Global Metropolitan Studies Charter

Note

This charter for Global Metropolitan Studies is based on the New Initiatives master governance document as updated, which is promulgated each year by the Vice Chancellor for Academic Planning and Facilities (VC-APF) staff. We have edited the master document to incorporate the policies that the Global Metropolitan Studies (GMS) Steering Committee has adopted over the past three years. In particular, we clarified the role of the executive committee as an advisory body, and added the Steering Committee to serve as the GMS core faculty in accordance with faculty governance at Berkeley. We also established a detailed procedure for recruitment and promotion. This procedure has been reviewed and accepted by the Academic Personnel Office (APO). We included the education programs as they currently stand. Finally, we incorporated materials from our prospectus into the preamble, goals, and programs sections.

This charter was reviewed and adopted by the GMS Steering Committee in November 2008.

-- Elizabeth Deakin and Peter Evans

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I. Preamble

For the first time in history, metropolitan areas are now home to the majority of the world's population. Metropolitan areas are the engines of economies around the world. They are centers of culture, religion, education, innovation, and entertainment. At the same time, many are also places of poverty, marginalization, despair, and conflict.

The Center for Global Metropolitan Studies is one of five New Initiatives approved on the Berkeley campus in 2004, after a campus-wide competition. Global Metropolitan Studies aims to investigate and address the problems and opportunities posed by global metropolitan growth and change through creative interdisciplinary research and teaching.

Founding departments for Global Metropolitan Studies – GMS for short - are City and Regional Planning, Landscape Architecture and Environmental Planning, Political Science, Sociology, Geography, and Civil and Environmental Engineering. Additional departments that include many faculty members active in GMS include Architecture, the Energy and Resources Group, Environmental Sciences, Policy and Management, and Public Health. Faculty members from Anthropology, Business Administration, History, Economics, Public Policy, Industrial Engineering and Operations Research, Electrical Engineering and Computer Science, and Information Management and Systems are also participating in the initiatives as faculty affiliates.

This document sets out the goals and expectations for the Global Metropolitan Studies initiative and presents its governance policies.

II. Goals for Global Metropolitan Studies

Global Metropolitan Studies will develop research and instructional programs in promising areas that lie between or among traditional disciplines. Specifically, Global Metropolitan Studies will:

- Foster and facilitate development of interdisciplinary research and academic activities in the Center’s areas of interest.

- Foster and coordinate the development of graduate and undergraduate programs of instruction in the interdisciplinary area, including a graduate-level designated emphasis and an undergraduate major and minor.

- Play a coordinating and oversight role in the allocation of faculty FTE designated for the area as part of the campus initiative process. The Center will designate the academic focus in which a search for the FTE will be conducted and, in
collaboration with founding departments, conduct the search. The actual appointments will be in existing departments.

- Provide leadership and infrastructure for the initiation of interdisciplinary research efforts involving government, foundation, and industry funding sources as well as internally-funded research. Provide the necessary infrastructure to coordinate these research efforts, including the mobilization of campus and external funding and partnerships for securing and improvement of existing space and, if appropriate, the addition of new space.

III. Leadership, Governance, and Administration

A. Global Metropolitan Studies Leadership

Global Metropolitan Studies is led by two faculty co-directors, one from the social sciences and the other from the planning and design disciplines. The co-directors are appointed by the Executive Vice Chancellor and Provost. The term of service is two to three years. The co-directors oversee all activities of the Center and supervise the Center administrative staff. The co-directors report directly to the Vice Provost-Academic Planning & Facilities, with an auxiliary reporting responsibility to the Executive Vice Chancellor and Provost.

In the first year of the Global Metropolitan Studies initiative (2004-5), Professor John Landis served as director. Professor Peter Bosselmann served as interim director during the summer of 2005. From Fall 2005 through Fall 2008, Professors Peter Evans and Elizabeth Deakin served as co-directors.

B. Global Metropolitan Studies Governance

Global Metropolitan Studies is governed by the co-directors working together with an executive committee and a Steering Committee. The executive committee will provide policy direction and help arrange financial commitments, while the Steering Committee will serve as the core faculty for the initiative.

