# GUIDE TO FACULTY SENATE CONSIDERATION OF COURSE, PROGRAM, ORGANIZATION, AND POLICY PROPOSALS

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REVISED SEPTEMBER 2019

This is a preliminary version subject to correction.
It replaces the 1998 proposal guide by explaining use of the CCMS for proposal submission and incorporating all post-1998 policy changes.

MJ Peterson, Secretary of the Faculty Senate

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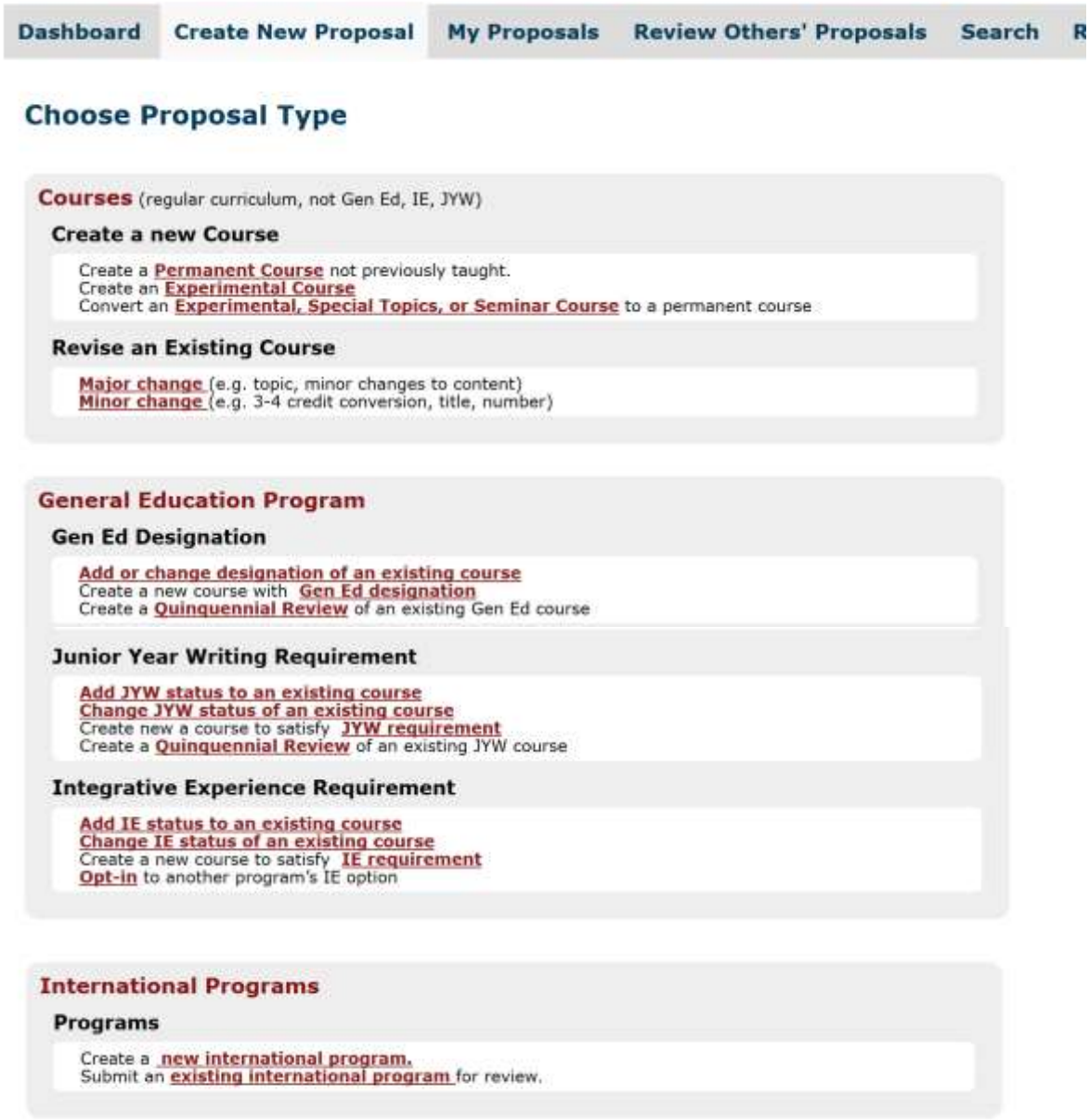
# The CCMS Create New Proposal Menu

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## Honors Programs

### Courses

Create a **new course with Honors designation**
Create an **new Honors 499 course**
Add an **Honors component to an existing course**
Apply for re-approval of **Honors status for an existing course or Honors 499 course**

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# GUIDE TO CONSIDERATION OF PROPOSALS

THE FACULTY SENATE, UNIVERSITY OF MASSACHUSETTS AT AMHERST

(September 2019)

This guide consolidates the approval procedures developed through Faculty Senate decisions and practice over a period of years. It was prepared by MJ Peterson, Secretary of the Faculty Senate, in consultation with the Faculty Senate Rules Committee, Chairs of Faculty Senate Councils that deal with any of these proposals, senior administrators in the Graduate School, Commonwealth Honors College and the Provost's Office, and the University Registrar.

## I. PROCEDURES RELATING TO COURSE APPROVAL

### A. GENERAL CONSIDERATIONS

1. All courses – whether offered entirely face-to-face, in hybrid modes combining face-to-face and online elements, or entirely online -- are proposed, and after approval maintained by, a particular academic department or program. All new courses and revisions to existing courses are considered using the same approval processes, regardless of the mode or modes of instruction used. It is expected that the substantive content and basic order of presenting the material will be identical and types of weighting for purposes of calculating course grades of assignments will be as similar as differences in entirely face-to-face, hybrid, and entirely online modes of instruction allow.

2. There are no set deadlines within which each stage of course approval must occur. The Faculty Senate and its Councils expect that any course proposal reaching the Faculty Senate Office through the CCMS by the end of the first week of classes in the fall semester will have been considered and either rejected, returned for further refinement, or approved by mid-January. Proposals reaching the Faculty Senate Office by the first week of spring term may be been considered before the end of term but may, if the Council's agendas are long, be deferred to the following fall.

Proposers of new courses or revisions to existing courses can track the progress of their proposal via the CCMS. This will permit identifying whether an extended delay is occurring at the department/program level, the college[1] level, or the Faculty Senate level. Proposers should direct their questions or concerns to the appropriate level. For the Faculty Senate level, this means contacting the Faculty Senate Office by phone (5-3611 from on-campus; 413-545-3611 otherwise) or e-mail (senate@senate.umass.edu).

[1] The term "college" denotes the major academic units comprised of departments and programs offering courses headed by a dean, regardless of whether their formal name uses the word "College" or "School." The term "college" does not cover the various Schools within Colleges that have been created since 2012 under the policy established in Sen. Doc. 12-021A.

B. REGULAR COURSES

1. New Permanent Courses

a. Faculty members developing new courses shall propose courses numbered 001-499 to their department's or program's undergraduate curriculum committee, courses numbered 600-999 to their department's or program's graduate curriculum committee, and courses numbered 500-599 to both. The faculty member should discuss the main features of the proposed course with the relevant department or program curriculum committee(s) before initiating a formal proposal using the Course and Curriculum Management System (CCMS). Proposers should then provide all the information requested for the particular type of course being proposed in the questions boxes of the relevant CCMS form. After the proposal has been approved by the undergraduate curriculum committee, the graduate curriculum committee, or both as appropriate, the committee chair(s) will indicate approval on the CCMS. The proposal then goes to the department head/chair or program director for review.

b. The department head/chair can approve the proposal, or return it to the curriculum committee(s) for additional refinement. After the head or chair indicates approval in the CCMS, the proposal is automatically referred to the relevant college curriculum committee.

c. The college curriculum committee then reviews the proposal. It may approve the proposal, reject it, or seek clarifications or revisions from the department. If the proposal is revised, the college curriculum committee chair should return it to the proposer so that the revised version may be substituted before the proposal is advanced to the dean via the CCMS. When the college curriculum committee approves a proposal, whether in the original or a revised version, the committee chair will indicate that approval on the CCMS together with any comments the college committee wishes to include. The CCMS then routes the proposal to the dean of the school/college.

d. The dean of the college then reviews the proposal. The dean can either request revisions or approve the proposal. Deans indicate approval of original or revised proposals through the CCMS. The CCMS then routes the proposal to the Faculty Senate Office.

e. The Secretary of the Faculty Senate or designee will review the proposal to ensure that it conforms to the requirements of committee and council review. The Faculty Senate Office will then allocate proposals for courses numbered 001-499 to the Academic Matters Council, courses numbered 600-999 to the Graduate Council, and courses numbered 500-599 to both those Councils.

f. The Senate Council(s) shall review the course proposal according to their procedures and can approve, disapprove, or request revisions to the proposal. If revisions are requested, the proposal will be returned to the proposer through the CCMS so that the revised version appears on the system before the course proposal is placed on the Faculty Senate agenda.

g. When a Council approves a course proposal, the chair indicates that approval in the CCMS. Approved proposals for undergraduate courses then return to the Faculty Senate Office. Approved proposals for Graduate courses (including courses numbered 500-599) are referred to the Dean of the Graduate School for approval/review of graduate faculty status of proposed instructors. The Dean of the Graduate School also indicates approval through the CCMS. When all the necessary approvals have been registered in the CCMS, the Secretary of the Faculty Senate includes the course on the agenda of the next Faculty Senate meeting with an appropriate motion.

h. The Faculty Senate then votes on the course proposal. If the course is approved, the Secretary of the Faculty Senate shall indicate that approval in the CCMS. The approved courses are then automatically referred to the Provost or designee by the CCMS.

i. If voting on a course is deferred following debate on the Senate floor, the proposal may be returned to the appropriate Council or the Secretary may promote direct discussion between the proposers of the course and the Senator or Senators raising concerns with a view to reaching agreement. If a proposal is returned to the relevant council(s), they will consult with the proposer at or before their next scheduled meeting with a view to addressing the objections. The council(s) will then determine whether to resubmit the course proposal to the Faculty Senate.

j. The Provost or his/her designee shall review the proposal. Upon Provost level approval, the Registrar's Office is notified of the approval through the CCMS and makes arrangements for inclusion of the course in the course catalogue and for scheduling it in whatever semester the originating department or program wishes to offer it.

