

## MEMORANDUM

Date: April 17 2008

To: Sabah Randhawa, Provost and Executive Vice President  
Lynda Ciuffetti, President, OSU Faculty Senate

From: Thomas McLain, Chair Graduate Council  
Frank Bernieri, Chair Senate Budgets and Fiscal Planning Committee  
Moira Dempsey, Faculty Senate Executive Committee  
Jack Drexler, College of Business

Subject: **Report of ad hoc Committee on Criteria for Creation of a New Program, Department or School**

In October 2007 you charged us with identifying potential criteria for establishing new programs, departments or schools, with special emphasis on differences between departments and schools. This is a follow-on effort to that of a spring 2007 Senate Budgets and Fiscal Planning Committee study of schools and colleges. The April 26, 2007 report by Tom Shellhammer from that study is in Appendix A to this report and provides useful perspective about unit size at OSU.

The present committee first did some research with peer institutions to learn if they have established policies or criteria for establishing programs, departments or schools; if no policy could be found, then we examined their organizational structure to glean ideas about effective criteria. We specifically examined: Colorado State, Iowa State, Michigan State, NC State, Purdue, Arizona, California Davis, Oregon, Washington State, New Mexico State and Virginia Tech. Some of the notes from those studies are available and will be filed with the Faculty Senate office. Here is a summary of what we learned:

1) Very few of the study institutions had written policies on establishing schools and departments that ventured beyond describing the process to be used to gain administrative approval for creation, modification or elimination of these units. Some institutions do offer criteria for establishing a “program” or academic department but only Virginia Tech and New Mexico State spoke to establishing schools. See Appendix B.

2) Official “programs” as part of the research enterprise are reasonably well defined by many institutions. OSU follows a typical pattern. Programs in an academic sense are less well defined as an organizational structure and most often refer to the formal or informal organization surrounding the delivery of an undergraduate or graduate degree program. That organization typically includes a collection of faculty charged with creation, maintenance and delivery of a degree. The academic program may or may not have separate budgetary authority and could report to a department chair or dean. The faculty in an academic program will often be tenured or have their academic home in a department, or less frequently, in a college. Size appears to be an important metric in the dividing line between a program and a department but equally important is discipline.

Programs often are comprised of faculty from different disciplines and academic homes. The liberal arts tend to use program structure more than the sciences. Based on your subsequent guidance to us we did not further explore criteria for programs but concentrated on schools and departments.

3) “Schools” at the studied universities most consistently referred to units housing professional programs such as law, medicine, education, pharmacy, business (MBA), and similar programs. Most were limited to offering professional degrees through one unit of instruction or degree program. In most cases the School leader appeared to have the same hierarchal stature as a College dean and reported directly to the chief academic officer. We refer to these as Professional Schools. Oregon, Cal Davis and Arizona are good examples of this structure.

4) The second most common use of the School structure appear to be as multidisciplinary units of size and social stature intermediate to departments and colleges. Typically, these housed multiple departments and academic degree programs and the leader reports to one or more deans. Exceptions abound.

5) The apparent size of multidisciplinary schools in terms of personnel is highly variable and there is evidence that size was either a secondary or concomitant variable in any decision to establish a School rather than a Department. Size is also difficult to assess—should the metric be number of professorial faculty, number of students in degree programs, total number of employees, extramural funding program, and space occupied, or some combination of these. In general, multidisciplinary (not Professional) Schools are larger than Departments and smaller than Colleges. The yardstick, however, is relative from institution to institution.

6) Named Schools are common, suggesting that Development opportunities may play a significant role in any organizing decision.

- 7) Other factors that appear to be important in the universities studied include:
- Limiting the number of direct reports to a leader.
  - Organizing around strategic strengths or goals; structure can be seen to convey status for recruiting students and faculty, public relations and similar institution goals.
  - Creating multidisciplinary units with specific mission focus, with or without traditional administrative lines; e.g. a College or School of Arts with member departments administratively located in multiple colleges.

Given the current structure at OSU we did not consider criteria for creating schools that would function outside of the current college structure. Nor did we explicitly consider the potential situation where a college might be reconfigured as a school.

## Criteria for Establishing Sub-college Units

Based on our review and much discussion, we recommend the following criteria and evaluation points for establishing sub-college academic units.

