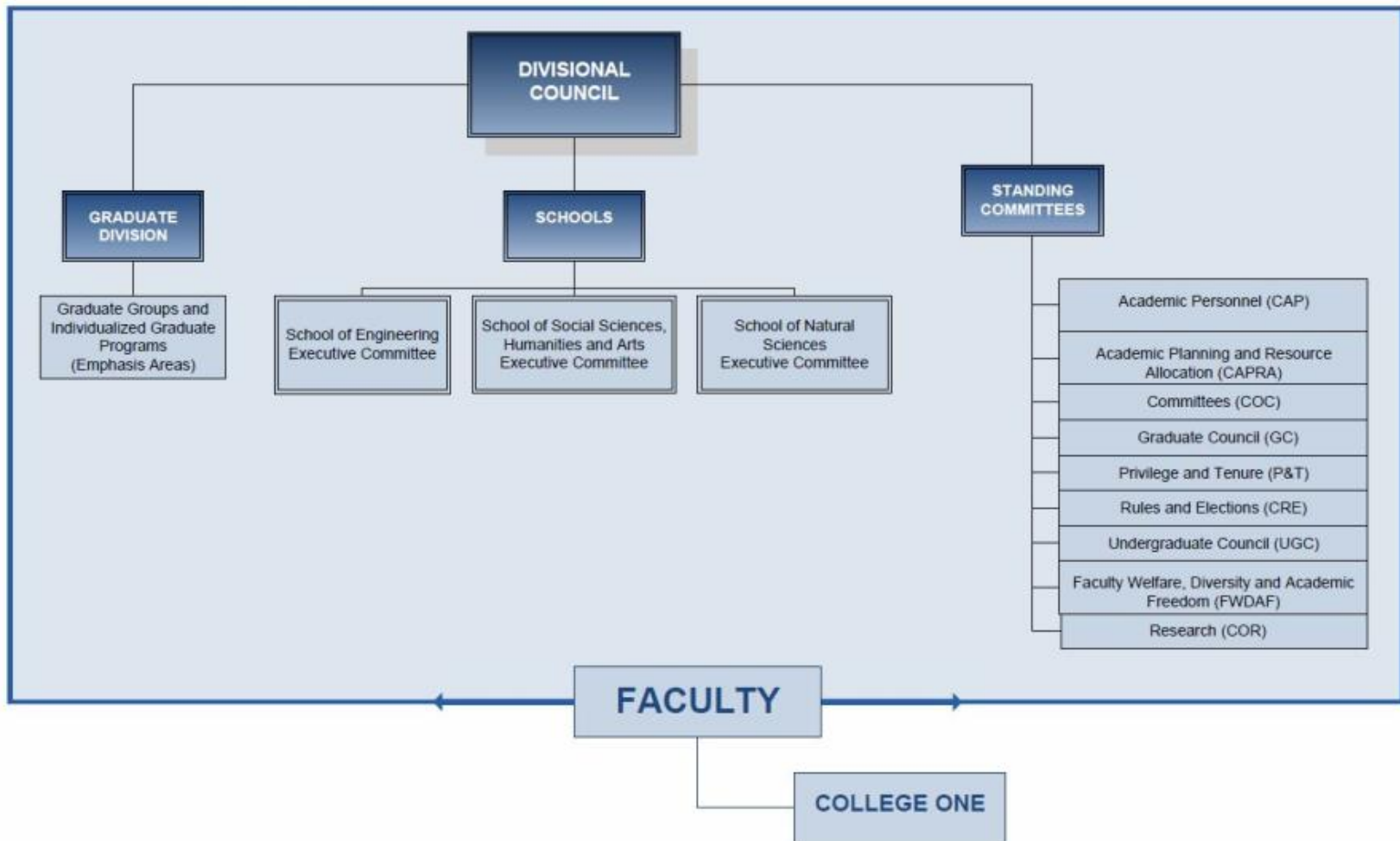
Who are Senate Members?



- The President;
- The Chancellor, Vice Chancellors, Provosts, Deans, Directors of Academic Programs, Chief Admissions Officer, Registrar, and University Librarian at Merced;
- Lecturers with Security of Employment, Lecturers with Potential for Security of Employment;
- Academic Senate members holding statewide appointments only, and not enrolled in another Division, who choose to enroll in this Division by informing the Secretary of the Division.
- Membership does not lapse because of leave of absence or transfer to emeritus status. The Committee on Rules and Elections determines whether a person meets the requirements for membership.

UCM Academic Senate

Academic Senate

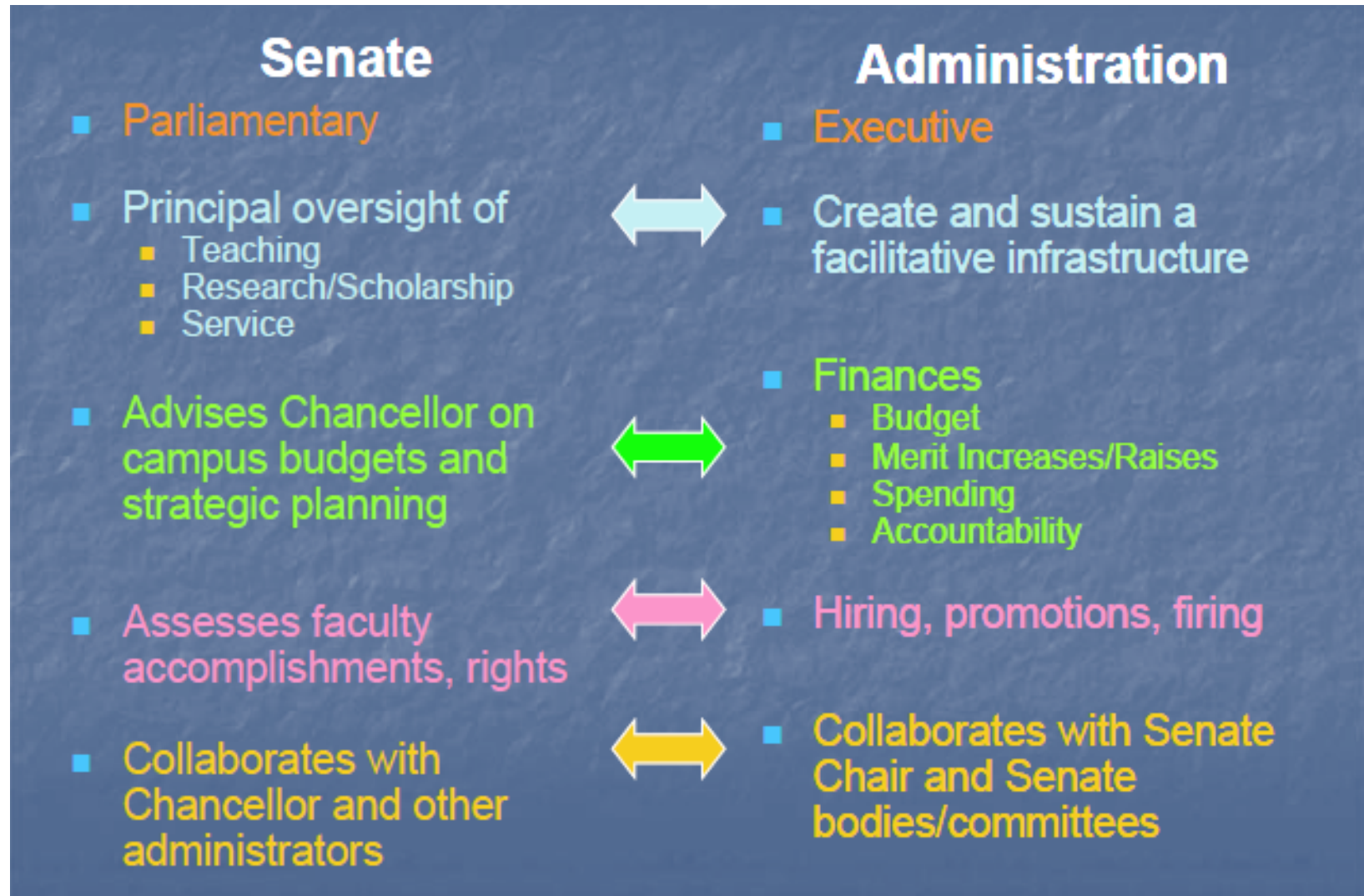


What are the Faculty Responsible For?



- Setting admissions criteria
- Authorizing, approving and supervising all courses, curricula, and academic programs
- Determining degree requirements
- Advising the administration on faculty appointments and promotions
- Advising the administration on budget and financial planning

Relationship between Faculty Senate and Administration



2014-2015 Senate Leadership

Jian-Qiao Sun, Chair

Cristián Ricci, Vice Chair

Raymond Gibbs, CAP Chair (UCSC)

Anne Kelley, CAPRA Chair

Patricia LiWang, CoC Chair

Peter Vanderschraaf, CRE Chair*

David Noelle, COR Chair

Kathleen Hull, GC Chair

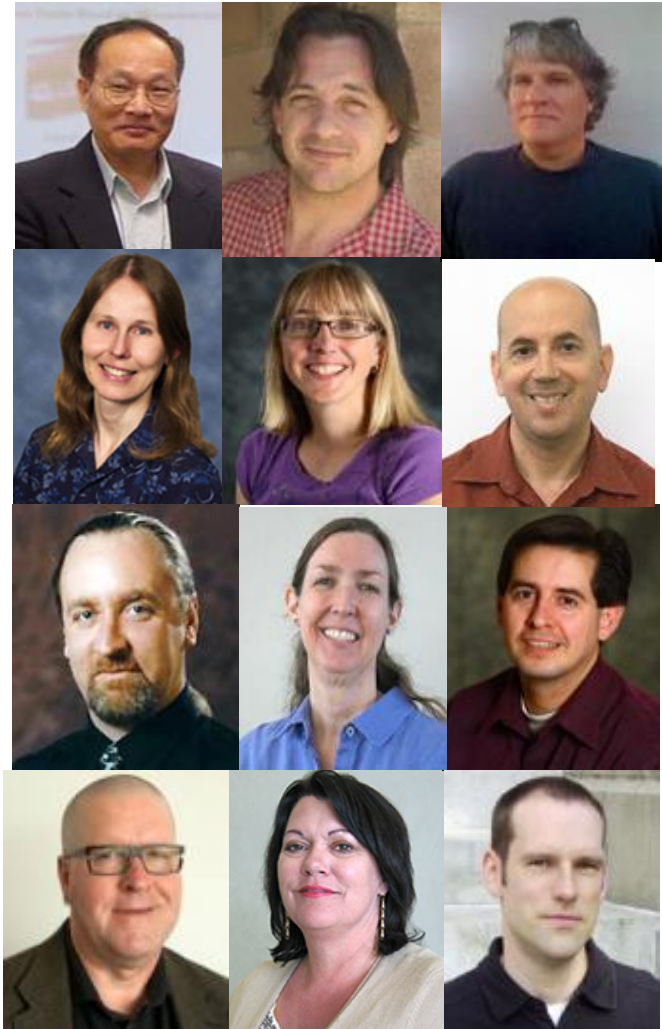
Rudy Ortiz, FWDAF Chair

Jack Vevea, UGC Chair

Robin DeLugan, At-Large Member

Thomas Hansford, At-Large Member

**Non-voting member*



Senate Office

Simrin Takhar
Senior Analyst

Mayra Chavez
Senate Analyst

Fatima Paul
Assistant Director

Dejeuné Shelton
Executive Director



Proposed Charge: Periodic Review Oversight Committee

A joint committee of the Senate and Administration, the Periodic Review Oversight Committee supports and advances UC Merced's educational and institutional effectiveness and organizational learning through its campus-wide advisory and oversight responsibilities for academic and administrative assessment, both periodic and annual.

Specifically, the Committee

1. Oversees and coordinates periodic peer-based program review for the Academic Senate and the Administration, as per current policy.
2. Oversees administrative periodic review, as per current policy.
3. Facilitates the alignment of resources and the academic mission and campus strategic plans by identifying and recommending to the Academic Senate and the Administration opportunities and mechanisms to support resource alignment and the integration/coordination of administrative and academic periodic peer-based program review.
4. Identifies and recommends to program faculty, Academic Senate and Administration, strategies to develop and sustain a system of institutional assessment practices, including workflow and assessment support, that seeks to increase program review/assessment efficiency, including streamlining various review processes (e.g. WASC, Periodic Peer-based Academic Program Review, ABET).
5. Recommends to the Academic Senate and Administration strategies to address accreditation expectations related to assessment, annual and periodic.
6. On an annual basis, reviews and reports on the alignment of institutional operations with campus mission and strategic goals, as evidenced by the aggregate results of periodic program reviews and annual assessment reports.
7. Periodically reviews the program review process to ensure it is achieving its intended purposes, recommending to the Senate and Administration improvements to practice and policy as warranted.
8. Recommends to the Academic Senate and Administration, the charge and composition of other committees that have regular or periodic responsibility for assessment.

In conducting its work, the Committee

- Recognizes that periodic reviews of academic programs are conducted under the authority of the [Standing Orders of the University of California](#), the [University of California Academic Senate](#), and the [Merced Divisional Bylaws](#) (specifically bylaws IV.3.B.5 and IV.2.B.6).
- Supports the campus' assessment-related aspirations as outlined in the [UC Merced Principles of Assessment](#).

- Recognizes that reviews of new academic program proposals are not under the purview of the committee, but are conducted under a separate set of Senate and Administration policies and procedures.

Membership:

Academic Senate	Administration
Vice Chair of the Division Council	Provost and Executive Vice Chancellor
Vice Chair of CAPRA	Vice Provost & Dean of Undergraduate Education
Vice Chair of Undergraduate Council	Vice Provost of Graduate Education & Dean of Graduate Division
Vice Chair of Graduate Council	VC for Student Affairs
Vice Chair Council on Research	VC for Business & Administrative Services
Vice Chair Faculty Welfare, Diversity, and Academic Freedom	Coordinator of Institutional Assessment
GE Subcommittee Representative	Vice Chancellor for Planning and Budget (or designee)

Program Review Manager (non-member; Office of Institutional Assessment)

The committee will be co-chaired by the Vice Chair of the Divisional Council and the Provost and Executive Vice Chancellor.

Convening Committee:

For the committee to be convened, a minimum of three of six designated faculty seats must be filled to establish a “working representation” of faculty.

Quorum:

A vote requires a balanced representation of the Academic Senate and the Administration. A majority of members present at the meeting constitutes a quorum. In the absence of a quorum the Council may discuss business and vote on action items electronically.

Reporting:

The committee will generate an annual report.

UNIVERSITY OF CALIFORNIA, MERCED

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SANTA BARBARA • SANTA CRUZ

ACADEMIC SENATE, MERCED DIVISION

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95343
(209) 228-6312

April 30, 2014

**To: Program Review Committee (PRC) Members
Undergraduate Council (UGC) Members
Graduate Council (GC) Members**

**From: Gregg Camfield, Chair, Program Review Committee (PRC)
Jay Sharping, Chair, Undergraduate Council (UGC)
Valerie Leppert, Chair, Graduate Council (GC)**

Re: Proposed Revisions to UC Merced Academic Program Review

Revision of Academic Program Review at UC Merced to make it more useful and less burdensome has been under consideration for most of the past two academic years. This year, the effort has consisted of meetings between PRC Chair Camfield, UGC Chair Sharping, GC Chair Leppert, Senate Chair Lopez-Calvo, ALO Martin, Senate Director Shelton, UGC Analyst/Associate Senate Director Paul, and GC Analyst Chavez; discussions in Undergraduate and Graduate Council; and ongoing research of existing practices on other UC campuses. As a result of this effort, we wish to propose revisions to UC Merced's review of Academic Programs, to become effective in AY2014-2015.

A background of Academic Program Review at UC Merced, description of the proposed revisions, and listing of their potential pros and cons are provided below. Also attached are a proposed corresponding revised charge/name change for SACAP, proposed revised Undergraduate Program Review Policy, and proposed revised Graduate Program Review Policy, to enable putting these revisions into practice. We ask that (1) PRC, UGC, and GC consider the proposed revisions to program review, and vote and report on whether or not they are in favor of them; and that (2) UGC and GC consider and vote, respectively, on corresponding changes to their own Program Review Policies to bring them in line with the proposed revisions. Following this, we will request Divco and the Provost to approve the proposed revisions.

Background of Academic Program Review at UC Merced

In addition to assessment and review of programs related to WASC and specialized accreditation (e.g. ABET, CEPH, ACS), academic programs conduct periodic peer-based (generally external) program review, usually on a 7-10 year cycle, depending on institution. This form of review speaks to the perception of the quality of UC programs by their academic peers. In AY2008-2009, UGC and GC, as a necessary step in WASC accreditation, were asked to develop and approve Program Review Policies. This was done, based on respective UGC and GC modifications of UC Davis' Graduate Program Review Policy. In addition to review policies, a framework for conducting academic program review was also

necessary. In subsequent years, UC Merced adopted a review framework similar to UC Irvine's, where the academic review process is mainly overseen by the senate. It should be noted that systemwide, while the Senate retains authority over academic components of review, the process itself and its organization may be overseen by the senate, the administration, or some combination of the two.

At UC Merced, while Undergraduate and Graduate Councils have authority over program review and its policies, the review process itself is run by the Program Review Committee, a subcommittee of both UGC and GC, which does not actually have any UGC or GC members on it (due to workload issues). This framework has been problematic due to the following reasons: (1) communication and coordination issues between the PRC and its parent UGC/GC committees, (2) lack of integration of administration and its oversight function over resources with senate-led academic program review, and (3) senate workload issues associated with populating, staffing and running a third committee – the PRC.

Proposed Revisions to Academic Program Review

To address these issues and have academic program review be more beneficial and less burdensome, we propose the following changes, effective AY2014-2015:

1. Adopt an academic program review process similar to UC Berkeley's, in which senate committees retain their authority over the academic components of program review, but where the administration is actively integrated into and coordinates/oversees the review process.
2. Discontinue the PRC.
3. Place oversight of the academic program review process under the Senate-Administration Committee on Assessment of Programs (SACAP) and rename the committee to the Periodic Review Oversight Committee (PROC) to reflect the addition of this new function to its existing functions.
4. Also, we propose that the Office of Institutional Assessment, under the Provost's Office, support SACAP for this additional function and monitor the scheduling/initiation/conduct/closeout/follow up of academic program review, similar to what it currently does for administrative units under the Provost's Office (e.g. Graduate Division, Schools).

[Note: At UCB, academic program review is overseen by a joint senate-admin PROC, which is supported/overseen by the Vice-Provost for Academic Planning. The proposed changes may require more staff support for SACAP and/or OIA.]