2. Experimental Courses

a. Each department or program may offer courses on an experimental basis following an abbreviated approval process. Faculty working on new permanent courses are encouraged to offer the courses on an experimental basis prior to and/or during the review process for permanent approval. An experimental course is given an X90-alpha number (that is, a number 190, 290, 390, etc., with an alphabetic extension), a numbering that indicates its experimental status.

b. Following approval, an experimental course may be taught no more than <u>three</u> times. Departments or programs wishing to maintain the course beyond a third offering must file a proposal to convert that experimental course to a permanent course in time that the permanent course can be approved before a fourth offering would occur.

c. A proposal to create an experimental course must be placed on the CCMS using the relevant form. The proposal must be approved by the department curriculum committee, the department head/chair and the dean of the college. The Dean of the Graduate School also reviews experimental courses numbered 500 and above.

d. After approval at the dean's level, the course proposal is sent to the Faculty Senate Office through the CCMS. The Secretary of the Faculty Senate is authorized to act on

behalf of the Senate to approve or request revisions to the proposal. After approval by the Secretary, the proposal shall be forwarded to the Provost's Office for approval, followed by referral to the Registrar for scheduling.

3. Converting Experimental and Other Courses to Permanent Courses

a. Departments and Programs desiring to keep an experimental course beyond the semester in which it is taught the third time must file a proposal to convert that experimental course into a permanent course.

b. The proposal form is very similar to that used for creating a new permanent course, and the conversion proposal is treated under the same procedure as approval of a new course (see section I.B.2).

4. Major Changes in Courses

a. Major changes to courses involve significant alterations of substantive content going beyond the changes of title, number, credit load, and description that constitute minor changes. Proposals to change the number of a course will be regarded as minor changes only if it involves a number at the same level or at the immediately lower or immediately higher level (e.g., a 200-level course to either 100-level or 300-level). If the change would involve moving an advanced undergraduate course into the 500 level, it will be treated as a major course change to be reviewed by the Graduate Council.

b. Major course changes are referred to the relevant Faculty Senate Council(s) for approval: to the Academic Matters Council for courses numbered 001-499, the Graduate Council for courses numbered 600-999, and both for courses numbered 500-599. These are approved by the Secretary of the Senate once all the councils involved recommend them; they do not need to be submitted to a vote of the full Faculty Senate.

c. Changes that involve adding or eliminating General Education, Junior Year Writing, Integrative Experience, or Honors designations are approved through the policies for adding or revising those designations (see Sections I.B and I.C).

5. Minor Changes in Courses

a. The minor course change procedure exists to allow flexibility in and development of the curriculum as disciplines, methodologies, and knowledge evolve; it is not intended to allow circumvention of the normal processes for proposing new courses.

b. Departments or programs sometimes need to change the number, title, or catalogue description of a course, or the number of credits it carries.

Number changes are appropriate when a revision of the major makes it logical to group a number of courses in a certain series or to ensure that the numeric order of the courses reflects the order in which students are expected to complete them; they are also appropriate when incremental changes in methodology and content make the level for which it was originally proposed

inappropriate; or when several departments undertake a coordinated effort to use a common set of numbers for cross-listed or otherwise related courses.

Name changes are appropriate in circumstances such as changes in the terminology of a discipline shifts in ways making the current name obsolete, or when evolution of the course content over time makes the original title inappropriate.

Changes in the number and title of a course are sometimes sought at the same time, and will be approved together if they meet the guidelines noted for both types of change.

Course description changes are appropriate when developments in the discipline or changed in instructional method render the current course description obsolete or uninformative for students.

Similarly, changes to course title and description are sometimes sought simultaneously, and will be approved together if they meet the guidelines for both types of change.

Changes in the number of credits are considered minor course changes only when the change involves a decrease or increase by 1 credit. A proposal to increase the number of credits from 3 to 4 will also be reviewed by the Academic Matters Council's course committee before the Secretary approves them.

c. A minor course change proposal is also used to change the grading basis of the course (e.g., from letter grade to pass-fail or vice-versa), or the type of course (e.g., from lecture to seminar).

d. On the rare occasions when this is needed, as with organization of a new program using some previously-created courses with a different course rubric, a minor course change proposal is also used to propose changing the rubric.

e. Whenever a department or program wishes to split an existing course into two distinct courses, the Secretary of the Faculty Senate in conjunction with the Rules Committee will decide whether the split constitutes a minor or a major course change.

f. Proposals to change the title, number, official description, grading basis, or course type are submitted for approval through the CCMS using the Minor Course Change form. Proposals to split an existing course into two courses (for example, separating an associated clinical or lab hour from the lecture portion of a course; creating two courses from the material formerly taught in one) are also submitted on the Minor Course Change form.

g. Requests for approval to change the title or number of a course or to designate a course as pass/fail require the approval of the department head, the dean of the school or college, the Dean of the Graduate School (for courses numbered 500- 999), the

Secretary of the Faculty Senate, and the Provost or designee. If any of the signatories whose approval is required believes that the requested change would be a departure from the original course so significant as to warrant review by a curriculum committee and/or council, he or she may stipulate that the course be reviewed by one or more of the Curriculum Committees or Councils that would be involved in the full review process or may disapprove the requested change and require the proposer to submit a proposal for a new course.

[The most recent general revision of course approval procedures was laid out in Sen. Doc. No. 95-015, which superseded Sen. Doc. Nos. 81-049, 82-001 and 82-063. Sen Doc. 15-009 modified the approval process relating to Experimental Courses, and Sen. Doc. 15-01 revised the procedure relating to approval of increases in the number of credits attached to a course.]

6. Cross-listing of courses.

a. Cross-listing refers to offering the same course under two distinct department or program rubrics simultaneously, and is appropriate for courses at the same level that have content relevant to both degree programs and can be taught by instructors in either of the departments or programs offering them.

b. The term “cross-listing” does not apply to simultaneous offering of undergraduate-level and graduate-level versions of the same course. This practice has several names, including dual listing or co-listing.

[The policy governing cross-listing of courses is specified in Sen Doc. 19-045.]

## COURSE NUMBERING NOTE

All course numbers have three digits. The first digit of indicates the level of the course:

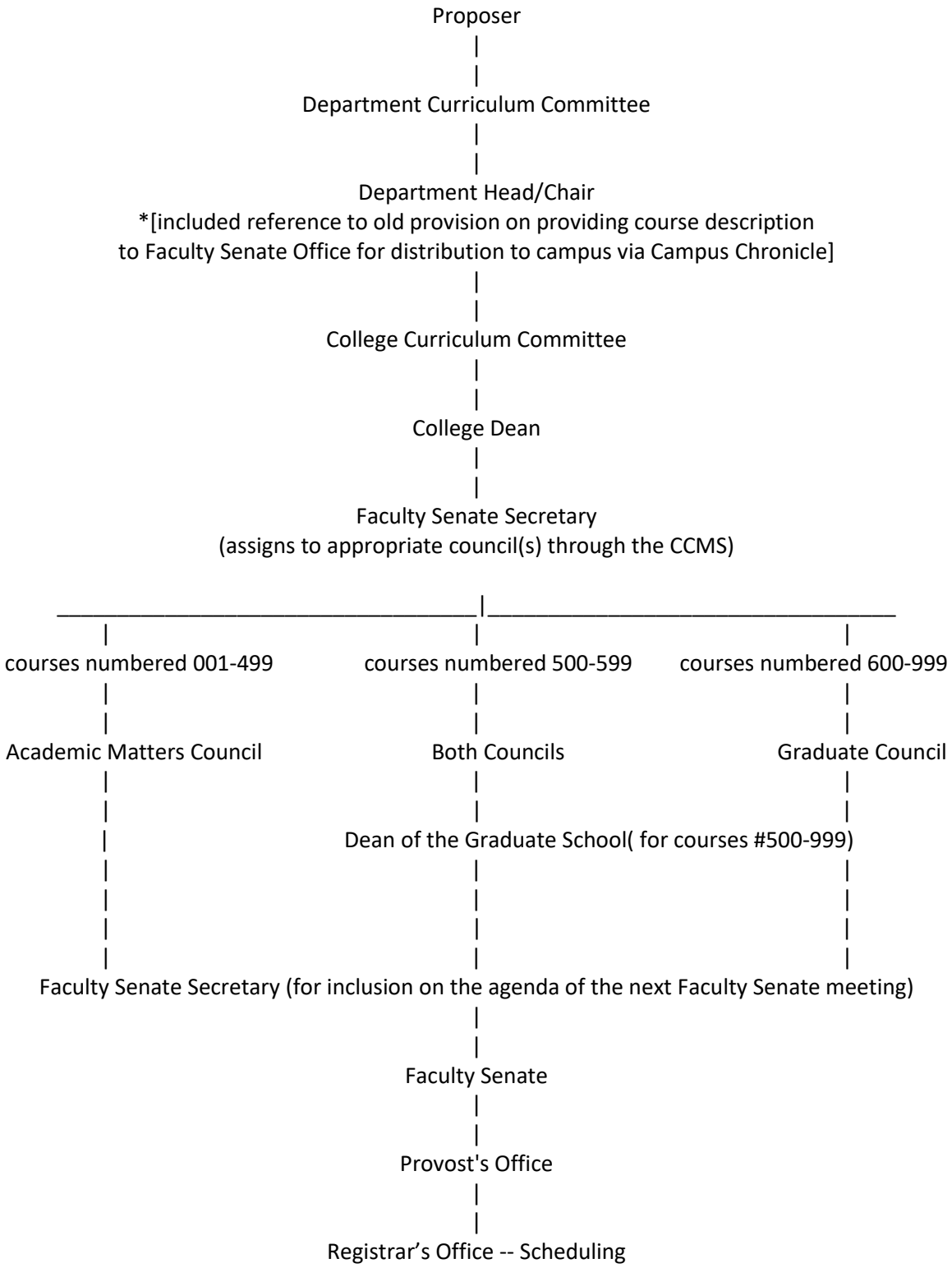
0 = college preparatory courses
1 = first year undergraduate courses
2 = other lower division undergraduate courses
3 = junior year or other upper division undergraduate courses
4 = advanced upper division undergraduate courses
5 = courses open to advanced undergraduates and graduate students
6 = graduate courses
7 = advanced graduate courses
8 = advanced graduate courses
9 = post terminal degree in the discipline

