

# UNIVERSITY OF CALIFORNIA

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SANTA BARBARA • SANTA CRUZ

SUNG-MO "STEVE" KANG  
CHANCELLOR

UNIVERSITY OF CALIFORNIA, MERCED  
OFFICE OF THE CHANCELLOR  
P.O. BOX 2039  
MERCED, CA 95344  
TEL: (209) 228-4417  
FAX: (209) 228-4423

June 10, 2009

I, Sung-Mo "Steve" Kang, Chancellor of the University of California, Merced, hereby stipulate that:

- The University of California, Merced is using the review process to demonstrate our fulfillment of the two Core Commitments (Institutional Capacity and Educational Effectiveness); we will engage in the process with seriousness and candor, and data presented are accurate and fairly represent this institution.
- The University of California, Merced has published and publicly available policies as stipulated in Appendix I of the *Handbook of Accreditation*. Such policies will be available for review on request throughout the period of accreditation.
- The University of California, Merced will abide by the procedures adopted by the Commission to meet the United States Department of Education (USDE) procedural requirements as stipulated under "Federally Mandated Policies" in the March 2009 WASC Policies Manual.
- The University of California, Merced will submit in a timely fashion all regularly required data and any data specifically requested by the Commission during the period of accreditation.
- The University of California, Merced has reviewed its off-campus and distance education programs (neither of which exist at this time) to ensure that they have been approved as required by WASC Substantive Change policies.

A handwritten signature in blue ink, appearing to read "S. M. Kang", is written over a horizontal line.

Sung-Mo "Steve" Kang, Chancellor

A handwritten date "June 10, 2009" in blue ink is written over a horizontal line.

Date

## University of California, Merced Stipulated Policies

### A. Institutional Integrity

A1. A widely disseminated, written policy statement of commitment to academic freedom in teaching, learning, research, publication, and oral presentations.

- [UC Academic Personnel Manual \(APM\) 010 - Policy Regarding Academic Appointees, Academic Freedom](#)
- [UC Merced Principles of Community](#)

A2. Due process procedures that demonstrate that faculty and students are protected in their quest for truth.

- [UC Policies Applying to Campus, Organizations and Students](#)
- [UC Merced - The Student Handbook](#)
- [UC Policy Regarding Academic Appointees – the Faculty Code of Conduct](#)
- [UC Policy on Faculty Conduct and the Administration of Discipline](#)
- [MAPP 110 \(UCM Academic Personnel Policies and Procedures\) – Faculty Disciplinary Policy and Procedure](#)

A3. Written policies on due process and grievance procedures for faculty, staff and students.

#### Faculty

- [UC Academic Personnel Manual – General Policy Regarding Academic Appointees \(Section 1\)](#)
- [UC Bylaw 335. Privilege and Tenure: Divisional Committees – Grievance Cases](#)
- [UC Academic Personnel Manual – Non-Senate Academic Appointees Grievances APM 140](#)
- [UC Merced Academic Personnel Policies and Procedures – Faculty Disciplinary Policy and Procedure](#)
- [Grievance policies for Non-Senate Faculty \(Article 32, UC-AFT union contract\)](#)
- [UC-AFT Non-Senate Faculty Contract](#)

#### Staff

- [UC Personnel Policies for Staff Members – Complaint Resolution](#)
- [UC Personnel Policies for Staff Members – Resolution of Concerns, Managers and Senior Professionals](#)
- [UC Personnel Policies for Staff Members – Resolution of Concerns, Senior Management](#)
- [UC Merced Labor and Employee Relations](#)
- [UC Current Bargaining Agreements](#)
- [UC Personnel Policies for Staff](#)

## Students

- [UC Policies Applying to Campus, Organizations and Students](#)
- [UC Student Grievance Policy](#)
- [UC Merced - The Student Handbook](#)
- [UC Merced – Graduate Advisor’s Handbook](#)
- [UC Merced – Graduate Students’ Rights and Responsibilities](#)
- [UC Merced – Graduate Student Handbook](#)

A4. A clear statement of institutional policies, requirements, and expectations for current and prospective employees.