We are proposing a two-step process:

1. Ahead of AY2014-2015, accomplish the proposed changes outlined above through revision of SACAP charge, revision of UGC and GC Program Review Policies to reflect PROC instead of PRC, including a new preamble that contextualizes the review process and slightly modifies the review schedule, and UGC/GC approval of the proposed changes along with approval by Divco and the Provost.
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.

Pros and Cons of the Proposed Changes to Academic Program Review

Pros:

1. Senate workload – by removing the PRC and shifting some responsibilities for program review to SACAP and the OIA, both faculty and staff workload, a pressing problem at UC Merced, will be reduced.
2. Better coordination between administrative resource and senate academic aspects of program review – right now these components are relatively isolated, making it difficult to assess and address resource issues related to academic program success during review.
3. Better alignment between institutional resources and academic mission. As SACAP currently reviews assessments of administrative units that support academic units, this will allow improved identification of related administrative, academic or resource issues that need to be addressed in support of our academic mission.
4. Streamlining of assessment practices – provides the opportunity to identify where WASC, Periodic Program Review, and specialized accreditation review instruments might be combined to reduce the overall assessment burden.
5. Opportunity to monitor success of strategic planning efforts.

Cons:

1. Reduces senate ownership and control of program review. This is, however, a con that seems to have been managed collegially – and to the benefit of all - at other UC campuses.

In summary, many benefits appear to be realizable from the proposed changes.

Cc: Program Review Committee
Undergraduate Council
Graduate Council
Senate Office



University of California, Merced

Undergraduate Program Review

Policy and Procedures

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I. Overview

As a public trust, the University of California, Merced, strives to assure its many constituents that it fulfills its obligations to create, preserve, and disseminate knowledge for the public good. Academic Program Review is one way the university demonstrates its commitment to accountability and continual improvement. Academic Program Review is predicated on the idea of expert evaluation. Academic programs, combining cutting edge research with teaching, are far too complicated to be evaluated by simple measures; each program must be evaluated by peers whose knowledge of the fields of inquiry and education enable them to identify programmatic strengths, weaknesses, and opportunities.

Program review simultaneously serves both external and internal needs. Externally, Program Reviews are an essential requirement of Accreditation in that they show reflection on annual program learning outcomes and on student success data, while providing an institutional mechanism for responding to shortcomings. In particular, program review must ensure that budgetary planning takes student learning and student success into account. Internally, Program review enables us to consider annual assessment as a piece of the larger whole, connecting student learning to research and public service as appropriate. Perhaps more importantly, while WASC, under the direction of the U.S. Department of Education, holds us to modest standards, expecting us to cite program reviews when providing evidence that our students can demonstrate a number of “core competencies” upon graduation, we seek to foster excellence, creativity, and innovation, to create programs that attract students who seek distinctive, cutting edge, and prestigious approaches to learning and research. Thus, we see Program Review as an opportunity to reflect not just on what we are doing, but also on how we want our programs to grow. Program Review is therefore both formative, in that it shapes the actions of a program in its ongoing development, and summative, in that it identifies particular issues and problems that may need to be addressed and identifies actions required to address such issues and problems. Given that Academic Program Review should spur creativity while also responding to external review requirements, and given our wide variety of programs and programmatic structures, Reviews must be carefully tailored to specific circumstances. Thus, Program review requires three distinct phases:

1. **Preparation:** Periodic Review Oversight Committee (PROC) consults with program faculty, Undergraduate Council, and administrators to determine the scope of review, articulating a plan for the self-study that considers the program’s circumstance. The program under review then develops a self-study responding to this plan. Upon receipt and review of the self-study, the PROC drafts a charge to the external review team in consultation with Undergraduate Council, the program lead, and the Dean. The charge will include the basic questions listed below and any further questions deemed useful for the review by the PROC, Senate and administration. PROC conducts confidential surveys of faculty and students as needed.
2. **Site Visit:** A review team, composed of external members, and accompanied by a campus liaison¹, visits the campus to meet with constituents identified by the PROC and listed in the charge.
3. **Follow-up:** the Program lead and relevant Dean respond to the self-study and present the response to the PROC. The Program Review is closed only when the PROC reports to the Undergraduate Council that the response of the program to the Review Team Report adequately addresses the recommendations and the follow-up meeting has taken place with both committees. This normally takes place by the end of the second year of the Review. The combination of these activities allows for an evidence-based assessment of programs which engages faculty and administration, and that can be used as the basis for ongoing academic planning for resource allocation.

¹ The campus liaison is a Senate member of the PROC

Reviews of academic undergraduate programs are conducted under the authority of the [Standing Orders of the University of California](#), the [University of California Academic Senate](#), and the [Merced Divisional Bylaws](#). Under Merced Divisional Bylaw II.4.B., UGC has the authority to establish and review undergraduate programs. Thus, UGC, with the aid of extramural review teams, and supported by the UCM Office of Academic Senate, is responsible for Undergraduate Program Review. UGC also retains the final authority to alter the type, format, requirements, review cycle, and length of program review.

The details of Program Review are coordinated by the Periodic Review Oversight Committee (PROC), a joint senate-administration committee supported by the Office of Institutional Assessment under the Provost's Office.

The Undergraduate Council establishes the sequence of program reviews, a sequence that is revisited annually. The current sequence is posted on the Program Review section of the [Senate website](#). The sequence can be altered by action of the UGC, and alterations may be requested by the PROC, programs, Senate Committees, Deans, or the Provost's office.

Usually programs will be reviewed every seven years, though circumstances in the interim (such as radical change in a program requiring UGC approval or the need to coordinate reviews between associated programs, such as graduate programs or interdisciplinary and disciplinary programs that are closely aligned) may justify acceleration or delay of reviews. If a program's circumstances change once a review is formally initiated, the program and Dean(s) may request a delay of up to **one year**. The request must be signed by the program lead and Dean(s), explaining the need to delay, and sent to UGC for approval.

Because both Senate and Administration are involved through the PROC and through wide consultation in all phases of review, recommendations from Program Review will be integrated in campus planning processes.

II. Program Review Schedule

Program Review is a two-year process. In the first year, the PROC, in consultation with UGC, the program lead, the Dean(s) and relevant Senate committees defines the scope of the review for the self-study. The program then prepares a self-study. Following receipt and review of the self-study, the PROC in consultation with UGC, the program FAO, the Dean(s) and appropriate Senate Committees draft and approve the charge. In the second year, the review team visits. Then the administration and program respond to the findings of the review.

Program Review Schedule²

<p>Year One</p>	<ul style="list-style-type: none"> ▪ January/start of spring semester: Programs under review receive formal notification ▪ By March 1: <ul style="list-style-type: none"> - With consultation, PROC determines the scope of the review, notifying the program of the format for the self-study. - Administrative support team meets with program in early February to review purpose, process, timeline, responsibilities, support available etc. ▪ April 1: With Dean input, program submits list of possible reviewers to PROC ▪ May 1: PROC reviews and finalizes a list of reviewers. <ul style="list-style-type: none"> - Invitations sent to potential reviewers for a spring visit the following year. Set date for review team visit, which should take place before spring break. - Data materials provided to program (IRDS and Assessment Coordinators can assist with this task) ▪ September 1: Self-study submitted to PROC; distributed to relevant Senate Committees and Dean(s), with basic charge and request for additional input into charge. ▪ Confidential surveys of students, faculty and other stakeholders, as determined in the charge, conducted in Fall, as needed. ▪ By December 1: Charge is finalized and sent to the external review team, with the self-study.
<p>Year Two</p>	<ul style="list-style-type: none"> ▪ Site Visit takes place before spring break ▪ By June 1: Final external review team report submitted to the PROC, following factual error check. ▪ By September 1: PROC forwards review team report to program, Provost/EVC, VPDUE and Dean). Program Dean is asked to coordinate response, including program/administrative response to Review Team recommendations, development of implementation plan, resource commitments, etc. This should involve the Provost/EVC. ▪ November 1: Response and implementation plan due to the PROC, which sends them to relevant Senate Committees for evaluation, input, and conclusion if review should be closed. ▪ By start of Spring semester: PROC has approved implementation plan for integration into budget. Review is closed.

² Minor variations in the schedule are the purview of the Periodic Review Oversight Committee

III. Periodic Review Oversight Committee

The Periodic Review Oversight Committee (PROC) is a joint senate administration committee supported by the Office of Institutional Assessment, under the Provost's Office. The PROC conducts and oversees program review process from its initiation to its closure.

The PROC:

- Determines and publishes the schedule of Program Reviews in consultation with the Undergraduate Council and the relevant School Dean
- Collaborates, as necessary, with GC and UGC to coordinate Program Review when there is a simultaneous review of graduate and undergraduate programs
- Invites reviewers to serve on Program Review teams
- Designs and conducts confidential surveys³ of students and faculty for each program under review, with the approval of UGC. Surveys must give those surveyed the option of reporting some information as confidential, to be shared with the Review Team only. Survey questionnaires must explain that all responses will be summarized in order to protect the identities of respondents, but that, generally, these summaries will be available to the program under review and to appropriate administrators. If respondents wish to share information or opinions with the Review Team but wish to keep such information from other campus groups, they may use those portions of the survey instrument designated as confidential
- Summarizes the results of student and faculty surveys, identifying which summarized results may not be shared beyond the Review Team
- Receives the final review team report and submits it, along with any corrections of fact, to UGC
- Reviews the response of the Program and Dean to the Review Team Report
- Recommends to UGC that the Program Review be closed
- Reviews the implementation of the response plan by programs and administration
- Provides UGC with an analysis of the aggregate results and actions of the Program Reviews completed in a given academic year. Any patterns will be highlighted for future investigation
- Every year, the PROC reviews the last three years of Program Review results; a report on patterns and recurring issues will be shared with UGC; results for particular schools, if relevant, will be shared with the School Curriculum Committee, or equivalent.

In addition, a Senate member of the PROC serves as the Senate liaison for Program Review teams.

³ The Office of Institutional Research and Decision Support (IRDS) will provide assistance with the implementation of the surveys

IV. Identifying Self-Study Issues

The PROC notifies the Faculty Lead of the program and its cognizant Dean of the upcoming review and meets with the Dean(s), the program lead, the program assessment coordinator, the IRDS analyst, the Coordinator of Institutional Assessment, the Program Review Manager and the UGC analyst to discuss the scope of the review.

V. Program Self-Study

The most important part of Program Review is the self-study, which builds upon annual and cyclical assessment of learning outcomes, and will address a much wider range of issues, which will be enumerated in the charge. This is a time to reflect on changing patterns in scholarship, in student demographics, in societal needs, etc., as they pertain to a program's educational goals. All program faculty must be consulted and given the opportunity to provide meaningful input to the development of the self-study. In the best of circumstances, faculty, lecturers, students, staff, and alumni should be involved in the review.

The undergraduate program to be reviewed is to be given its charge six months before the self-study is due. The self-study will become a part of the permanent record of the Program Review and will be filed together with the Charge, the Review Team Report, the Program Response, including corrections to the Review Team Report, and the PROC's response. The program should direct any questions or dialogue concerning the review to the PROC with a cc to the Program Review Manager and the UGC Analyst. The Schools Assessment Coordinators will assist and support faculty during the preparation of the self-study. The self-study should concisely present the faculty's thoughtful and thorough evaluation of the program, based on the participation of the program's faculty, staff and students, as well as a wide range of evidence available to determine program strengths and weaknesses. The self-study should provide the information necessary for the Review Team to engage in an evidence-based assessment of how successful the program is in fulfilling its mission and that of the institution. The program faculty must vote on the final draft of the self-study and the vote tally must be reported. The self-study is submitted electronically in PDF format to the PROC, the Program Review Manager and the UGC Analyst. Submissions should include a transmittal cover letter with a brief description of the program faculty consultation process (the faculty in the program should be asked to provide their input or comment(s) prior to the self-study being edited in a final form).

A) Executive Summary

The self-study consists of two parts, an Executive Summary, and Data⁴ Appendices. The Executive Summary should be no more than 25 pages, single spaced, and summarize with reference to the relevant evidence. The composition of the Executive Summary is the responsibility of the faculty, and not that of the staff. It is a rare, valuable opportunity for the faculty to have a conversation about the strengths, weaknesses, and challenges faced in the program; and provide an overview and interpretation of the material covered in the Data Appendices. Great care should be taken in preparing the Executive Summary as:

- The review team will use it as the foundation for its interviews with faculty, students, and administrators and the foundation for their assessment and recommendations.
- It will become part of the official record that will be included in the self-study Data section of subsequent reviews.

⁴ IRDS provides assistance with the process of data collecting and reporting

The self-study should address the following questions set forth in the charge:

- I. Introduction: Program Mission, History, Context**
- II. How does the program envision its work?**
- III. How will the program accomplish its mission?**
- IV. Who are the primary individuals/teams taking responsibility?**
- V. How is progress monitored and how is relevant feedback incorporated?**
- VI. Future Directions/planning**

Most of these questions are self-explanatory and responses should be generated internally by the program. Data can be provided with the assistance of the School Assessment Coordinator and the IRDS staff.

The program self-study may be organized in a way that makes sense to the program, especially for programs undergoing concurrent accreditation, such as ABET. In cases where undergraduate and graduate program reviews take place simultaneously, the PROC – in consultation with UGC and GC - will work with the programs to determine the proper scope of the self-study. The questions below should serve as prompts, and should be answered as appropriate.

B) Table of Contents/ Contact Information

I. Introduction

This serves to orient the reader to both the Program itself, and the self-study, and can provide an overview of report, Program Mission, Program History, and internal and external contexts that shape the program. Major changes in the program since the last review or initial program approval should also be highlighted.

II. Program goals and directions

How does your program envision its work? This includes program philosophy, program goals, and program learning outcomes (PLOs). What do you want your students to learn, and how do you measure their learning outcomes? How do these relate to the mission and goals of the program, School, and University, including institutional planning documents as relevant? To what extent and how does the program support General Education? How does your program relate – in mission and goals – to other similar programs?

III. How will the program accomplish its mission?

This includes curriculum, extra-curricular activities, co-curricular support, advising, recruitment and retention. How do you serve majors? Minors? Non-majors? How do these compare with comparable programs at peer institutions? Are there disciplinary guidelines or best practices that have shaped the curriculum?

IV. Who are the primary individuals/teams taking responsibility?

Overview of the program's faculty, including non-senate lecturers, Senate faculty, and TAs; their qualifications and contributions to the program; their roles in planning and assessment. Describe faculty activities that support the program goals. Discuss faculty governance issues in your program, such as participation in strategic planning. Discuss the mentoring and evaluation processes for junior faculty. Summarize faculty accomplishments in the areas of teaching/advising, research/creativity, and service.

V. How is progress monitored and how is relevant feedback incorporated?

This section should reflect on the curriculum and its impact on students, the results of annual

assessments, the development and effectiveness of the Assessment Plan, and the ways the annual and cyclical assessments have been used to improve student learning, to improve teaching, to improve the learning environment, to improve student support, and to improve curriculum. It may also reflect on the adequacy of institutional support in improving both student learning and assessment itself. Describe the educational, professional, and career goals possible for students who choose this major. Describe how students are engaged in research, inquiry processes and creative endeavors in their field and the opportunities they have to interact with faculty in the pursuit of research and creative activities. Identify any curricular “bottlenecks” that may impede student progress toward degree and describe what has been done to alleviate these issues.

This section should also draw on relevant student data from IRDS that is provided in the appendices, including time to degree, and where possible, disaggregated data on student outcomes (by major, ethnicity, high school, etc.). This data should be used to identify strengths and weaknesses of the program.

VI. Future directions/planning

Summarize the main points of current strategic plan, as well as any long-term thinking about the program. The program may wish in this section to update the multi-year assessment plan as necessary. Future planning should reflect on enrollment trends in the program, current student/faculty ratios, necessary institutional support, and any other issues that impinge on sustainability. **Note:** if in the course of the self-study a program begins to think about changes to its curriculum, we recommend that these be outlined here, but not submitted to UGC for review until after the site visit has been completed.

This section may also include any issue the program wants to bring up that would be helpful to the review.

C) Self-Study Data Appendices

I. Documents from the Previous Program Review

This section contains either the documents from the program’s previous review or the program’s approved proposal (for programs being reviewed for the first time). The PROC and/or Senate Analyst will provide one copy of the documents.

II. Program Administration

a. Administrative Profile

The Administrative Profile is an overview of the organizational structure of the program.

Provide the following information:

- Program name: If the name of the program has changed since the program was approved, provide the history of the name.
- Officers: List any current and past officers for program’s committees, and/or for any other aspects of program administrations (e.g., Chair, if applicable, advisor, etc.)
- Administrative support staff

b. Faculty Membership List

Provide a list of the Senate faculty who have held membership in the program for the last three years, their academic titles, and school affiliations (if joint appointments).

III. Student Information

a. Current Undergraduate Students

Provide a summary of current major and minor enrollments including:

- Class status
- Entering GPA, current GPA, standardized test scores
- Retention, time to degree and GPA for graduating seniors over the past five years for all students and disaggregated by student profiles (gender, race/ethnicity, family background, income, first language, transfer student, etc.); if possible, comparison to national norms
- Diversity: first generation, income, first language, race/ethnicity/ gender, family background, High School API
- Number of double majors, number of students participating in undergraduate research projects, number of students participating in Honors tracks
- Student/faculty ratios
- Enrollment trends.

The IRDS is responsible for furnishing this information.

b. Alumni

Provide a list of students who have graduated since the last review and include the following information:

- Student name
- Year graduated
- Most recent placement information: Graduate program or employer, job title
City/state/country.

This information can be gathered from the Office of Development and Alumni Relations.

c. Benchmark Data

A benchmark data report will be provided to the program to be inserted in the self-study. This report is generated from Banner and includes the number of applicants and the number of degrees conferred. The report should be inserted in the self-review document. No other action is required for this section.

IV. Admitting and Advising Students

a. Advising Guidelines/Process

Provide a copy of the advising guidelines for the program. Note: If a program has no advising guidelines, then the program lead (or faculty representative) should discuss with the program faculty the need for the development of such guidelines.

