

GENERAL PROCEDURES FOR DEVELOPING JOINT DOCTORAL PROGRAMS WITH INDEPENDENT INSTITUTIONS

These procedures are based on documents developed by the CSU and California Postsecondary Education Commission (CPEC) staff, including coded memorandum AP 69-68. They have been updated to reflect changes in system terminology and practice.

Obtaining formal approval for a doctoral program to be offered jointly by a CSU campus and an independent institution¹ proceeds in four stages: (A) initiating discussions; (B) requesting and obtaining permission to negotiate; (C) developing the implementation proposal; (D) obtaining CPEC and WASC approvals.

A. Initial Discussions

1. Interest in developing a joint doctoral program is ascertained, typically at the department/faculty level. An ad hoc joint planning committee, with members from both the CSU campus and the independent institution, is usually formed.
2. The cooperating academic units at both institutions follow their customary procedures for proceeding to formal negotiations.
3. The graduate dean or assistant/associate vice president for academic programs at the CSU campus communicates informally with the Office of Academic Program Planning in the Office of the Chancellor.

B. Permission to Negotiate

4. The CSU campus president addresses a request for “permission to negotiate a joint doctoral program” to the Chancellor, with a copy to Academic Program Planning. (*See Attachment A for a description of the contents of this document.*)
5. Academic Program Planning may communicate with the CSU campus about the desirability and appropriateness of the proposed program and the evidence of need and feasibility. Revisions of the documentation may be requested.
6. When review of the request is satisfactorily completed, the Chancellor sends a letter granting permission to negotiate to the CSU campus and sends a copy of the letter to the chief executive officer of the partner institution.
7. The chief executive officer of the partnering institution sends a letter to the executive director of CPEC, stating that formal negotiations to establish a joint doctoral program have begun.
8. In the next scheduled update of the CSU campus’s Academic Plan, the CSU Board of Trustees approves the projection of the proposed joint doctoral program.

C. Development of the Program Implementation Proposal

9. The ad hoc joint committee drafts a formal program implementation proposal. (*See Attachment B for a description of the contents of this document.*)

¹ “Independent institutions” are defined in California law as “nonpublic higher education institutions that grant undergraduate degrees, graduate degrees, or both, and that are formed as nonprofit corporations in this state and are accredited by an agency recognized by the United States Department of Education.” It is expected that the partnering institution will be accredited by the Western Association of Schools and Colleges.

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10. The proposal is submitted through local university administrative channels to the CSU Chancellor and to the chief executive officer of the independent institution.
11. The CSU campus sends four copies of the proposal to the Office of Academic Program Planning, which reviews the proposal with the assistance of external reviewers with expertise in the discipline.
12. Academic Program Planning may request revision of the proposal. Copies of the revised proposal are prepared and sent to Academic Program Planning.

D. CPEC and WASC Approval

13. Academic Program Planning submits the program implementation proposal to CPEC staff.
14. CPEC staff, in consultation with Academic Program Planning and the Association of Independent California Colleges and Universities, convenes an ad hoc CPEC joint graduate board to review and provide advice on the proposal. Representatives of the proposing institutions may be invited to meet with the ad hoc CPEC joint graduate board. The proposing institutions may be asked to provide additional information or clarification before final action is taken on behalf of CPEC.
15. CPEC staff notifies the CSU and the independent institution of action taken on the proposal.
16. Following CPEC approval, the Chancellor sends a letter granting full approval to award the degree to the CSU campus and sends a copy of the letter to the chief executive officer of the partner institution.
17. The participating institutions ensure that all necessary WASC approvals are obtained. (See the *WASC Substantive Change Manual 2001*, especially Section III.C.5.)

CONTENT: REQUEST FOR PERMISSION TO NEGOTIATE

Expression of interest in the joint doctoral program

Rationale for the program

- Indications of need for the program
- Supporting evidence of the requesting academic units' ability to offer doctoral instruction
 - Faculty: degrees, honors, grants, professional and other relevant experience, publications and other matters pertinent to judging qualifications to guide advanced graduate work. Curriculum vitae for faculty members from both participating institutions are usually submitted.
 - Academic units: experience with graduate study, degrees offered, number of degrees awarded, year in which each graduate degree program was authorized.
 - Instructional and research facilities: description of facilities available to accommodate joint doctoral candidates.

