

## Proposal to Establish Schools at UW Bothell Revised Draft 4/5/11

The University of Washington Bothell proposes to create more recognizable academic administrative units that would reflect the growing maturity and complexity of the existing Programs at the campus. The development of Schools responds to multiple influences that arise after 20 years of growth and development.

In addition, the transition to Schools positions UW Bothell for continued growth over the next five to 10 years by enabling a more effectively organized administrative structure and establishing academic units that are capable of the kind of scale-up that would accompany the anticipated growth of the campus. The proposed Schools structure would serve as a transitional structure that may naturally lead to conversion to colleges as UW Bothell grows to its projected size.

### Purpose and Background

At UW Bothell, the creation of Schools would serve multiple purposes in keeping with our strategic vision as outlined in the 21<sup>st</sup> Century Campus Initiative:

- Create units that more effectively support the rapid growth of the campus by facilitating the development of courses and degree options that serve multiple curricular needs (supporting goal of *Growth*)
- Create possibilities for fiscal efficiencies in administrative support (supporting goal of *Resourcefulness*)
- Enable continued growth of interdisciplinary culture by gathering faculty under broader intellectual headings (supporting goal of *Innovation*)
- Enhance visibility with external communities and support advancement initiatives through a more recognized academic unit structure and an expanded external role for unit leadership. \*(supporting goals of *Community* and *Resourcefulness*)

*\*Even within the UW, the designation of "Program" for a primary academic unit falls outside of usual definitions. Section 23-23 of the UW Faculty Code states that "ordinarily, an academic program shall be smaller than an administrative unit such as a department and larger than the activities of a single faculty member." Designation as Schools would more accurately communicate the scope and scale of the activities of UW Bothell's academic units.*

UW Bothell is celebrating its 20<sup>th</sup> year of existence. The campus enrolled just under 2,400 FTE students in the fall of 2009 (2,801 headcount) and reached nearly 2900 by the fall of 2010. With a 66% increase in freshmen applications and a corresponding increase in transfer applications, the campus is experiencing a strong upswing in interest. For the fall of 2010, the campus received 1,730 applications for 350 freshmen spots.

To meet the needs of this growing campus population, UW Bothell has added 16 new degrees in the past three years and has more in the proposal stages for launch in the next two years. This expansion of degrees, curricula, and faculty hiring has been accompanied by the expansion of the institutional

structure for academic programs. The new Science & Technology Program was approved by the Regents in 2009 and now houses over 14 full-time faculty. In addition, UW Bothell has expanded to offer academic degree programs in additional locations, beginning with Nursing (BSN) in Mount Vernon (2007) and Everett (2010), followed by Business (MBA in 2009, BA in 2010) programs at the new Eastside Leadership Center in Bellevue and an anticipated Electrical Engineering degree (BS) in Everett (2011).

This increase in both size and complexity has required the Programs to develop organizationally to keep pace with change and to provide continued leadership to support this rapid expansion. In the last year, each of the Programs has added positions for Associate Directors, who have taken on responsibilities for new aspects of the programs (for example, the Associate Director in the Business Program has taken responsibility for building out and managing the programs at the Eastside Leadership Center). In addition, Programs have expanded the numbers and kinds of revenue streams that they manage. While the campus traditionally relied almost exclusively on state funds for support of activities, the recent expansion has seen significant growth in non-state activities, including research centers (four have been added in the past two years, and a fifth is expected later this year); fee-based programs (in collaboration with UWEO); and expanded development activities.

The campus as a whole and the Programs as individual units have also begun to take on increasingly visible roles in the surrounding communities, collaborating with industries, non-profits, school districts, and community organizations in development of new curricula, research and entrepreneurship partnerships. These collaborations contribute to the complexity of roles within Programs as well as to the overall communications activities of the campus.

Over the next five years, as the campus moves towards the development of additional new degree programs and seeks to become less dependent upon state funding, these complexities will only increase, placing further pressure upon Programs for differentiation of leadership roles and organization of activities.

In fall of 2009, the UW Bothell faculty stood at 133 FTE: 79 tenure-line, 19 full-time lecturer, and 35 part-time lecturer FTE. With new hires this year, those totals have risen to 158 FTE: 96 tenure-line, 26 full-time lecturer, and 36 part-time lecturer FTE. Over the next five years, if the campus continues to grow at the current pace, these numbers will continue to rise, providing greater depth of Program faculty at all ranks.