- [UCOP Principles of Community](#)
- [UC Merced Principles of Community](#)
- [UC Statement of Ethical Values](#)
- [UC Academic Personnel Policy Manual](#)
- [UC Merced Faculty Handbook](#)
- [UC Faculty Handbook](#)
- [UC Policy Re Academic Appt. Nondiscrimination APM 035](#)
- [UC Personnel Policies for Staff](#)
- [UC Policies Applying to Campus, Organizations and Students](#)
- [UC Current Bargaining Agreements](#)
- [UC Merced Academic Personnel Policies and Procedures](#)
- [UC Merced Labor and Employee Relations](#)

A5. Institutionally developed and published non-discrimination, equal opportunity, and affirmative action policies.

- [UC Policy Re Academic Appt. Nondiscrimination APM 035](#)
- [UC Personnel Policies for Staff, Nondiscrimination, SPP12](#)
- [UC Policies Applying to Campus, Organizations and Students](#)
- [UC Merced Graduate Students’ Rights and Responsibilities](#)

A6. Clearly written policies on conflict of interest for board, administration, faculty, and staff, including appropriate limitations on the relations of business, industry, government, and private donors to research at the institution.

- [UC Conflict of Interest Code](#)
- [UC Business and Finance Bulletin G-39, Conflict of Interest Policy and Compendium of Specialized University Policies, Guidelines and Regulations Related to Conflict of Interest](#)
- [UC Guidelines on University-Industry Relations](#)
- [UC Whistleblower Policies](#)
- [UC Policies Regarding Academic Appointees – Conflict of Commitment and Outside Activities of Faculty Member – APM 25](#)

- [UC Merced Research Compliance Handbook](#)
- [UC Merced Conflict of Interest Policy](#)
- [UC Merced Policy on Conflict of Interest in Gifts](#)

A7. A clear statement that the institution agrees to abide by the WASC policy on *Substantive Change* and the policy on *Distance and Technology-Mediated Instruction*.

UC Merced faculty and administration are committed to abide by the WASC policy on Substantive Change and the policy on Distance and Technology-Mediated Instruction. To ensure awareness and compliance, the following policies and procedures have been established related to the review and approval of new courses and programs:

- UC Merced Graduate & Research Council Review Procedure for Proposals for New Graduate Emphasis Areas and Graduate Groups
- UC Merced Graduate & Research Council Graduate Course Approval and CRF Process, pending review by Divisional Council
- UC Merced School of Engineering Curriculum Committee Substantive Change Trigger Policy; the School of Natural Sciences and School of Social Sciences, Humanities and Arts are currently drafting similar policies to be finalized in 2009-2010.
- UC Merced Undergraduate Council Course Request Review Procedure, pending review by Divisional Council.
- [UC Merced Undergraduate Council Policy for the Review and Approval of Undergraduate Degree Programs](#)

## **B. Research**

B1. Policies covering human subjects and animals in research, classified research, patent provisions, cooperative research relations with industry, and other similar issues related to the integrity and independence of the research enterprise.

- [UC Patent Policy](#)
- [UC Research Policies](#)
- [UC Guidelines on University-Industry Relations](#)
- [UC Office of Technology Transfer –University Relations](#)
- [UC Patent Program \(BFB G-40\)](#)
- [UC Merced Human Subjects Research and Institutional Review Board](#)
- [UC Merced Animal Research Subjects](#)
- [UC Merced Research Compliance Handbook](#)
- [UC Merced Policy on Research Misconduct](#)
- [UC Merced Intellectual Property and Collaborations with Industry](#)

B2. Clear policies on how faculty share revenue from patents, licenses, and sales that are generated from applied research for which they are responsible.