Any notices sent to students in the previous year that reference advising guidelines or other information that helps students in the program.

b. Degree Requirements

Each undergraduate program must have a document approved by the UGC that contains all of the degree requirements for the undergraduate degrees that it offers and must share this document with its students. **A program may not impose requirements that have not been approved by UGC.**

Provide a copy of the program's most recently approved degree requirements and a copy of the approval letter from UGC. If you do not have a copy of these documents contact the Senate analyst for assistance. Note: if the information is posted on the undergraduate

program's website it must include:

- The date the degree requirements were approved by UGC; and
- The exact wording of the document as approved by the UGC.

c. Courses Taught

Provide a list of the program's core and elective courses, when they were taught and by whom for the past five years. Also provide a list of courses taught by program faculty for other programs, including General Education. This information should be organized by year.

d. Recruitment Materials

- Current recruitment materials, such as brochures and website print-outs; and
- Sample letters to applicants and admitted students and/or email messages used in place of a letter.
- Include copies of letters and materials used by the School.

V. Faculty Information

a. Abbreviated CVs

For each faculty member of the undergraduate program, provide an abbreviated CV (two pages at the most) that covers important career information and more detailed information for the last five years. Provide the following information:

- Name
- Highest degree, institution, year of degree
- Area of expertise (two lines)
- Membership on the program's committees and other services to the program or university
- Number of publications, performances, and exhibits and five key publications or works
- Professional awards and honors (three lines maximum)
- Conference participation and lectures; and
- Service to the profession (including consulting, where appropriate).

VI. Co-curricular and Administrative Support_(as relevant)

VII. Learning Outcomes Assessment

Include the multi-year assessment plan, annual reports, and a significant sample of direct evidence used to support the conclusions in the annual reports. Tabular presentation of the alignment between the learning outcomes of core and elective courses and the program learning outcomes.

VIII. Additional materials

Any additional materials, including the program's strategic plan, information on comparable programs, disciplinary guidelines regarding best practices, that may be of use to the review team and which support the claims of the self-study.

VI. Review Team (RT)

The Review Team is composed of two to three faculty external to UC Merced. They will be accompanied during their visit by a PROC Senate Liaison, chosen by the PROC. At least one external member should be from a UC campus, and one from another peer institution. Suggestions for potential review team members are solicited from the program under review as well as the relevant Dean before the meeting with the PROC to develop the charge. At least one member of the Review Team should have experience with assessment. In the submitting candidates to be considered for external reviewers, the Program lead and Dean(s) should disclose all known affiliations between the proposed reviewer(s), UC Merced, and any of the program faculty (i.e. nature of the relationship, any potential conflicts of interest). It is expected that individuals within the same academic discipline will know one another and may have possibly worked together; nonetheless, this information must be disclosed at the time of the submission of names for consideration. Staff supporting the review will contact potential reviewers, and when they have accepted, they will be sent an official appointment letter. The Senate Office and the Provost/Executive Vice Chancellor's Office coordinate the Review Team travel, travel expense reimbursements and honoraria payments.

Role

The role of the Review Team is to review and analyze the self-study as well as conduct interviews during the site visit in order to assess the strengths and weaknesses of the program and identify strategies for improvement. Reviewers are asked to consider national trends in the discipline in determining how the program fares in comparison to aspirational and comparable programs. The external reviewers synthesize findings into a final report that forms the basis for later stages of the program review process.

The Charge includes questions that the Review Team may (not “must”) use to guide its deliberations; most of the questions will be used for all programs (see below under Model Review Team Charge), but some are likely to be program-specific.

At least thirty days prior to the scheduled visit, the information from the program self-study and a package of additional information (contents of the package follow below) are sent by the PROC Analyst to each member of the Review Team. Members can request electronic or hard copies of the documents. A similar information package is provided electronically to the members of the PROC, to the School Dean(s), and to the VPDUE with one exception: the Review Team receives summaries of all survey data; the campus recipients will not receive copies of data identified as confidential.

The following items are included in the packets sent to members of the Review Team along with the Program self-study and a cover letter signed by the PROC co-chairs:

1. Tentative schedule for visit
2. Results of confidential surveys of faculty and students. The results will be made available in summary form
3. Current UCM General Catalog
4. Guidelines and Questions for reviewers

A) Model Review Team Charge

UC Merced is interested in your overall assessment of the teaching and research accomplishments and potential of the unit you are reviewing. We are interested in the evaluation of the educational program and assessment practices, as well as comparisons to peer programs. Recommendations to increase resources may follow from your review, but are not in themselves the primary responsibility of the reviewers.

It might be helpful to think of your review with the following questions in mind:

1. Is the undergraduate program coherent in the areas of teaching, counseling, mentoring, and introduction to research for its students? Is it adequate in scope and depth to ensure education is appropriate for the B.A./B.S.? How well does the program align with and demonstrably support UC Merced's mission and goals, including General Education?
2. Are the program goals clear and explicit in regards to what students should be learning in the major, and what skills and knowledge they should be taking away from each course? Is the program meeting its goals?
3. What is the overall quality of the program with respect to the following?
 - a. Faculty teaching (for undergraduate programs, consider teaching of both majors and non-majors)
 - b. Student learning
 - c. Student satisfaction
4. Evaluate the program's assessment of students' learning outcomes. Is the assessment plan appropriate? Effectively administered? Is it used to improve teaching and learning? Has the program had adequate support in developing and responding to its assessments? The team may also wish to comment on its appraisal of student learning in the program, based on both examples of student work and the program's assessments.
5. Are students provided frequent opportunities to assess their skills and knowledge, and provided feedback to help them reflect on what they have learned and what they still need to learn?
6. How well does this program prepare graduates for careers it says it supports? Would top students from the program be viable candidates for graduate programs? Professional programs?
7. Is the faculty quality and breadth of coverage adequate for a strong undergraduate program?
 - a. Areas that should (must) be strengthened or added?
 - b. Areas that should (must) be de-emphasized or removed?
 - c. In which area(s) should the next appointment (resources permitting) be made?
8. In many fields, long-range planning and strategic choices about areas of teaching and research are necessary. Does the program provide an imaginative, workable long-range plan that will allow it to make major contributions to the discipline and to pursue appropriate specializations with distinction? If not, what do you suggest?
9. What would be needed for this program (or some component) to achieve national distinction giving due consideration to present UCM faculty resources compared to those available at top ranked programs elsewhere?

10. Do students feel welcome in the major and is there adequate advising to meet their needs?
11. How do students and faculty feel about class size in relation to program learning objectives? How do they feel about the proportion of classes taught by TA's and non-senate lecturers as opposed to regular faculty? How do students feel about grading standards and the responses they get to written work for their classes?
12. Do the current administrative structures at UCM foster undergraduate education in the program you are reviewing? Are there closely related units, including co-curricular units, at UCM or other UC campuses with which more collaboration should be undertaken? Are there appropriate support facilities such as libraries, teaching and research space, computer labs and training?
13. Is there sufficient interaction between the program and any campus programs with which it should interact?
14. Do students find it reasonable to complete the major on a four-year schedule? Are students in fact completing the major in a reasonable time?
15. Is the program doing enough to recruit high quality students?
16. Are there any questions we have not asked that you feel should be addressed?

We are aware that each program under review presents a special set of circumstances and that your review will need to take these distinctions into account. We intend these guidelines to be suggested topics that you may want to pursue rather than prescriptions of the process. As an External Reviewer, you should feel entirely free to pursue what avenues of investigation will yield constructive and relevant insights into the particular programs. We hope to obtain well thought-out and forthright judgments of where we stand in the academic picture, so that UCM may best capitalize on its strengths and take effective steps to correct weaknesses. The Faculty and Administration will give serious consideration to whatever directions you believe to be most worthwhile in achieving those ends.

Any questions concerning the review should be directed to the PROC co-chairs with a c/c to the PROC and Senate Analysts.

B) Review Team Site Visit

The review team visit is scheduled by the PROC with the assistance of the PROC Analyst. It generally begins with a dinner, followed by one to two days of meetings on campus. The initial dinner should include the Review Team, the Faculty Liaison, the PROC co-chairs, the appropriate Dean(s), the VPDUE, the Program Lead, and a representative of Student Affairs; other people may be included as appropriate.

The first morning of the visit begins with a meeting with the PROC co-chairs and the UGC Chair, who will outline procedures and note any special issues for the review. Meetings will be scheduled with the Dean and the appropriate Associate Dean for the discipline, the VPDUE, the Provost/EVC, and a representative for Student Affairs. In addition, the Review Team meets with the Program lead, the coordinator of undergraduate programs, and with the faculty as a whole. Separate meetings with non-Senate faculty, TAs, and lab staff are also scheduled as appropriate. Finally, the team meets with students and with faculty from closely related programs. As appropriate, there may be a tour of the facilities.

The final activity of the review team is an exit interview. The Review Team meets with the PROC co-

chairs, the UGC Chair, the Dean, the Associate Dean, the VPDUE, and the Provost/EVC as well as the Program lead to deliver an oral summary of their findings and recommendations.

C) Review Team Report

The review team is asked to provide an assessment of the quality of faculty, students, and the program; effectiveness of learning outcomes assessment; areas of strengths and weaknesses; advice on areas to remove or strengthen; adequacy of facilities; morale, and any other issues they wish to address. They are also asked to provide recommendations, with brief rationales, for faculty or programmatic development. These findings are based on the totality of information reviewed, but we ask that the review team treats any confidential information with care when articulating findings and recommendations. While these findings are summarized in the exit interview, the review team is also asked to furnish a written report of approximately 5-10 pages **within four weeks** of their visit. Recommendations for change and future development should be prioritized by level of significance; the review team may, at its discretion, recommend a shorter time between reviews than is usually the case. When the review team report is received, the honoraria are sent to the reviewers.

VII. Review of RT Report

After the review team report is received, the PROC Analyst will send a copy to the Program lead with a c/c to the PROC, the Dean and appropriate School staff (e.g. School Assessment Coordinator). The Program lead will have the opportunity to review the report for factual inaccuracies and misperceptions; any corrections should be submitted to the PROC **within two weeks**. If no response is received, the report will be considered to be factually correct. The PROC will forward the review team report, along with any corrections submitted by the program, and additions made by PROC, to UGC. The level of confidentiality and openness of the finished self-study, the review team report is left to the discretion of UGC. UGC will receive the final report for review and endorsement.

VIII. Response Phase

The effectiveness of academic program review depends on the implementation of the appropriate recommendations contained in the review team report. Thus, in the semester following receipt of the Review Team Report, a follow-up meeting will be scheduled to include the program faculty, the Dean and any other relevant people to discuss the review team recommendations and strategies for implementations. The program shall seek and collect input from all constituents (faculty, students, and administration) and prepare a detailed response. The program response will consist of:

- A detailed narrative addressing the recommendations
- A revised multi-year assessment plan
- An action plan laying out specific goals before the next review and strategies to reach these goals
- A timeline for achieving those goals
- An outline of the resources needed

While the narrative response is the work of the program alone, the action plan should be developed collaboratively with (as appropriate) the Dean, the VPDUE, faculty in adjacent programs, and representatives of the PROC and the UGC.

The program response, including the action plan, are both approved by the Dean, and submitted to the PROC by November 1. When the PROC determines that the response adequately addresses the concerns of the report, it proposes to UGC that the Program Review be closed. A Program Review is not closed until the PROC and the UGC agree that the response to the review is adequate. If a review is not closed, the PROC and the UGC may implement curricular sanctions, and may recommend administrative sanctions to the Dean, the VPDUE and the Provost/EVC. Sanctions may include a

moratorium on faculty appointments, undergraduate admissions or other actions.

IX. Progress Meeting

Upon receiving the PROC and UGC recommendation to close the review, and the program's response, the Provost/EVC initiates a series of meetings with the program faculty, the relevant Dean, and others as appropriate, to develop a Memorandum of Progress describing strategies to implement the action plan.

X. Implementation and Follow-up

In the following months, the Review Team recommendations will be implemented as appropriate through revisions to the Program Strategic Plan, the Dean's budget requests to the EVC/Provost, and any revisions of policy/ies and program(s) that are submitted to UGC. Based on the follow-up meeting(s), UGC and PROC will produce a written closure report, which shall be included in the official record of the review. The Review Team Report, the results of the progress meeting and the Action Plan serve as the foundation for the next review cycle.

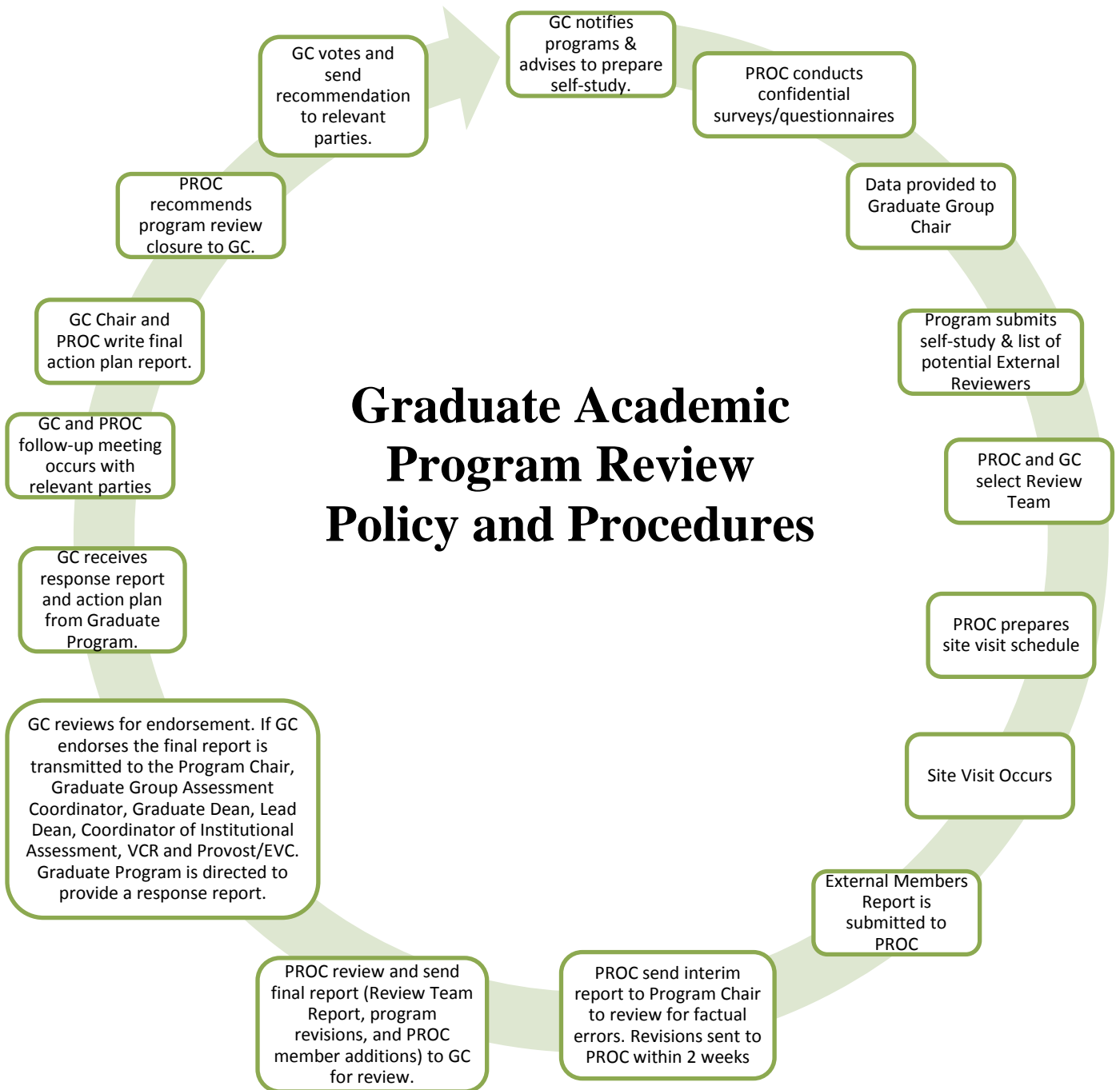
XI. Closing the Review

When the program's response has been approved and the follow-up meeting closure report has been discussed by UGC, the PROC will recommend to UGC that the Program Review be closed. UGC will vote and notify the relevant parties of its decision.

DISTRIBUTION OF CLOSED REVIEW MATERIALS: Copies of the unedited review team report, the program's response, and other pertinent documents shall be sent to the Chancellor, Provost/EVC, VPDUE, School Dean, the UCM Office of the Academic Senate, as well as the PROC. File copies of these documents, along with the original self-study and the summarized results of the student and faculty surveys, will be stored in the Office of the Academic Senate. A brief summary of the programs reviewed and Senate actions are included in the PROC and UGC Annual Reports.

CONFIDENTIALITY: Undergraduate Program Reviews will be treated with confidentiality until they are closed. The self-study, the review team report, and the final implementation plan are open to examination after the Review is closed. The results of student and faculty surveys are available only in summary form. Particular documents and sections of the report may be maintained as confidential documents available only as needed for particular reasons at the request of either the Program or the PROC. Petitions to review confidential material will be reviewed by the PROC and the UGC.

Graduate Academic Program Review Policy and Procedures



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GRADUATE PROGRAM REVIEW POLICY AND PROCEDURES

I. Overview

As a public trust, the University of California, Merced, strives to assure its many constituents that it fulfills its obligations to create, preserve, and disseminate knowledge for the public good. Academic Program Review is one way the university demonstrates its commitment to accountability and continual improvement. Academic Program Review is predicated on the idea of expert evaluation. Academic programs, combining cutting edge research with teaching, are far too complicated to be evaluated by simple measures; each program must be evaluated by peers whose knowledge of the fields of inquiry and education enable them to identify programmatic strengths, weaknesses, and opportunities.

Program review simultaneously serves both external and internal needs. Externally, Program Reviews are an essential requirement of Accreditation in that they show reflection on annual program learning outcomes and on student success data, while providing an institutional mechanism for responding to shortcomings. In particular, program review must ensure that budgetary planning takes student learning and student success into account. Internally, Program review enables us to consider annual assessment as a piece of the larger whole, connecting student learning to research and public service as appropriate. Perhaps more importantly, while WASC, under the direction of the U.S. Department of Education, holds us to modest standards, expecting us to cite program reviews when providing evidence that our students can demonstrate a number of “core competencies” upon graduation, we seek to foster excellence, creativity, and innovation, to create programs that attract students who seek distinctive, cutting edge, and prestigious approaches to learning and research. Thus, we see Program Review as an opportunity to reflect not just on what we are doing, but also on how we want our programs to grow.