In addition, the UW Bothell campus is preparing for increasing responsibility in the accreditation process, leading towards a future date at which the campus will be independently accredited. Individual programs are also preparing to seek independent accreditation, as suggested by several of the recent accreditation review bodies during accreditation of tri-campus degrees (specifically Business and Nursing. In addition, an independent ABET accreditation will be established for UW Bothell's B.S. in Electrical Engineering program). As part of these processes, we believe that establishing more externally recognized administrative units will assist in the accreditation conversations.

All of these factors – increases in degree programs, student FTE, faculty FTE, kinds of revenue streams, and community engagement – contribute to the timing of this proposal in a desire to provide the organizational infrastructure and recognition that accompany the continued growth and expansion of UW Bothell.

**Guidelines and General Principles for Formation of Schools:**

- The primary considerations for organization as a School are stewardship of the quality of an academic program and academic coherence. In addition, key considerations include:
  - growth in size, complexity, capacity to fulfill faculty unit governance, and the strategic needs of the campus and unit.
- The creation of a School shall be approved by the VCAA and the Chancellor, following review and recommendation by relevant campus bodies (EC and AC) before being forwarded to the Provost's office.
- Schools will be headed by Directors.
- There is not a one-to-one correspondence between existing Programs and Schools. Once the organization of schools is established, it is expected that all existing Programs will become or reorganize into Schools over the next 5 years. Programs will develop pathways and timelines for these steps by the end of Fall Quarter 2011.
- Schools may be sub-divided into departmentalized units ("divisions") that could have delegated responsibilities, according to provisions of the UW Bothell Sub-unit Policy (see Appendix C).
- Each School will establish criteria for faculty appointments; promotion and tenure; and merit review, curriculum development, and admissions.
- Consistent with the UW Handbook Faculty Code (23-45C), each School shall have an elected faculty council or councils, which will advise the Director on matters of policy regarding promotion and tenure. (The CCPTFA will continue to advise the VCAA regarding promotion and tenure.) The faculty of each school shall determine for itself the organization and structure of its council or councils and the procedure by which the members are elected, to be articulated in School by-laws.
- In accordance with GFO by-laws and the Faculty Code, School by-laws will be approved by appropriate faculty and administrative bodies before implementation.
- The CCPTFA will continue to serve as the campus-wide body that advises the VCAA regarding promotion and tenure.
- After the completion of the transition to the Schools model outlined in this proposal, at a future time that is deemed appropriate by the Provost and Chancellors, it is expected that Schools will move toward a formal designation by the Regents as Schools or Colleges. At that time, or such time as the EC deems appropriate, there will be further consideration of the role of the CCPTFA in matters of promotion and tenure.

**Timeline:**

UW Bothell proposes to initiate a two-phase reorganization that would create new Schools housing the existing six programs (the Center for University Studies (CUSP) would remain separate, since it is not a faculty-appointing unit.)

**Phase I, 2010-11 – Process Development**

1. VCAA consults with Executive Council and Academic Council for recommendations.
2. Campus-wide faculty and program-level review of Schools Proposal is conducted.
3. Schools Proposal is posted on the Strategic Planning Blackboard for a 30-day comment period.
4. Schools Proposal is revised as need, taking into account the recommendations and comments received during the campus review.
5. VCAA submits the Schools Proposal to the Chancellor for review and endorsement.
6. EC begins addressing any needed language changes in by-laws or promotion and tenure processes, or necessary consultation with Faculty Senate Chair. The timeline for addressing faculty governance issues will be determined by the EC, and may occur concurrently with administrative processes in Phase II proposal and implementation steps. Implementation of administrative aspects of the Schools process may proceed in advance of the completion of EC deliberations regarding faculty governance processes, if all other aspects of the approval process are achieved.

**Phase II, 2010-2016 – Schools Transitions**

1. Programs identify pathways (or pathway options) and develop a timeline for organizing as Schools, with timeline proposals submitted to the VCAA by the end of Fall 2011.
2. Programs that are prepared to move forward submit a full proposal to begin the Schools process outlined below.
3. Implement transition to Schools for Programs that have completed the approval process. Administrative and faculty governance aspects of the transition may be phased in separately, based on the timeline included in the approved proposal. It is anticipated that all Programs will transition by 2016.
4. If reorganizations are considered, appropriate RCEP procedures would be followed.