**1. Need or Opportunity—the principal criterion.** Essential to any proposal for creating a sub-college unit is a compelling argument for a new structure that is based on opportunity or need. Opportunity arguments might include significantly strengthening university or college strategic position, new initiatives, realignment for competitive advantage or other larger scale considerations.

Needs might include increasing student enrollment or engagement, enhancing the employment opportunities for graduates, improving effectiveness and relevance of the curriculum, improved efficiency, efficacy or financial position of the college or university, improved ability to meet the needs of Oregon, the Legislature and/or key stakeholder groups.

**2. Organizational Scope.** Departments tend to be designated as pure, or mixed (or mission-focused)<sup>1</sup>. Pure disciplinary departments tend to be the keepers of specific knowledge, customs and traditions. Their composition doesn't vary much from institution to institution although some will favor one sub discipline or another. Mixed departments can arise in smaller universities and colleges where there is not a critical disciplinary mass, or where specific strategies for multidisciplinary are planned. Mission-focused programs tend to be in the sciences, agriculture and natural resources. They are typically multidisciplinary by nature. All of these structures impose some constraints on academic or scholarly integration.

The School structure is typically seen as having a higher or broader level of multidisciplinary integration and collaboration than is found with most departments. However, the boundary is pretty fuzzy between large mixed departments and small schools. A reasonable expectation is that Schools can and should transcend the rigidity of a disciplinary department and be tailored for broader outcomes than departments. Schools could be larger versions of a mixed or mission-focused department. Scope is a criterion that will suggest one structure or another. At OSU it seems reasonable to expect that schools should offer multiple degrees at the undergraduate and graduate levels. The proponents should explain how the aggregation of programs and/or departments will contribute to organizational synergies than do not exist in the present structure.

Both schools and departments should have clearly defined and stated missions. The mission of a proposed school should be broader than that of a department and should accommodate multiple departments or other units.

**3. Organizational Size.** Size should also be a factor in evaluation, but may be secondary. It is reasonable to expect schools to be of an intermediate size between departments and

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<sup>1</sup> Hecht, I. W. D., et al. 1999, "The Department Chair As Academic Leader" American Council on Education, Oryx Press, Phoenix AZ. 280 p.

colleges. But boundaries based on size are not sharp since there are many size metrics that can and should be used in making the organizational decision. Number of faculty, number of undergraduate and graduate majors in any degree program administered by the unit, number of degree programs, number of employees, extramural grants received and other metrics should be considered. The Shellhammer report (Appendix A) suggests that all but a few departments at OSU have fewer than 22 faculty FTE. It is reasonable to expect that Schools will be larger unless other considerations dictate. However, that demarcation would need to be tempered by a broader understanding of effective size.

There are other practical considerations with respect to size. New departments require a sufficient number of faculty members to ensure a viable P&T process and governance. The current OSU P&T guidelines suggest that a department needs a minimum of 5 tenured faculty members including a Chair with at least 3 Full Professors. More viable future departments would be larger; potential units with fewer faculty or inability to maintain the minimum would be candidates for program or other status.

**4. Effect on current teaching, research and outreach activities.** A new structure must enhance the ability of a college to achieve its mission over that of the current structure. It must not negatively impact any facet of teaching or student learning and should not negatively affect research or outreach unless that is a desired strategic outcome and can be justified. Ideally, the new structure will have positive impacts on all mission aspects. Any potential impacts on quality or scope should be clearly spelled out since it is very unlikely that there will be no effect if all aspects are considered. A plan to create a School may represent a special challenge to the proposers to explain how the larger structure will enhance student engagement.

The quality and quantity of faculty in the newly established unit should be sufficient to support excellence in academic undergraduate and/or graduate programs. Organizational efficiency, opportunity for development and other factors should not override the need for strong curricular/programmatic justification. Documented comprehensive liaison with other units on campus and appropriate consideration to raised concerns should be an important evaluation factor.

**5. Development opportunities.** The christening of a new school or department may offer opportunities for new named gifts. A named School, for example, may allow potential donors (or the public and the State Legislature) to visibly track a focused objective for their contributions. While this could be true of departments or programs, a school probably offers greater cache, broader scope and greater potential for larger gifts than would a department. Marketing a named School may be easier than marketing a named College.