Program Review is therefore both formative, in that it shapes the actions of a program in its ongoing development, and summative, in that it identifies particular issues and problems that may need to be addressed and identifies actions required to address such issues and problems. Given that Academic Program Review should spur creativity while also responding to external review requirements, and given our wide variety of programs and programmatic structures, Reviews must be carefully tailored to specific circumstances. Thus, Program review requires three distinct phases:

1. **Preparation:** Periodic Review Oversight Committee (PROC) consults with program faculty, graduate council, and administrators to determine the scope of review, articulating a plan for the self-study that considers the program’s circumstance¹. The program under review then develops a self-study responding to this plan. Upon receipt and review of the self-study, the PROC drafts a charge to the external review team in consultation with Graduate Council and the lead dean. The charge will include the basic questions listed below and any further questions deemed useful for the review by the

¹ E.g. standalone graduate program, graduate program with undergraduate program, graduate program with programmatic accreditation, etc.

PROC, Senate and administration. PROC conducts confidential surveys of faculty and students as needed.

2. **Site Visit:** A review team, composed of external members, and accompanied by a campus liaison, visits the campus to meet with constituents identified by PROC and listed in the charge.
3. **Follow-up:** The Program Chair and relevant Dean respond to the self-study and present the response to the PROC. The Program Review is closed only when the PROC reports to the Graduate Council (GC) that the response of the program to the Review Team report adequately addresses the recommendations and the follow-up meeting has taken place with both committees. This normally takes place by the end of the second year of the Review. The combination of these activities allows for an evidence-based assessment of programs which engages faculty and administration, and that can be used as the basis for ongoing academic planning and for resource allocation.

Reviews of graduate programs are conducted under the authority of the [Standing Orders of the University of California](#), the [University of California Academic Senate](#), and the [Merced Divisional Bylaws](#). Under Merced Divisional Bylaw II.4.C., GC has the authority to establish and review graduate programs. Thus, GC, with the aid of extramural review teams, and supported by the UCM Office of the Academic Senate, is responsible for Graduate Program Review. GC also retains the final authority to alter the type, format, requirements, review cycle, and length of program review.

The details of Program Review are coordinated by the Periodic Review Oversight Committee (PROC), a joint senate-administration committee supported by the Office of Institutional Assessment under the Provost's Office.

The Graduate Council will establish the sequence of program reviews, a sequence that is revisited annually. The current sequence is posted on the Program Review section of the Senate website. The sequence can be altered by action of the GC. In the first year, the program prepares a self-study and has a site visit by a program review team. In the second year, the administration and program respond to the findings of the review.

Usually programs will be reviewed every seven years, though circumstances in the interim (such as radical change in a program requiring GC approval) may justify acceleration or delay of reviews. A program may formally request to delay their review by up to one year, if circumstances warrant. The request must be signed by the program chair and lead Dean, explaining the need to delay, and sent to GC for approval.

For new programs, the first review occurs when the program proposal is submitted to GC for approval; that review follows the format prescribed for applications by CCGA, not the format outlined in this document. Otherwise, programs will be reviewed seven years after CCGA approval. However, programs may choose to be reviewed earlier in order to synchronize undergraduate and graduate program reviews to be on the same schedules. Within seven years of first admitting graduate students, any graduate emphasis area under the Interim-Individualized Graduate Program (IIGP) that has not submitted a proposal to CCGA for approval as a standalone graduate program is subject to Program Review.

For IIGP emphasis areas offering multiple tracks², each track will be scheduled for a separate abbreviated review during the same time as its IIGP emphasis area. GC will determine the format for the abbreviated review and what information will be required from each track. GC will contact each lead faculty member from each track regarding their abbreviated review. In general, tracks will be expected to provide a brief written report containing evidence and analysis of the critical features of the track, a plan for the future direction of the track, and establish a procedure and timeline for the track to lead to a stand-alone graduate program, if that is what is planned. No questionnaire will be conducted for the abbreviated reviews. The PROC will review the written report and may interview the lead faculty member. The abbreviated review of the tracks will be discussed concurrently when the “parent” IIGP emphasis area undergoes review.

A. Guidelines

It is the GC’s responsibility to evaluate the academic components of graduate programs and to identify those that define the distinctive character of UC Merced as a research university. In collaboration with the Administration, those that define the academic character of UC Merced should be supported and managed in such a manner as to optimize graduate education and research across the campus.

Criteria to be considered in identifying and prioritizing graduate programs that contribute to the quality of the campus include:

- the quality of curriculum, faculty and students;
- the record of achievement of the program;
- the place of the program in the field as a whole;
- the anticipated future of the program and the discipline;
- the contribution and centrality of the program to the missions and goals of the campus and the state;
- the contribution of the program to other fields of study at UC Merced at the graduate and upper division undergraduate levels;
- the FTE, financial and facilities resources required for developing or maintaining the strength of the program.

As scholarship is dynamic, it is expected that the faculty will propose new graduate programs. The criteria for evaluating newly proposed programs differ from those used in evaluating existing programs, in that a new program would not have a record of accomplishment.

B. Standards and Measures

Academic Quality – The paramount criterion on which all academic programs are to be judged must be quality, which is the excellence of achievements. This includes quality of the faculty, entering students, graduates, and the overall quality of the academic experience, including learning and research as perceived by those associated with the program and by external evaluators. The quality of graduate programs must be judged in a manner that is independent of the final degree objectives of the students. In assessing the quality of graduate programs, the following will apply:

² In this document the term tracks refers to graduate program emphasis that serve as an umbrella (incubator) for the development of graduate programs in related fields.

1. *Programs* – Quality in a graduate program refers to the degree to which a program has:
 - a clear statement of its mission and goals;
 - a curriculum that is appropriate to the mission and reflects current thinking in the discipline or field;
 - consistently good teaching in courses;
 - good faculty mentoring of graduate students;
 - members contributing to the establishment and attainment of program goals;
 - appropriate, assessable and aligned statements of student learning goals and outcomes at the course and program levels;
 - engaged annually in assessment processes and used appropriate feedback and student learning results to inform programmatic practices.
2. *Faculty* – Quality with regards to faculty refers to the degree to which students are:
 - actively engaged in significant research or other relevant creative endeavors;
 - making a contribution to their discipline or field in the form of;
 - good teachers;
 - good mentors for graduate students;
 - contributing to improving the program.
3. *Students* – Quality with regard to students refers to the degree to which students:
 - are highly qualified for admission into a program;
 - produce excellent research or creative works in projects, theses or dissertations, and, if relevant, publications;
 - successfully compete for placements after graduation (employment, admission to further graduate education, post-doctoral appointments);
 - successfully compete for campus, UC, national, and international scholarships, fellowships, and research funding;
 - are retained and able to complete their degree in accordance with expected timelines;
 - demonstrate achievements of learning outcomes at expected levels.
4. *The place of programs in the field as a whole* – Assessing the place of a program in the field as a whole refers to internal and external recognition of:
 - outstanding faculty achievement in research;
 - effective teaching programs;
 - successful students;
 - public service relevant to disciplinary potential.
5. *The future of the program and discipline* – Assessing the future of the program and the discipline refers to an assessment of the degree to which a program:
 - reflects academic vitality and is engaged with distinctive or emerging intellectual directions;
 - recognizes and adopts new trends in graduate education;
 - provides an education that will allow graduates to pursue current and future employment opportunities.
6. *The record of achievement of programs* – The record of achievement of existing programs refers to the degree to which a program is successful in:
 - recruiting highly qualified students to the graduate program;

- honoring the University's goals of diversity in its student cohorts³;
- retaining and supporting its graduate students;
- providing the facilities necessary for student research;
- facilitating/ensuring students' completion of their degrees in a timely fashion;
- placing its students in appropriate positions after graduation;
- effectively using assessment processes to improve programmatic practices related to student attainment of education and outcomes.

C. Priorities

These guidelines will be used by the GC, PROC and review teams in reviewing existing programs and by the GC in establishing new programs. The GC will use these measures in recommendations of establishment, continuation, or disestablishment of individual programs. The degree to which programs demonstrate success in meeting these guidelines will be used to recommend resource allocations (e.g., faculty FTE, block grant funds, and graduate student admission quotas) and to determine the viability of programs within the broad context of graduate education on the campus.

D. Practicalities

UC Merced is a new and developing campus with multiple graduate programs in various stages of development. As such, it is expected that some review activities and/or criteria will be impossible to complete or unavoidably poorly developed when undergoing graduate program review. In such cases, the limitations on the assessment possible should be stated succinctly. For example, some statistical measures may simply have sample sizes that are too small to be interpreted confidently.

The burden of program review may be large for small graduate programs, in which case existing methods of assessment should be used and independent metrics should be co-opted in the circumstances in which this makes sense.

E. Program Review Schedule

Program Review is a two-year process. In the first year, PROC in consultation with GC, the lead dean and relevant Senate committees defines the scope of the review for the self-study. The program then prepares a self-study. Following receipt and review of the self-study, the PROC in consultations with GC, the lead dean, and relevant Senate committees draft and approve the charge. In the second year, the review team visits. Then the administration and program respond to the findings of the review.

Program Review Schedule⁴

³ University of California Diversity Statement adopted by the Assembly of the Academic Senate May 10, 2006; endorsed by the President of the University of California June 20, 2006.

⁴ Minor variations in the timetable are the purview of the Periodic Review Oversight Committee

<p style="text-align: center;">Year One</p>	<ul style="list-style-type: none"> • January/start of spring semester (Jan X) – Programs under review receive formal notification. • By March 1: <ul style="list-style-type: none"> ○ With consultation, PROC determined with the scope of the review, notifying the program of the format for the self-study. ○ Administrative support team meets with program in February to review purpose, process, timeline, responsibilities, support available, etc. • April 1 – Program with dean input submits list of possible reviewers due to PROC. • May 1 – By this date, PROC reviews; list of reviewers is set. <ul style="list-style-type: none"> ○ Start recruiting team for a spring visit following year. ○ Data package provided to program. • September 1 – self-study submitted to PROC; distributed to relevant Senate Committees, Dean, with basic charge and request for additional input into charge. • Confidential survey of students and faculty conducted in fall, as needed. • By December 1 – charge is finalized, and sent to External Review Team with self-study.
<p style="text-align: center;">Year Two</p>	<ul style="list-style-type: none"> • Site visit takes place before spring break. • By June 1 – final external review team report submitted to PROC, following factual error check. • By Sept 1 – PROC forwards External Team Report (ERT) to program and EVC, and Dean. Dean is asked to coordinate response, including program/administrative response to ERT recommendations, development of implementation plan, resource commitments, etc. This should involve EVC. • November 1 – Response and implementation plan due to PROC, which sends to relevant Senate Committees for evaluation, input, and conclusion if review should be closed. • By start of spring semester – PROC has approved implementation plan for integration into budget. Review is closed.

II. Periodic Review Oversight Committee

The Periodic Review Oversight Committee (PROC) is a joint senate-administration committee supported by the Office of Institutional Assessment under the Provost's Office, and it conducts the Graduate Program Review.

The PROC:

- Makes recommendations to GC about the schedule of Program Reviews
- Collaborates, as necessary, with UGC to coordinate Program Review when there is a simultaneous review of undergraduate and graduate programs
- Invites reviewers to serve on Program Review teams
- Designs and conducts confidential surveys of students and faculty for each program under review with the approval of GC. The Office of Institutional Research and Decision Support (IRDS) will provide assistance with the implementation of the surveys.
- Summarizes the results of student and faculty surveys and identifies which summarized results may not be shared beyond the Review Team
- For emphasis areas, receives and reviews the track reports
- Receives the final review team report and submits it, along with any corrections of fact, to GC
- Reviews the response of the Program Review Report made by the Program and Graduate Dean
- Recommends to GC that the Program Review be closed
- Reviews the implementation of the response plan by programs and administration
- Provides GC with an analysis of the aggregate results and actions of the Program Reviews completed in a given year. Any patterns will be highlighted for future investigation
- Every year, the PROC reviews the last three years of Program Review results; a report on patterns and recurring issues will be shared with GC; results for particular schools, if relevant, will be shared with the School Curriculum Committee.
- Consults with appropriate members of the Senate and Administration as necessary.

In addition, a senate member of the Periodic Review Oversight Committee serves as the Senate Liaison for Program Review teams.

III. Program Self-Study

To correspond with the Undergraduate Program Review Policy, the Graduate Program self-study similarly consists of two parts: an Executive Summary and Data Appendices. The Executive Summary must be less than 20 pages, single-spaced; summarize the strengths, weaknesses, and challenges faced in the program; and provide an overview and interpretation of the material covered in the Data Appendices.

A. Executive Summary

The Executive Summary should be able to stand alone as a relatively brief, concise document of the larger self-review. The composition of the Executive Summary is the responsibility of the faculty, and not that of the staff. It is a rare, valuable opportunity for the faculty to have a conversation about the strengths, weaknesses and challenges of the graduate education they are

delivering. The Executive Summary should be based on the data in the self-review, and thus should be prepared only after the self-review data has been compiled. Past experience has demonstrated that the best result is obtained if the chair prepares the Executive Summary based on collaboration among the faculty.

Great care should be taken in preparing the Executive Summary as:

- the review team will use it as the foundation for its interviews with faculty, students, and administrators and the foundation for their assessment and recommendations;
- it will become part of the official record that will be included in the Self-review Data section of subsequent reviews.

Graduate programs at UC Merced vary considerably; the features of the program that might not be clear to colleagues outside of the program should be explained. For example, explain the role of the master's degree in a doctoral program or the relationship between the graduate program and divisions within a home school.

The study should address the following questions:

- I. Introduction: Program Mission, History, Context
- II. How does the program envision its work?
- III. How will the program accomplish its missions?
- IV. Who are the primary individuals/teams taking responsibility?
- V. How is progress being monitored and how is relevant feedback being incorporated?
- VI. Future directions/planning

Most of these are self-explanatory and should be generated internally by the program/unit. Data to support questions III and IV can be provided with the assistance of the Graduate Program Coordinator and Graduate Division, who will work with the program and GC on their preparation.

The program self-study, other than the Table of Contents, may be organized in a way that makes sense to the program. The questions below should serve as prompts, and should be answered as appropriate.

1. Table of Contents/ Contact Information

I. Introduction

This serves to orient the reader to both the Program itself and the self-study, and can provide an overview of report, Program mission, Program history, and internal and external contexts that shape the program. Major changes in the program since the last review or initial program approval should also be highlighted.

II. How does your program envision its work?

This includes program philosophy, program goals, and program learning outcomes (PLOs). What do you want your students to learn, and how do you measure their learning outcomes? How do these relate to School and University missions and goals, including institutional planning documents as relevant? How does your program relate – in mission and goals – to other similar programs? What kinds of careers will the program's PhD and

Masters students be pursuing after they graduate?

- III. How will the program accomplish its missions?
This includes curriculum, graduate student support (tuition, NRT, stipends, conference travel, summer support, etc.), advising, student publications, recruitment and retention. How do these compare with comparable graduate programs at peer institutions? Are there disciplinary guidelines or best practices that have shaped the curriculum and career preparation?
- IV. Who are the primary individuals/teams taking responsibility?
Provide an overview of the graduate program's faculty, their qualifications, and contributions to the field and program. This includes their roles in planning and assessment and their record of graduate student placement after graduation.
- V. How is progress being monitored and how is relevant feedback being incorporated?
This section should reflect on the results of annual assessments, the development and effectiveness of the Assessment Plan, and the ways the annual and cyclical assessments have been used to improve student learning, teaching and research training, the learning environment student support, the students' teaching skills, and curriculum. It may also reflect on the adequacy of institutional support in improving both student learning and assessment itself. It should also draw on relevant student data that are provided in the appendices, including time to degree and disaggregated data on career placement of students after graduation. These data should be used to identify strengths and weaknesses of the program.
- VI. Future Directions/Planning
Summarize main points of the current strategic plan, as well as any long-term thinking about the program. In this section, the program may wish to suggest possible changes in the Assessment Plan. Future planning should reflect on enrollment trends in the program, current student/faculty ratios, necessary institutional support of graduate students, and any other issues that impinge on sustainability. Note: if in the course of the self-study a program begins to think about changes to its curriculum, we recommend that these be outlined here, but not submitted to GC for review until after the site visit has been completed. This section may also include any issue the program wants to bring up that would be helpful to the review.

2. For programs being reviewed for the first time:

- Since the program was approved: Briefly address how the program has evolved since the program proposal was approved.
- Other key changes: Briefly describe these changes.
- Briefly outline any limitations on assessment due to the stage of development of the program.

B. Self-Study Data Appendices

1. Documents from the Previous Program Review

This section contains either the documents from the program's previous review or the program's approved proposal (for programs being reviewed for the first time). The PROC analyst will provide one copy of the documents. The program is responsible for making the appropriate copies for the self-review binders.

For programs previously reviewed:

- The PROC analyst will provide one copy of the documents from the last review that must be included "as is" in this section.

For programs that are being reviewed for the first time:

- Change the tab and section title to: "Approved Graduate Program Proposal."
- The PROC analyst will provide one copy of the approved program proposal and the approval letter from the Office of the President, which must be included "as is" in this section.

2. Program Administration

Administrative Profile

The Administrative Profile is an overview of the organizational structure of the program. Provide the following information:

- *Program name:* If the name of the program has changed since the program was approved, provide the history of the name.
- *Chairs:* List the current and past chairs and their term of service, since the program was approved. For departmentally based programs, list the department chair and graduate program chair.
- *Graduate advisor(s):* List all faculty members serving as a mentor or thesis advisor to graduate students for the current academic year, as appointed by Graduate Council.
- *Committees:* For the current academic year, list each committee and the members. This list should correspond with committees listed in the program's bylaws. Do not provide a description of the committee, that information is included in the program's bylaws.

Faculty Membership List

Provide a list of the faculty (according to the program's bylaws) who have held membership in the program for the last three years, their academic title, and school affiliation.

- *Name:* Provide first and last names of the faculty member
- *Academic Title:* Provide the current academic title for each member
- *School Affiliation*

Graduate Student Organization

Provide information on the program's graduate student organization; include how graduate students participate in policy matters pertaining to your program and the current status of any graduate student organization that strengthens the development of your program.

- If a student organization is currently active, the student officers may submit this statement.
- If the program does not currently have a graduate student organization, provide a

statement to that fact and explain why one has not been established.

Bylaws

Graduate programs may not operate under bylaws that have not been reviewed and approved by GC. All graduate programs must have approved bylaws that are in compliance with Graduate Council's Bylaws Guidelines. The PROC analyst will notify the chair if the bylaws need to be revised and submitted to GC for review. As part of the review process, programs are asked to review their bylaws for compliance with GC's Bylaws Guidelines. Programs should complete this process once the review has been initiated and submit all revisions to the GC no later than March 1st during the first year of review. Future revisions should be submitted no later than three months before the self-review is due.