The second the third digits of some course numbers are reserved for specific types of courses:

90 - with an alphabetical extension – Experimental Courses
*other than* H (reserved for Honors courses) or Y (reserved for year-long courses)
91-95 Seminars (except 394 and 494 as noted below)
96 Independent Study
97 Special Topics Seminars
98 Practicum (internships; other experience-based endeavor)
99 Honors Thesis, Master's Thesis or Doctoral Dissertation

The numbers 394 and 494 – with alpha extensions when necessary – are now used most often for Integrative Experience Courses. Note, however, that previously-created courses that were made into IE courses when the IE requirement was adopted in 2011 kept their existing number, and some previously-existing courses numbered 394 were not converted to IE courses.

DIAGRAM OF THE APPROVAL PROCESS FOR PERMANENT COURSES



C. GENERAL EDUCATION PROGRAM

1. General Considerations

a. The General Education program meets accreditation requirements that undergraduate students receive opportunities to engage with topics and forms of scholarship in literature and the arts, historical study, social and behavioral sciences, biological science, physical science, mathematics, and writing. Since 1985 the General Education program has also included courses addressing the existence, social dynamics, and implications of human diversity.

b. Departments and Programs propose courses for inclusion in the list of courses students may take to fulfill a particular General Education requirement.

2. Procedure for Approving General Education Designations

a. A course may be proposed for General Education designation concurrently with the proposals to create it as either an experimental or new (permanent) course. Courses are proposed for designation by departments, not by individual faculty members, using the General Education designation forms provided on the CCMS.

b. A course may be proposed for General Education designation at any time after its approval as an experimental or new course, or its conversion from an experimental to a permanent course.

b. All proposals for General Education designation require the submission through the CCMS of the Learning Outcomes form together with the form(s) for the specific designation(s) being requested. After approval by the Department Curriculum Committee and Head/Chair, they are routed to the Faculty Senate Office, which directs them to the General Education Council.

c. The General Education Council reviews proposals for each designation using the reviewer team procedure it has established. Council members serving as designated reviewers make recommendations to the Council on approval or disapproval of each designation proposed. If the General Education Council approves the course for designation, the chair shall indicate that approval on the CCMS.

d. No proposal of an experimental or a new (permanent) course for which General Education designations are requested is submitted to the Faculty Senate for approval until the Academic Matters Council has recommended the course proposal and the General Education Council has recommended the requested General Education designations.

e. If, as a result of debate on the Senate floor, concerns about the proposed General Education designation(s) are raised, the course is referred back to the General Education Council. The Council must consider the specific objection(s) raised at its next scheduled meeting and determine the proper course of action (e.g., consultation with the proposer or re-submission to the Faculty Senate).

f. When the Faculty Senate has approved a proposed course with the requested General Education designation(s) the Secretary of the Faculty Senate indicates that approval on the CCMS, which then automatically routes the proposal to the Provost.

g. The Provost or his/her designee shall review the designation proposal and, if he/she approves it, shall so indicate on the CCMS, which automatically sends the approved proposal to the Scheduling Office so that the course may be offered for General Education credit.

(*The General Education Program website (www.umass.edu/gened) – particularly its sections "objectives and designations" and "for faculty" – provides detailed information on the requirements and procedures approved by the Faculty Senate.*)

[The definitions and main features of the General Education Program were clarified in Sen. Doc. No. 09-060, and certain details elaborated in Sen. Doc. 10-002A. The current Diversity Course policies are laid out in Sen. Doc. 17-070.]

D. WRITING PROGRAM

1. The University Writing Program is an element of the General Education Program coordinated and supervised through the University Writing Committee. It has two components, the First Year Writing Requirement and the Junior Year Writing Requirement.

2. First Year Writing Courses.

a. All entering first year students take a Writing Placement Exam and those with sufficient competence enroll in a section of the main First Year Writing Course, COLLEGE WRITING 112.

b. Those whose placement test indicates a need for additional skill-building before beginning COLLEGE WRITING enroll in a section of ENGLISH WRITING 111.

3. Junior Year Writing Courses.

a. These courses are offered in each major through a single 3-credit course or a set of related 1 or 2 credit courses. Departments or Programs with small numbers of majors may opt to share a writing course, subject to University Writing Committee approval.

b. Proposals to create or revise courses designated as Junior Year Writing courses are reviewed as to course content by the Academic Matters Council and as to whether they meet Writing Program requirements by the University Writing Committee.

4. The First Year Writing Program will be reviewed as a whole every fifth year, and each department's set of Junior Year Writing Courses every five years as scheduled.

[The First Year and Junior Year Writing Requirements and related approval processes are defined in Sen Doc 82-057.]

E. Integrative Experience Courses

1. The Integrative Experience is an element of the General Education Program supervised by the General Education Council.

2. Integrative Experience courses are upper level courses offered in students' majors designed to encourage students to bring learning from their various courses together and reflect on interrelations among the individual topics they have studies.

3. Proposals to create or revise Integrative Experience courses are reviewed as to course content by the Academic Matters Council and as to whether they meet Integrative Experience Learning Goals by the General Education Council.

4. The General Education Council reviews each department's Integrative Experience offerings every fifth year.

[The Integrative Experience Requirement and related approval processes are defined in Sen. Doc. No. 11-039A.]

F. HONORS PROGRAM

1. Background

a. With creation of the Commonwealth Honors College in 1999, the existing Honors Program acquired a firmer organizational foundation.

b. Initially, its program requirements were reviewed by the Academic Matters Council. The procedures for securing Honors designations for courses or related colloquia were revised afterwards, and the processes for approving them aligned more efficiently with Faculty Senate processes through creation of a separate Commonwealth Honors College Council in 2010.

2. Procedures

a. Proposals to create a new Honors Course require simultaneous submission of a proposal to create an experimental or a new course and a proposal to create an Honors Course through the CCMS. The proposal to create an experimental or a new course is reviewed according to the regular procedures described in Part 1, section A for new courses or Part I, section B for experimental courses as appropriate. The proposal to establish it as an Honors Course is considered by the Commonwealth Honors College Council.

b. Proposals to create a separate Honors section of an already-existing course are reviewed and approved by the Commonwealth Honors College Council.

c. Proposals to create an optional Honors component to an already-existing course

d. Honors reapproval review. The Honors College, through the Commonwealth Honors College Council reviews the honors designation of separate honors courses and honors sections of regular courses every three years. It approves additions of honors colloquia to experimental or regular courses as sought by departments.

[Honors designation procedures are laid out in Sen. Doc. No. 09-016A.]

## II. PROCEDURES RELATING TO ACADEMIC PROGRAMS

A. DEFINITIONS

1. Academic Program

An academic program is a program leading to an Associate's, a Bachelor's, a Master's, or a Doctor's degree in a particular subject area, or an undergraduate or graduate certificate, including a Certificate of Advanced Graduate Study, as defined in The Procedures for University Approval of New Academic Degree Programs, Program Changes, and Program Termination. (Doc T92-012 as amended on 8/6/97).

2. Degree Program

A degree program is a program of study culminating upon successful completion in the award of an Associate's, Bachelor's, Master's, or Doctor's degree.

3. Major

A major is that portion of a Bachelor's degree program consisting of courses in a particular substantive area. A Bachelor's degree is earned by completing General Education requirements, major requirements, and sufficient elective courses to meet the 120 credit total required for award of a Bachelor's degree. For purposes of program approval, revision, or termination, each major is considered to be a distinct Bachelor's degree.

4. Concentration

A concentration (sometimes called a track or an option) is a set of courses within a graduate degree program or an undergraduate major or minor providing an alternate way of fulfilling the requirements of that academic program that focuses on a distinct area of knowledge within the realm covered by the overall program. Concentrations within a program may be entirely separate from one another, or may contain a common set of courses. Concentrations can be delineated in a proposal for a graduate degree or a new undergraduate major or minor, or may be added to an existing degree, major or minor. Proposals to create new concentrations within an existing degree program, major, or minor are considered under the procedure for revising an academic program (see Section II.C)

5. Minor

A Minor consists of at least 15 credits in a coherent set of courses in a particular discipline, department or program. A Minor in a department, discipline, or program which also offers a Major will normally be constituted by a set of courses selected from among those required for the Major. Minors may be structured to require common courses and while accommodating some degree of choice among elective courses. Creation of a new minor is considered under the procedure for revising an academic program.
*Restriction*: Students may not receive a Minor in the same discipline or program which is also their Major.