**6. Benefits and costs of enhanced status.** Aggregating certain units into schools or other entities will be seen as elevating their status relative to other units within the university or college and can enhance their visibility. Such a move can send the message that a particular program is critically important to the university's strategic plan, or that the mission of the new unit signals a new alignment with University plans. That elevation in

status should clearly be seen as a strategic action. Factors to evaluate with respect to status must include:

a) Nature of the strategic message and its alignment with University goals.

Creating a new department or School could be seen as sending a strategic message to competitors, the Legislature, or to key stakeholders. If that is the intent then the desired outcomes must be explained and justified.

b) Potential for enhancing recruitment. A new unit may signal an institutional commitment that could be helpful in attracting high quality students (especially at the graduate level), faculty, or administrators. This is especially true for leadership recruitment. This effect likely varies by field and the scope or mission of the new unit. For example, a department or school that signals development of a strategic strength may have a different impact than the creation of an umbrella unit to house a number of relatively small programs at lower administrative cost. Any rationale based on enhancement must be justified and expected outcomes should be held up as criteria for evaluation of future success.

c) Potential for enhancing extramural funding. In some fields, enhanced status can play an intangible role in positioning faculty and sub-units to better compete for extramural funding from federal or private sources. Or, enhanced status is seen to equate to better national reputation which may carry tangible or intangible benefits. If appropriate, any proposal should describe how the new organization will realize those claims, and how they should be assessed.

d) Advantages or disadvantages of P&T issues with faculty in a School structure compared to that of a department. One potential advantage of membership in a unit with a broad multidisciplinary focus is to foster more flexibility in unit-level P&T considerations. This could be helpful in transforming faculty positions for new initiatives and collaborations that might be more difficult in some disciplinary settings. This should be fully explained if applicable.

e) Potential financial costs or savings; effect on mission support. Creating larger units may offer potential cost savings via economies of scale, or reduction in administrative costs. Examples include centralized clerical support for key functions, or reduction of some sub-unit leadership or management functions. Alternatively, a larger unit may be able to justify more specialized services such as network management, research proposal development support, or support for innovative instructional strategies. These changes in cost structure and service level should be clearly documented in any proposal and should be realistic.

f) Promotes academic and/or scholarship integration. Creation of schools, programs, or departments can foster integration of interests, ideas and activities of individuals, subgroups or existing units. By providing a common mission, reporting structure, budget allocation, and performance evaluation the opportunity for synergistic integration may be enhanced. Schools should be more flexible in their mission than

academic Departments, which may be anchored to historical conventions. Schools can provide an efficient and relatively fluid means to create a critical mass of intellectual, organizational, and infrastructure resources in order to execute a new mission beyond the scope of the existing structure. The extent to which this outcome is desirable and achievable with any proposed change should be well documented.

g) Creates a more effective or desirable organizational structure. The creation of a school or department creates a formal leadership that has the potential to enhance success with unit mission. That could take the form of stronger representation of the unit in executive decision-making, more attention to strategic planning, increased focus on administrative efficiency and management among others. It should allow for more targeted development and promotional efforts. Strategic organizational patterns can reduce the number of direct reports for higher-level administrators. Any claim of enhanced success must be carefully explained and justified.

h) Impact on other units or programs. Any new organizational structure will have unintended effects, some of which may be unknowable. According a subunit greater real or perceived status will likely result in a real or perceived loss of status to other subunits not accorded this status. Having dual reporting relationships often creates stress as a result of negotiating through competing expectations of different bosses. Changing budget allocations can create conflict among individuals or units for those resources. Weakening the boundaries around some silos can allow for new silos to be established. Fostering integration between disciplines could result in devaluing successful disciplinary scholarship. These effects should be thoughtfully described and addressed.

There is always potential for other units or programs proposing to follow suit to maintain or equalize status. Unit status inflation is a common problem on many campuses and this must be a consideration in any executive decision concerning reorganization or unit creation.

**7. How will success be measured?** The proposal must include a clear assessment plan including the metrics by which success should be judged. These should be used by university and college leadership in a transparent process to assess unit performance over a period of time. They can be used in any periodic assessment of unit leadership as well. This feedback system is critical to long-term unit success and to the evaluation of other future proposals for reorganization.