3. Student Information

Current Graduate Students

Provide a roster of currently enrolled graduate students in the program (include those on PELP and filing fee status). The information should be presented in a table that contains the following: name of the student, year enrolled and degree status (e.g., MA, MS, PhD, Filing Fee, and PELP), graduate GPA, Graduate Advisor, undergraduate degree, undergraduate institution, and undergraduate GPA. Table 5.1 is an example.

Table 5.1 Current Student Data: 2008-2009

Name	Enrolled/ Status	Grad GPA	Graduate Advisor	UG Deg.	UG Institution	UG GPA
John Jones	2005 /PhD	3.8	A. Smith	B.A.	Worton	3.7
Emily Seed	2004/PhD, Filing Fee	3.9	P. Drown	B.S.	Peppermill	3.4
Juan Rush		3.5	R. Peters	B.A.	Swartmore	3.6

Aggregate Data

Most of the aggregate data is available from the Graduate Division Office annual reports, which can be provided to the Graduate Program upon request.

The following information is required:

1. Basic statistics (extract data for the last eight years, and present in one table).
2. Application, admission, and new enrollment headcount (select all years available)
3. Enrollment headcount by student type (select all years available)
4. Enrollment headcount by degree objective (select all years available)
5. Enrollment headcount by gender (select all years available)
6. Enrollment headcount by citizenship (select all years available)
7. Total enrollment headcount (select all years available)
8. Annual average enrollment (select all years available)
9. Number of graduates by degree conferred (select all years available)
10. Analysis of retention and completion rates.

The average GRE scores for the admitted and enrolled students are required for one representative year. Table 5.2 is an example of what is needed.

Table 5.2 Average GRE Scores of Admitted Students – Fall 2008

	GRE Analytical	GRE Quantitative	GRE Verbal
Domestic admitted	80%	92%	86%
Domestic enrolled	84%	96%	89%
International admitted	81%	91%	83%
International Enrolled	83%	88%	78%

Student Financial Support

For this section Graduate Division generates a report on support that the program's graduate students received. The report will be provided to the programs by the PROC analyst. The report should be inserted in the self-review document.

Professional Development Opportunities

Provide information and percentage of students participating in professional development programs to become competitive for jobs in industry and/or academia. Note: If students have not yet participated in professional development opportunities, then the chair should discuss with the program faculty the need for a set of practices, workshops, and meetings that will ensure students are prepared for all aspects of professional life, including the values and ethics of their fields.

Alumni

Provide a list of students who have graduated since the last review and include the following information:

- Student name;
- Year graduated; and
- Most recent placement information: Employer, job title, city/state/country.

Benchmark Data

A benchmark data report should define student productivity. It can include, but is not limited to, the number of theses and dissertations for the last seven years; number of student publications and professional presentations; attrition rates; degree completion rates; and average time to degree.

4. Admitting and Mentoring Students

Mentoring Guidelines

In order to address the programmatic climate of the graduate program, information regarding the quality of student mentoring should be included.

1. Provide a copy of the mentoring guidelines⁵ for the program. Note: If a program has no mentoring guidelines, then the chair should discuss with the program faculty the need for the development of such guidelines.
2. Provide an example of the announcement that annually notifies the faculty and students of the program mentoring guidelines and the location of the URL for those guidelines.

Degree Requirements

⁵ Programs should consult the Graduate Advisors Handbook.

Each graduate program must have a document approved by the GC that contains all of the degree requirements for the master's and/or doctoral degrees that it offers and must share this document with its students. Whether a master's degree leads to a doctoral program or not, a master's degree should have its own academic integrity. **A program may not impose requirements that have not been approved by GC.**

Provide a copy of your program's most recently approved degree requirements⁶ and a copy of the approval letter from GC. If you do not have a copy of these documents, contact the PRC analyst for assistance. Note: The information is posted on the graduate program's website and it must include:

- the date the degree requirements were approved by Graduate Council;
- the exact wording of the document as approved by the Graduate Council.

In the event that it is determined during the self-review preparation that the program's degree requirements need revision, the following policies and procedure must be followed: While a program is in the "review phase"⁷ degree requirements will not be reviewed by the GC until the PROC report and GC's transmittal letter have been forwarded to the program. Once the program review has been conducted and is in the "follow-up phase," degree requirement changes may be submitted for review and GC will consider them as a priority item. It is expected that the graduate program and the committee will work together to expedite the review, revision and approval process. Refer to GC's Procedures for Review of New Graduate Emphasis Areas and Graduate Groups for information regarding format, submission of changes, etc.

Courses Taught

Provide a list of the program's core and elective courses, when they were taught and by whom for the past five years. This information should be organized by year.

Graduate Student Handbook

Each graduate program should have a "Graduate Student Handbook" with the information a graduate student needs to understand the graduate program's policies and procedures. This is a handbook separate from the degree requirements required in Section 5.4.2. The Graduate Student Handbook should include practical information students need to negotiate the campus – how to get a CatCard, the health center location, and so on – but the far more important information for new and continuing students includes the following (as examples):

- How to find a graduate advisor; how to change advisors;
- The curriculum, with required courses, electives, and the required (or recommended) sequence in which students take the courses;
- How to arrange for independent study units as part of the student's program
- How and when to put together a qualifying examination committee and a thesis or dissertation committee, and the rules about the composition of those committees;
- Opportunities for graduate student participation in the governance of the graduate program;
- A sample checklist so the student can keep track of his/her progress toward the degree.

⁶ This must be a verbatim version of the version approved by GC

⁷ The "review phase" covers the period from the date the program's self-review is submitted to the PROC to when Graduate Council sends the PROC report back to the program.

Graduate programs should consult with current graduate students while creating or revising the program's Graduate Student Handbook so that the document answers the sorts of questions students have when they enter the program and at each stage in their continuing education.

If the Graduate Student Handbook is available on the graduate program's website, print out a copy and insert it in the self-review document. If a program is in the process of developing a handbook, provide a copy of the draft document and information on when the document will be finalized and provided to students.

Guidance Procedures

Provide the program's guidance procedures for new and continuing students. While some of this information might already be contained in the Graduate Student Handbook, for clarity the guidance procedures should be repeated here. This section should include:

- Established procedures for the selection of graduate advisors;
- Guidelines for how recommendations regarding the appointment of examination and dissertation/thesis committees are made; and
- Samples of checklists used to track students' progress to degree.

Teaching Assistant Training Procedures

If your program hires and trains its Teaching Assistants (TAs), please include:

1. Your procedure for hiring and training;
2. The university requires that schools hiring TAs provide the graduate student TA a clear, written statement about the duties of the TA for a course, including expectations about how the TA will spend an average of 20 hours per week (for a full-time appointment) performing those duties.
3. If your program does not assign TAs, provide a statement to that fact on a separate page in the self-review.

Note: If the information requested for the Admissions Policies, Guidance Procedures, and TA Training Procedures subsections is provided in the program's Graduate Student Handbook (or equivalent) that document may be inserted in the self-review. Include a cover page that lists all of the requested information and the page number in the handbook where it can be found.

GSR Compensation Plan

Include the program's latest approved GSR compensation plan. Programs should be aware that UCOP periodically adjusts GSR salary scales, which results in automatic salary increases for a given percent time appointment. Current salary scales are available at <http://www.ucop.edu/acadadv/acadpers>. For all graduate programs, a copy of the original compensation plan and any updates to the plan should also be filed with the Graduate Division.

Recruitment Materials

Provide a copy of the program's current recruitment materials:

- Current recruitment materials, such as brochures and website print-outs; and
- Sample letters to applicants and admitted students and/or email messages used in place of a letter.

- Include copies of letters and materials used by the Graduate Division.

5. Faculty Information

Faculty Research Grants

For the last seven years, provide a listing of the grants held by faculty in the graduate program – **only** those grants that support graduate students in the program. That is, grants that do not support the graduate students in the program should not be included. If the grant also supports students in other programs, the information must be broken down only to account for the number of students in the graduate program under review.

Provide the following information:

1. source (e.g., NIH, not name of grant)
2. dates of the grant (life of the grant)
3. estimate the number of students in the graduate program under review supported by the grant by providing
 - a) time period of that support; and
 - b) total percentage appointed per semester.

Abbreviated CVs

For each faculty member of the graduate program, provide an abbreviated CV (two pages at the most) that span the last seven years. Often this information is already available in grant proposals that a faculty member has submitted recently, such as to NIH or NSF. In such an instance, use this abbreviated CV. Otherwise, provide the following information:

- Name
- Highest degree, institution, year of degree;
- Area of expertise (two lines);
- Membership in the program's committees and other services to the program;
- Number of published, peer-reviewed papers. If the faculty member is in a book discipline (e.g., humanities), then briefly describe the book project. Faculty members in the performing or fine arts should indicate major performances or exhibitions;
- Five key papers that were published related to the program. Humanities and performing/fine arts faculty should indicate their work with most relevance to the graduate program;
- Professional awards and honors (three lines maximum); and
- Service to the profession (including consulting, where appropriate).

C. Submission Format

1. Number of Copies Needed

Six copies of the Self-review document are needed.

2. Presentation

The information must be presented precisely in the format described below.⁸ The Executive Summary and the Data section must be presented in two separate binders. The presentation of the **Executive Summary** document shall be as follows:

- Cover page: Include **Executive Summary**, the name of the graduate program and the year in which the review was initiated.

The presentation of **Data Section** document shall be as follows:

- Cover page: Include the **Data Section**, name of the graduate program, and the year in which the review was initiated.
- Major headings: Each section and subsection must be present in following order and separated by tabs and a colored sheet of paper with the title of the section or subsection:
 1. Documents from the Previous Program Review⁹
 2. Program Administration
 - a) Administrative Profile
 - b) Faculty Membership List
 - c) Graduate Student Organization
 - d) Bylaws
 3. Student Information
 - a) Current Graduate Students
 - b) Academic Qualifications
 - c) Student Financial Support
 - d) Alumni
 - e) Benchmark Data
 4. Admitting and Mentoring Students
 - a) Mentoring Guidelines
 - b) Degree Requirements
 - c) Courses Taught
 - d) Graduate Student Handbook
 - e) Guidance Procedures
 - f) TA Training Procedures
 - g) Recruitment Materials
 5. Faculty Information
 - a) Faculty Research Grants
 - b) Abbreviated CVs
 - c) Graduate Teaching Evaluations

IV. Review Team

The Review Team is accompanied by a PROC senate liaison; and two or three external faculty

⁸ If it is not in the required format, the PROC analyst will return the documents to the program for correction.

⁹ If the program is being reviewed for the first time, the section title and tab should be **Approved Graduate Proposal**

from peer institutions. Where possible, in the case of interdisciplinary programs, reviewers representing the disparate disciplines of the group will be chosen. All external reviewers should not be connected to the programs graduates, former faculty, or research; and at least one of those external faculty should be from a UC campus. The review team is selected from a list generated with input from the program chair and faculty, relevant deans, PROC members, and GC members. The list submitted via email to the PROC Analyst should include the names, contact information, and vitae. Potential team members will be ranked by the PROC. They will be contacted by the PROC liaison in charge of the review; and when they have accepted, they will be sent an official appointment letter. The Senate Office coordinates the Review Team travel, travel expense reimbursements and honoraria payments.

The Periodic Review Oversight Committee, in consultation with the Dean of the Graduate Division, the lead Dean, and the GC formulates a “standard” set of questions that the Review Team may (not “must”) use to guide its deliberations; most of the questions are used for all programs, but some are program-specific. These are based on the Review Team Guidelines (see below) but may be more specific. The program is provided with the questions that are sent to the Review Team.

About 30 days prior to the scheduled visit, the information from the program self-study and a package of additional information (contents of the package follow below) are sent by the PROC Analyst to each member of the Review Team. Members can request electronic or hard copies of the documents. An identical information package is provided electronically to the members of the Periodic Review Oversight Committee. The program, Lead Dean and Executive Vice Chancellor/Provost receive a copy of the package of the material except confidential responses to surveys, which are dealt with as described previously in this document. The following items are included in the packages sent to members of the Review Team along with the Program self-study and a cover letter signed by the PROC co-chairs:

1. Tentative schedule for visit
2. Results of confidential surveys of faculty and students. The results will be made available in summary form.
3. Current section of the UCM General Catalog
4. Additional materials that the process elicited (Abbreviated Program Review of Tracks)
4. Guidelines and Questions for reviewers

V. Review Team Guidelines

A. Review Questions

The review team may ask any questions they deem appropriate. The following questions are provided to the review team as a guide and to assist the program members in their preparation for the review. Of the suggested questions, certainly only those that are relevant to the program should be asked.

1. General

1. What are the program’s educational goals and outcomes? What role is it expected to play on campus in terms of its educational offerings and research? How do the program’s

- goals and outcomes align with those of the University of California as a whole? Is the program meeting its educational goals and outcomes, as well as the expectations of others? How do you know?
2. Does the program fulfill its role in:
 - (a) attracting students of promise?
 - (b) recruiting and retaining faculty members of quality?
 - (c) justifying the instructional resources it requires?
 - (d) flexibility in accommodating changes in the campus mission?
 3. How does the quality and productivity of the program compare with other programs in the same discipline?
 4. Using relative standards of comparison from the most outstanding programs in the discipline (indicate comparison within the University of California, nationally and internationally), how does the program compare in:
 - (a) breadth of faculty (collectively) and their professional reputations?
 - (b) facilities, library holdings, and financial support for further development?
 - (c) providing a learning environment conducive to excellence in research and scholarship?
 - (d) the quality and number of students in view of the facilities for research, the size of the faculty, and career opportunities for graduates?
 - (e) student demand (e.g., for graduate students, the ratio between applications and admission within the previous five years)?
 - (f) placement of graduates in promising positions?
 - (g) scholarly fieldwork and publications
 - (h) retention, completion and time to degree metrics.
 5. Are the national rankings of this program reflecting the state of the program?
 6. What special characteristics does the program possess in relation to other analogous programs within the University? Does the program exploit opportunities for interaction with related programs on the campus or within the University? What is the impact on other campus programs and within the University?
 7. Has the program changed or developed special emphases to incorporate new knowledge and skills to meet the changing needs of students and the University?
 8. What are the plans for future growth and investments?
 9. Is the program meeting the needs of the discipline, students, state and society?
 10. What is needed to improve the program significantly?

2. Faculty

1. What is the state of faculty morale?
2. Has the program motivated and enabled faculty members to use and develop new knowledge in the discipline?
3. Are there sufficient faculty FTE to support the program?
4. Is faculty participation adequate to support the objectives of the program?
5. Do the faculty receive appropriate credit for participation in graduate education?
6. Are there sufficient facilities in terms of infrastructure and laboratories?
7. How are faculty involved in annual assessment of student learning, including review of student work and assessment results, and the identification and implementation of programmatic changes based on assessment results?

3. Student Education

1. What is the state of the student morale?
2. With what other universities is the program competing in regards to graduate student recruitment?
3. Has the program motivated students to participate fully in enquiry in the discipline?
4. Are the students being mentored and advised in a manner that is appropriate for the discipline?
5. Does the program ensure that consistent information is provided to students as well as advising on program requirements?
6. What contributions do the program's students make to the decision-making, planning, and program organization?
7. Are the students involved in research projects, teamwork, scholarly meetings, and national and/or international activities?
8. Are students knowledgeable about the program's student learning expectations (outcomes), at both the course and program levels, and related assessments?
9. Are the students demonstrating achievement of learning outcomes at expected levels? How do you know? If not, what plans exist to improve student achievement? How will the success of these plans be assessed?

4. Course Curriculum

1. Is there a vision/cohesiveness to the course offerings in the program?
2. Are the core course curriculum, the number or types of courses/regularity of offerings and the number of electives appropriate for the discipline?
3. Is a multi-year assessment plan in place requiring annual assessment of student learning outcomes? Are annual assessments conducted, modifications implemented and complete reports filed as expected? Who receives these reports? Are they integrated into budgeting and planning processes? Are the reports reviewed by a knowledgeable person or committee that offers timely and constructive feedback that is used by the program as appropriate?
4. In preparation for this review, have the faculty evaluated the multi-year assessment plan and the associated assessment results? How has this evaluation been used to revise the multi-year assessment plan?
5. Does the curriculum prepare students for teaching responsibilities in ways that enable knowledgeable and productive support of student learning in relation to the educational goals and outcomes of the programs they support, and the campus as a whole?

5. Student Financial Support

1. Does the program provide sufficient financial support for its students?
2. Is the number of multiyear fellowships adequate?
3. Is the nonresident tuition support adequate for the number of international students in the program?
4. Are there a sufficient number of research assistantships in the program?
5. What is the role of TA teaching in the program? What educational functions do teaching assistantships serve for the TAs? Is there a TA training program? Are there sufficient TA positions available? How are the TA assignments for the graduate students in the program made?

6. Are the students sufficiently informed of grant opportunities and facilities?

6. Resources and Infrastructure

1. Are sufficient resources being allocated by the University to the graduate program in order to allow it to meet its goals, such as financial resources, space, facilities and equipment?
2. Is the program as productive as possible given the resources available to it?
3. Is the number of faculty FTEs appropriate for the existing size of the program? How many FTEs will be needed to realize future objectives?
4. Is there sufficient administrative support?
5. What is the state of graduate staff morale?
6. Is there sufficient technical support?
7. Are adequate infrastructure and financial support in place for annual assessment of student learning?
8. Are the program's plans for improvement, based on annual assessment, supported by the institution?

We are aware that each program under review presents a special set of circumstances and that your review will need to take these distinctions into account. We intend these guidelines to be suggested topics that you may want to pursue rather than prescriptions of the process. As an External Reviewer, you should feel entirely free to pursue whatever avenues of investigation will yield constructive and relevant insights into the particular programs. We hope to obtain well thought-out and forthright judgments of where we stand in the academic picture, so that UCM may best capitalize on its strengths and take effective steps to correct weaknesses. The Academic Senate will give serious consideration to whatever directions you believe to be most worthwhile in achieving those ends. Any questions concerning the review should be directed to the PROC with a cc to the PROC Analyst.

B. Review Team Visit

The review team visit is scheduled by the PROC, with the assistance of the PROC Analyst. It generally begins with a dinner, followed by a day and a half of meetings on campus. The initial dinner should include the Review Team, PROC Co-Chairs, GC Chair, Vice-Provost for Graduate Education/Dean of the Graduate Division, Lead Dean, the VCR, Program Chair, and a representative of Student Affairs; other people may be included as appropriate. The PROC expects a minimum of 50-75% of the faculty and students to participate in the review meetings.