6. Certificate

A certificate is a coherent set of courses representing a defined body of knowledge and skills. Certificates may represent a subset of the requirements for existing degree programs; may reflect a multidisciplinary perspective drawing coursework from more than one existing program; or may constitute a relatively free-standing area of focus with little formal connection

to existing academic programs. A Certificate requires at least 15 credits in a coherent set of courses. A certificate program of more than 30 credits is considered an "academic program," and approval or revision will be considered according to the policies pertaining to academic programs. Creation of a certificate program requiring fewer than 30 credits is considered under the procedures for revising an academic program.

- An Undergraduate Certificate consists of at least 15 credits of coursework. Internships, service learning courses, and independent study courses may not count towards the 15 credit minimum. Unless otherwise specified, these certificates are open to all students, undergraduate and graduate, matriculating or non-matriculating, subject to availability of courses.
- A Graduate Certificate consists of at least 9 credits of graduate level coursework taught by members of the graduate faculty that offers a clear educational objective. Unless otherwise specified, these certificates are open to all graduate students, matriculating or non-matriculating, subject to the availability of courses.

7. Letter of Specialization

A Letter of Specialization recognizes study in a specialized field related to or part of a student's major. Letters of Specialization are issued only by academic departments or programs, and are not recorded on students' transcripts. Letters may be signed by Department Heads or Chairs (or designees) and students may choose to include Letters in their placement files.

Letters of Specialization are approved by the Department Curriculum Committee or other appropriate departmental committee and the Department Head or Chair. When a proposed Letter of Specialization will be issued in an interdepartmental major, approval of the curriculum committees and Chairs or Heads of all involved departments is required. Approval beyond the department is not required, but the Dean of the College, the Secretary of the Faculty Senate, and the Provost must be notified of the intention to offer a Letter of Specialization.

B. APPROVAL OF ACADEMIC DEGREE PROGRAMS

1. New Academic Degree Programs

a. The Board of Higher Education Procedures for New Academic Program Proposals and Program Changes establish a two-stage approval procedure for all new programs in public higher education in the Commonwealth. In August 1997 the University Board of Trustees adopted a new program approval procedure consistent with the state's Board of Higher Education (BHE) procedures (Procedures for University Approval of New Academic Degree Programs, Program Changes, and Program Termination [Doc. T92-012 as amended on 8/6/97). The Preliminary Application includes a concise description of, and rationale for, the proposed program. The Final Application fully addresses the need and demand for the program, program mission, resources needed and available to support the program, curriculum, and faculty.

b. New program proposals usually originate in an academic department, although there may be circumstances under which a proposal originates in a Dean's office or the Provost's office.

c. Faculty or administrators interested in proposing a new undergraduate or graduate academic degree program should contact Farshid Hajir, Senior Vice Provost for

Academic Affairs (hajir@provost.umass.edu) for preliminary information before submitting any materials to the online system. The Provost's Office will assist departments with preliminary approval materials that must be reviewed by the University of Massachusetts Board of Trustees before a final application may be submitted.

d. The Preliminary Application should provide a succinct description of, and rationale for, the proposed Academic Degree Program and should be no more than five (5) single-spaced pages in length. This stage of the process allows the proposers to "make the case" to campus and UMass system administrators for their new program in a general way and without significant expenditure of time and resources. The Preliminary Proposal is designed to provide relevant campus and system administrators with sufficient descriptive and contextual information about the program for making an informed judgement about whether the proposal has sufficient merit to warrant the preparation of a Final Application. Specifically, the Preliminary Application should address the extent to which there is a need for the degree program (including why existing programs at the same campus, on other University campuses, or at other public or private institutions with the campus' service area[2] cannot meet this need). It should also explain how the proposed program is consistent with and would advance the stated mission and goals of the campus and the University.

e. When approved by the Chancellor, the Preliminary Application is forwarded to the UMass System President, who circulates it to the members of the Academic Advisory Council for their review and comment. The Chancellor of the Board of Higher Education is also invited to comment. Upon review, the President will advise the campus Chancellor as to whether to proceed with a Final Application and discuss any issues that merit particular consideration in that process. Note that a letter authorizing the proposers to proceed with a Final Application does not constitute assurance that the proposed program will receive final approval.

f. The Final Application should provide a comprehensive description of the proposed Academic Degree Program and should include an expanded analysis of the issues discussed in the Preliminary Application (e.g. purpose, need and relationship to mission) as well as a careful and thorough discussion of the more practical and technical issues raised by the proposal (e.g. resources, curriculum, admissions and faculty). Faculty, staff and administrators preparing the Final Application should be mindful that the cogency and realism of the proposal, and the succinctness and clarity of its presentation, will be considered good indicators of a campus' ability to mount a program of high quality. The Final Application should contain all of the information necessary to allow campus, University and other reviewers to meaningfully evaluate the program and should provide all of the information requested under the nine (9) general subject headings set forth in the Board of Higher Education form which is incorporated into the CCMS.

[2] Traditionally the "service area" concept was more relevant to the Community Colleges and State Colleges/Universities, but could be a source of leverage vis-a-vis the University of Massachusetts campuses. In recent years the Board of Higher Education has sought to gain more direct influence over their offerings despite the separation between the UMass system on one side and the State Colleges/Universities and Community Colleges on the other established in the General Laws of the Commonwealth.

g. The Final Application must also include a "Program Abstract" which should not exceed four pages in length. The program abstract should be a fair and concise summary of the proposal and the nine (9) items noted on the Degree Program Proposal Form. In the event the proposal is approved by the University's Board of Trustees and forwarded to the Board of Higher Education, the Program Abstract will be circulated by the Board of Higher Education to other public institutions for comment.

h. When they receive authorization to proceed with a Final Application, the program's proposers will submit their proposal through the CCMS. The proposal must be approved by the Department Curriculum Committee and then the Department Head/Chair. The proposal is then automatically referred to the College Curriculum Committee for its consideration and, after it has approved, to College Dean. If the Dean approves, the CCMS automatically routes the proposal to the Faculty Senate Office.

i. The Secretary of the Faculty Senate, in consultation with the Rules Committee, assigns the proposal to relevant Faculty Senate Councils and Committees for their consideration. The Councils and Committees can approve the proposal, reject it, or seek revisions. Should a Council or Committee request revisions, the revisions should be discussed with that Council or Committee and shared with the other Councils and Committees also considering the proposal. When the Councils and the proposers have agreed on all the revisions, the proposal will be returned to the proposer via the CCMS by the Faculty Senate Office so that the revised versions of the forms can be provided to the Faculty Senate for its consideration.

j. When all the Councils and Committees to which the program proposal has been referred have recommend it in either its original version or in a revised version, the Secretary of the Faculty Senate adds the program proposal to the agenda of the next Faculty Senate meeting. If the Senate recommends approval, the proposal goes to the Provost for review and transmittal to the Chancellor. Upon approval by the Chancellor, the proposal will be transmitted to the President of the UMass system.

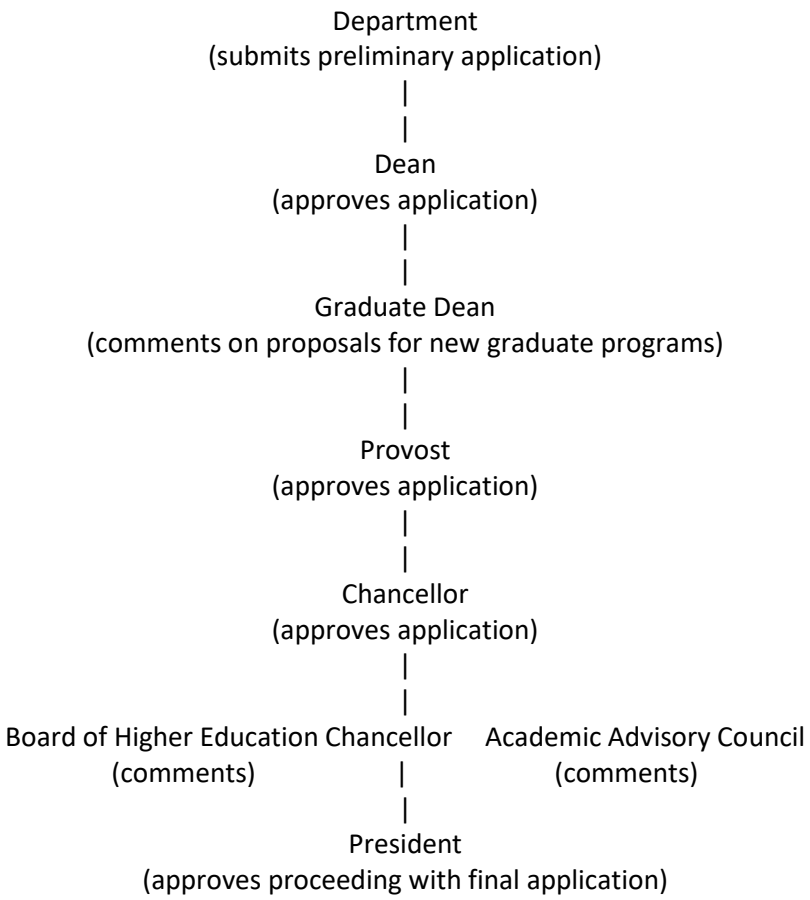
k. The President then solicits comments on the proposal from the Academic Advisory Council. If, after a careful and thorough review by staff, the President decides to recommend approval of the program, the President forwards a written recommendation to the University Board of Trustees.

l. The President may require that the proposal be reviewed by a team of external evaluators qualified to comment on issues of faculty, quality, curricular coherence, and adequacy of resources. External evaluations will normally be required when graduate programs are being proposed and may entail a visit to the campus by the evaluators. All expenses for external evaluators will be borne by the requesting campus.

m. If the Final Application is approved by the Board of Trustees, it will be forwarded to the Board of Higher Education, which has the final approval authority.