CONTENT: PROGRAM IMPLEMENTATION PROPOSAL

Implementation proposals for joint doctoral programs with independent institutions must include the following elements:

Basic Information

1. The names of the institutions that will be awarding the degree
2. The full and exact designation of the degree to be awarded (e.g., PhD in Chemistry)
3. The names of the departments, divisions, or other units of the campuses that will have primary responsibility for administering the program
4. The names and titles of the individuals primarily responsible for drafting the proposal

Timelines

1. The anticipated date that the program will be implemented
2. A timetable for the development of the program, including enrollment projections for the first five years

Program Rationale, Aims and Objectives

1. The rationale for proposing a joint program
2. The aims and objectives of the program

Justification for the Program

1. A description of how the proposed program is related to existing programs on the participating campuses, especially to closely related master's and doctoral programs
2. A list of similar doctoral programs offered or projected by California institutions (state clearly how the proposed program differs from the existing programs listed)
3. A summary of the evidence of student demand for the proposed program
4. A summary of the employment prospects for graduates of the proposed program and the professional uses of the proposed program
5. A summary of the importance of the program to the discipline and to meeting the needs of society

Information About Participating Institutions and Departments

1. A description of the relationship of doctoral degree programs to the missions of the participating institutions
2. The number, variety, and longevity of the doctoral programs currently being offered and the degree completion rates for previous or current joint doctoral programs
3. A brief review of the historical development of the field and departmental strength in the field, including the experience of the participating academic units with graduate

education (degrees offered, number of degrees awarded, and year in which each graduate degree program was authorized)

4. A description of how the proposed program is expected to draw support from existing programs, departments, and faculty

Information About Participating Faculty Members

1. A description of the relationship of the program to the research and professional interests of the faculty
2. A description of how the faculty expertise and resources at one participating institution complement the faculty expertise and resources at the other participating institution and create synergies
3. The criteria for choosing faculty members for participation in the program
4. Copies of faculty vitae, including rank, appointment status, highest degree earned, date and field of highest degree, professional experience, publications, and other information demonstrating faculty commitment to research and ability to chair dissertation committees

Information About Resources

1. A brief review of existing financial, physical and information resources supporting the program, including research support within the institution, library support appropriate for doctoral degree work, physical facilities, and stability and sufficiency of financial resources
2. A description of the ability of the institutions to provide graduate student support, including teaching or research assistantships, fellowship eligibility, and financial aid
3. A summary of resource requirements for each participating institution by year for the first five years, including:
 - a. FTE faculty
 - b. library acquisitions
 - c. computing costs
 - d. equipment
 - e. space and other capital facilities (including rented facilities, where applicable)
 - f. other operating costs
4. A description of the intended method of funding the additional costs (including fee structures, internal reallocation, and external resources) and effects of the method of funding on existing programs

Detailed Statement of Requirements for the Degree

The statement should include all of the following elements that are applicable:

1. Undergraduate—and, if appropriate, postbaccalaureate and master's level—preparation for admission; other admissions requirements; and provisions, if any, for conditional admission of selected applicants who do not meet all the requirements for admission
2. Criteria for continuation in the program

3. Unit requirements
4. Specific fields of emphasis
5. Required and recommended courses, including catalog descriptions of present and proposed courses
6. Foreign language requirements, if any
7. Other activities required of students (e.g., laboratory rotations, internships)
8. Field examinations, written and/or oral
9. Qualifying examinations, written and/or oral
10. Dissertation
11. Final examination
12. Other demonstration of student competence, if any
13. Special preparation for careers in teaching
14. Sample program
15. Normative time from matriculation to degree, normative time for pre-candidacy and candidacy periods, and incentives to support expeditious time-to-degree
16. Special arrangements for delivery of instruction, where applicable

Provisions for Joint Decision-Making and Administration of the Program

1. Administrative support at each participating campus and mechanisms for coordination
2. Assistance for faculty, staff and students in meeting the unique demands of the proposed joint program (e.g., travel among participating institutions, distance learning expenses, relocation expenses)
3. Rules for determining registration and fee payment obligations, especially when students are receiving instructional services simultaneously from more than one participating institution
4. Comprehensive support services for students (e.g., housing, health care, child care, access to information resources) at multiple institutions
5. Mechanisms to ensure the involvement of each participating institution in admission decisions, curricular coordination and modification, advisory committees, and dissertation committees
6. Any other relevant features of the relationship between the partnering institutions in the development and implementation of the proposed joint degree program

Assessment and Accreditation

1. A description of the review process that will be used to evaluate the proposed program, including an assessment plan
2. A description of the provision for meeting accreditation requirements, where applicable