1. Executive Committee

A seven member executive committee, consisting of the two co-directors, four representatives of the other core departments, and one additional affiliate, will be appointed by the Vice Provost-Academic Planning & Facilities. The faculty appointees on the executive committee currently are:

- Peter Bosselmann, Landscape Architecture and Environmental Planning
- You-Tien Hsing, Geography (appointed Spring 2007)
- Adib Kanafani, Civil and Environmental Engineering (appointed Fall 2008)
- Dan Kammen, Energy and Resources
The deans of the colleges of which Global Metropolitan Studies founding departments are part—Environmental Design, Social Sciences, and Engineering—are invited to participate as ex officio members of the Executive Committee.

The Executive Committee meets twice a year to review accomplishments and discuss directions for the following year, and as needed at other times to discuss policy issues, finance, and related issues.

2. **Steering Committee**

The GMS Steering Committee is comprised of:

- the five faculty members holding GMS FTEs
- five additional faculty members who are actively engaged in GMS teaching, research, and outreach activities
- the five faculty members who serve on the Executive Committee
- the two GMS co-directors
- the director of the host ORU (ex officio.)

The Steering Committee confers on all matters affecting curriculum and votes on faculty appointment and promotion cases. Currently the Steering Committee as a whole meets two or three times a year, to discuss the Center’s progress and participate in decisions on curriculum, academic hiring, research, outreach, fundraising, space, and other current issues.

The co-directors appoint the five additional faculty members to the Steering Committee. The term of service on the Steering Committee is three years. Steering Committee members may be reappointed for one additional three year term.

The GMS Steering Committee membership currently is as follows. (Members of the Executive Committee are marked with an asterisk).

- Peter Bosselmann, Landscape Architecture and Environmental Planning*
- You-Tien Hsing, Geography*
- Dan Kammen, Energy and Resources*
- Adib Kanafani, Civil and Environmental Engineering*
- Nezar AlSayyad, Architecture
- Matt Kondolf, Landscape Architecture and Environmental Planning
- Ananya Roy, City and Regional Planning
- Richard Walker, Geography
- Margaret Weir, Political Science and Sociology
- Jason Corburn, City and Regional Planning
Approved 11-08 as revised

- Joan Walker, Civil and Environmental Engineering
- Alison Post, Political Science (effective 2009-10)
- (two additional GMS FTE to be appointed)

The Global Metropolitan Studies co-directors are also voting members of the Steering Committee.

3. Other Committees

Steering Committee members and other faculty affiliates chair committees and lead efforts for GMS in the following areas:

- Communications, Public Programs and Outreach
- Research and Collaboration
- Fundraising
- Graduate Studies
- Undergraduate Studies
- Space and Facilities
- Campus Relations

The co-directors may establish other committees as needed.

C. Global Metropolitan Studies Administration

1. Location and Oversight

Global Metropolitan Studies is located under the Vice Provost-Academic Planning and Facilities (VP-APF). The VP-APF serves as “Dean” for GMS and provides the oversight and assistance of the same sorts that a dean provides a department.

2. Administrative Services

During the first several years as the New Initiatives are being established, administrative services are being provided by a college or a host ORU with a closely related mission. For Global Metro Studies’ first four years, the Institute of Urban and Regional Development provided business services—budgeting, accounting, payroll and HR - as well as day-to-day administrative services, support for faculty searches, and research support. Funding was augmented during this period by start-up funds from the EVCP. In 2008-9, during reorganization at IURD, business services and support for many GMS research projects are being provided by the Institute of Transportation Studies. ITS received research support funds during this temporary move. We anticipate that GMS will move back to IURD some time in 2009, since IURD’s broader mission is more in keeping with that of GMS.
As Global Metropolitan Studies grows, and particularly as education programs are offered and mature, staffing infrastructure is anticipated to increase commensurately and, at some point, Global Metropolitan Studies is likely to provide its own day-to-day administrative services, especially for items listed in section III.C.4 (other support staff.)

3. **Research Services**

It is not the intent that the new initiatives spawn their own new ORUs or hire their own staff for contracts, grants, and research administration. Such research support services will continue to be sought through existing ORUs or colleges. Business aspects of the research conducted by faculty members associated with Global Metropolitan Studies may be supported by the Global Metro Studies partner ORU or by another ORU or college/ departmental research services unit with which a PI has a relationship.

The PI should specify that a grant or contract be attributed to Global Metropolitan Studies so that it is credited toward the Center.