- [UC Patent Policy](#)
- [UC Guidelines on University-Industry Relations](#)
- [UC Policy on Ownership of Course Materials](#)
- [UC Merced Conflict of Interest Policy](#)
- [UC Merced Intellectual Property and Collaborations with Industry](#)
- [UC Merced Policy on Conflict of Interest in Gifts](#)

B3. Clear policies that cover the involvement of faculty, the protection of basic research, and the publication of research results in entrepreneurial activity at institutionally-sponsored research parks.

- [UC Patent Program \(BFB G-40\)](#)
- [UC Conflict of Interest Code](#)
- [UC Policy on Ownership of Course Materials](#)
- [UC Patent Policy](#)
- [UC Guidelines on University-Industry Relations](#)
- [UC Office of Technology Transfer –University Relations](#) (includes links to UC Copyright Policy, Equity Policy, and Guidelines on University-Industry Relations)
- [UC Merced Conflict of Interest Policy](#)
- [UC Merced Intellectual Property and Collaborations with Industry](#)
- [UC Merced Animal Research Subjects](#)
- [UC Merced Research Compliance Handbook](#)
- [UC Merced Export Control Information](#)
- [UC Business and Finance Bulletin G-39, Conflict of Interest Policy and Compendium of Specialized University Policies, Guidelines and Regulations Related to Conflict of Interest](#)
- [UC Policies Regarding Academic Appointees – Conflict of Commitment and Outside Activities of Faculty Members](#)
- [UC Merced Research Compliance Handbook](#)

### **C. Educational Programs**

C1. Precise, accurate and current information in printed material regarding a) educational purposes; b) degrees, curricular programs, educational resources and course offerings; c) student charges and other financial obligations, student financial aid, and free [sic] refund policies; d) requirements for admission and achievement of degrees; and e) the names of the administration, faculty and governing board.

Educational purposes:

- [UC Merced General Catalog](#)
- [UC Merced Eight Guiding Principles of General Education](#)

Degrees, curricular programs, educational resources and course offerings:

- [UC Merced General Catalog](#)

- [UC Merced Undergraduate Majors and Minors](#)
- [UC Merced Graduate Division Academic Programs](#)
- [UC Merced Course Schedule](#)
- [Student Advising and Learning Center – Educational Resources](#)

Student charges and other financial obligations, student financial aid and free [sic] refund policies:

- [UC Merced General Catalog](#), pp. 25-28 of the 2008-2009 catalog
- [UC Fee Refund Procedures](#)
- [UC Merced Fees and Fee Refunds](#)
- [UC Merced Office of Financial Aid and Scholarships](#)
- [UC Merced Graduate Division Financial Support](#)

Requirements for admission and achievement of degrees:

- [UC Merced General Catalog](#), pp. 29-28 and pp. 50-58 of the 2008-2009 catalog
- [UC Merced Freshman Admission](#)
- [UC Merced Transfer Admission](#)
- [UC Merced International Admission](#)
- [UC Merced Graduate Admission](#)

Names of the administration, faculty, and governing board:

- [UC Office of the President Organization Chart](#)
- [The Regents of the University of California](#)
- [UC Merced Chancellor's Senior Staff](#)
- [UC Merced Office of the Executive Vice Chancellor and Provost Organization Chart](#)
- [UC Merced Academic Affairs Organization Chart](#)
- [UC Merced University Relations Organization Chart](#)
- [UC Merced Administration Organization Chart](#)
- [UC Merced Business and Finance Organization chart](#)
- [UC Merced Physical Planning, Design and Construction Organization Chart](#)
- [UC Merced Facilities Management Organization Chart](#)
- UC Merced Student Affairs Organization Chart
- [UC Merced School of Natural Sciences Organization Chart](#)
- [UC Merced School of Social Sciences, Humanities and Arts Organization Chart](#)
- [UC Merced School of Engineering Organization Chart](#)
- [UC Merced Catalog](#); administration is listed on pp. 190-192; faculty is listed on pp. 193-198 of the 2008-2009 catalog.