DIAGRAMS OF NEW DEGREE PROGRAM APPROVAL PROCESSES

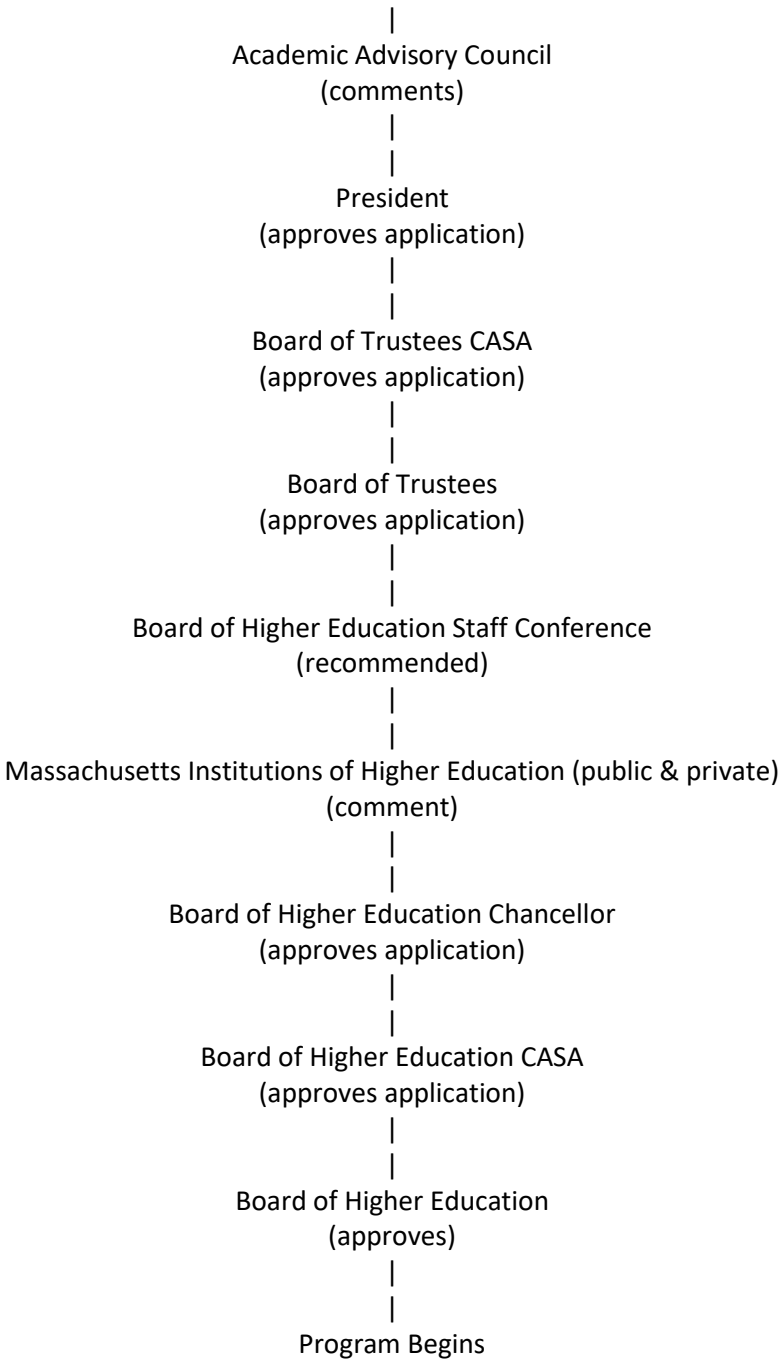
1. PRELIMINARY APPLICATION—TYPICAL PROCESS



DIAGRAMS OF NEW PROGRAM APPROVAL PROCESSES

2. FINAL APPLICATION – TYPICAL PROCESS

Department Curriculum Committee
Department Head/Chair
|
|
College Curriculum Committee
Dean
(approves application)
|
|
Graduate Dean
(comments on proposals for new graduate programs)
|
|
Secretary of the Faculty Senate
(assigns to appropriate councils in consultation with the Rules Committee)
|
|
Faculty Senate Councils
(review application)
|
|
Faculty Senate Secretary
(to include on Faculty Senate Agenda)
|
|
Faculty Senate
(reviews, votes on application)
|
|
Provost
(approves application)
|
|
Chancellor
(approves application)
|
|
President refers to External Evaluators
(normally required for proposed graduate programs)
|
|
External evaluator(s)
comment(s)
|


Academic Advisory Council
(comments)
President
(approves application)
Board of Trustees CASA
(approves application)
Board of Trustees
(approves application)
Board of Higher Education Staff Conference
(recommended)
Massachusetts Institutions of Higher Education (public & private)
(comment)
Board of Higher Education Chancellor
(approves application)
Board of Higher Education CASA
(approves application)
Board of Higher Education
(approves)
Program Begins

2. Joint Academic Degree Programs

a. A joint academic degree program is a program to be offered between two or more campuses of the University of Massachusetts in a field where at least one of the participating campuses already holds specific degree-granting authority. This approval process is not required for programs in which an authorized degree is conferred by one campus on students enrolled through another campus by special agreement.

b. Proposals for collaborative degree programs in fields in which no participating campus has degree-granting authority, and proposals to develop joint degree programs involving colleges or universities outside the University of Massachusetts, must be developed in accordance with the requirements of the section of this policy document applicable to new Academic Degree Programs.

c. Proposals for joint degree programs are also reviewed in two phases. A Preliminary Application (meeting the requirements set forth below) should be submitted by the Provosts of the participating campuses to the Vice President for Academic Affairs, who circulates it to the Academic Advisory Council. Once the Preliminary Application has been vetted by the Academic Advisory Council, the campuses can proceed to prepare a Final Application. All proposals for joint degree programs must go through normal campus approval processes before being submitted to the President in the form of a Final Application. The Final Application is submitted jointly by the Chancellors of the participating campuses and reviewed by the Vice President for Academic Affairs. If approved by the President, the proposal will be forwarded to the Board of Trustees. If the Board of Trustees approves it, it will then be forwarded to the Board of Higher Education for final action.

d. The Preliminary Application for a joint degree program should be succinct (not to exceed 5 pages) and should include: (I) a discussion of the reasons for the proposed collaboration, including an explanation of how the proposed joint program should complement, replace, or enhance any current stand-alone programs, and how it would contribute to the missions of participating campuses and the University as a whole; (2) a brief description of current degree program(s) on each participating campus that would contribute to the joint program (including program emphasis, size of faculty and students, etc.); and (3) a discussion of the need and demand for the joint program, including evidence of student demand and career opportunities.

e. The Final Application should incorporate the proponents' discussion of the questions covered in the Preliminary Application and should, in addition, include these elements:

i. A "Program Abstract" consisting of a "fair and concise summary" of the proposed joint degree program, i.e. a condensed version of the Final application (Note: the Program Abstract is circulated by the Board of Higher Education to outside reviewers).

ii. A projection of the expected size of the program, including full-time and part-time students enrolled, projected degree completion rates and the expected time from admission to graduation.

iii. A detailed description of proposed curriculum and program emphasis (including changes to existing curricula where applicable). Include (in an Appendix) a semester by semester sequence of courses including course numbers, credits, and titles, clearly indicating which campus will offer the course as well as which of the courses are new.

iv. A description of how curriculum will be delivered: who will teach courses, where and how (e.g., distance learning, travel between campuses), research and thesis supervision for graduate programs; in other words, the nature of the collaboration.

v. A description of the structure for program oversight, including admissions, curriculum development, graduation requirement, faculty hiring and assignment, quality control and program evaluation.

vi. A description of mechanisms for distributing student credit hours and faculty effort among campuses for budgetary purposes.

vii. A description of procedures for student registration, advising, and other administrative matters.

viii. A discussion of the budgetary implications for each campus, including sources for required support and anticipated costs or savings. Please display by institution the amount and kinds of additional faculty/staff, facilities, equipment, and library resources needed for the first year and the first full year of implementation, indicating funding sources.

ix. A discussion of the implications for programmatic accreditation and certification or licensure, if applicable.

f. Approval of a joint degree under these procedures requires that every diploma and transcript issued to students in the program indicate that the program is a collaborative offering of the campuses involved. Approval of a joint degree under these procedures does not constitute authorization for a campus to offer a stand-alone degree in that field. Should the joint degree program be discontinued at any time, campuses without independent authorization to offer the degree may not continue to offer such degrees without the approval of the Board of Trustees and the Board of Higher Education.

