April 12, 2010

Sent on behalf of MacGregor M. Stephenson, Assistant Commissioner, Academic Affairs and Research Division, Texas Higher Education Coordinating Board

MEMORANDUM

To: Provosts and Vice Presidents for Academic Affairs
Texas Public Universities Offering Doctoral Programs

From: MacGregor Stephenson

Subject: Exceptions to the 99 SCH/Student Funding Limit for Doctoral Education for the **2010-2011** Base Period

This memo describes the procedure for requesting individual and program exceptions to the 99-hour limit on doctoral funding and for updating the Coordinating Board's 99-hour exception database for the 2010-2011 period. **Please respond by Friday, May 7, 2010.** We will send you a finalized list of exemptions about June 1, 2010.

Background. As you know, the 75th Texas Legislature placed a 99-hour limit on the number of doctoral semester credit hours per student eligible to generate formula funding (*Texas Education Code*, TEC 61.059). The Coordinating Board may approve two types of partial exceptions to the limit: *program exceptions* for students in programs where the field of study requires a higher number of semester credit hours to maintain nationally competitive standards; and *individual exceptions* for students whose "program of research is likely to provide substantial benefit to medical or scientific advancement." Students granted exceptions may generate up to 130 hours of doctoral funding.

Exceptions. An electronic list identifying active students at your institution with 75 or more doctoral-level semester credit hours has been posted to your institution's output area on the Coordinating Board server. Included also were active students in spring and/or summer of 2009 who had a program exception (coded "P") or an individual exception (coded "I") but were not enrolled in the fall 2009 term. ***Institutions must submit a justification for each individual exception requested.*** The file name is called "*FiceCode* Doctoral Exceptions 2009.txt". Please check to see that the information is accurate.

The CIP Code of the major reported for students with a program exception should match the program exceptions noted for your institution. The exceptions are shown in Attachment 1.

Number of Individual Exceptions Permitted. The Board's policy is to allow each doctoral-granting institution individual exceptions for up to five students or 1.5 percent of its doctoral students, whichever is greater. Table A (attached) shows each institution's fall 2009 doctoral student headcount and the number of individual exceptions that will be permitted based on that headcount.

Proposal of New Program Exceptions. If your institution would like to propose that a program be added to your exceptions' list, please send the nominated program and supporting information to me as soon as possible. We

need to review the nomination and give you a response prior to the due date for the Exceptions Report.

What Is Needed. The reporting process this year will be the same as it was two years ago. Your institution will receive an electronic file from us that should be returned using the following procedures and indications:

1. Flag students who no longer will receive an individual or program exception with an "R." Those students should include anyone who has exceeded the funding limit of 130 doctoral hours.
2. Confirm that students still flagged as having an individual or program exception should continue to have the designated exceptions.
3. Flag additional students selected for an individual exception with an "I" and students now eligible for program exceptions with a "P" for the next appropriation cycle.
4. Include a justification for each new individual exception requested.
5. Be sure that the total number of individual exceptions does not exceed the number your institution is allowed as indicated in Table A.
6. Have your president certify that students indicated as receiving individual exemptions meet the criteria identified in Attachment 2.

Please submit the file with exceptions and corrections by **May 7, 2010.** Questions about reporting should be directed to Doug Parker (Doug.Parker@thecb.state.tx.us or 512-427-6287). If you have other types of questions, contact me at macgregor.stephenson@thecb.state.tx.us or 512-427-6520. In addition, your president's statement certifying individual exemptions should be mailed (P.O. Box 12788, Austin, TX 78711) or faxed to me (512) 427-6168.

Important Notes:

1. Exceptions designated at this time will apply to semester credit hours generated by doctoral students in the upcoming base period: Summer 2010, Fall 2010 and Spring 2011.
2. If a student with between 99 and 130 attempted doctoral hours is not in the exception database, the student will not generate doctoral funding.
3. New individual exceptions require presidential certification as indicated in the attached Board policy.
4. In prior years, some students' majors as reported on the CBM-001 did not match the program for which the students were given exceptions. Any student who has an exception type of "P" (for program) in your electronic submission should have one of the allowable major codes for your institution shown in Attachment 1.

Attachments:

Table A: Individual Exceptions Allowed by Institution
Attachment 1: List of Program Exceptions at General Academic Institutions (for information purposes)
Attachment 2: Coordinating Board policy on exceptions to the 99-hour funding limit

Table A
Individual Exceptions Allowed by Institution

	Doctoral Headcount[1] Fall 2009	1.5% of Doctoral Headcount	Individual Exemption Limit[2]	Students[3] with Individual Exception & Number Over 130 SCH
Lamar University	142	2	5	
Prairie View A&M University	106	2	5	
Sam Houston State University	262	4	5	
Stephen F. Austin State University	61	1	5	
Tarleton State University	70	1	5	
Texas A&M International University	32	0	5	
Texas A&M University	3464	52	52	2
Texas A&M University-Commerce	419	6	6	
Texas A&M University-Corpus Christi	212	3	5	
Texas A&M University-Galveston	6	0	5	
Texas A&M University-Kingsville	150	2	5	
Texas Southern University	174	3	5	
Texas State University-San Marcos	266	4	5	
Texas Tech University	1759	26	26	9
Texas Woman's University	698	10	10	1
University of Houston	1268	19	19	1
University of Houston-Clear Lake	72	1	5	
University of North Texas	1577	24	24	1
University of Texas-Arlington	969	15	15	7
University of Texas-Austin	5172	78	78	10
University of Texas-Brownsville	32	0	5	
University of Texas-Dallas	1080	16	16	
University of Texas-El Paso	473	7	7	2
University of Texas-Pan American	118	2	5	
University of Texas-San Antonio	548	8	8	
University of Texas-Tyler	24	0	5	
West Texas A&M University	11	0	5	

[1] Doctoral students who do not have prior doctoral degree and have not exceeded doctoral funding limit.
[2] 1.5% of doctoral headcount or 5 students, whichever is higher.
[3] The last column shows the current number of students with individual exceptions and the number of those students whose total doctoral hours is 130 or more hours.