C2. Publications that make clear the status (e.g. full-time, part-time, adjunct) of each faculty member.

- [UC Policy Regarding Academic Appointees –Academic Personnel Definitions – APM 110](#)

C3. Clearly articulated policies for the transfer of credit, which include the criteria for evaluating course-work taken at other institutions and ensure that students who transfer in with general education course credits meet the institution’s own standards for the completion of the general education requirement.

- [ASSIST – Statewide Student Transfer Information in California](#)
- [Intersegmental General Education Transfer Curriculum](#)
- [UC Transfer Admissions Requirements](#)
- [UC Merced Transfer Admission](#)
- UC Guidelines for Admission Evaluation Appendix V Credit Conditions and Restrictions
- UC Merced Overview and Detail of the Articulation Process

C4. Policies and procedures for the addition of new programs and the elimination of programs, including provision for teach-out of enrolled students.

- Universitywide Review Processes for Academic Programs, Academic Units, and Research Units
- UC Procedural Manual for Review of Academic Programs, campus-level
- UC Merced Graduate & Research Council Review Procedure for Proposals for New Graduate Emphasis Areas and Graduate Groups
- [UC Merced Undergraduate Council Policy for the Review and Approval of Undergraduate Degree Programs](#)

C5. Requirements for continuation in, or termination from, academic programs, and a policy for readmission of students who are disqualified for academic reasons.

- [UC Undergraduate Readmission Policy and Procedures](#)
- [UC Merced Minimum Progress, Academic Probation, Dismissal and Reinstatement/Readmission Policies](#)
- [UC Merced Graduate Advisor’s Handbook](#)

C5. Clearly stated graduation requirements that are consistently applied in the degree certification process.

- [UC Merced General Catalog](#)
- [UC Merced Graduate Advisor’s Handbook](#)
- [UC Merced General Regulations Undergraduate Students](#)

## **D. Faculty**

D1. Personnel policies that govern employment of teaching fellows and assistants.

- [UC Academic Personnel Manual Appointment and Promotion – Student Teachers \(APM 410\)](#)

D2. Policies designed to integrate part-time faculty appropriately into the life of the institution, including orientation and training in assessment of student learning.

- [UC Academic Personnel Manual Policy on Part Time Academic Appointments](#)
- [UC Faculty Handbook](#)
- UC Merced School of Natural Sciences and School of Social Sciences, Humanities and Arts Faculty Handbooks

D3. Explicit and equitable faculty personnel policies and procedures.

- [UC Academic Personnel Manual](#)
- [UC Merced Academic Personnel Policies and Procedures \(MAPP\)](#)

D4. Policies on salary and benefits.

- [UC Academic Personnel Manual – Section IV, Salary Administration](#)
- [UC Academic Personnel Manual – Section V, Benefits and Privileges](#)

D5. Policies for faculty and staff regarding privacy and accessibility of information.

- [UC Policies Regarding Academic Appointees – APM 158, Rights of Appointees Including Rights Regarding Records](#)
- [UC Policies Regarding Academic Appointees – APM 160, Academic Personnel Records, Maintenance of, Access to, and Opportunity to Request Amendment of](#)

## **E. Library**

E1. Written library collection development and weeding policies, including the bases for accepting gifts.

- [Collection development policies for the California Digital Library](#)
- UC Collection Policy
- [UC Development Policy and Administrative Manual – Gift Administration Procedures](#)
- UC Merced Library Information Resource Gifts Policy
- UC Merced Library Collection Development Policy – School of Engineering
- UC Merced Library Collection Development Policy – School of Natural Sciences



- UC Merced Library Collection Development Policy – School of Social Sciences, Humanities and Arts

## **F. Students**

F1. Admission and retention policies and procedures, with particular attention to the application of sound admission and retention policies for athletes, international students, and other cases where unusual pressures may be anticipated.