4. **Other Support Staff**

Global Metropolitan Studies will make its own arrangements and establish its own structure for outreach, publicity, grant writing, student programs, curriculum design, and education support. This may include hiring staff to carry out these activities. Subject to the availability of funds, GMS also may hire staff to work with faculty and students to conduct research, organize conferences, etc. All staff activities will be in support of faculty and student efforts; GMS will not hire staff to act as independent researchers.

IV. **Global Metropolitan Studies Faculty**

A. **Faculty Holding GMS FTE**

Global Metropolitan Studies received an allocation of five FTE and has hired three new faculty members in its first five years. (No new recruitment was authorized in 2004-5 or 2008-9.) Two additional searches will be requested in the near future. Global Metropolitan Studies will not itself hold the faculty FTE; the FTE will be housed in appropriate existing departments. GMS will, however, play a central role in the selection of the research focus for the new hires, the formulation of search committees, the selection of new faculty, the selection of the home department for the new faculty, and faculty promotion, as outlined in Section V infra. In general, faculty appointed with GMS FTE will teach two courses a year that GMS approves and lists in its curricula.

B. **Other GMS Affiliates**

Other faculty members may formally affiliate with GMS by making a request to the co-directors. Affiliates are invited to come to GMS events, give GMS seminars, organize
and participate in GMS conferences, engage in GMS research, advise GMS students, serve on GMS committees, lecture in GMS classes, offer new GMS courses, and list their courses as part of the GMS curricula. Affiliates will be asked to confirm their affiliation with Global Metropolitan Studies every three years. They may resign from GMS by making a request to the co-directors.

V. Recruitment and Promotion Using GMS FTE

A. Accounting and Management of GMS FTE

Global Metropolitan Studies appointees’ FTE float above the targets of their host colleges and departments. For FTE management purposes, the five approved FTE fall under the target for Global Metropolitan Studies. In the event of separation, normal campus policies will be applied, and GMS will be responsible for coordinating requests for new authorizations. In particular, if a junior (non-tenured) faculty is separated without receiving tenure, the FTE returns to Global Metropolitan Studies for recruiting. In the case of a senior faculty member separation, the FTE will be returned to the EVCP. Global Metropolitan Studies, not the home department, will be eligible to request the return of this FTE from the EVCP.

B. Authorization to Recruit

The co-directors, in consultation with the GMS Steering Committee, will request authorization to recruit from the EVCP based on the allocated FTE. The request will include a search plan and the usual programmatic justification, and will be made in the usual cycle for such FTE requests. (The call for faculty recruitment plans is normally issued in October.) The requests to recruit will be discussed with the dean(s) and chairs in whose colleges and departments the faculty member is likely to reside, so that the deans and departments can plan accordingly for space allocation and startup expenses.

Once received, the request to recruit will be simultaneously reviewed by the campus administration and the Budget Committee, as is always the case. The EVCP typically authorizes recruitment in May.

C. The Search Committee

The co-directors, in consultation with the Steering Committee, will appoint the search committee. Faculty members from the most likely home department(s) of the candidates will be appointed to the search committee and provisions will be made for liaison between this committee and searches going on in the related departments that year.
D. Ad Formulation and Approval

The co-directors, in consultation with the search committee and Steering Committee, will formulate the advertisement and request its approval in the usual way—through the Vice Provost-Academic Affairs & Faculty Welfare and the Faculty Equity office.

Once Global Metropolitan Studies receives authorization to recruit, the co-directors will submit a search plan to the Vice Provost-Academic Affairs & Faculty Welfare. The plan will also be reviewed by the Faculty Equity office. After the search plan is approved, the search will be conducted as specified below.

Search costs for filling positions allocated to Global Metropolitan Studies will be covered by Global Metropolitan Studies itself, not by the cognizant unit dean(s).

E. Search Procedure

Since the appointments will be made in a specific department, the search will be discussed with likely home departments as the search committee is formed and the ad is formulated, w, and campus interviews with finalists will be coordinated with the likely home departments of the finalists.