Attachment 1
List of Program Exceptions at General Academic Institutions

	2000 CIP Code	Program Name
University of North Texas		
	42.0201.00	Health Psychology & Behavioral Medicine
	42.0601.00	Counseling Psychology
	42.0201.00	Clinical Psychology
Sam Houston State University		
	42.0201.20	Forensic Clinical Psychology
Texas Tech University		
	42.0201.00	Clinical Psychology
	42.0601.00	Counseling Psychology
Texas Woman's University		
	51.1608.00	Nursing
	42.0601.00	Counseling Psychology
	42.1701.00	School Psychology
University of Houston		
	51.1701.00	Physiological Optics
	42.0201.00	Clinical Psychology
	42.0601.00	Counseling Psychology
University of Texas at Austin		
	42.0601.00	Counseling Psychology
	42.1701.00	School Psychology
	51.1608.00	Nursing
	42.0201.00	Clinical Psychology
Texas A&M University		
	26.0202.00	Biochemistry
	26.0502.00	Microbiology
	42.0201.00	Community Clinical Psychology
	42.0601.00	Counseling Psychology
	42.1701.00	School Psychology
	26.0802.00	Genetics
	26.1004.00	Toxicology
	30.1901.00	Nutrition
	51.2504.00	Veterinary Microbiology
	51.2502.00	Veterinary Anatomy
	51.2503.00	Veterinary Physiology
	51.2505.00	Veterinary Pathology
Prairie View A&M University		
	42.2001.10	Clinical Adolescent Psychology
University of Texas at Dallas		
	52.0201.00	Human Development and Communication Science (only those students seeking Certificate of Clinical Competence)

Attachment 2
Coordinating Board policy on exceptions to the 99-hour funding limit

Criteria and Procedures for Requesting Individual Student Exceptions to the 99 SCH Funding Limitation for Doctoral Education

Individual exceptions may be granted based on two types of circumstances described in sections A and B:

A. Student's initial degree plan requires more than 99 hours to accomplish scholarly objectives.

    1. Plan is approved by the responsible faculty committee no later than the date of admission to candidacy.

    2. Clear linkage between hour requirements and scholarly objectives, including the relationship between hours of dissertation/supervised research and faculty involvement, is demonstrated.

    3. Hours taken prior to filing of the plan show evidence of commitment to serious scholarship and appropriate mentoring.

    4. Individual campuses may at their discretion empanel a committee of graduate faculty to review and recommend approval of plans.

    5. Plan for greater than 99 SCH is approved by the president or delegate.

B. Unexpected events require a modification of the student's plan to accomplish the original objectives.

    1. Excess hours are due to unexpected events such as interruption of the dissertation research by apparatus failure, field conditions, or other circumstances directly related to the student's research program. Exceptions are not to be granted for changing personal circumstances.

    2. After unexpected events occurred, student and mentor have taken reasonable actions to minimize extra hour requirements.

    3. Institution establishes that unexpected events are root cause of extra hours and elects not to impose the "out-of-state" tuition penalty.

    4. The excess hours fall within the base period for formula funding.

5. Individual campuses may at their discretion empanel a committee of graduate faculty to review and recommend approval of modified plans.

6. Modified plan is approved by the president or delegate, thereby granting an exemption to the 99 SCH limit.

C. Additional criteria and limitations for 99 hour limitation on doctoral funding

1. Each institution may grant individual exceptions for up to five students or 1.5 percent of its doctoral students, whichever is greater. Exceptions granted under section A and section B are to be totaled and counted against the institutional limit. Any student's appeal for inclusion on the institution's list of exceptions shall be handled at the institutional level under procedures the institution develops.

2. At this time, each institution shall submit to the Commissioner its list of approved individual student exceptions, with **a statement by the President that: a) each exception satisfies the eligibility criteria set forth in section A and B; and b) the work of each student granted an exception is likely to provide substantial benefit to medical or scientific advancement or other area of scholarly investigation**.

3. The Commissioner notifies the Legislative Budget Board of each institution's exceptions.

4. In all cases, the absolute funding cap of 130 hours per doctoral student would remain in effect.

Additional Procedures

- Institutions shall develop procedures and documentation forms providing evidence of thorough campus review and documented rationale.

- Institutions shall enforce strict internal deadlines for presenting and considering requests.

- Institutional reviews shall rely on written documentation rather than oral presentations.

- Institutions shall maintain records of their deliberations to inform future policy decisions.

- Extraordinary appeals for additional exceptions may only be made by the institution to the Commissioner, based upon significant and persuasive documentation and justification.