- [UC International Student Admission Policy](#)
- [UC Merced International Admission](#)
- [UC Merced General Catalog](#)
- UC Merced Admissions expects to have policy developed related to athletic admission and retention during 2009-2010.

F2. Policies on student rights and responsibilities, including the rights of due process and redress of grievances.

- [UC Policies Applying to Campus, Organizations and Students](#)
- [UC Policy on Student Grievance Procedures](#)
- [UC Merced - The Student Handbook](#)
- [UC Merced Graduate Students' Rights and Responsibilities](#)
- [UC Merced Academic Honesty Policy](#)
- [UC Merced Graduate Advisor's Handbook](#)
- UC Merced Graduate Student Handbook

F3. Publications that include policies and rules defining inappropriate student conduct.

- [UC Policies Applying to Campus, Organizations and Students](#)
- [UC Policy on Student Conduct and Discipline](#)
- [UC Merced - The Student Handbook](#)
- [UC Merced – Housing Handbook](#)
- [UC Merced Graduate Students' Rights and Responsibilities](#)
- [UC Merced Academic Honesty Policy](#)

F4. A policy regarding fee refunds that is uniformly administered and consistent with customary standards.

- [UC 2008-2009 Refund Policies](#)
- [UC Merced Schedule of Fee Refunds](#)

## **G. Finances**

G1. Policies, guidelines and processes for developing budgets.

- [UC Financial Management Policy](#)
- [UC BUS 55 - Determination of Financial Feasibility of Projects Requiring Loan Financing \(401.05e\)](#)
- [UC Merced Short Term Investment Pool Policy \(401.04 STIP\)](#)
- UC Merced Resource Allocation Handbook – in development with anticipated completion date of Fall 2009

G2. Clearly defined and implemented policies with regard to cash management and investments, approved by the governing board.

- [UC Policy for Cash and Cash Equivalents Received](#)
- [UC Policies Pertaining to Financial and Investment Matters](#)
- [UC Merced Petty Cash Policy](#)

G3. Policies and a code of ethics for employees involved in buying, bidding, or providing purchase orders.

- [UC Business and Finance Bulletin G-39, Conflict of Interest Policy and Compendium of Specialized University Policies, Guidelines and Regulations Related to Conflict of Interest](#)
- [UC Employee Conduct, Relations with Industry and Conflict of Interest](#)
- [UC Business and Financial Bulletin 43 – Material Management](#)
- [UC Facilities Administration Manual – Bidding](#)
- [UC Facilities Administration Manual – Soliciting Bids](#)
- [UC Facilities Administration Manual – Competitive Bidding](#)
- [UC Contract and Grants Manual – Purchasing](#)
- [UC Accounting Manual – Disbursements](#)

G4. Policies on risk management which address loss by fire, burglary and defalcation; liability of the governing board and administration; and liability for person injury and property damage.

- [UC BUS-28 Property Self-Insurance Program](#)
- [UC BUS-75 Policy on General Liability, Automobile Liability and Employment Practices Liability Program](#)
- [UC BUS-39 Loss of or Damage to Property of Individuals](#)
- [UC Policy on Reporting and Investigating Allegations of Suspected Improper Governmental Activities](#)
- [UC Enterprise Risk Management](#)
- [UC Smart about Safety](#)
- [UC Business Continuity Planning](#)
- [UC Foreign Liability Insurance](#)
- [UC Traveler Insurance](#)
- [UC Merced Risk Services Guidelines](#)

G5. Policies on fund raising activities, in compliance with sound ethical accounting and financial principles.

- [UC Development Policy Manual](#)
- [UC Policy on Fundraising Campaigns](#)
- UC Merced Foundation Gift Policy
- [UC APM 191 - Policy on Endowed Chairs and Professorships](#)
- UC Policy on Naming Properties
- [UC Merced Student Handbook](#) - chapter three, pp. 31-38
- [UC Merced Office of Student Life Forms Relating to Club and Organizations](#)