**Process for Approval of Schools:**

1. The creation of a School shall be proposed to the Vice Chancellor for Academic Affairs (VCAA) by the Director(s) of the Program(s) requesting designation as a School, following formal review and approval by faculty of the Program(s).
2. The full proposal should include the following information:
  - a. Rationale for designation as a School
    - i. How designation as a School fits in with overall strategic vision and planning at the campus level and for the unit(s) affected

- ii. Benefits of proposed designation to the unit and the campus/university, with consideration for academic quality and coherence
      - iii. Short- and long-term efficiencies and/or costs involved
    - b. Capacity to manage fiscal and administrative matters, as well as expanded external engagement and advancement initiatives (current and projected for the proposed implementation period)
    - c. Current and projected size and composition of unit:
      - i. Number of faculty by rank
        - 1. Outline of faculty composition in relation to capability for managing faculty governance matters
      - ii. Numbers of students (undergraduate and graduate)
      - iii. Number and types of degrees (undergraduate and graduate)
      - iv. Complexity of unit organization (i.e., sub-units, multiple locations, centers, etc.)
      - v. Organization chart for School administration
    - d. Impact of designation on accreditation
    - e. Impact of designation on stakeholders, including students, UW Bothell and tri-campus communities, and external communities.
    - f. Steps and timeline for implementation, including both administrative and faculty governance phases of the transition.
3. The proposal will be submitted to the VCAA and Vice-chair of the GFO for approval to proceed to campus review.
4. The proposal will then be posted for a 30-day campus review and comment period.
5. A summary of feedback (with names removed) will be prepared by the Strategic Initiatives Director and presented to the Program for possible revision before the AC and EC review.
6. AC and EC recommendations will be communicated to the proposal developers, who will be given full opportunity to revise the proposal.
7. The final proposal will be submitted to the VCAA for formal review and consideration.
8. If recommended by all bodies, the VCAA will submit to the Chancellor for final review and approval. The Chancellor will then forward the proposal to the Provost for approval and transmission to the Regents.

We believe that this process would ensure that Schools would be able to function independently in academic, curricular, and budgetary matters.

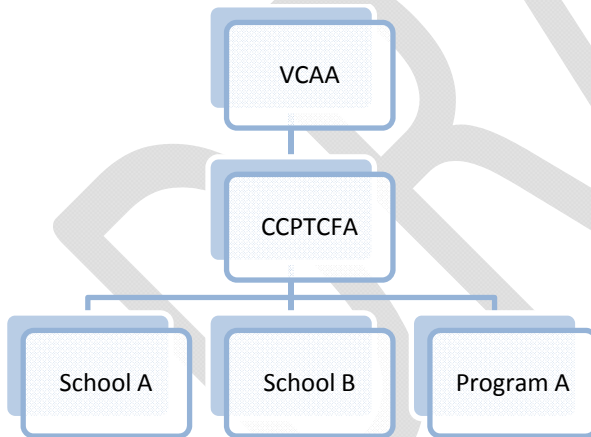
**Appendix A:**

Management of Promotion & Tenure processes:

- The CCPTFA will continue to serve as the campus-wide body that advises the VCAA regarding promotion and tenure and will continue to have campus-wide representation.
- Faculty who hold joint appointments across two Schools or across a School and Program will continue to follow the provisions of the UW Bothell Joint/Transfer Appointments Policy (3/09). Under this process, the responsibilities of the faculty member's primary unit include convening a review committee of faculty from primary and secondary units, with membership formed through consultation between the head of the units. (Appendix D)

**Appendix B:**

**Promotion and Tenure Processes Chart**



## **Appendix C**

### **Policy Title: Establishment of Sub-units within Programs at UW Bothell**

#### **Purpose:**

The purpose of this policy is to establish a process through which an Academic Program may create sub-units from within the Program.

#### **Background:**

UW Bothell's strategic priorities call for growth in size and programs of study to serve the students of our region. A new Science and Technology Program was created by the University of Washington Board Of Regents in September 2008 to foster additional growth in STEM fields. Based on the recommendations of the STEM Task Force (4/08), the Science and Technology Program requires a structure to support disciplinary depth where faculty in STEM-related programs "have a degree of autonomy in matters relating to curricula, faculty recruitment, tenure and promotion comparable to that of faculty in departments housed in colleges." (STEM Report, 4/08). The Task Force further recommended establishing multiple "department-like entities."

This discussion, in turn, led to a larger consideration of the potential creation of sub-units within other programs, based on the size, complexity and needs of the individual program. This policy has been developed to outline a process to guide any UW Bothell program that proposes to sub-divide.

