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

The 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. These guidelines apply to all units unless they are entirely financed via research funds.

I.   TYPOLOGY OF 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 programs (major, minor, graduate, research, creative activity).

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 unless a departmental program is relocated to a different unit.

B.   Institutes and Centers
Stony Brook University does not have a clear distinction between Institutes and Centers and for the purpose of these guidelines they are treated synonymously.

1.   In order to best fulfill the mission of the University and to take advantage of opportunities, it

may be advantageous to create academic and research institutes/centers.

2. The academic administration may create, modify, or eliminate institutes/centers following the procedures described in section II and III.

C. *Schools and Colleges*

A School and Colleges are academic units of substantial actual or projected size including a variety of graduate, undergraduate, creative, and research programs (with program directors) with its own Dean or are comprised of a collection of departments and programs with Chairs and Program Directors reporting to a Dean who reports directly to the Provost or Senior Vice President for Health Sciences.

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

A. *Proposal for the creation of new units*

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 name and 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.

2. The curriculum or mission of the new unit.

3. The resources needed from the university for the unit such as personnel, budget, course reductions, special equipment, space, etc. including but not limited to units requiring cost sharing. For personnel the type of appointment, reporting, home department, and affiliation with other units need to be specified. For tenure/tenure-track faculty the procedures of promotions and tenure need to be specified.

4. Other 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.

6. A timeline of anticipated resource needs from the university.

7. A timeline and review process in which changes or sunset of a unit is described. This description must include a procedure for how and under which conditions a unit will be expanded, downsized, discontinued, or closed. The procedure must address human resources, i.e., the effect on all staff and faculty associated with the unit and how they will be involved in the process.

8. A memorandum of understanding including the details of the proposed unit listed under 1-7.

B. *Reporting*

The appropriate Dean(s) and the Provost, SVP of Health Sciences or their designees should include information about the proposed creation of new units in their monthly reports to the relevant Senate(s). If desired, then the Senate(s) will provide feedback or ask for further information or comment on a proposal within 2 weeks after a report was provided.

1. When the unit directly reports to the Provost or the SVP for Health Sciences, they or their designee will report monthly to the relevant Senate on all planned creations.

2. When the unit is housed entirely within one School or College, the appropriate Dean or designee will report monthly to the relevant Senate on all planned creations.

3. If the new unit involves more than one School or College, then the proposal should be reported to all the relevant Senates by the Deans.

4. The Dean(s) will then forward the proposal with the comments from the Senate(s) to the Provost or SVP of Health Sciences.

5. The Provost or SVP of Health Sciences will then report monthly on the proposals to the - University Senate. The report should include a schedule for phasing-in of the unit, a description of the unit's ultimate size , and the information specified in section II A. above.

C. Senate feedback
Senate feedback will be provided by the respective senate committee (e.g., CAPRA) and a signature by the senate president "with objections" or "without objections.

D. Repository
Following the commenting phase, proposals (including MOUs) that were approved by the appropriate academic offices must be submitted to a publicly available repository maintained by the Provost's office.

E. Additional needs (Schools and Colleges only)
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.

F. Workflow
The desired workflow is outlined in Appendix 1 of the document.

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

A. Proposals to modify units
Proposals to modify (i.e., change of name, transfer, combine, divide, elevate, expand, downsize), 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, staff, faculty, and other academic units, as well as its resource implications. The proposal should include a projected timetable for the proposed change and how the existing personnel of the unit will be / has been involved in the proposal to modify.

B. Reporting
The appropriate Dean(s) and the Provost, SVP of Health Sciences or their designees should include information about the proposed creation of new units in their monthly reports to the relevant Senate(s). If desired, then the Senate(s) will provide feedback or ask for further information or comment on a proposal within 2 weeks after a report was provided.

1. When the unit directly reports to the Provost or the SVP for Health Sciences, they or their designee will report monthly to the relevant Senate on all requests for change and rationales to the University Senate. Each affected Dean, 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.

2. When a unit is housed entirely within one School or College, the appropriate Dean will report monthly on all requests for change and rationales 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 by the appropriate Dean for their comment and consideration.

3. If the unit involves more than one School or College, all the proposed changes and their rationales should be reported monthly 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 by the appropriate Deans for their comment and consideration. The Dean(s) will then forward the proposal with the comments from the Senate(s) to the Provost or SVP of Health Sciences. The Provost or SVP of Health Sciences will then report monthly on the proposals to the - University Senate. The report should include a schedule for phasing-in of the unit, a description of the unit's ultimate size, and the updated information specified in section II A. above.

C. *Senate feedback*
Senate feedback will be provided by the respective senate committee (e.g., CAPRA) and a signature by the senate president "with objections" or "without objections.

D. *Repository*
Following the commenting phase, proposals (including MOUs) that were approved by the appropriate academic offices must be submitted to a publicly available repository maintained by the Provost's office.

E. *Workflow*
The desired workflow is outlined in Appendix 1 of the document.

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 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) 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.)

B. Regular Evaluations

Academic units should undergo a self-study every 3 to 5 years. The respective academic officer will convene a review committee of faculty primarily from the unit itself and affiliated units.

C. 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. Other 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.)

APPENDIX
WORKFLOW FOR THE CREATION OR MODOFICATION OF ACADEMIC UNITS

Provost/EVPHS/EVPHS-level Center/Institute
- Provost/EVPHS brings idea to Relevant Dean(s)

- Provost/EVPHS and Relevant Dean(s) bring idea to other Deans and separately to Senate Exec (and relevant committee e.g., CAPRA)

- Provost/EVPHS and Relevant Dean(s) bring idea to Relevant Department Chair(s)

- Relevant Department Chair(s) bring idea to their faculty

- Provost/EVPHS alerts all faculty and adds Center/Institute to Provost/EVPHS Office Center/Institute Depository

School/College-level Center/Institute
- Relevant Dean(s) brings idea to Provost/EVPHS

- Relevant Dean(s) and Provost/EVPHS bring idea to Senate Exec (and relevant committee e.g., CAPRA) and other Deans

- Relevant Dean(s) bring idea to relevant Department Chair(s)

- Department Chair(s) alert their faculty

- Relevant Dean(s) alert all faculty in their School(s)/College(s) and Shares with Provost/EVPHS Office to have it added to Provost/EVPHS Office Center/Institute Depository

Department-level Center/Institute
- Relevant Department Chair(s) brings idea to relevant Dean(s)

- Relevant Department Chair(s) & relevant Dean(s) alert Provost/EVPHS, other Deans, & Senate Exec (and relevant committee e.g., CAPRA)

- Relevant Department Chair(s) bring idea to their faculty

- Relevant Dean(s) alert all faculty in their School(s)/College(s) and Shares with Provost/EVPHS Office to have it added to Provost/EVPHS Office Center/Institute Depository

Note 1: If brought forward by a faculty member, it must begin with direct supervisor (department head/dean) to begin process
Note 2: All levels prior to Provost/EVPHS are advisory and final decisions reside with the Provost/EVPHS
Note 3: Bring = Meeting; Alert = E-mail
Note 4: Whether Provost/EVPHS/EVPHS means Provost/EVPHS or EVPHS depends on the location of the Center/Institute on West (Provost/EVPHS) or East (EVPHS) Campus; Both should be included when bridging across both Campuses

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