GUIDELINES FOR THE CREATION, MODIFICATION, COMBINATION, OR CLOSURE
OF
DEPARTMENTS, PROGRAMS, INSTITUTES, CENTERS, SCHOOLS, OR COLLEGES
AT STONY BROOK UNIVERSITY

Based on an existing November 2010 agreement between the University Senate and the Administration,
Augmented by the Arts and Sciences Senate Faculty Rights and Responsibilities Policy Committee.
Adopted by the Arts and Sciences Senate Executive Committee.
Endorsed unanimously by the Arts and Sciences Senate (17 November 2011).

The educational mandate of Stony Brook University is described in the Master Plan of the Board of Trustees of the State University. That charge is elaborated in the Mission Statement and periodic Master Plans of Stony Brook University, which are developed in consultation with faculties for review and approval by the Chancellor. It is the responsibility of the academic officers to plan, in consultation with the relevant Senates or other governance bodies, the steps necessary to implement the approved Master Plan at Stony Brook University. The Master Plan is typically an academic rather than an organizational statement. Achievement of its goals may, with due concern for program diversity and quality, enrollment targets, and consonance with the mission of the campus, require creation, modification, combination, discontinuance, or closure of departments, institutes, centers, programs, schools and colleges. Plans and schedules of initiation, modification, combination, discontinuance, or closure of such units will be prepared by the academic officers in consultation with the appropriate governance bodies.

I. TYPOLOGY OF ACADEMIC UNITS

A. Departments and Programs

1. A Department is an academic unit in a School or College offering a curriculum leading to a degree or certification and having a Chair who reports to the Dean of a College or School.

2. A Program, for the purpose of these guidelines, is an academic unit, reporting to a Program Director, that offers a coordination of courses and other instructional or research activities that has a curriculum leading to a degree or certification. Such a program may be an academic unit that by reason of its small size or stage of development has not yet achieved departmental status.

3. An Interdisciplinary Program may either (1) coordinate specific activities of two or more departments within or between Schools or Colleges , or (2) it may function independently of specific departmental administrations or programs. The latter type of Interdisciplinary Program may be a graduate program (e.g. Ph.D., M.F.A., M.A., AGC) or undergraduate major or minor program that is administered by a Program Director, elected by its own Program Faculty. The Program Faculty may hold Joint Appointments or Joint Title Appointments with their primary appointment in a department, or they may be Affiliated Faculty in the Interdisciplinary Program, or (3) it may be a Consortium, i.e. a collection of faculty with their primary appointments in a Department, Program, or School whose research and teaching include ongoing commitments to an interdisciplinary unit that may have its own

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programs (major, minor, graduate, research, creative activity). [The "Consortium for Digital Arts, Culture, and Technology"(CDACT) is an example of a Consortium at Stony Brook.]

> Note: *Programs administered entirely within a department, such as the graduate programs or the undergraduate (major and minor) programs of a department, do not fall under these guidelines.*

B. Institutes

1.   In order to best fulfill the mission of the University and to take advantage of opportunities, it may be advantageous to create institutes. These institutes will be of three different types:

TYPE I.   An institute that requires no significant University resources, such as personnel and OTPS, and relies on faculty and staff who already have primary appointments in existing units.

TYPE II.   An institute that involves staffing from university resources, such as secretaries and professional employees, but whose faculty have primary appointments in existing units.

TYPE III.   An institute that involves faculty resources whose primary (50% or more effort) responsibilities are in the institute, and not in existing units.

2.   The academic administration may create Type I institutes and then inform the Executive Committee of the relevant Senate of their action. In the case of the creation of Type II institutes, the Provost should submit a plan to the University Senate Executive Committee and to the relevant Senate(s) for their consideration. The University Senate Executive Committee might ask appropriate Senate committees to review the proposal. A response from the Executive Committee should be within two months of receipt of the proposal during the academic year. Institutes of Type III will follow the same procedure as those for the creation of new departments, etc., and therefore, will involve full Senate review.

C. Centers

A Center could function like a Program, Interdisciplinary Program, Department, Institute (Type I, II, or III) or even a School. It could also be a building or a research/creative arts location with a corresponding staff. These Guidelines, however, apply only to Centers that function as academic programs. For the purposes of these Guidelines, a Center will need to follow the procedures of a Type I, II, or III Institute as defined above.

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D. Schools

A School is an academic unit of substantial actual or projected size including a variety of graduate, undergraduate, creative, and research programs (with program directors) such that it merits functioning with its own Dean who reports directly to the Provost.

E. Colleges

A College is an academic unit comprised of a collection of departments and programs with Chairs or Program Directors reporting to a Dean of the College.

II. PROCEDURES FOR THE CREATION OF NEW DEPARTMENTS, PROGRAMS, TYPE III INSTITUTES, CENTERS, SCHOOLS, AND COLLEGES

A. The proposers of new units, after consultation with the appropriate academic officers and faculty, will prepare a proposal drawn up in reasonable detail concerning the following:

1. The need for the new unit, identification of the clients that it will serve, the way it will augment the University's offerings, and the way it will interact with existing academic units and programs.

2. The curriculum or mission of the new unit.

3. The resources needed for the unit personnel, budget, special equipment, space, etc.

4. The resources available or anticipated for support of the unit.

5. An assessment of existing library resources and a statement verifying the adequacy of these resources for the proposed unit.