#### **Authority:**

In accordance with the University of Washington Handbook, Sections 23-43C and 12-24.2, the UW Bothell GFO Bylaws delegate to the faculties of its several programs the powers and duties to determine their own organization. (GFO Bylaws, Article XIII) The Chancellor of UW Bothell, as specified in the UW Handbook (Section 12-24.II), "is the final point of review and approval for issues of an academic nature on his/her campus."

#### **Definitions:**

The UW Handbook, Section 23-23 identifies a sub-unit of a school or college headed by a dean as a "department" and a smaller "area of specialization" as a program. At UW Bothell, however, the major academic units have been established as "programs" headed by directors. Using the director-led UW School of Art as a model, UW Bothell shall at this time use the term "division" for a sub-unit of a program established to provide "departmental" functions referenced in the UW Handbook. This terminology may be reassessed should the Regents establish Colleges or Schools at UW Bothell, or as other circumstances warrant.

The GFO Bylaws, Article XIII, state that the UW Bothell faculty delegates to the programs powers and duties regarding admissions, curriculum and personnel. These powers and duties may be delegated for implementation, in whole or part, to divisions within a program. Programs have budgetary responsibilities, but may choose to delegate these functions as division growth warrants.

#### **Procedure:**

1. The creation of a division within a program shall be proposed to the Vice Chancellor for Academic Affairs by the Program Director after formal review and approval by program faculty. Proposals should include recommendations regarding delegation for implementation of responsibilities, including admissions, curriculum and personnel, to the individual divisions, as well as the leadership model that is appropriate to the size and complexity of each division. The proposal should also include specific recommendations for the review, promotion and tenure process for all faculty in the currently configured program.
2. The VCAA shall review the proposal and transmit it to the Academic Council and GFO Executive Council for review and recommendation.
3. The VCAA shall then recommend the proposal to the Chancellor for approval consideration.
4. Final approval shall be authorized by the Chancellor, who will notify the Provost and the Secretary of the Faculty.

#### **Review:**

The VCAA is responsible for reviewing this policy and shall recommend revisions as needed, in consultation with the Academic Council and GFO Executive Council.

Appendix D

Joint/Transfer Appointments – UWB (1/13/09)

Processes

1. Faculty member requests of a different unit consideration for joint status or for transfer of appointment or the different unit requests faculty member to consider such change in status
2. Faculty member indicates preference for which unit will have primary status in a joint appointment or if it is being proposed to shift the entire primary appointment.
3. Faculty member informs the director(s) of their present unit or units of this request. The director(s) will acknowledge receiving this information.
4. Faculty member prepares appointment materials as required by the unit in which the new appointment is being requested.
5. The candidate's requested new unit, which may be secondary or primary, votes on recommendation for faculty appointment and determines if voting rights are to be conferred.
6. Director of the primary unit conveys appropriate appointment materials to VCAA.
7. Formal appointment letter written to record distribution of effort and assignments.

Promotion, Tenure, and Merit Review

1. Primary unit will take responsibility for convening, overseeing, and processing materials for merit, promotion, and tenure review.
2. Review committees can be constructed as a single committee including faculty members from both the primary and secondary units, with membership formed through consultation between heads of both units.
3. Annual reviews will be conducted through collaborations between primary and secondary units; for merit considerations, heads of personnel committees from each unit will confer and make recommendation to Program Directors; Directors from each Program will confer on final recommendation.

Budget Guidelines

Joint appointments can be budgeted in two ways:

1. Budget is divided to reflect proportions of appointment, or budget rests in primary unit, with secondary unit reflected as a WOS (Without Salary) appointment.
2. Funding related to sabbaticals, buy-outs, or teaching replacement for faculty members holding joint appointments:
3. "Funding follows teaching": in other words, funding distribution is related only to replacement of course responsibilities that will not be met due to leave, research, or administrative or other re-assignment.
4. Directors of units will discuss resource needs with Vice Chancellor for Academic Affairs.
5. Prior to hiring for new appointments:
  - a. Heads of both units will confer to appoint a joint search committee
  - b. At time of hire and after discussion with the candidate, the VCAA will designate primary and secondary units, with lead being taken by Director of primary unit; at this time, specific delineations will be made for:
    - i. Teaching assignments
    - ii. Service on committees
    - iii. Research expectations
    - iv. Mentoring of the candidate