3. Combined Degree Programs

a. Existing degree programs can be combined by decisions of the campus governance bodies; they do not need to be referred to the Board of Trustees or the Board of Higher Education for preliminary approval or final approval. However, the Board of Trustees and the Board of Higher Education must be notified of the establishment of any combined degree program.

b. Accelerated Master's Degree

i. An Accelerated Master's Degree Option is an explicit arrangement of

graduate courses and other requirements enabling a student to complete the requirements for a baccalaureate degree and a specified Master's degree in less calendar time than would be required through normal sequential enrollment. Though variously called "five-year" programs, "4+1 programs," or "combined bachelor's/Master's programs," an Accelerated Master's Degree Option is not a distinct or different kind of degree program because the requirements for the bachelor's and Master's degrees remain unchanged; what changes is how they are organized.

ii. The Bachelor's degree and Master's degree may be in the same field or a related field; departments having concentrations within their major or Master's program may also specify that only certain concentrations will be included within an Accelerated Master's Degree option.

iii. Calendar time can be reduced in a number of ways. Some involve allowing students to complete certain graduate requirements prior to formal enrollment in a graduate program; others involve scheduling techniques, including use of summer and winter sessions. [See examples in a table included in Sen. Doc. 10-043.]

iv. The Graduate School will accept for transfer nine credits into any approved accelerated Master's degree option, and proposals for twelve credits will be considered for accelerated options involving Master's degrees of more than 36 credits. The courses eligible for transfer must be described in the proposal. Graduate courses may satisfy requirements for the baccalaureate degree if: 1) they fulfill content requirements as appropriate (i.e., they are at least equivalent to required undergraduate courses); and 2) they are specifically identified in the proposal and in the student's conditional acceptance to the Master's program (see below). Required graduate internships must be completed while enrolled as a graduate student.

v. At all times it must be clear to the student whether and how a course will apply to a graduate degree. Programs should be sure to emphasize that only the courses specified in an approved accelerated option will be automatically applied to the Master's degree, and only when taken after conditional acceptance to the Master's program. The Graduate School will consider any other requests for transfer of credit under normal procedures.

vi. There is neither application to nor enrollment in a "combined" bachelor's-master's program. Unless otherwise specified, an undergraduate wishing to participate in an accelerated Master's option applies to the Graduate School by November 30 in the junior year. Applicants must satisfy normal admissions requirements for the Graduate School unless specific exceptions are included in the proposal (e.g., waiver of GRE requirement). The baccalaureate degree must be completed prior to enrollment in the graduate program. The Graduate School will make a decision on conditional acceptance to the program, effective immediately following expected completion of the baccalaureate degree. The acceptance will specify the conditions to be satisfied.

vii Approval process.

Any department with an existing Master's degree can propose an accelerated option consistent with these guidelines using the "Proposal for Accelerated Master's Option" template. If a department wishes to propose changes to an existing Master's degree in conjunction with approval of an accelerated option, then a separate program revision proposal must be submitted.

Departments lacking an existing Master's degree must first created one through the normal program approval process.

An accelerated option may apply to a Master's program in its entirety, or to certain concentrations within it (for example, a non-thesis option only, or a concentration requiring a particular course sequence). If use of one or more concentrations in this way is desired, then the necessary concentration must either already exist or be proposed separately as a program revision.

Proposals for accelerated Master's options will be considered using the procedures for program revision. Such proposals originate in the department offering the Master's degree. After being approved by the curriculum committees of the department offering the Master's degree and, if not the same, the Department offering the Bachelor's degree, the proposals go to the head/chair of the department(s) involved. They are referred to the College Curriculum committee. The College Curriculum Committee may reject the proposal, return it to the department for revision, or approve it. When the College Curriculum Committee approves an initial or revised version of the proposal, it is advanced through the CCMS to the Dean. When Dean approves, the proposal is advanced by the CCMS to the Faculty Senate Secretary. Because they involve combining undergraduate level and graduate level work, the Secretary refers them to the Academic Matters and Graduate Councils. Upon approval of the initial or a revised version of the proposal by both Councils, the Secretary adds the proposal to the agenda of the next Faculty Senate meeting.

If the Faculty Senate recommends approval, the proposal goes to the Provost for review and transmittal to the Chancellor. Upon approval by the Chancellor, the proposal will be transmitted to the President of the UMass system.

[The policy on Accelerated Master's Degrees is established in Sen. Doc. 10-043.]

b. Dual Master's Degree Program

i. A Dual Master's Degree Program combines two existing Master's degrees in related fields through a program design using overlapping options to reduce the total number of credits required to earn the combined degree as compared to earning each Master's degree separately. Dual Master's Degree Options are intended to encourage students to pursue interdisciplinary studies in two clearly related programs. By undertaking this simultaneous pursuit, the student earns a

master's degree in each of the two programs, while completing somewhat fewer credits than would be required to complete the two programs separately.

ii. All degree requirements of each of the two degrees must be completed. All core course requirements in both programs must be completed; however courses in one program may be used to satisfy elective requirements in the cooperating program, and vice-versa. The total number of degree credits will be at least equal to 60 credits of which no fewer than 30 credits must come from each of the two programs.

iii. A thesis will be required if either of the cooperating degree programs requires one. The thesis should address a topic which is derived from the rationale for the dual degree.

iv. Students seeking to pursue a Dual Master's Degree option must meet the entrance requirements of each individual program and be admitted by both programs.

v. Both degrees must be awarded concurrently. Neither of the two degrees awarded under the dual degree option shall be awarded retroactively. A student who does not complete both courses of study for the Dual Master's Degree may be awarded one Master's degree upon completion of the program requirements for one of the two programs.

vi. The Statute of Limitations for completion of a dual degree option shall be five (5) years.

vii. Approval Process

Proposals to create a Dual Master's Degree Option should be submitted through the CCMS by one of the departments involved after the graduate curriculum committee and the head/chair of both have approved it. The proposal must explain the need for and inherent value of the option and Dual Degree Option (1) explicitly list the core courses and the number of additional elective courses (or credits) required for each of the separate master's degrees, (2) specify a plan for completion of these requirements under the dual master's degree option, and (3) explicitly address the topic of any required thesis. Each participating department must supply a letter of support indicating how it will assure provision of the instructional and other resources needed for the Dual Master's Degree program.

The Graduate School will check that these criteria are satisfied by the proposal and verify that the credit savings resulting from the proposal are reasonable (no more than approximately 20%). If satisfied that the proposal meets these requirements, the Graduate School refers the proposal to the Faculty Senate Secretary, who will provide for review by the Graduate Council and any other Councils to which the Rules Committee refers it.

[The Policy on Dual Master's Degrees was established in Sen Doc 05-009]

4. Revision of Academic Programs

a. The process for approving revisions of requirements in an academic degree program or a certificate consisting of more than 30 hours of course work depends on the nature of the revision. Trustee Document T92-012 (1992, amended August 1997) specifies that "Once approved, an Academic Degree Program may not be materially and substantially changed unless and until it has been reviewed and approved under a process deemed appropriate by the [UMass system] Vice President for Academic Affairs."

b. The process of approving degree program revision starts with submitting a brief written description to the Vice President for Academic Affairs through the Office of the Provost. The Vice President will determine whether the proposed change should be reviewed under the procedure for reviewing new program proposals or under some less comprehensive procedure, and inform the Provost's Office of its determination. The Provost will in turn inform the Secretary of the Faculty Senate and the department or program of the process that will be followed.

c. Proposals to offer new concentrations, tracks, options, certificate programs or the like within existing degree programs are not considered to be "material or substantial changes." Further information about such proposals appears in Sections II.C, II.D and II.E.

d. All changes to existing degree programs are reviewed using the same program revision form on the CCMS but handled as the Vice President for Academic Affairs directs.

e. Changes must be wholly approved by May 15th of the academic year preceding the academic year in which the department wishes to implement the changes.

f. All proposals to change a degree program must be approved by the Department or Program Curriculum Committee, the Department Head/Chair or Program Director, the College Curriculum Committee, and the Dean of the College before being evaluated by the Faculty Senate. Upon approval by the Dean, the proposal is relayed to the Secretary of the Faculty Senate through the CCMS, who in conjunction with the Rules Committee assigns the proposals to relevant Councils or Committees.

g. Proposals for changes which are identified at the College or Faculty Senate level as effectively creating new concentrations, minors, or certificates of fewer than 30 credits are reviewed under the procedures applicable to creating concentrations, minors, or certificates.

h. Changes to the name of a program require full campus governance review and must be approved by the President and the Vice Chancellor of the Board of Higher Education. The request for approval should include an explanation of the reasons for the name change.

5. Termination of Existing Academic Programs

a. Campuses must notify the President prior to, and the Board of Higher Education following, the suspension or termination of an existing Academic Degree Program.

b. A campus may reactivate a suspended or discontinued program, with the approval of the President and the Board of Higher Education. The President may require that the reactivation proposal be reviewed under a process similar to the procedure for considering proposals to a new program, or some other appropriate process.

c. If the President determines that discontinuance, termination, or reactivation of programs would have a significant impact upon other campuses, such action will only occur after the President has obtained the advice of the Academic Advisory Council and subsequently the approval of the Board of Trustees.

[These procedures are based mainly on the Procedures for University Approval of New Academic Degree Programs, Program Changes, and Program Termination (Board of Trustees Document T92-012 as amended on 8/6/97) and the general provisions in Sen. Docs. No. 89-054A and 90-064.]

6. Continuation Requirements in Undergraduate Degree Programs (Majors) 12-041

a. Departments and Programs may establish exceptions to the normal university policy allowing departments or programs to require that students earn a grade of C or better in an earlier course to enroll in a more advanced course in the major. These exceptions will be specified in a Continuation Policy. Continuation policies are intended to foster timely progress towards completion of the major, not as a way to limit enrollment in the major.

b. The primary basis for consideration of a continuation requirement is clear evidence that a substantial proportion of majors are not making timely progress in meeting degree requirements because of a failure to meet necessary standards in prerequisite or foundational coursework, and that this creates an undue burden for the program and for other students.

c. Establishing a grade cutoff higher than C requires the program to demonstrate 1) that course grades or other standards are directly tied to successful completion of upper-division requirements; 2) that significant numbers of students are reaching the upper division unprepared to complete degree requirements in a timely manner; and 3) that this situation imposes an unreasonable resource burden on the program.

d. Establishment of continuation requirements is a response to a particular set of circumstances. They may be approved for up to three years, and automatically expire at the end of their approved term. Departments may petition to extend or modify continuation requirements through the same process used for initial approval.

e. Departments shall ensure that students in danger of failing to meet continuation requirements are warned about that situation, and counselled about how they can meet the continuation requirements or assisted in changing to a different major.

f. Continuation policies are proposed by departments or programs. Proposed continuation requirements must be endorsed by the Dean and then the Provost. If the Provost supports the proposal, it is sent to the Faculty Senate for approval or disapproval. The Registrar maintains the official compilation of approved continuation requirements.