## **Summary**

We offer criteria and points of evaluation that could be used in establishing University policy on new sub-college unit creation, but note that there is no one right set of answers that will assure that all desirable outcomes will be achieved. A balance between flexible criteria leading to new potential and prudent constraints that protect institutional interests will always be a goal. At the end of the day whatever organization is created must effectively serve to further the institutional mission given a specific set of opportunities and operational and strategic constraints.

To: Mike Quinn, President, Faculty Senate

Thursday, April 26, 2007

From: Thomas H. Shellhammer, Chair, Budgets and Fiscal Planning Committee

RE: Responding to request to define university departments and schools

Dear Mike:

In late December, 2006, you, along with Bill Boggess and Becky Johnson, met with the Budgets and Fiscal Planning Committee (BFPC) to discuss the wave of Category I 'School' proposals that were passing through the Curriculum Council and hence the BFPC as well. Given the lack of a definition of a "School" in terms of an organizational structure, our committee was charged with defining "Departments" in the context of a university setting and contrasting it to "Schools". Throughout the winter quarter we discussed this topic and examined data related to departmental FTE from Nancy Heiligman's office (Budgets and Fiscal Planning) as well as from the Office of Institutional Research. This memo discusses our conclusions.

The executive summary from our committee can be exemplified in the adage "if it makes sense, then do it." That is, if a convincing argument can be made by an academic unit that the formation of either a Department or School will benefit the mission of Oregon State University and fits within the context of the University's strategic plan, then the proposing group should be allowed to proceed.

The following commentary summarizes our thoughts on the various lenses through which one might view a Department versus a School.

#### Disciplinary alignment

Departments offer a sense of a well-defined discipline, and faculty as well as students have a 'home' in these units. A dictionary definition congruent with this concept defines a Department as "one of the sections of a school or college dealing with a particular field of knowledge: the English department" ([www.dictionary.com](http://www.dictionary.com)). We associate Departments with academic discipline homes (e.g., "where my knowledge is derived from," "my epistemological orientation," etc.) and associate Schools with their mission (e.g., "we want to do X, Y, and Z"), Profession, and/or certification entities. We also felt that as the disciplinary structure becomes broader or more diverse and embraces multiple disciplines that a Department may be considered a School or even a College. The concept of aggregation of disciplines to form a School is consistent with the pattern we are observing on the OSU campus. However, there are instances at other institutions where Schools may not necessarily be the aggregate of departments, for example the School of Packaging at Michigan State University and U.C. Berkeley's Graduate School of Journalism. For graduate and professional programs, the "Schools" label is ubiquitous, such as School of Medicine and School of Law.

### Budgetary alignment

Departments have a budgeted line item that is separate from the Dean, although funds travel through the College to the Department. This same principle generally applies for Programs (although there are some degree programs that embedded with the college budget). This may or may not be the same for Interdisciplinary Programs, Centers and Institutes.

### Size

There are many metrics available to define the size of a unit such as the number of faculty FTE, the number of students pursuing a degree within the unit, etc. The former is probably the most common and intuitive. In general, as the faculty number moves from a small organization to a large one, so does the transition of defining the unit as a Department, School or College. However, we have no hard borders or thresholds for faculty numbers in each of these categories. Reviewing data obtained from the Office of Institutional Research, we learned that on campus there are 48 departments with distinct ORG codes (data on Business, Education and Pharmacy were not broken down by individual departments and off-campus Statewides have been excluded from the analysis). The median department size in terms of tenure track faculty is 10 (s.d. = 7) (Figure 1). Note the average size is 11.9, but this figure is influenced by the small number of large departments. The smallest department was General Agriculture (1) followed by Ethnic Studies (4). The largest “Department” was the School of Electrical Engineering and Computer Science (37) followed by Horticulture (30.8).