F. Development of Appointment Case

All Global Metropolitan Studies affiliates will be invited to review and comment on the following items:

- each candidate’s letter of application, statement of interests, etc.
- the candidate’s vita
- papers submitted as part of the dossier
- review letters
- teaching materials and evaluations when applicable

The materials will be available for review either on a secure UC website (with UC ID access to an approved list of faculty members only) or in hard copy in departmental and Global Metropolitan Studies offices.

The appointment case will be developed by the search committee chair and one of the co-directors, working in collaboration with the home department chair. At this time, while all Global Metropolitan Studies affiliates are invited to review and comment on the appointment cases, only members of the Steering Committee vote on the appointment.
G. Start-Up Funds

The Global Metropolitan Studies co-directors will discuss possible searches with the potential cognizant dean(s) and department chair(s). The cognizant unit dean(s) should request start-up funds in his/her budget request, and should then allocate start-up funds in the normal way in partnership with the central administration.

Because the eventual department is not always known at the beginning of an interdisciplinary search, more than one dean may request start-up funds in anticipation of a search.

Unanticipated costs associated with an appointment, for example, helping an appointee secure a visa, should be split between the cognizant dean and the central administration.

Office space for the faculty member is provided by the home department. Renovation costs should be included in the department chair and dean's start-up request.

H. Faculty Service

Recruited faculty members are expected to fully participate in the teaching mission of the university at the undergraduate and graduate level. The identification of faculty with one or more home departments is necessary to carry out this teaching mission. The selection of a home department will need to consider the teaching obligations and opportunities afforded by that department to the new faculty member. Teaching expectations should be agreed upon during the recruitment period and may include a specific understanding with the home department(s) for up to 50% teaching outside of the department (but within the interdisciplinary area).

I. Teaching and Service Expectations

Faculty members appointed using FTE allocated to Global Metropolitan Studies will split their teaching and service duties between GMS and the school or department(s) to which they are formally appointed (their home units). The faculty members are expected to devote 50% of their time to Global Metropolitan Studies and 50% time to the home department. Service and teaching will be arranged in the normal way by consultation between the faculty member and the Global Metropolitan Studies co-directors, and between the faculty member and the chair or dean of his/her unit.

The teaching load in Global Metropolitan Studies is 10 courses over three years. The co-directors and the chair or dean will consult with one another to coordinate the teaching and service expectations for the faculty member and to ensure that the faculty member's total teaching and service loads are not greater than those of others who are full-time in their unit. The co-directors and the chair or dean will seek ways to maximize
the faculty member’s opportunities to teach courses relevant to his/her research interests.

Salary savings will be split between the budgets of Global Metropolitan Studies and of the cognizant dean or department.

Costs of any GSIs, readers, or technical support staff assigned to Global Metropolitan Studies courses will not be supplied from the budgets of the home department or dean, nor will any other instructional costs for Global Metropolitan Studies courses be covered by the home department or dean, except by agreement.

Replacement costs for Global Metropolitan Studies teaching will not be provided from the budget of the cognizant dean except by agreement.

J. Faculty Advancement

Home departments are responsible for preparing cases for merit increases, promotions, and other academic personnel actions for faculty members appointed using GMS FTEs. Ad hoc committees will include one Global Metropolitan Studies faculty member. In actions requiring a vote within a unit, the faculty members of the Global Metropolitan Studies initiative – i.e., the Steering Committee - will also take and report a separate vote.

The Global Metropolitan Studies co-directors and unit chair or dean will each prepare a letter assessing the candidate’s record, but the unit chair or dean will take the lead in preparing the case. Cases sent forward by the unit chair or dean will follow the normal path of review.

In the preparation of advancement cases, the department chair will consult with the Global Metropolitan Studies co-directors regarding the Center’s view of the contributions of the faculty member. The candidate should include in his/her own report the ways in which he/she has served both the department and the Center. For each case, the following materials will be made available for GMS review:

- candidate’s letter of application, statement of interests, etc.
- candidate's vita
- papers submitted as part of the dossier
- review letters
- teaching materials and evaluations when applicable.

The materials will be made available for review either on a secure UC website (with UC ID access to an approved list of faculty members only) or in hard copy in departmental offices.
As with appointment cases, the Global Metropolitan Studies Steering Committee will vote on the appointment and the co-director will write a letter on the case and also report the vote and discussion.

Participation in promotion reviews will be limited to those of higher rank, i.e. tenured faculty members for tenure cases, full professors for appointment to full.