B. When the unit is housed entirely within one School or College, the appropriate Dean will transmit the proposal to the relevant Senate for its consideration. If the new unit involves more than one School or College, then the proposal should be submitted to all the relevant Senates by the Deans. The Dean(s) will then forward the proposal with the comments from the Senate(s) to the Provost. The Provost will then submit the proposal to the Executive Committee of the University Senate. The Provost's submission should include a schedule for phasing-in of the unit, a description of the unit's ultimate order of magnitude, and the information specified in section II A. above. The Executive Committee of the University Senate shall send the proposal, with its rationale and the comments from the relevant Senates and Dean(s), to the appropriate Senate committees for review and comments. The

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submission to the full Senate will take place no later than four months after receipt of the proposal by the Executive Committee.

C. Proposals for new Schools or Colleges should normally include the recommendations from an external review committee of outstanding scholars qualified to advise the University on the academic and organizational issues that the proposal presents.

III. SUBMISSION AND REVIEW PROCEDURES FOR MODIFICATION, DISCONTINUANCE, OR CLOSURE OF ACADEMIC UNITS

A. Proposals to modify (i.e., transfer, combine, divide, elevate), discontinue, or close units should follow the procedures similar to the creation of a new unit. Specifically, the proposer(s) of the action should prepare a reasonably detailed rationale for the proposed change, including the effect of the proposed change on students, faculty, and other academic units, as well as its resource implications. The proposal should include a projected timetable for the proposed change.

B. When the unit involved is housed entirely within one School or College, the appropriate Dean will transmit the request for change and its rationale to the relevant Senate and Student Governments. Each affected Department Chair (or Program Director), Graduate and Undergraduate Program Directors, and all faculty who would be involved (including affiliated, joint title, and joint appointments) shall be notified for their comment and consideration.

C. If the unit involves more than one School or College, the proposed change and its rationale should be submitted by the appropriate Deans to all the relevant Senate and Student Governments. Each affected Department Chair (or Program Director), Graduate and Undergraduate Program Directors, and all faculty who would be involved (including affiliated, joint title, and joint appointments) shall also be notified for their comment and consideration. The Dean(s) will then forward the proposed change and its rationale, with comments from the relevant Senate and Student Governments, to the Provost. The Provost will then submit the proposal to the University Senate Executive Committee.

D. The Executive Committee of the University Senate shall send the proposed modification, combination, or elimination, with its rationale and the comments from the relevant Senates, Student Governments and Dean(s), to the appropriate University Senate committees for review and comments.

E. After receipt of the responses from the appropriate University Senate committees, the Executive Committee will present the proposed change to the full University Senate with its recommendation. The submission to the full Senate will take place no later than four months after the Executive Committee has received the proposed change.

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IV. CRITERIA FOR REVIEW AND EVALUATION OF ACADEMIC UNITS PROPOSED FOR MODIFICATION, COMBINATION, DIVISION, DISCONTINUANCE, OR CLOSURE

A. Criteria for Review and Evaluation

The following criteria for review and evaluation should be taken into account when submitting a proposal for creation, modification, combination, division, discontinuance, or closure of an academic unit:

1. *Centrality and Value* to the ongoing research and teaching missions of a comprehensive university (including the broad spectrum of disciplines and interdisciplinary areas represented at Stony Brook)
2. Conformity with the campus's overall *Academic Strategic Plan*
3. *Curricular Coherence* (within and between departments and programs)
4. *Interdisciplinary Impact* (collaborations in research, graduate and undergraduate teaching, and program development across and between disciplines)
5. *Enrollment Trends* (retrospective and prospective, e.g. enrollment and admission application figures, etc.)
6. *Future Vision* (prospective view / long range planning: what should the shape of the university be 5, 10, 15, and 20 years hence? and how do each of these programs fit within this general view?)
7. Relative *Cost Benefit Analysis* of Programs (as determined by research, graduate, and undergraduate programs, impacts on the profession, educational value, interdisciplinary effect, etc.)
8. *Academic Program Reviews* (based on multi-layered evaluations of programs, their visibility and effectiveness as determined by regular external Academic Reviews of Programs [including detailed Self-Studies of Programs, Departments, Centers, and Institutes]
9. *Reputation and Visibility* (based on Awards, Publications, Research Funding, Offices in Professional Societies and related activities, NRC, Money Magazine, US News and World Report, Citations, etc.)
10. *Quality of Programs* (excellence, uniqueness, achievement of program objectives, productivity, interdisciplinary effectiveness)
11. *Strengths of Programs* (recent or ongoing growth, potential for development, creation of new areas of investigation, role of curricular contributions, quality and quantity of publications and research accomplishments, significance as creative arts, historical and theoretical studies, or scientific research, etc.)

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B. Impact on Academic Functioning:

Workload issues are a matter for the UUP. However, the University Senate and its constituent Senates are also concerned with how the academic mission is delivered and with policies that impact upon faculty. These issues must be discussed in a discipline and department specific manner (with consideration also for their interdisciplinary significance). All dimensions of work should be considered, including:

1. Teaching (graduate, undergraduate, mentoring)
2. Research and Scholarship (grants, authored and edited publications, performances, events, conferences, and exhibitions, etc.)
3. Service (department, university, SUNY-wide, contributions in senates, governance committees and offices, discipline committees and offices held, professional societies, associations, and organizations including directorships and offices held, etc.)

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