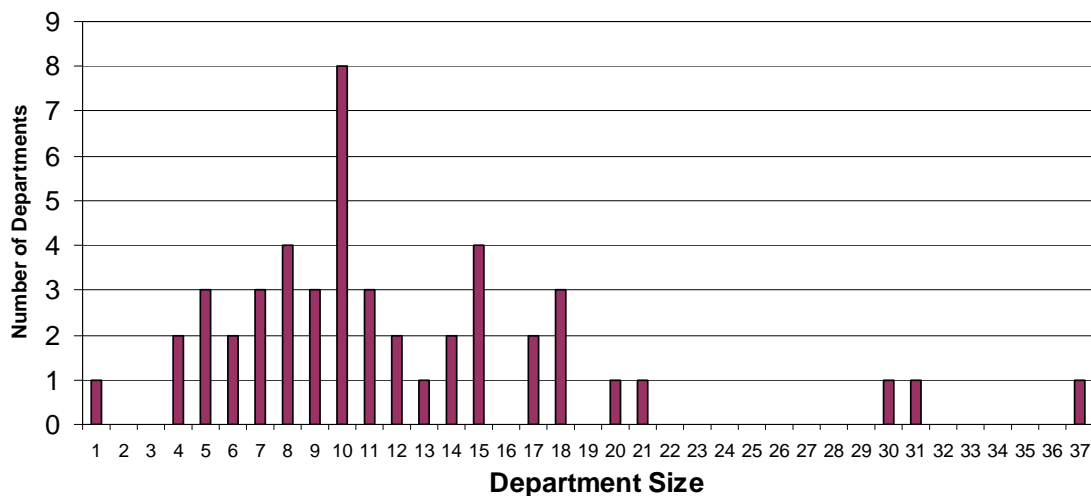


Figure 1. Department size  
(tenured/tenure track faculty only, instructors and administrators excluded)

### Rationale for creating a School

We identified a broad set of reasons for creating a School and many of these have been used as justifications in the recent wave of Engineering Category I's.

Schools offer the institution:

- Greater potential for collaboration in research and teaching
- Simplified administration
- The Head of the School who can devote greater energy to fund raising



- Cost savings associated with lower division undergraduate course offerings
- Increased stature and competitiveness
- Alignment of disciplinary functions with the expectations of external stakeholders

Throughout our discussions, the BFPC did not uncover any consistent definition of a School, nor could we develop one of our own. Similarly, when we attempted to define a Department in terms of size or discipline we were unable to convincingly establish a rationale for minimum or maximum size or limits of disciplinary breadth/focus. The general conclusion was that if the formation of a School ultimately benefited the University then OSU should pursue the endeavor.

That being said, we did come away from the process with one chief concern. Does the increase in efficiencies gained by the creation of Schools undermine the undergraduate experience via increased class sizes? We raise this concern because the Category I proposals to create Schools submitted to this committee thus far each indicated "increased efficiencies" in undergraduate education that were required to offset increased expenses at the administrative or graduate level, thereby resulting in a net zero budget impact. In other words, in order to create a School that resulted in a long term advantage or increased efficiency there would necessarily be a decreased emphasis on quality of undergraduate instruction as measured by increasing class sizes. While this prioritization might be intended to be temporary, or trivially minor in magnitude, it was an attribute we noted in the proposals. Certainly, this speculative outcome is not a driver for the formation of a School, but we suggest that appropriate concern be placed on this potential consequence.

Sincerely,



Thomas H. Shellhammer  
Chair, Budgets and Fiscal Planning Committee  
Associate Professor  
Food Science and Technology

## **CHAPTER 6 - ACADEMIC-RELATED POLICIES (See academic policies contained in the *Undergraduate and Graduate Catalogs and Student Handbook*)**

### **6.05 Academic Units – Creating, Reorganizing, Relocating, Eliminating (See Chapter 2 Miscellaneous - Naming Policies)**

For the purpose of this policy an academic unit is defined as a college, a department, an undergraduate major, a graduate degree program, or a library, whether these units are located on the main or a community college. Any proposal to create, reorganize, relocate or eliminate an academic unit must be submitted for review and recommendation by the Faculty Senate, the Academic Deans Council, and the president to the Board of Regents for their consideration and action. Proposals to create, reorganize, relocate, or eliminate an academic unit formally originate with a bill submitted to the Faculty Senate. The proposed legislation shall follow the procedure specified in Faculty Senate Constitution ARTICLE IX – Propositions for Consideration of the Constitution of the Faculty Senate, except that no such proposal will be considered as emergency legislation. If approved, the creation of a department will be effective either January 1 or July 1 following the approval.