The first morning of the visit begins with a meeting with the PROC Co-Chairs and GC Chair, who will outline procedures and note any special issues for the review. Meetings will be scheduled with the Dean of the Graduate Division, Lead Dean for the program, the VCR, and the Provost/EVC. In addition, the Review Team meets with the Program Chair, and with the faculty as a whole. A separate meeting is also scheduled with any non-Senate faculty and lab staff who participate in the program. Finally, the team meets with students and with faculty from closely related programs. As appropriate, there may be a tour of the facilities.

The final activity of the review team is an exit interview. The team meets with the PROC Co-Chairs, the GC Chair, Graduate Dean, Lead Dean, VCR, and Provost/EVC as well as the

Program Chair/Coordinator to deliver an oral summary of their findings and recommendations.

C. Review Team Report

The review team is asked to provide an assessment of the quality of faculty, students, and the program; effectiveness of learning outcomes assessment; areas of strengths and weaknesses; advice on areas to remove or strengthen; adequacy of facilities; morale; and any other issues they wish to address. The review team is also asked to provide recommendations for faculty or programmatic development. While these findings are summarized in the exit interview, the review team is also asked to furnish a comprehensive written report of approximately 5-10 single-spaced pages **within four weeks** of their visit. The review team will submit their report to the PROC, GC Chair and PROC Analyst. Recommendations for change and future development should be prioritized by level of significance; the review team may, at its discretion, recommend a shorter time between reviews than is usually the case. When the review team report is received, the honoraria are sent to the reviewers.

VI. Final Report and Recommendations

After the review team report is received, the PROC Analyst will send a copy to the Program Chair. At this stage, the Review Team report will be treated as an interim report that will only be available to those directly involved in the review so as to encourage candor and ensure that those directly affected by the review have the opportunity to respond freely. The Program Chair will have the opportunity to review the report for factual inaccuracies and misperceptions; any corrections should be submitted to the PROC within two weeks. If no response is received, the report will be considered to be factually correct. The PROC will forward the review team report, along with any corrections submitted by the program and additions made by PROC, to GC. The level of confidentiality and openness of the finished self-study, review team report, and final report is left to the discretion of GC. GC will receive the report for review and endorsement. If the findings and recommendations are not controversial, GC forwards the report to the Chair of the Program, Graduate Dean, Lead Dean, Graduate Program Assessment Coordinator, the Coordinator of Institutional Assessment, the VCR, the EVC, and any other relevant parties whose responsibility it is to improve the program

VII. Response Phase

The effectiveness of academic program review depends on the implementation of the recommendations, as the goal of program review is to improve graduate programs not to produce review reports. Thus, in the semester following receipt of the Review Team Report, the program faculty will discuss its recommendations with the responsible Dean and any other relevant parties. The program shall seek and collect input from all constituents (faculty, students, and administration) and prepare a detailed response.

The program response consists of:

- A narrative response addressing the recommendations
- Detailed action plan laying out specific goals before the next review and strategies to reach these goals
- A revised multi-year assessment plan
- Timeline for achieving these goals

- An outline of the resources needed

While the narrative response is the work of the program alone, the action plan may be developed collaboratively with (as appropriate) the responsible Dean, the VCR, faculty in adjacent programs, and representatives of the PROC or GC. The program response, including the action plan, are both approved by the Dean, and submitted to the PROC by the end of November. When the PROC determines that the response adequately addresses the concerns of the report, it proposes to GC that the review phase be closed. A review phase is not closed until the PROC and the GC agree that the response to the review is adequate. By December, if a review phase is not closed; the PROC and GC may implement curricular sanctions, and may recommend administrative sanctions to the Dean and Provost/EVC. Sanctions may include a moratorium on faculty appointments, a moratorium on graduate admissions, or other actions.

VIII. Implementation and Follow-Up

In the following months, the Review Team recommendations will be implemented as appropriate through revisions to the Program Strategic Plan, the Dean's budget requests to the Provost/EVC, and any revisions of policy/ies and program(s) that are submitted to GC.

Since most of improvements to graduate programs will take time, GC and PROC will schedule a follow-up meeting with the program and parties responsible for each action item as outlined in the action plan. The relevant parties will be asked to report on what has been accomplished by the end of May and determine if additional action should be taken. Based on the follow-up meeting, GC and PROC will produce a written closure report, which shall be included in the official record of the review. The final evaluation of the implementation will occur at the next scheduled program review.

IX. Closing the Review

When the program's response has been approved and the follow-up meeting closure report has been discussed by GC, the PROC will recommend to GC that the Program Review be closed. GC will vote and notify the relevant parties of its decision.

Distribution of Closed Review Materials

Copies of the unedited review team report, the program's response, and other pertinent documents shall be sent to the Chancellor, Provost/EVC, responsible Dean and the UCM Office of the Academic Senate. File copies of these documents, along with the original self-study and the results of the student and faculty surveys, will be stored in the Office of the Academic Senate. A brief summary of the programs reviewed and GC actions are included in the GC Annual Report to the Academic Senate, Merced Division.

CONFIDENTIALITY Graduate Program Reviews will be treated with confidentiality until they are closed. The self-study, the review team report, and the final implementation plan are open to examination after the Review is closed. The results of student and faculty surveys are available only in form consistent with the confidentiality guidelines described previously in this document.

Appendix A: Sample E- mail to Faculty

The sample email below has been developed to assist the program chair in obtaining information from the faculty:

Dear Colleagues: The [*insert name of graduate program*] is being reviewed this year by the Periodic Review Oversight Committee, a joint Senate-Administration Committee. We are required to submit a self-review for which we need the following information from you by [*insert deadline*]:

1. Current Faculty Research Grants (extramural support only that pertains to the graduate program):
 - a) Source (e.g., NIH, not name of grant);
 - b) Dates of the grant (life of the grant); and
 - c) Estimate of the number of students in the program under review supported by the grant by providing:
 - i) Time period of that support
 - ii) Total percentage appointed per semester.

If none of the funds are used to support students in the program, indicate “none.”
2. Alumni: Attached is a list of your past students. Please update the following information for each student:
 - a) Current job title and employer.
 - b) City/State/Country.
3. Abbreviated CV: Provide an abbreviated CV (two pages at the most) that spans the last five years. Often this information is available in grants that a faculty member has submitted recently to NIH or NSF. In such an instance, use that abbreviated CV. Otherwise, provide the following information:
 - Name;
 - Highest degree, institution, year of degree;
 - Area of expertise (two lines);
 - Membership in the program’s committees and other services to the program;
 - Number of published, peer-reviewed papers. If the faculty member is in a book discipline (e.g., humanities), then describe briefly the book-length project. Faculty members in the performing or fine arts should indicate their work with most relevance to the graduate program;
 - Professional awards and honors (three lines maximum); and
 - Service to the profession (including consulting, where appropriate).

Appendix B: Using external peer review as a component of program review

During the normal course of research and teaching, members of graduate programs including students and faculty regularly undertake activities that require external review or assessment in some manner. For example, review of manuscripts for publication in peer-review journals and grant review. These activities implicitly provide objective outside review of the work being conducted by graduate programs and therefore provide a useful resource for program assessment. Mechanisms for bringing these metrics to a central point for incorporation in review – for example, by gathering annual faculty biobibs, and requiring students maintain an online CV- is encouraged.

In addition to documenting the numbers of grants or publications gained and the “quality” of the journals, it should also be possible to gather examples of reviews that speak objectively to the quality of the work produced.

Furthermore, on occasion it may be possible to request simple metrics from agencies that provide grants, such as number of applicants, number of institutions represented, percentage funded, etc., that provide additional information about the quality of academic programs at UC Merced.



Transportation, Parking and Fleet Services

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE RD.
MERCED, CALIFORNIA 95343
(209) 228-8277

Charge of the Transportation and Parking Services (TAPS) Advisory Committee

Purpose:

To make recommendations to the Assistant Vice Chancellor for Facilities Management in the formulation of policies related to the overall transportation and parking program at UC Merced. This Advisory Committee also assists the Director of TAPS in the development of the procedures, program and planning for both the Transit and Parking units. This includes, but is not limited to, vehicles, bicycles, pedestrian traffic as well as the operations and services of the CatTracks and County transit systems; to provide a communication link between the users of the transportation and parking programs and those responsible for providing such programs and enforcing the regulations governing them.

Goals and Responsibilities:

- Maintain communication with the campus community and recommend changes, as required, to existing policies and procedures regarding traffic circulation and related parking problems.
- Review current long range plans, goals and rates related to transportation and parking programs and evaluate their appropriateness in relation to the overall campus needs.
- Maintain communication with the campus community and recommend a policy regarding bicycle program on campus.

Governance:

The committee shall determine its own internal structure, and shall govern by consensus whenever possible. A passing motion shall be a simple majority of voting members or alternates present. The TAPS Advisory Committee Chair will not vote except to break a tie.

Officers will be represented by individuals from the following organizations:

Faculty	Lecturers
Staff	UCM Police
Residential Life	Student Affairs
Graduate Student	Teaching Assistant
Undergraduate Student	
Director, Transportation and Parking Services – Advisory Committee Chair	
Ex Officio (Non-Voting):	

Sonia Johnston, Director of Administration, Office of the VC for Business and Administrative Services

Term of Service:

All members of the Committee shall be appointed for one term of service. A term of service (Term) shall be defined as the duration from the first Committee meeting of the Fall semester until the first meeting of the next Fall semester. There is no limit to the number of Terms a member of the Committee may serve.

Meetings:

The Committee shall meet as necessary to meet the above charge but at a minimum of quarterly. The time and location shall be determined by consensus of the Committee, and all members of the Committee shall be notified in advance. Minutes of and/or recommendations from committee meetings shall be sent to the Assistant Vice Chancellor for Facilities.

Proposed Charge: Senate Administration IT Advisory Council

The Senate-Administration IT Advisory Council for IT Governance supports UC Merced's Information Technology functions through its advisory role to the Chief Information Officer. In executing its charge the Council informs the CIO's decision-making, and management of budget and staff resourcing, necessary to prioritizing campus-wide IT academic and administrative projects and advancing UC Merced's IT capacity and value as a resource for learning and research. The Council meets for a minimum of four times per calendar year.

Specifically, the Council is charged to

1. Adopt and disseminate standard processes and criteria for developing, submitting, reviewing, prioritizing and acting on proposed IT initiatives and recommends resolution to issues or conflicts that, if unresolved, would jeopardize the successful completion of approved IT initiatives.
2. Advise the CIO on strategic goals, tactical objectives and institutional policies in the following areas as they relate to UCM information technologies:
 - a. Security and identity management
 - b. Funding models, including resource planning
 - c. Strategic technology plans for classroom and academic needs
 - d. Research Computing
 - e. Disaster recovery planning
 - f. University-wide technology systems that support university business and communication needs
3. Develop and recommend IT policy development, review, and dissemination,
4. Reviews and understands the financial context for IT, forwarding recommendations for project funding levels to the Provost/EVC and Budget Advisory Committee in an effort to optimize investments in technology.
5. Tracks initiative progress throughout their lifecycle, and reporting on whether the stated benefits are realized.
6. Works with the CIO to communicate the status of IT initiatives to the University community.
7. On an as needed basis, establishes task forces to deal with pressing, immediate issues such as:
 - a. Protecting e- data from unauthorized access and disclosure.
 - b. Developing a plan to recover critical business services if a major IT disruption occurs.
 - c. Internal Audit actions

8. On an as needed basis, establishes task forces to inform a review of IT services or campus-wide application upgrades or migrations, such as the:
 - a. Learning Management System
 - b. Lecture Capture System
 - c. Portal Application and Strategy

Membership:

Academic Senate	Administration
1	1
2	2
3	3

The committee will be chaired by the Chief Information Officer. The Chief Information Officer does not vote.

Convening Committee:

For the committee to be convened, a minimum of two of three designated faculty seats must be filled to establish a “working representation” of faculty.

Quorum:

A vote requires a balanced representation of the Senate and the Administration. A majority of members present at the meeting constitutes a quorum. In the absence of a quorum the Council may discuss business and vote on action items electronically.

Reporting:

As a joint Senate-Administration body, the Council shall report its recommendations to the Administration (through the Provost’s Office), the Academic Senate (through Division Council), and to the Schools (through the Executive Committee representatives and Dean), and/or as indicated in the charge.

From: Heather Kopeck

Sent: Thursday, August 21, 2014 5:13 PM

To: Pamela D. Jennings; Sandra Wulff; Todd Giedt

Cc: Heather Pineda

Subject: AB 2350 (Bonilla) Postsecondary education: Equity in Higher Education Act: prevention of pregnancy discrimination

Hi All,

I just wanted to give you all an update and let you know that it has passed through both houses of the Legislature and will be sent to the Governor for his signature. There have been a couple of technical amendments to the bill since I last sent you an update but I think that the language that will be sent to the Governor still works for our purposes.

I've pasted it below for your reference although for brevity I did not include the finding and declarations language. I can't see any instance reason why this bill wouldn't be signed by the Governor but I will keep you posted.

Thanks,
HK

SEC. 2.

Section 66281.7 is added to the Education Code, immediately following Section 66281.5, to read:

66281.7.

(a) It is the policy of the State of California, pursuant to Section 66251, that all persons, regardless of their sex, should enjoy freedom from discrimination of any kind, including, but not limited to, pregnancy discrimination as described in Title IX of the Education Amendments of 1972 (20 U.S.C. Sec. 1681, et seq.), in the postsecondary educational institutions of the state.

(b) Each of the following requirements shall be applicable to postsecondary educational institutions in this state:

(1) A postsecondary educational institution, including the faculty, staff, or other employees of the institution, shall not require a graduate student to take a leave of absence, withdraw from the graduate program, or limit his or her graduate studies solely due to pregnancy or pregnancy-related issues.

(2) A postsecondary educational institution, including the faculty, staff, or other employees of the institution, shall reasonably accommodate pregnant graduate students so they may complete their graduate courses of study and research. Reasonable accommodation within the meaning of this subdivision may include, but is not necessarily limited to, allowances for the pregnant student's health and safety, such as allowing the student to maintain a safe distance from hazardous substances, allowing the student to make up tests and assignments that are missed for pregnancy-related reasons, or allowing a student to take a

leave of absence. Reasonable accommodation shall include the excusing of absences that are medically necessary, as required under Title IX.

(3) A graduate student who chooses to take a leave of absence because she is pregnant or has recently given birth shall be allowed a period consistent with the policies of the postsecondary educational institution, or a period of 12 additional months, whichever period is longer, to prepare for and take preliminary and qualifying examinations and an extension of at least 12 months toward normative time to degree while in candidacy for a graduate degree, unless a longer extension is medically necessary.

(4) A graduate student who is not the birth parent and who chooses to take a leave of absence because of the birth of his or her child shall be allowed a period consistent with the policies of the postsecondary educational institution, or a period of one month, whichever period is longer, to prepare for and take preliminary and qualifying examinations, and an extension of at least one month toward normative time to degree while in candidacy for a graduate degree, unless a longer period or extension is medically necessary to care for his or her partner or their child.

(5) An enrolled graduate student in good academic standing who chooses to take a leave of absence because she is pregnant or has recently given birth shall return to her program in good academic standing following a leave period consistent with the policies of the postsecondary educational institution or of up to one academic year, whichever period is longer, subject to the reasonable administrative requirements of the institution, unless there is a medical reason for a longer absence, in which case her standing in the graduate program shall be maintained during that period of absence.

(6) An enrolled graduate student in good academic standing who is not the birth parent and who chooses to take a leave of absence because of the birth of his or her child shall return to his or her program in good academic standing following a leave period consistent with the policies of the postsecondary educational institution, or of up to one month, whichever period is longer, subject to the reasonable administrative requirements of the institution.

(c) Each postsecondary educational institution shall have a written policy *for graduate students* on pregnancy discrimination and procedures for addressing pregnancy discrimination complaints under Title IX or this section. A copy of this policy shall be made available to faculty, staff, and employees in their required training. This policy shall be made available to all *graduate* students attending orientation sessions at a postsecondary educational institution.

Academic Senate Office Assessment Plan

Mission Statement

[The Merced Division of the Academic Senate](#) is the conduit through which the UC Merced faculty, as per the powers delegated to them by the Board of Regents, share in the operation and management of the University. Through the Academic Senate's deliberative committee structure, the faculty are empowered to determine academic policy, set conditions for admission and the granting of degrees, authorize and supervise courses and curricula, and advise the administration on faculty personnel actions, academic space and resource allocation, and budgets.

Goal 1 – Serve as chief advisors to the Senate leadership, Divisional Assembly, the Division Council and its Standing Senate committees by providing historical, strategic and procedural advice and offering timely and efficient solutions to Senate business.

Outcome

- Establish and operate an infrastructure to provide information and assistance regarding Senate business.
- Provide excellent and timely customer service to Senate members and campus constituents by offering procedural guidance, complex analysis and producing quality agendas, minutes, correspondence and reports that accurately reflect Senate committee proceedings.

Measures

- *Indirect:* Annual year end survey of standing Senate Chairs addressing the quality of assistance and support infrastructure (ex. Senate deliverables, workflow, timeliness).
- *Direct:* Accountability for campus and systemwide deadlines met or missed.

Standard

- Survey responses indicate high levels of satisfaction (first survey will establish benchmarks).
- 100% of deliverables – agendas, minutes, and correspondence delivered on time.

Timeframes

- Data collection is an annual survey.
- Measures to be reported bi-annually.

Goal 2 – Conduct the business of the Senate in the primary areas of academic degree programs and curriculum, academic personnel, and budget and resource allocation in accordance with Senate bylaws and regulations.

Outcome

- Facilitated collaborative efforts that lead to informed committee responses toward the application of policy for both the systemwide and local business of the Academic Senate.
- Inclusive consultation and opening process for the Division Council and its Standing Senate committees.
- The appropriate application of policies and protocol to Senate business.
- Senate leaders and committee members are fully informed about issues and proposals under review.

Measures

Direct:

- Systemwide correspondence and reports will be accurate and reflect adherence to policy as judged by applicable bylaws and regulations.
- Opinions written by the Division Council will exhibit consultation and collaboration between the Division Council, Standing Senate committees and School Executive committees where appropriate. (Guiding question – were the appropriate committees consulted, and is that reflected in the documentation?)
- Committee responses will reflect an understanding and application of appropriate policies and protocol.

Indirect:

- Annual year-end survey of standing Senate Chairs addressing the quality of assistance and support infrastructure (ex. Senate deliverables, workflow, timeliness).

Standards

- 100% of campus and systemwide correspondence and opinions are delivered in accordance with Senate policies and protocols.
- Survey response indicates strong agreement with the degree to which policy has been adhered to and consultation has been facilitated.

Timeframes

- Data will be collected annually.
- Measures to be reported bi-annually.

Goal 3 – Foster campus partnerships and support shared governance through communication and appropriate structures.