The Global Metropolitan Studies co-directors’ letter and report on the Steering Committee vote should be included in the case materials reviewed by the departmental faculty prior to the department’s vote on the case.

VI. Global Metropolitan Studies Education Programs

Global Metropolitan Studies is offering several educational initiatives:

1. A Designated Emphasis for PhD students has been developed and approved by the Steering Committee and is under review for approval in 2009. The Designated Emphasis included two tracks, one in comparative metropolitan studies and the second in infrastructure and environment. All students are required to take five courses. One must be an introductory graduate course to be taken by all GMS graduate students the second must be an advanced research seminar for the track the student has selected. The other three courses must be selected from a course listing for each track Students also must prepare a dissertation on a topic relevant to GMS and must include at least one GMS faculty member on the orals committee and on the dissertation committee. The Designated Emphasis is inscribed on the PhD diploma.

2. An undergraduate Urban and Metropolitan Studies Minor has been developed and is currently undergoing internal review. It will be offered beginning in 2009. The minor will be evaluated carefully and the results of the evaluation will be used to refine plans for an undergraduate Major in Global Metropolitan Studies. Both the minor and later, the major, will build on the successful Urban Studies major offered by the Department of City and Regional Planning.
VII. Global Metropolitan Studies Research Programs

1. The Center for Global Metropolitan Studies

Global Metropolitan Studies faculty affiliates have established the Center for Global Metropolitan Studies as a new research enterprise. The Center for Global Metropolitan Studies aims to deepen and expand the interdisciplinary research underway by Berkeley faculty and students studying metropolitan problems in Europe, Asia, Latin America, Africa, the US and Canada. Faculty members are invited to conduct their GMS research under the auspices of the Center. In return, the Center will sponsor speaker series, research symposia and conferences, and as funds allow, seed grants for research initiation in interdisciplinary topics of interest to affiliated faculty and students.

2. Preliminary Research Agenda

The preliminary research agenda for the Center for Global Metropolitan Studies addresses the urgent issues of urbanization worldwide, recognizing that for the first time in history, metropolitan areas are now home to the majority of the world’s population. Metropolitan areas are the engines of economies around the world, and centers of culture, religion, education, innovation, and entertainment. At the same time, many are also places of poverty, marginalization, despair, and conflict.

The Center for Global Metropolitan Studies aims to investigate and address the problems and opportunities posed by global metropolitan growth and change through creative interdisciplinary research. Faculty affiliates have identified seven “big-picture” questions that will unify the endeavor, each spanning multiple domains:

1. What are the global, national, regional, social, economic, and cultural drivers of metropolitan growth and change? Is there an emerging global network of metropolitan regions, and how is it organized?

2. How is the morphology of metropolitan regions around the world changing - in common ways and modes, and for common reasons; or, in archetypal modes and for archetypal reasons; or in unique and singular modes? By morphology, we mean the form and distribution of economic activities, population groupings, and cultural and social nodes.

3. Are the forms and dynamics of metropolitan economic, population, and social change similar or different across metropolitan areas, as differentiated by country, size, history, or stage of economic and political development? How important is the global economy and the rise of global consumer culture in shaping metropolitan development patterns?

4. Which forms and models of governance and related non-governmental institutions are most effective at meeting the needs and preferences of metropolitan populations?
Which forms work best in which contexts and situations? How should the obligations, functions, and organizational forms of governance be re-conceived to meet the requirements of metropolitan regions?

5. To what extent is global metropolitan growth and change leading to greater political, economic, and spatial segregation by ethnicity, race, religion and income? How permanent are these spaces and groupings?

6. Which approaches to and models of infrastructure investment and management are most efficient and equitable at the metropolitan scale, as well as responsive to environmental problems?

7. As metropolitan regions grow larger, more populous, more diverse, and more resource-consuming, how can and should the relationships between metropolitan growth and the long-term health of urban populations and the natural environment be conceptualized and measured? How can emerging concepts of resilience and sustainability be operationalized at the metropolitan scale? What strategies are most effective at improving metropolitan regions’ economic development, social equity, and environmental performance? How do interventions and their efficacy vary in different metropolitan areas around the world, and how should interventions be designed to best fit local and regional contexts?