Procedure: After approvals from the appropriate authorizing bodies are obtained (*i.e.*, Faculty Senate, Academic Deans Council, etc.), the requesting department head/director must submit an Organization Change Request Form to the Office of Human Resource Services for processing. The form must be submitted with all relevant documentation attached no later than November 30 (for January 1 effective date) and May 31 (for July 1 effective date).

Creation of New Colleges: The creation of a new college is a decision based on the weighing of a number of criteria, including those below. An attitude of flexibility, reality, and organizational feasibility should be maintained in applying these criteria. The structure of the entire university, if a new college is formed, is an important consideration.

There should be a documented professional need for the college in the state and region.

Rationale: This can be expressed through increasing student enrollment in programs that would be part of the new college, or an obvious need for professional graduates of the college as expressed by state and local groups who desire to hire these professions.

The proposed college should be of a recognized profession or group of disciplines.

Rationale: The new college should give a desirable added professional recognition and development in the area of the new college.

At the outset, the new college shall have a minimum student enrollment of 250 with demonstrated ability to reach an enrollment of 500 within a 3- to 5-year period and a sufficient number of faculty to make it a viable administrative unit within the university.

Rationale: After several development years, the quantity of faculty and students should be sufficient to lend themselves to a quality of organization, instruction, and service that will provide a viable thrust to the university.

The quality and quantity of the faculty in the proposed college should be capable of maintaining with distinction an academic undergraduate and graduate program.

The university must be willing to make the commitment to furnish financial support for an additional college.

**Rationale:** This should include an adequate budget to provide for an expanding staff at the college level and funds for additional housing at a professional level.

**Changing a Department or Group of Departments into a School:** The proposed school should incorporate more than one area of specialization or should offer more than one degree (may include interdisciplinary cooperative efforts or more than one department). The proposed school should be an administrative and support unit with undergraduates and graduate students and an established, nationally recognized teaching and research program. The administrative head of a school may be called a chair, a head, or a director, but this person's administrative level will be equal to that of a department head. The legislation must contain a clearly stated and convincing justification for the name change, and must have support of the department and college faculty and administration.

**New Academic Unit:** There should be a documented academic/educational need for the academic unit, including but not limited to, an increasing student enrollment or significant employment opportunities for graduates in that field. The new program(s) should be consistent with the mission of the university and the college in which it will be located. There are sufficient faculty and resources to staff the program.

**Relocation or Reorganizing an Academic Unit:** Proposals to relocate a department must meet all of the following criteria:

The relocation will produce a more homogenous set of programs and departments in both colleges.

- The relocation will enhance the professional identity of the program or department involved.
- The relocation will not cause undue hardship for other academic units.
- The faculty and administrators directly affected are in agreement.
- Such a change will better serve the university community, clients, and/or the mission of the university.
- Address the transfer of resources, courses taught, and the faculty rank and tenure (or years to tenure) of those individuals being transferred.
- If a unit is being relocated to another college, there should be significant support from the unit being transferred and the unit receiving the transferred personnel/resources.

**Elimination of an Academic Unit:** (See Chapter 4 Human Resources - General - Layoff/Financial Exigency - Faculty Senate Review.) Proposals to eliminate an academic unit must meet the following criteria:

- A significant decline in enrollment, either as measured by number of majors or student credit hours.
- The resources are needed by programs or departments with much higher enrollment or student credit hour production.
- In evaluating a proposal to eliminate an academic unit, the unit's contribution in the areas of teaching, research, and service shall be considered.

**Undergraduate Program Changes:** (See Course Description Changes) All undergraduate program changes, including those of associate degrees, will be reported by the appropriate college representative at the fall curriculum meeting of the Associate Deans Academic Council. If applicable, adequate library resources and support services should be confirmed.

## **6.10 Academic Units/Programs (Procedures for Change) (See Appendices 5-A and B for flowcharts of both academic and nonacademic change procedures)**

### **6.15 Articulation Agreements**

The decision to participate in an articulation agreement with another institution(s) rests with the faculty. For those articulation agreements that are initiated by the New Mexico Higher Education Department, the administration will appoint a representative to the HED Statewide Articulation Task Force. The

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**Subject: Policy and Procedures for Establishment of New Schools at Virginia Tech**

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## **1. Purpose**

Consideration of proposals to establish the School of the Arts and the School for Public and International Affairs followed a process informed by practices at other institutions but not formally codified. All parties will benefit from making more explicit the criteria and process to evaluate such proposals. The Board of Visitors requested that criteria be developed for both establishment of new "schools" at Virginia Tech and their subsequent evaluation, and to define a process for approval.