Outcome

- Structures and communication channels facilitate shared governance.
- The Academic Senate Office supports faculty understanding of shared governance by insuring communication between the Division Council and School based committees.

Measures

Direct:

- The Academic Senate will have fully staffed and working committees each year with published meeting schedules.
- Merced Division Council and other Standing Senate committee responses to Senate business are thoroughly disseminated to campus stakeholders and reflect an accurate discussion of consultation and collaboration.
- Senate minutes, Senate CROPS site and the Senate website are updated regularly.
- Senate newsletter provides faculty with the most recent systemwide and local Senate business.

Indirect:

- Senate member survey about the level of awareness of shared governance and effectiveness of communication channels.
- Key stakeholder survey reflecting the level of collaboration, planning and information distribution.

Standards

- 100 % of Senate committees are staffed with published meeting schedules, minutes and annual reports.
- Survey results reflect high levels of satisfaction.

Timeframes

- Data will be collected annually.
- Measures to be reported bi-annually.

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August 22, 2014

Thomas W. Peterson, Provost and Executive Vice Chancellor

RE: Division Council Approved Review Process for Research Units

Dear Provost and Executive Vice Chancellor Peterson,

The Division Council (DivCo), informed by standing and executive committees, discussed and approved the attached criteria for the establishment and review of campus research units effective Fall 2014. The new policy was drafted by the Senate Committee on Research (COR) to establish a review process for campus research units. COR, in consultation with ex officio committee member Vice Chancellor for Research Samuel J. Traina, prepared a complete set of recommendations evaluating current research units and approving future research units (please see COR memo dated February 5, 2014).

In response to substantial comments received from standing and executive committees, COR revised its original submittal and provided justification for the changes (please see COR memo dated July 23, 2014). With the approval of the new policy I plan to notify Senate faculty on August 25, 2014 that research units are expected to follow the outlined process before seeking funding from the Office of Research.

Sincerely,

A handwritten signature in black ink, appearing to read "J. Sun".

Jian-Qiao Sun, Chair
Division Council

CC: Division Council (13-14 and 14-15)
Senate Office
Samuel J. Traina, Vice Chancellor for Research
Juan C. Meza, Dean, School of Natural Sciences
Mark Aldenderfer, Dean, School of Social Sciences, Humanities and Arts
Erik Rolland, Acting Dean, School of Engineering
School EC Chairs
COR (13-14 and 14-15)

Five-Year Review Criteria for Centralized Research Units

Five-year reviews by the Senate may be additional to reviews conducted by the Office of Research and other cognizant units. The objective of Senate review is to ensure that the units continue to reflect the criteria set by the Senate. The five-year review should be considered standard, but the Office of Research is empowered to request additional documentation at any stage. This review document should be no more than 5 pages.

Centralized Research Units (CRU) reviews will be evaluated according to the following:

1. CRU's original purpose
2. Present functions
3. Accomplishments (e.g., publications, grants, new collaborations, number of users, and educational/outreach activities associated with the unit)
4. Impacts
5. Future plans
6. Continuing development

CRU reviews will assess the following:

1. Adequacy of space and other resources made available to the unit
2. Success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve new objectives
3. Effectiveness and leadership of the Director and the participation of the Advisory Committee
4. Budget, including funds and expenditures

Five-Year Review Criteria for Core Facilities

Five-year reviews by the Senate may be additional to reviews conducted by the Office of Research and other cognizant units. The objective of Senate review is to ensure that the units continue to reflect the criteria set by the Senate. The five-year review should be considered standard, but the Office of Research is empowered to request additional documentation at any stage. This review document should be 5-10 pages.

Core Facility (CF) reviews must address the following:

1. CF's original purpose
2. Present functions
3. Accomplishments (e.g., publications, grants, new collaborations, number of users, and educational/outreach activities associated with the unit)
4. Impacts
5. Future plans
6. Continuing development

CF reviews will assess the following:

1. Adequacy of space and other resources made available to the unit
2. Success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve new objectives
3. Effectiveness and leadership of the Director and the participation of the Advisory Committee
4. Budget (including funds and expenditures, and adequateness and appropriateness to support the CF's mission)
5. Compliance with safety and operational regulations

Five-Year Review Criteria for Organized Research Units

Five-year reviews by the Senate may be additional to reviews conducted by the Office of Research and other cognizant units. The objective of Senate review is to ensure that the units continue to reflect the criteria set by the Senate. The five-year review should be considered standard, but the Office of Research is empowered to request additional documentation at any stage. This review document should be 5-10 pages.

Organized Research Units (ORU) reviews must address the following:

1. ORU's original purpose
2. Present functions
3. Accomplishments (e.g., publications, grants, new collaborations, number of users, and educational/outreach activities associated with the unit)
4. Impacts
5. Future plans
6. Continuing development

ORU reviews will assess the following:

1. Adequacy of space and other resources made available to the unit
2. Success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve new objectives
3. Effectiveness and leadership of the Director and the participation of the Advisory Committee
4. Budget, including funds and expenditures

Five-Year Review Criteria for Multicampus Research Units

Five-year reviews by the Senate may be additional to reviews conducted by the Office of Research and other cognizant units. The objective of Senate review is to ensure that the units continue to reflect the criteria set by the Senate. The five-year review should be considered standard, but the Office of Research is empowered to request additional documentation at any stage. This review document should be 5-10 pages.

Multicampus Research Units (MRU) reviews must address the following:

1. MRU's original purpose
2. Present functions
3. Accomplishments (e.g., publications, grants, new collaborations, number of users, and educational/outreach activities associated with the unit)
4. Impacts
5. Future plans
6. Continuing development

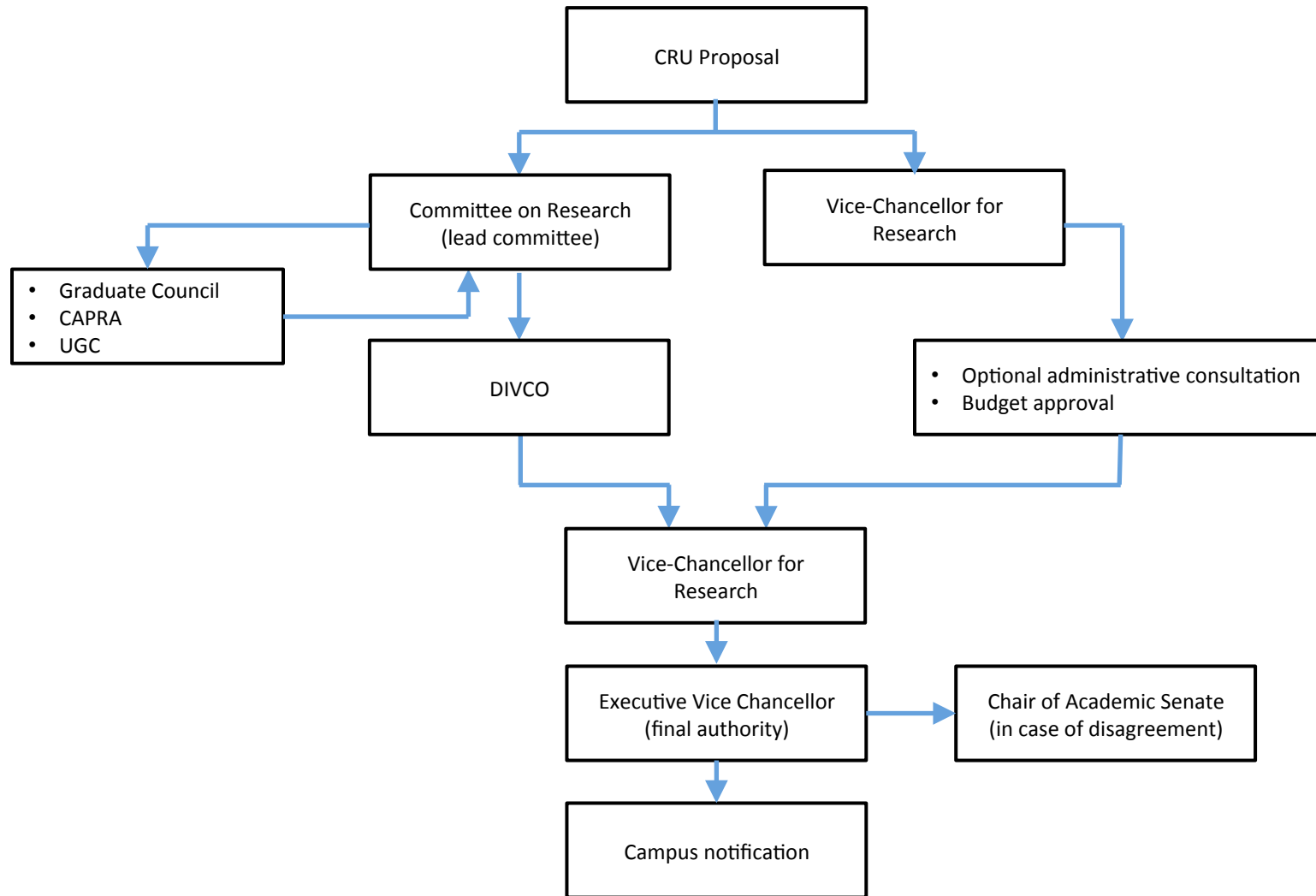
MRU reviews will assess the following:

1. Adequacy of space and other resources made available to the unit
2. Success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve new objectives
3. Effectiveness and leadership of the Director and the participation of the Advisory Committee
4. Budget, including funds and expenditures

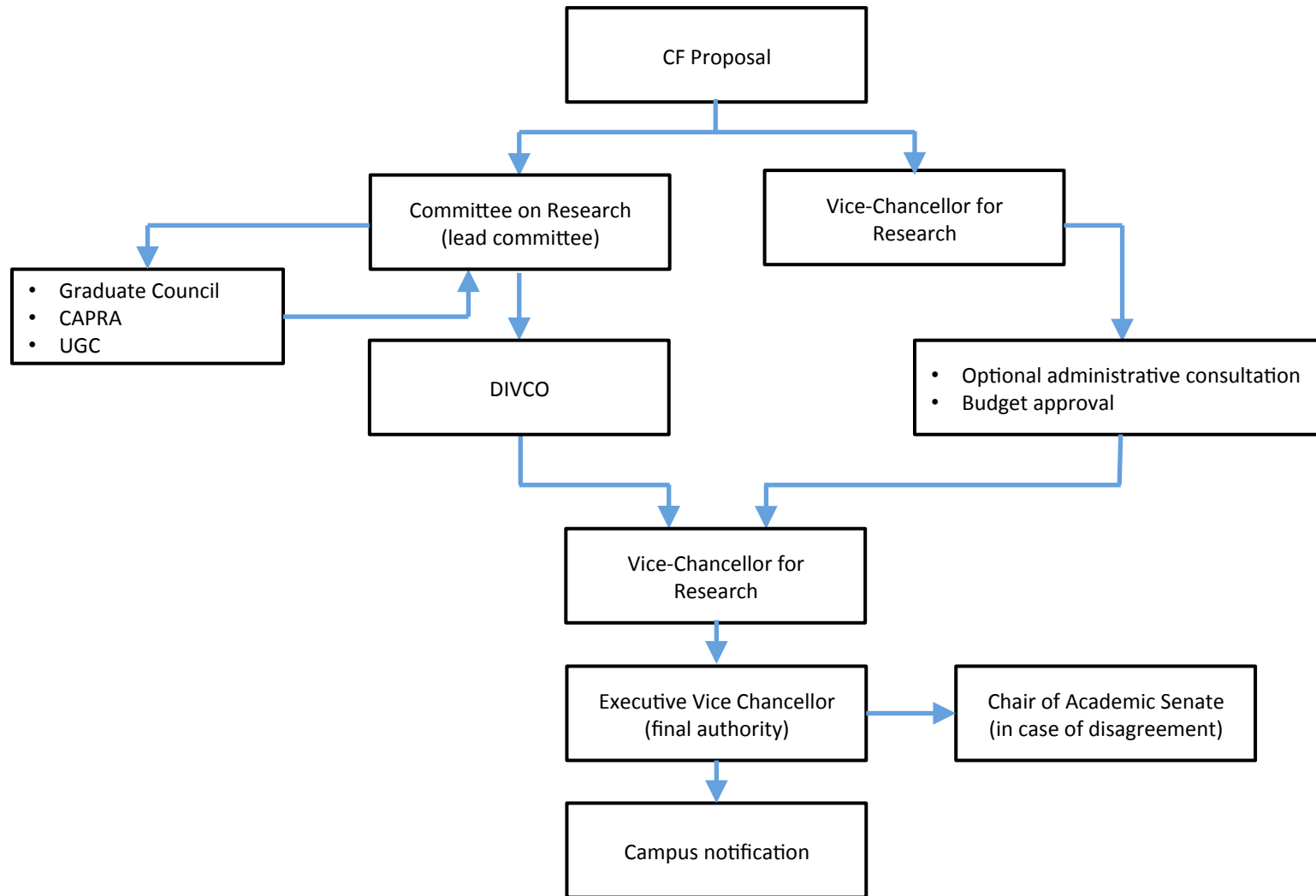
	CRU	Core Facility (CF)	ORU	MRU
Designations	Institute, Laboratory, Center, Station	Institute, Laboratory, Center, Station	Institute, Laboratory, Center, Station	Institute, Laboratory, Center, Station
Lines of Responsibility	CRU responsible to Vice Chancellor for Research (VCR) for administration, budget, space, personnel, and scholarship	CF responsible to VCR for administration, budget, space, personnel, and scholarship	ORU responsible to Chancellor or Chancellor's Designee (CD) for administration, budget, space, personnel, and scholarship	MRU responsible to the President and report through Chancellor or CD at host campus
Administration	Headed by Director who is a faculty member. Aided by Advisory Committee appointed by VCR.	Headed by Director who is a faculty member. Aided by Advisory Committee appointed by VCR.	Headed by Director who is a tenured faculty member. Aided by Advisory Committee Appointed by Chancellor or CD.	Headed by Director who is a tenured faculty member, aided by Associate Director on each campus at which unit is active. Aided by Advisory Committee appointed by President or President designee.
Budgetary Support	Potential funding by Office of Research based on merit review	Funding from recharge and contracts. Potential funding by Office of Research based on merit review	"[P]rovision is made in the campus budget for the unit's core administration support, Director's stipend, ..."	Administrative support from campus or from Office of the President
Proposal for Establishment	Faculty members submit a proposal stating unit's goals and objectives; describing added values and capabilities; explaining how mission extends beyond interests or needs of a single group, department, or school; and making clear how the unit will foster new intellectual collaborations, stimulate new funding, etc. [NB: CRU Policies include Review Criteria] Executive Vice-Chancellor has final authority for approval.	Faculty members submit a proposal stating CF's goals and objectives; describing added values and capabilities; explaining how mission extends beyond interests or needs of a single group, department, or school; and making clear how the unit will foster new intellectual collaborations, stimulate new funding, etc.	Faculty members submit a proposal stating unit's goals and objectives; describing added values and capabilities; explaining why goals cannot be achieved by existing campus structure; and making clear how the unit will foster new intellectual collaborations, stimulate new funding, etc.	Proposal originates at host campus and is submitted to the VCR, who seeks advice from all appropriate divisional Academic Senate Committees and administrative committees. After campus review, proposal is submitted to Vice Provost for Research by Chancellor or CD of host campus. The Vice Provost for Research reviews proposal and refers it to the Chancellor for comment. The Vice Provost for Research also refers the proposal to the Chair of Academic Council for comment by University Committee on Research Policy (UCORP), University Committee on Planning and Budget (UCPB), and CCGA. Vice Provost for Research retains final authority for recommending establishment of MRU to Provost and President. After Presidential approval, Provost informs Chancellors and Chair of Academic Council of the action.
Director	Appointed by VCR after a nomination procedure on which VCR and CoR agree. For new Director for an existing unit, nominates are solicited from Advisory Committee.	Appointed by VCR after a nomination procedure on which VCR and CoR agree. For new Director for an existing unit, nominates are solicited from Advisory Committee.	Appointed by Chancellor or CD after a nomination procedure on which the Chancellor and the Academic Senate agree. For new Director for an existing unit, nominates are solicited from Advisory Committee.	Appointed by the Provost after consultation with appropriate Chancellors and with advice of Search Committee appointed by Vice Provost for Research.