[These procedures are based mainly on the Requirements for a Dual Master's Degree defined in Sen. Doc. 02-040 and the Dual Master's Degree Option defined in Sen. Doc. 05-009.]

C. Concentrations (Tracks, Options)

1. Creation of Concentrations.

a. Concentrations (Tracks, Options) within a graduate degree program or an undergraduate major or minor can be proposed at the same time as the degree program is proposed or at a later time.

b. If proposed at the same time as initial proposal of the graduate degree or undergraduate major, they are approved as part of the degree program approval process described in Section II.B

c. If proposed later, they are approved through the procedures for revising concentrations described in Section II. . The process begins in the department or program desiring to add a new concentration, which develops a proposal for submission through the CCMS. Upon approval by the department or program curriculum committee and the department head/chair or program director, the proposal is forwarded through the CCMS to the college curriculum committee and dean. If they approve, the proposal comes to the Faculty Senate. The Secretary of the Senate then assigns the proposal to [routine on concentrations].

d. The Council or Councils to which the proposal is referred can approve it as it stands or request revision. Once the Council(s) approve the proposal, the Secretary of the Faculty Senate adds it to the agenda of the next Faculty Senate meeting. If approved by the Faculty Senate, the Secretary notifies the Chancellor, the Provost, and the proposers.

e. The Chancellor and Provost then provide a written description of the concentration to the President and the Board of Higher Education prior to announcing availability of the new concentration.

2. Revision of Concentrations

a. Proposed changes to concentrations are also reviewed are reviewed and approved through the campus governance procedures described in Section II.B.4.

b. Approved changes to concentrations, tracks, options, certificates, or the like must be described in a written notice to the President and the Board of Higher Education 60 days prior to announcing the changes.

D. Procedures relating to Minors

1. Creation of Minors

a. Unlike creation of a major, creation of a minor does not require preliminary authorization from the Board of Higher Education; the entire approval process occurs on campus.

b. The process for creating a minor begins in the department seeking to establish it. The proposal is then evaluated at the College Faculty Senate levels in the same way as a proposal to create a new major, as summarized in Section II.B.1.

2. Revision of Minors

a. Proposed changes minors are reviewed and approved through the same campus governance procedures as used for approval of revisions to majors, as summarized in Section II.B.4.

b. Approved changes to minors must be described in a written notice to the President and the Board of Higher Education 60 days prior to announcing the changes.

E. CERTIFICATES

1. Creation of Certificates

a. Policies relating to creation of new certificates distinguish between certificates consisting of more than 30 credits of coursework, and certificates consisting of less than 30 credits of coursework. They also distinguish between Undergraduate Certificates, which must include at least 15 credits of coursework, and Graduate Certificates, which must include at least 9 credits of course work.

b. Proposals to create new certificates should be submitted through the CCMS following the Faculty Senate Certificate approval guidelines. Proposers should explain the educational goals of the certificate, lay out the courses to be included, and provide a rationale for offering the certificate. Proposers of Graduate Certificates must pay attention to the additional criteria established in the Supplemental Guidelines for Graduate Certificate Proposals (Sen. Doc. No. 09-023).

c. A certificate may be designated as “transitional,” indicating that upon completion the coursework may be applied toward the requirements of an academic degree program.

i. The certificate proposal must clearly identify what courses may be applied to what set(s) of program requirements;

ii. This information must be prominently displayed in all descriptions of the certificate program;

iii. Completion of a transitional certificate does not imply admission to the University or a specific academic program. Non-matriculating students who wish to apply transitional certificate coursework to a degree program must satisfy all relevant University admissions requirements and the admission requirements for the specific program to which they seek to apply the coursework.

d. If a non-matriculating student completes the requirements for a transitional certificate, and is subsequently accepted for admission to the appropriate degree program, then the coursework specified as applicable to the program will be transferred notwithstanding general policies governing transfer of credit.

[These paragraphs are based on Sen. Doc. Nos. 09-001, 09-018A, 09-023, 09-059, 15-024, 15-035A, and 15-049]

2. Revision of Certificate Requirements

a. Proposed changes to certificates are reviewed and approved through campus governance procedures provided in Section II.B.4, with the precise process depending on whether the Certificate is one of 30 credits or more.

b. Approved changes to certificates must be described in a written notice to the President and the Board of Higher Education 60 days prior to announcing the changes.

PRELIMINARY APPLICATION PROCESS
FOR CERTIFICATES MORE THAN 30 CREDITS

Department
(submits preliminary application)
↓
Dean
(approves application)
↓
Graduate Dean
(comments on graduate programs)
↓
Provost
(approves application)
↓
Chancellor
(approves application)
↓
Board of Higher Education Chancellor ----------Academic Advisory Council
(comments) (comments)
↓
President
(approves application)

FINAL APPLICATION PROCESS
FOR CERTIFICATES MORE THAN 30 CREDITS

Department
↓
School/College Dean
(approves application)
↓
Graduate Dean
(comments on graduate programs)
↓
Secretary of the Faculty Senate
(reviews and forwards to appropriate Councils)
↓
Faculty Senate Councils
(review application)
↓
Faculty Senate Secretary
(for Faculty Senate Agenda)
↓
Faculty Senate
(reviews application)
↓
Provost
(approves application)
↓
Chancellor
(approves application)

↓
External evaluator(s)
(comment(s) if appropriate--
normally required for proposed graduate programs)
↓
Academic Advisory Council
(comments)
↓
President
(approves application)
↓
Board of Trustees CASA
(approves application)
I
Board of Trustees
(approves application)
↓
Board of Higher Education Staff Conference
(recommended)
↓
Massachusetts Institutions of Higher Education (public & private)
(comment)
↓
Board of Higher Education Chancellor
(approves application)
↓
Board of Higher Education CASA
(approves application)
↓
Board of Higher Education (approves)

PROPOSAL APPROVAL PROCESS
FOR CREATION OF CERTIFICATES FEWER THAN 30 CREDITS

Department Curriculum Committee
↓
Department Head
↓
School/College Curriculum Committee
↓
School/College Dean
(approves application)
↓
Provost
(determines nature of change -
consults with Faculty Senate Secretary to determine
appropriate review process)
↓
Secretary of the Faculty Senate
(reviews and forwards to appropriate Councils)
↓
Faculty Senate Councils
(review, recommend proposal)
↓
Faculty Senate
(reviews, approves proposal)
↓
Provost
(approves proposal)
↓
Chancellor
(approves proposal and notifies
Board of Higher Education and President)

2. Review of Certificates

a. Certificates will remain in force for five years following their approval. In the fourth year, the sponsoring department or program of each certificate shall file a renewal request with the Faculty Senate Office, describing the status of and activity within the certificate program according to guidelines established by the Academic Matters Council and the Graduate Council. Continuation of the certificate program for each additional five-year term will require the approval of the Faculty Senate upon the recommendation of the appropriate council.
In the case of certificates involving agreements among the Five Colleges, the review process in the agreement will govern.

b. If renewal is not approved, or a request for renewal is not submitted, the certificate program will be phased out. Students may complete the requirements of a certificate within two years of expiration of the certificate program, subject to the availability of courses.

c. In general, certificates are evaluated according to the following measures:
- Statistics on completion of the certificate program (i.e., number of students, matriculated and non-matriculated, time it took to complete the certificate).
- Information relating to availability of courses, student enrollment per course, faculty teaching the courses, and student evaluations.

d. Undergraduate Certificates are reviewed by the Program Subcommittee of the Academic Matters Council, which will then bring a recommendation to the AMC that the certificate either be renewed for five years or discontinued. Reasons for recommending that a certificate be
discontinued include:

i. Failure to respond to the request for a renewal application;
ii. Request by the sponsor to phase out the certificate;
iii. Too few students pursuing or completing the certificate (indicating lack of student demand and/or unrealistic requirements);
iv. Problems with certificate courses (insufficient availability, too many experimental courses, too many exceptions/substitutions).

e. Graduate Certificates are reviewed by the Graduate Council, which can recommend renewal for a full five years, renewed on probationary status for one or two years while addressing shortcomings identified by the Graduate Council, or discontinued.
Reasons for recommending that a certificate be placed on probationary status include

i. too few students pursuing or completing the certificate (indicating lack of student demand and/or unrealistic requirements), or
ii. problems with certificate courses (insufficient availability, too many experimental courses, too many exceptions/substitutions).

Reasons for recommending that a certificate be discontinued include

i. continuing problems after a probationary period,
ii. failure to submit this renewal application when requested, and
iii. request by the sponsor to phase out the certificate.

## III. PROCEDURES RELATING TO ORGANIZATIONAL UNITS

A. DEFINITIONS

1. Center and Institute

A Center is a subordinate unit within an existing institute, department, school, or college that concentrates research, educational support and/or outreach efforts within a clearly defined academic area in ways that make a significant contribution to the unit of which they are a part. The Center Director is appointed by and reports to the head of the Institute, Department, School, or College of which it is a part.