## **2. Policy**

### **2.1 Definition**

A *school* is defined as an academic unit that has a special curricular/programmatic function and identity with research and outreach components as appropriate. Schools may have varying levels of budgetary, programmatic, and administrative independence. Although a separate administrative structure is not required, administrative and reporting relationships must be clearly defined. If a school administrator is appointed, this position will typically be designated a *director*.

### **2.2 Criteria for Establishing Schools Within or Among Colleges**

Several basic criteria are required for consideration in creating a new school, whether the new entity will be wholly a part of one college or will involve departments or subunits in several colleges. These criteria are:

1. Creation of the school is consistent with the goals and objectives of the university.
2. The new school will usually consist of more than one department or subunit and must have a critical mass of faculty and students.
3. There must be a strong curricular/programmatic justification for creation of the new organizational entity.
4. A significant university benefit can be anticipated, such as:
  - o The school will significantly improve the quality and integration of the curriculum.

- The curricular advances will result in the generation of additional opportunities for research, service, outreach, and/or development.
5. The discipline focus of the new entity should have unique features that are not adequately addressed by the existing structure(s) because of one or more of the following:
- The interdisciplinary nature of the program(s) or curricula
  - The professional nature of discipline(s)
  - The traditional treatment at comparable institutions
  - The exceptional strength or national reputation of programs

All criteria must be met, although not all elements of the fourth and fifth criteria are required.

### **3. Procedures**

#### **3.1 Review and Approval Process**

**The Pre-proposal.** Preparation and review of a pre-proposal is the first step in considering the creation of a new school. The pre-proposal is a brief description and rationale for the new school (approximately five pages). Areas addressed should include:

1. How the proposed school meets each of the basic criteria above.
2. The anticipated effects on teaching, research, outreach/service, and development efforts.
3. The resources that will be required to establish and operate the school, both short-term and long-term, and the extent to which the school will be self-supporting or will require additional university or college resources to maintain and grow. Indicate sources of funding.
4. The expected impact on the parent college(s) or other related units.
5. Why the anticipated benefits are unlikely to be achieved within the current organizational structure and how the proposed structure accomplishes the objectives outlined.

The pre-proposal should first be reviewed with the relevant departmental faculty, heads, and college dean(s). If favorably reviewed, the dean(s) and the school supporters will discuss the pre-proposal with the Vice Provost for Academic Affairs and the Dean of the Graduate School. They will make a recommendation to the Provost. If the pre-proposal appears to have merit, the Provost will share it with the Deans' Council and request their response before making a decision to proceed. The Provost will determine whether or not a full proposal should be developed for serious consideration by the university community.

**The "Full" Proposal.** The full proposal (hereinafter referred to as the "proposal") for establishment of a new school should follow the outline provided by the Office of the Provost.

#### **Steps in the Review of the Proposal:**

1. *Departmental review.* The proposal should be reviewed and approved by the faculty in the participating departments and supported by the heads.
2. *College-level review.* The college curriculum committee and the dean should review and approve the proposal. If more than one college is involved, each must review and approve the proposal.

3. *Commission on Undergraduate Studies and Policies and the Commission on Graduate Studies and Policies.* Supporters for the school should submit the proposal to both CUSP and CGSP for review and approval. (This presumes that the new school entity has the potential to incorporate programs at both the undergraduate and graduate levels.) Supporters will be invited to present the proposal to commission members and to respond to questions. It is expected that these discussions may lead to revisions of the proposal. The Vice Provost for Academic Affairs and the Dean of the Graduate School are expected to play a lead role in working with the commissions and supporters in this process. If approved, the resolution calling for creation of the new school is forwarded to University Council.
4. *University Council.* University Council receives the resolution and votes to accept or reject on the second reading.
5. *Provost, President, and Board of Visitors.* Approval by University Council is a recommendation for favorable action to the President. If the school proposal has the support of the Provost and President, it will be presented to the Board of Visitors for approval.
6. *State Council for Higher Education.* Creation of new organizational entities must be approved by the State Council.