	CRU	Core Facility (CF)	ORU	MRU
Five-year Review	VCR initiates 5-year reviews. VCR in consultation with CoR should assure 5-year reviews are conducted at proper intervals. VCR appoints review committee from a slate nominated by CoR. Review committee's report should be provided to the Director for comment. Justification for continuation must be documented by review committee. The report is reviewed by appropriate Academic Senate committees. VCR decides on continuation and any changes in CRU, upon consideration of the ad hoc and Senate committee's recommendations. Disestablishment of CRU requires Provost's approval. To maintain portfolio campus CRUs, VCR transmits annual report to Chancellor, Executive Vice Chancellor, and the Academic Senate the establishments and disestablishments and a summary of 5-year reviews of CRUs.	VCR initiates 5-year reviews. VCR in consultation with CoR should assure 5-year reviews are conducted at proper intervals. VCR appoints review committee from a slate nominated by CoR. Review committee's report should be provided to the Director for comment. Justification for continuation must be documented by review committee. The report is reviewed by appropriate Academic Senate committees. VCR decides on continuation and any changes in CF, upon consideration of the ad hoc and Senate committee's recommendations. Disestablishment of CF requires Provost's approval. To maintain portfolio campus CFs, VCR transmits annual report to Chancellor, Executive Vice Chancellor, and the Academic Senate the establishments and disestablishments and a summary of 5-year reviews of CFs.	Chancellor initiates 5-year reviews. VCR in consultation with appropriate Senate Committee should assure 5-year reviews are conducted at proper intervals. The Chancellor or CD appoints review committee from a slate nominated by divisional Academic Senate. Review committee's report should be provided to the Director for comment. Justification for continuation must be documented by review committee. The report is reviewed by appropriate Academic Senate committees. The Chancellor or CD decides on continuation and any changes in ORU, upon consideration of the ad hoc and Senate committee's recommendations. Disestablishment of ORU requires Chancellor's approval. To maintain portfolio campus ORUs, the Chancellor or CD transmits annual report to the Vice Provost for Research listing ORU establishments and disestablishments and a summary of 5-year reviews of ORUs.	The Vice Provost for Research should assure that 5 year reviews are conducted at proper intervals. VCR appoints ad hoc review committee from a slate nominated by Chair of the Academic Council and the Chancellor or CD. Review committee's report should be provided to the Director for information. Justification for continuation must be documented by review committee. The 5-Year Review report is submitted to the Vice Provost for Research, who distributes it to the Vice Chancellors for campus comment and the Chair of the Academic Council for comment by UCORP, UCPB, and CCGA. Based on 5-Year Review Report and comments, the Vice Provost for Research approves continuation of unit, implements changes, or recommends disestablishment of unit to President.
Procedure for Disestablishment	Following a 5-year review, Executive Vice Chancellor approves request for disestablishment and informs the Chancellor, VCR, and Academic Senate of action.	Following a 5-year review, Executive Vice Chancellor approves request for disestablishment and informs the Chancellor, VCR, and Academic Senate of action.	Following a 5-year review, the Chancellor approves request for disestablishment and the Chancellor or CD informs the Vice Provost for Research of action.	Following a 5-year review, the Chancellor or CD submits request for disestablishment to Vice Provost of Research after appropriate campus administrative and Senate consultation and consultation with Advisory Committee. The request is referred by Vice Provost for Research to the Chancellors for comment. The Provost recommends disestablishment to the President. After Presidential approval, Provost informs Chancellors and Chair of the Academic Council of action.
Phase-Out Period	At most one full year after the end of the academic year	At most one full year after the end of the academic year	At most one full year after the end of the academic year	At most one full year after the end of the academic year
Procedure for Name Change	Director prepares a proposal to VCR describing rationale. After review by CoR, CAPRA, and appropriate campus administrators, Provost approves and informs Chancellor, VCR, and Academic Senate of action.	Director prepares a proposal to VCR describing rationale. After review by CoR, CAPRA, and appropriate campus administrators, Provost approves and informs Chancellor, VCR, and Academic Senate of action.	Director prepares a proposal describing rationale. After review by Senate and appropriate campus administrators, the Chancellor or CD approves and informs Vice Provost for Research of action.	Director prepares a proposal describing rationale. MRU Advisory Committee endorses requested name change. After review by appropriate host campus administrators and Senate committees of other participating campus, Director submits proposal package to Vice Provost for Research. After consultation with UCORP and favorable review at host campus and participating campuses, the host Chancellor approves name change and submits full documentation to Vice Provost for Research, who notifies other campus and the Chair of the Academic Council of change in name.
Annual Report	Unit should submit a report to VCR and CoR containing specific information.	Unit should submit a report to VCR and CoR containing specific information.	Unit should submit a report to VCR and CoR containing specific information.	Unit should submit a report to VCR and CoR containing specific information.

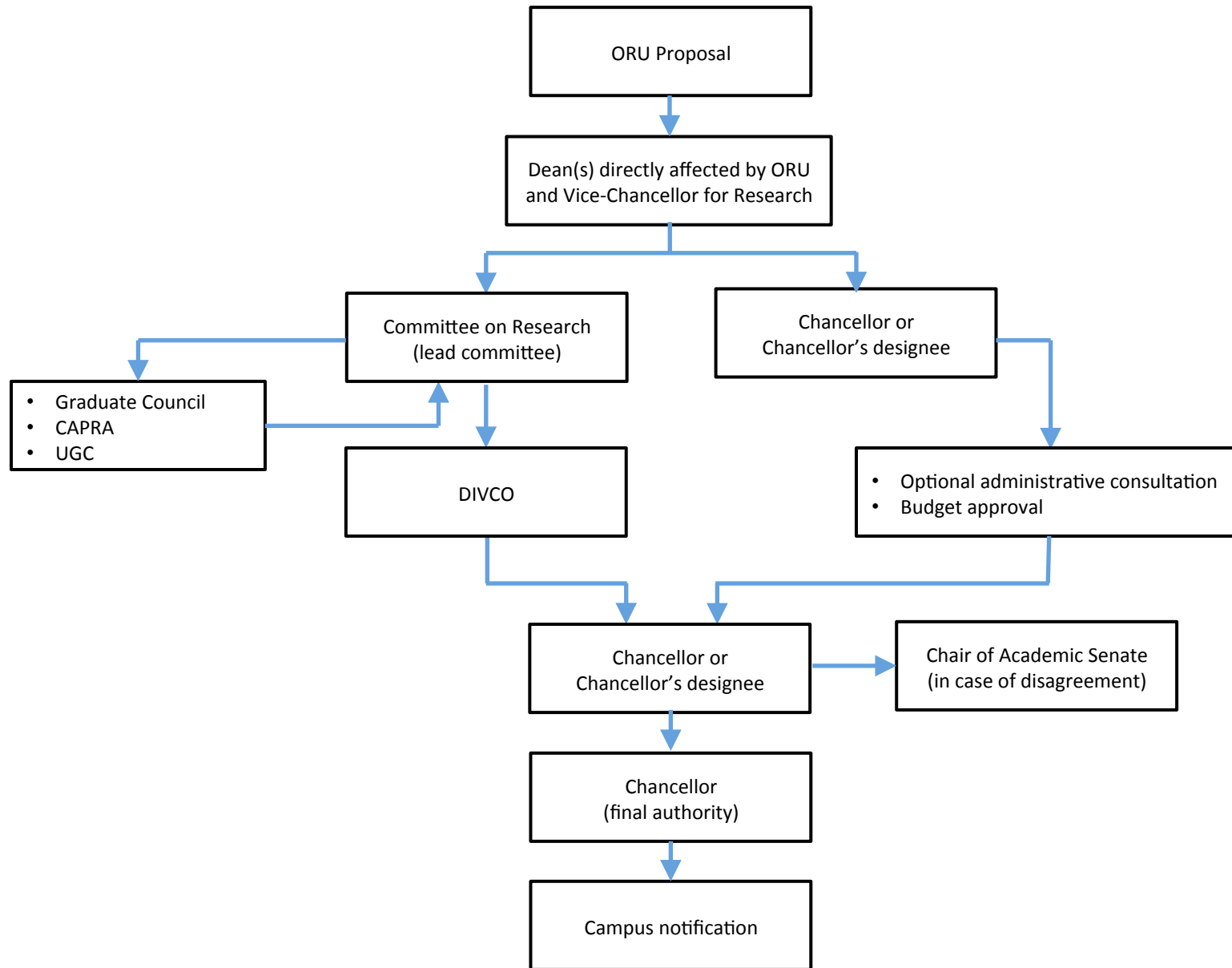
Approval Process for Establishment of a Centralized Research Unit (CRU)



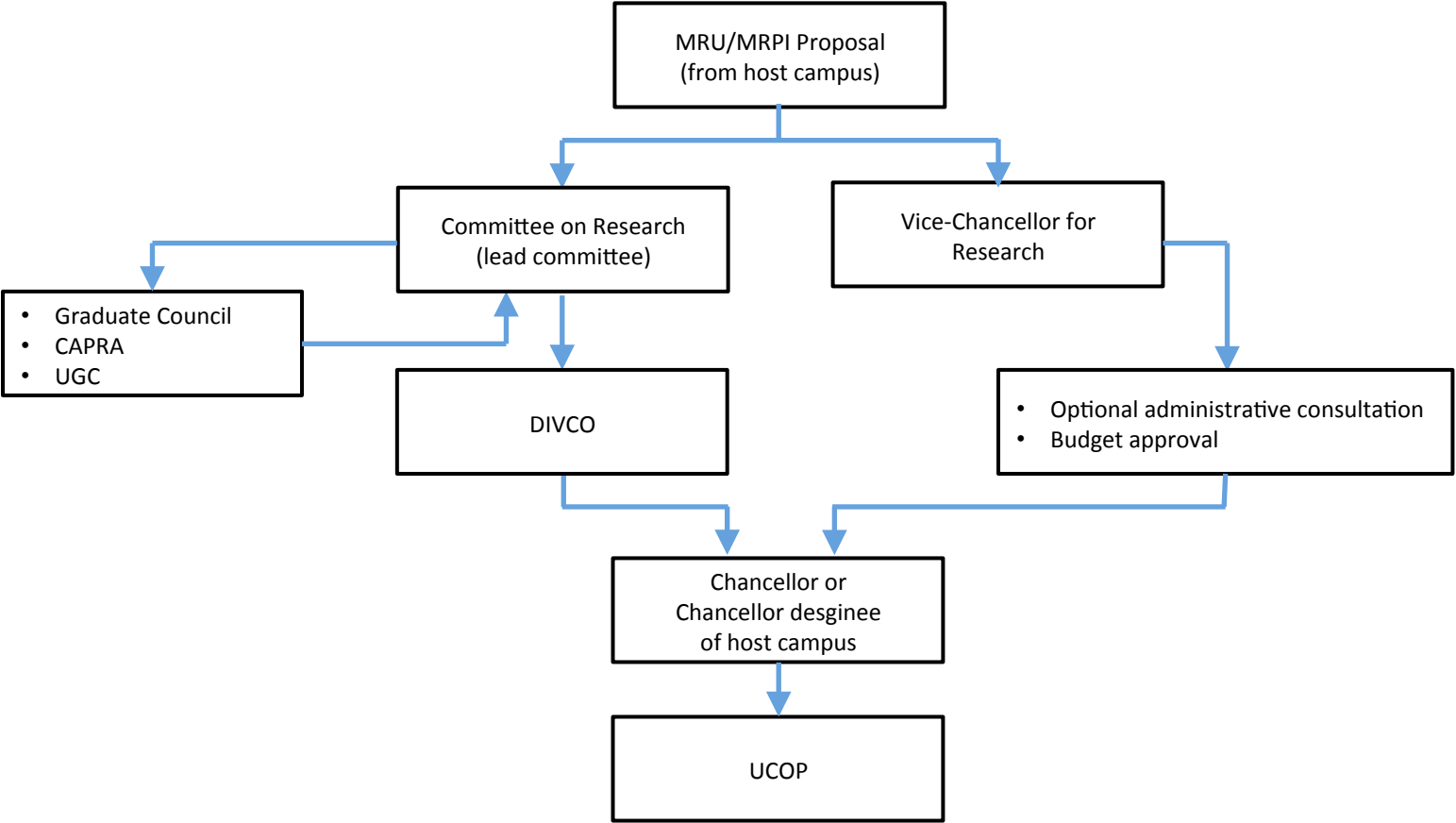
Approval Process for Establishment of a Core Facility (CF)



Approval Process for Establishment of a Organized Research Unit (ORU)



Approval Process for Establishment of an Multicampus Research Unit (MRU)/MRPI



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July 23, 2014

To: Ignacio López-Calvo, Chair, Division Council

From: Ruth Mostern, Chair, Committee on Research (COR)

A handwritten signature in black ink, appearing to read "Ruth Mostern", is written over the "From:" line.

Re: Response to FWDAF and CAPRA's Comments on COR's Proposed Research Units Policies

This memo is a response to comments by FWDAF and CAPRA (attached) in response to the COR's proposed criteria for establishment and review of research units on campus. The comments for these documents were deemed substantial and needed a response from COR prior to a vote by DivCo. This memo outlines the changes COR has made and the justifications for those changes. We request that DivCo submit these policies to standing committees with a deadline for comments on August 15. COR hopes that a vote will then take place promptly so that the process can be implemented for the 2014-15 academic year.

Responses to FWDAF's comments on COR's Research Unit Policies

Comment #1: These are research units, and their primary mission is for research. However, we expect all research units will necessarily add to the training capacity for everyone involved, in particular for graduate students, and probably for the undergraduate students. In the Establishment Review Criteria, the proposals must explicitly address how the proposed research unit will "[c]ontribute to the instruction mission of the university" or UC system.

Comment #2: We have explicitly mentioned that proposals must address how the research unit will "[h]ave bylaws that describes the decision making, leadership and management of the unit."

Comments #3 and #4: We have added a paragraph in the review criteria that address the committee's comments.

Responses to CAPRA's comments on COR's Research Unit Policies

Comment #1: We do not believe that a 5-year review is overly burdensome, and moreover, it is required by systemwide Senate mandates:

<http://senate.universityofcalifornia.edu/underreview/Compendiumrevised.pdf>. Reviews of smaller units may be very brief, but units with larger budgets may be more involved and we expect documentations for MRUs on campus can be used for the dossier for systemwide reviews. We have added guidelines for the lengths of these review documents to the review criteria.

Comments #2 and #3: The Senate does not control funding for these units. The role of the Senate in these reviews is to assess the research merits of these units in order to inform the VCR's decisions regarding funding. The processes outlined in these documents are taken directly from the UC Senate's Compendium, which establishes the review processes for research units. COR will manage a review process which includes CAPRA and which ultimately will require approval from DivCo (as outlined in the flowcharts).

cc: COR Members
Senate Office

Enclosures (4):

COR's revised 5-year review criteria
FWDAF's comments on COR's original policies
CAPRA's comments on COR's original policies
COR's original policies

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April 17, 2014

To: Ignacio López-Calvo, Chair, Division Council

From: Rudy Ortiz, Chair, Committee on Faculty Welfare, Diversity, and Academic Freedom (FWDAF)

A handwritten signature in black ink, appearing to read "Rudy Ortiz", is placed below the "From:" line.

Re: FWDAF's Comments on COR's Research Unit Policies

Per Division Council's request on February 25, FWDAF reviewed the policies on the establishment and review of campus research units that were drafted by the Committee on Research (COR). While we recognize this is a thorough and comprehensive plan for establishing research units/structures/entities, we would like to call COR's attention to the possibility of also incorporating the following ideas that our committee finds pertinent to this mission:

- 1) The establishment of CRU, CR, ORU, and MRUs should also consider how these entities will contribute to not just the instruction of the campus, but to the training of students (undergraduate and graduate), post-docs (including visiting) and faculty. Training should be a central mission of research.
- 2) Mention of the management plan should specifically mention plans for leadership, conflict resolution and intellectual property
- 3) The 5-year reviews should explicitly mention the term "evaluation" and "year-to-date impacts" beyond accomplishments. Reviewing accomplishments is not a thorough review. The 5-year review should include a comprehensive SWOT analysis. And some mention of a plan to allow for corrective/adjustable measures should also be provided as part of the evaluation. We understand not everything works perfectly, but a plan for adjusting/correcting as needed should be evaluated and assessed regularly so the issues are not persistent.

- 4) The frequency of the review may need to be every three years depending on the unit and/or budget. A \$25 million center may need to be reviewed more regularly to ensure programs/activities that are not efficient and wasting money do not persist for an additional two years of waste before it is assessed and corrected.

FWDAF thanks COR for its work and looks forward to continuing collaboration.

cc: FWDAF members
DivCo members
Senate office

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amkelley@ucmerced.edu

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MERCED, CA 95344
(209) 228-4369; fax (209) 228-7955

April 17, 2014

To: Ignacio López-Calvo, Chair, Division Council

From: Anne Kelley, Chair, Committee on Academic Planning and Resource Allocation *Anne Kelley*
(CAPRA)

Re: Request to Review COR's Research Unit Policies

At the request of Division Council, CAPRA reviewed the Committee on Research's (COR) policies on the establishment and review of research units. While CAPRA believes that this is a good start toward systematizing the definition, creation, and review of research units, the committee has concerns with three aspects of these proposed policies:

- 1) The proposed review cycles for the various research units are overly burdensome on faculty members who are currently engaged in reviews of other programs to which they belong. Since these research units contain components from many other campus programs, CAPRA suggests a streamlined and less onerous review process. In particular, reviews of research units initiated at the systemwide level should be allowed to substitute for campus review.
- 2) The proposed policies grant too much authority to the Vice Chancellor for Research (VCR) especially at the levels of judging research merit and funding. CAPRA requests that the processes for research merit and funding should be separate but parallel with faculty having authority over the research component.
- 3) There is no explicit mention of the role of Senate faculty in the allocation of funding and space to research units, except indirectly in that the review criteria require a management and financial plan and a plan for meeting space needs. The Senate does not directly allocate resources, but CAPRA would like to see a more robust discussion of the role of Senate consultation in the allocation of resources to research units. This is especially crucial as there is currently no individual on campus whose main function is to negotiate space and resources for research units. We recommend that this authority be assigned to the VCR, in the same manner that the School Deans currently negotiate space and resources for academic programs.

CAPRA recommends that the proposed policies be revised to more closely resemble the policies that govern graduate groups, under which faculty have authority over their research mission, leadership, and review process.

cc: CAPRA Members
DivCo Members
Senate Office

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ACADEMIC SENATE, MERCED DIVISION
COMMITTEE ON RESEARCH
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February 5, 2014

To: Ignacio López-Calvo, Chair, Division Council

From: Ruth Mostern, Chair, Committee on Research (COR)

A handwritten signature in black ink, appearing to read "Ruth Mostern", is written over the "From:" line.

Re: Review Process for Research Units

The Senate and the Office of Research have repeatedly noted that there is currently no Senate review process for any research unit on campus. This is significant as the Senate has never been involved in decisions that ultimately pertain to funding for any campus research units. In the spirit of shared governance, the Office of Research has requested improved Senate guidance. COR, in consultation with the Vice Chancellor for Research, Sam Traina, has identified this as a top priority and has prepared a complete set of recommendations about evaluating current research units and approving future research units on campus.

These documents are based on the *Policies and Procedures for Centralized Research Units (CRU)* (approved by GRC on May 20, 2009), the *Compendium: University Review Processes for Academic Programs, Academic Units, & Research Units* (January 2011); and the *UCOP Administrative Policies and Procedures Concerning Organizing Research Units* (effective January 1, 2000). These documents are also based on documents which prior Graduate & Research Councils drafted in past years, but which never went through a full Senate review process. COR hopes that this formal review process will now occur.

This complete set of materials for evaluation and approval of research units consists of four documents: (1) a table outlining different types of research units on campus (multi-campus, organized, centralized research units and core facilities), (2) a flow chart of the processes that proposals for establishing a research unit must go through for campus approval, (3) the review criteria for evaluating such proposals, and (4) the criteria for five-year reviews for existing research units.

With the exception of the fourth document, the review criteria we have proposed are intended for centers and institutes seeking approval for the first time. Starting next year, any persisting or long-term

research unit entity seeking funds from the Office of Research should go through this approval process prior to seeking resources from the Office of Research. We do not include in these documents procedures for research entities that are informal, very short-term groups, or groups within one school that are not requesting funding from the Office of Research. As a separate matter, existing research units must go through a 5-year review, with the year of review starting from the date of inception of the unit.

We hope that Division Council acts on these documents in a timely way and transmits a final version to the Provost and VCR for their review. If this is accomplished by the end of this semester, we hope to notify Senate faculty that research units are expected to go through the processes that are outlined in these documents, starting next year, before seeking funding from the Office of Research.

cc: COR Members
DivCo Members
Senate Office