The task of converting these seven issue areas into a coherent and fundable research program will occupy the Center for Global Metropolitan Studies faculty associates for the first several years of its existence.

Currently the Center has nearly $5 million in extramural research, in such areas as:

- Sustainable Metropolitan Development and Greenhouse Gas Reduction for Developing Countries
- California at 50: Accommodating Growth in A Period of Rapid Change
- Community and Metropolitan Growth and Health
- Metropolitan Governance

VIII. Budget

A. Start-Up Funding

Recognizing that the success of new initiatives including Global Metropolitan Studies requires financial support, temporary funds have been provided by the Executive Vice Chancellor and Provost in consultation with senior administrators having responsibility for the research and teaching missions of the university. EVCP funding was pledged for the first three years. Funding has been determined on a year to year basis since then,
with budget allocations depending upon the justification provided by the co-directors, the current budgetary constraints of the campus, and the level of contributions provided by the relevant deans and other partner organizations.

As a general policy, the budget is expected to be shared equally between the relevant deans or other partner organizations, the new initiatives’ own funding, and the EVCP. That is, the EVCP will match dollar-for-dollar the contributions of the deans of the schools/colleges/divisions and other partner organizations (departments, ORUs, centers) who wish to affiliate with Global Metropolitan Studies.

The EVCP provided Global Metropolitan Studies with $125,000 in 19900 funds for each of its first four years. The EVCP provided GMS with $120,000 in 19900 funds for its fifth year (2008-9). The majority of the funding has been used for four faculty searches and three startup packages for new faculty members. Funds also have been used to support several conferences and symposia, to initiate new courses and add sections to existing courses, and to provide small grants for research initiation, as well as for speaker honoraria and publication and website support. Matching funds have taken the form of faculty startup support from deans and departments, as well as research support from partner centers including the Institute of Urban and Regional Development, the UC Transportation Center, and the Center for Latin American Studies. A small grant from the Vice Chancellor for Research was also received in 2006-7.

B. Administrative Support Funding

For administrative support, the EVCP provides the partnering ORU 7.5% of the annual allocation as a temporary allocation of 19900 funds. If the funds are used for staff salaries, benefits are covered automatically by the campus.

Partnering ORUs will also receive 7.5% on all research funds managed in support of a center through the standard campus practice for such distributions. All funding, whether in the form of extramural grants or EVCP start-up funds, will be recorded as received by Global Metropolitan Studies, but will be administered on a day-to-day basis by the partner ORU(s).

C. Fiscal Responsibility

The Global Metropolitan Studies co-directors are fiscally responsible for start-up funds from the EVCP, as well as for gifts. Grants and contracts are the fiscal responsibility of the PIs, as is currently the case.
IX.    Space for GMS

Global Metropolitan Studies administrative space is provided by the host ORU. Currently access to space for lectures, meetings, etc. is being provided by the participating colleges and departments upon request.

Since no new space is available on the campus to house new research enterprises, the research of the GMS faculty is currently being carried out in space provided by their home departments and colleges (Deans) or other sources, including partnering research units that are subletting space for extramural research in leased off campus locations.

An important role for the Global Metropolitan Studies Steering Committee members will be planning and advocating for optimal facilities for furthering their programs. This advocacy will include developing resources, campus support, and external support for creating optimal space and facilities for their programs, including a new building if that is appropriate. A major task for GMS for 2009 forward will be to secure permanent space either in participating academic units (departments, colleges, ORUs) or to secure permanent space elsewhere in a configuration to be developed by the co-directors in collaboration with the deans and the Steering Committee.

X. Sunset Review

All new initiatives are expected to seed the formation of new disciplines and transform the campus as a result. The pace of this transformation is uncertain; it is also possible that the transformation may never take place. To account for these possibilities, the new initiatives will be subject to sunset reviews every five years using an internal and external review process to be initiated jointly by the Vice Chancellor-Research and the Vice Provost-Academic Planning and Facilities. If the new initiative has an affiliated Graduate Group, that group will also be reviewed as part of the sunset review process. Academic Senate involvement in the review process is expected.

The sunset review will be started five years after the last FTE position joins the campus, unless circumstances suggest otherwise. The case for continuation will rest on the vitality of the academic enterprise, as measured by growth in enrollment of graduate and undergraduate students, and on the size and breadth of the research program and support.