### **3.2 Evaluation Of Schools For Continuation**

Schools will be evaluated on a five-year cycle in a manner consistent with all academic units on campus. The evaluation will require a self-assessment of accomplishments by school representatives and an external panel review. Written reports from each group will be forwarded to the dean(s) of the participating college(s), who will discuss the evaluations with the school leadership prior to preparing a recommendation to continue or disestablish the school. The recommendation of the dean(s) and supporting materials will be forwarded to the Provost for final approval.

The external panel shall be appointed by the dean(s) of the participating college(s) and will consist of five members. Panel members will be drawn from departments not included within the colleges, members of the respective dean's office(s), and at least one faculty member external to Virginia Tech but from a comparable school located at a peer university.

#### **3.2.1 Evaluation Criteria**

Reviews will be guided by the school's objectives and implementation plan, as well as by the relationship of the school's goals to the University Plan. Demonstrable evidence of accomplishments must be included in both the internal and external reviews. The evaluation will emphasize the degree to which the school has met the criteria and benefited the institution, with evidence such as active involvement of a critical mass of interdisciplinary faculty and students; contributions to enriching the education of students; effective interdepartmental collaboration with respect to teaching, research, and public service activities; and increased access to external resources. In addition, the review will address issues of administrative effectiveness and efficiency and fiscal management.

## **4. Definitions**

## **5. References**

## **6. Approval and Revisions**

Approved April 21, 1997 by the Board of Visitors.

- Revision 1

Updated April 23, 2002 – minor editorial changes and changes to position titles.

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## APPENDIX

### Outline for School Proposal

1. Proposed name
2. Proposed participating departments or units
3. Proposed effective date of the organizational change
4. Proposed mission
  - Describe the mission and purpose of the proposed school and its relationship to Virginia Tech's mission.
  - Describe the goals and objectives for the school and relate these to the University's goals and objectives.
  - Describe the benefits that are sought by creating the new organizational structure.
5. Proposed organizational structure:
  - Describe how the proposed school would be structured as an organizational unit within the University. Include organizational charts that illustrate reporting relationships for the proposed school.
  - Describe the internal organizational or administrative structure proposed for the school. Describe the relationships between the school leadership and the dean(s), and among the heads of the participating departments and the school leadership. Include descriptions of the duties and responsibilities of senior administrators within the school. Make clear the proposed locus of control for personnel and budgetary decisions.
  - Describe changes to the standard college review and decision making processes for promotion and tenure and annual evaluation if any changes are proposed or anticipated.
  - Identify any additional resources needed to create the administrative organization of the proposed school and provide a justification for these resources.
    - Will the school require an additional financial/budget officer?
    - Will the school require a development officer?
    - Will the school require an information officer?
    - Will the school require associate or assistant directors?
    - What additional staff resources and operating budgets will be required to support any new positions?

- Develop a proposed operating budget for the school that reflects both current operations and any new financial resources required to create the school.
6. Describe the academic programs (including instruction, research, and outreach) that would be offered or conducted by the proposed school. If recent academic program review documents are available, they may be submitted to respond to the relevant questions below.
- Describe the program priorities for the school in terms of its instruction, research, and outreach missions.
  - Using historical enrollment data and enrollment projections, describe the past and projected enrollments in the departments that will be part of the proposed school. Relate these data to overall University trends.
  - Describe how the creation of the school will affect faculty workload and productivity in the component departments.
  - Describe the programs offered and trends in degrees awarded for these programs.
  - List and describe any anticipated major changes to the academic programs -- such as new degree programs, options or concentrations to be proposed; merger of programs/degrees; or discontinuance of degrees/programs. (Proposed changes to academic programs would need to be reviewed separately through usual governance procedures.) Estimate the effects on enrollment and resources if such changes were implemented.
  - Describe changes in the nature, quantity, or interdisciplinarity of the research, scholarship, creative expression or artistic performances of faculty in the component departments which might be anticipated by establishment of the school.
  - Describe changes in the nature, quantity, or interdisciplinarity of the outreach and continuing education of faculty in the component departments which might be anticipated by establishment of the school.
7. Proposed Evaluation Criteria
- Using the general guidelines provided in the policy document, state the evaluation criteria that will be used to assess the effectiveness of the new school in achieving the benefits that are sought by its creation.
8. Provide any additional materials or information pertinent to the proposal.