An Institute is a distinct unit that typically spans multiple colleges and is frequently interdisciplinary. Their mission is promotion of research on some subject of broad concern and, often, the communication of this knowledge to a broader public. Institutes may engage in a variety of research, public service, and educational support activities. Institute Directors are normally appointed by and report to the Vice Chancellor for Research and Engagement; the Dean(s) of the college(s) having faculty participating in any Institute will be kept informed of its activities. Alternately, an Institute is connected to a particular College and under the administrative oversight of its Dean.

2. Academic Department

An Academic Department is an academic unit organized around a discipline or group of related disciplines. It serves as the tenure home for faculty; offers one or more degree programs; and offers courses, including courses required for its degree program(s). An Academic Department has personnel and curriculum committees consistent with relevant University policies, procedures, and collective bargaining agreements. It is led by a Head or a Chair who reports directly to the Dean of a College.

3. Academic Program

An Academic Program is an academic unit organized to provide instruction in a particular substantive area from a multi-disciplinary perspective and draws faculty participation from two or more departments. An Academic Program offers one or more degree programs and typically offers at least some of the courses required for its degree program(s). Participating tenure-system faculty hold appointments in Academic Departments, which are responsible for all personnel decisions. A Memorandum of Understanding between an Academic Program and participating Academic Departments may define a role for an Academic Program in departmental personnel decisions. A curriculum committee, executive committee, or similar body is responsible for an Academic Program's courses and credentials. An Academic Program is led by a Director who reports directly to the Dean of a College.

3. School within a College

The term "School" is a designation that can be given to an Academic Department, Academic Program, or group thereof to promote a particular identity. This identity may be relevant to recruitment of students or faculty, public relations, development, research, instruction, outreach, or any other goals or activities of the participating unit(s). In the case of a single Department or Program designated as a School, that Department's Head or Chair or that Program's Director becomes the Director of the School. In the case of multiple units seeking designation as a School, an agreement approved at the time of designation defines how a Department Head or Chair or Program Director will be chosen as the Director of the School. The

inter-unit agreement may also define cooperative relationships in marketing, recruiting, or other appropriate areas. Schools *per se* do not represent an organizational level or structure. All personnel, curricular and fiscal decisions occur at the Academic Department or Academic Program level. The designation of a Director in a multi-unit School does not establish or imply a reporting relationship with the Heads, Chairs, or Directors of the School's constituent units. A multi-unit School does not have a personnel or curriculum committee, and it does not serve as the tenure home for faculty. A School is organized within a single College, although it may draw participation from units in other Colleges, and its operation are to be consistent with the policies and priorities of the College within which it is organized. A College Dean may choose to augment the functions of a School or a School Director, or make specific financial, staffing, or other arrangements as part of the normal operations of the College. College Deans may also choose to enter into agreements with one another regarding the operation of Schools that involve participation of units from more than one College.[3]

4. College

A College is a grouping of faculty and degree programs organized for the purpose of providing coordination of and leadership for academic planning, resource management, and academic support. The Colleges are the primary organizational framework for the academic enterprise. A College has personnel and curriculum committees consistent with relevant University policies and procedures and collective bargaining agreements, through which relevant decisions of departments and programs clustered within it are reviewed. A College is led by a Dean who reports directly to the Provost.

B. CENTERS OR INSTITUTES

1. Creating a Center or Institute

a. Individual faculty members or groups of faculty members may initiate a proposal to create a Center or Institute. They should be sure they have the support of their department head/chair (for a new center) or their dean or the Vice Chancellor for Research and Engagement (for a new institute) since such support is key to being able to provide the answer to most questions about the spaces and resources available to the proposed Center or Institute.

b. Campus approval of new Centers and Institutes is based, at minimum, on the appropriateness of the Center's or Institute's proposed activities to the mission and goals of the campus, and the adequacy of resources, including both capital investment and operating funds.

c. The formal process for creating a new Center or Institute begins with seeking interim approval from the Vice Chancellor for Research and Engagement. The forms required for preliminary approval cover many of the questions that appear on the forms for seeking permanent approval.

[3] Sen Doc 12-021A authorizing creation of Schools within Colleges acknowledges that "If such agreements prove insufficient for cross-College schools, then additional enabling legislation may be needed in the future."

d. The Vice Chancellor for Research and Engagement decides whether to recommend interim approval to the Provost and Chancellor. If they concur, the proposed Center or Institute may operate for a maximum of three years.

e. Participating faculty, particularly the Center or Institute's Director(s) should be preparing for the process of securing permanent approval soon after securing interim approval, and actively assessing whether their plans are advancing as expected and the anticipated resources becoming available.

f. Proposals for permanent approval of a Center or Institute are filed on the CCMS using the form for create a new Center or Institute. To continue operating after expiration of the initial three years, the Center or Institute needs to have secured permanent approval through the process outlined in paragraph 6 below.

g. Grant of permanent approval involves consideration and recommendation of the appropriate Faculty Senate Councils and/or Committees as determined by the Rules Committee, followed, if they so recommend, approval by the full Faculty Senate. The Provost and Chancellor of this campus must then approve and submit the proposal to the President. The President has final authority to give permanent approval to a Center or Institute.

2. REVIEW OF CENTERS AND INSTITUTES

a. Each Center provides an annual report with the head of the academic unit of which it is a part; each Institute provides an annual report to the Vice Chancellor for Research and Engagement or the Dean of the College to which it is attached.

b. After receiving permanent approval from the Faculty Senate, each Center or Institute is reviewed every five years by a Review Committee convened by the Vice Chancellor for Research and Engagement. The Review Committee includes the Provost (or designee), the Vice Chancellor for Research and Engagement (or designee), and at least one faculty member from each college/school headed by a Dean. The faculty members appointed by the Deans must be full-time faculty holding the rank of Associate Professor or higher. The criteria to be used and process for these reviews is set forth in Sen. Doc. No. 14-032B.

c. The self-study required as part of the review process provides an opportunity to reflect on the Center or Institute's activity, determine whether it remains useful, and outline plans for the next five years.

d. The Review Committee can recommend that the Center or Institute be allowed to continue activity or be shut down (terminated). The Provost decides whether to support the Review Committee's recommendation.

e. If the Provost determines that a Center or Institute should be closed, that determination is communicated to the Secretary of the Faculty Senate for Faculty Senate consideration under either the Fast Track or the Standard Procedure. When there is no objection to closing the Center or Institute, the Fast Track Procedure may be

used. When there is objection, the Standard Procedure is used. The Faculty Senate Rules Committee, advised by the Academic Priorities Council and any other Senate Council(s) it choses, decides which procedure will apply.

f. Under the Fast Track procedure, the Rules Committee has authority to act on behalf of the Faculty Senate to approve closure of the Center or Institute concerned. Under the Standard Procedure, the Faculty Senate, following recommendations by the Academic Priorities Council, determines whether to support or oppose the Provost's recommendation to close the Center of Institute concerned.

g. Board of Trustees Policy gives the President final authority regarding closure of a Center or Institute.

h. Faculty and staff who have been active in a Center or Institute should feel no shame in volunteering to close a Center or Institute that they believe has outlived its usefulness or would more effectively pursue its goals by absorption into another Center or Institute. Over a period of years intellectual or practical changes can reduce a Center's or Institute's activity to a level at which keeping it open diverts faculty aattention and other resources away from more promising activity. Admitting that and moving on contributes more to the university's mission than hanging on to a moribund Center or Institute.

[These procedures are based on Trustees Doc. T96-096 and Sen Doc 14-032B, which specifically superseded all prior Faculty Senate policies regarding Centers and Institutes.]

D. DEPARTMENTS

1. Creation of Departments

a. Proposals to create new departments are initiated by colleges. They are reviewed by the Academic Matters, Academic Priorities, Graduate, and Budget & Planning Councils before being taken up in the Faculty Senate.

b. New departments are created when some field of intellectual endeavor has crystallized into a sufficiently coherent body of theory and methods of investigation to warrant housing the new field in a distinct primary academic unit serving as tenure home for the faculty involved. New departments most often arise in the context of department or college reorganizations, but might also involve converting Program into a Department. Creating a new department is a very significant step. As Provost Katherine Newman wrote regarding the proposal to create the Department of Biomedical Engineering in October 2015, "We do not launch new departments lightly. They represent a significant investment in treasure and people."

c. Proposals to create a new department should not be posted to the CCMS until the proposers know that there is support in the central administration, support from the college in which the new department would be housed, and acceptance by any college whose departments would be directly affected by creation of the new department, and those directly affected departments or programs. "Directly affected" means that the

new department would become the current or future tenure home for one or more tenure system faculty members in another department or that its graduate or undergraduate programs appear likely to compete for students directly with another department or program.

d. When proposals to create new academic programs also involve organizing a new academic department to house them, the proposals to create the new department should be made concurrently with the request for preliminary authorization of the proposal(s) to create the degree programs. Since a new degree program in an emerging field is very likely to require creation of new courses, having the department and corresponding course rubric in place facilitates building the new program.

e. After approval by the Faculty Senate, proposals to create a new college must also be approved by the Board of Trustees.

2. Review of Departments

a. Departments, including Colleges that consist of a single Department, undergo periodic Academic Quality and Development (AQAD) review, as required by the UMass system-wide Performance Measurement System. The primary purposes of an AQAD review are to assess the core academic functions of teaching, learning, research/professional/creative activity, public service, and academic outreach on a regular basis. The campus administration has established procedures for implementing AQADs consistent with the System-level guidelines adopted by the Board of Trustees in Trustee Doc. T98-033 (1998). For Departments or Colleges consisting of a single Department that are also accredited by a professional association, the AQAD and accreditation review processes are combined and occur as required for maintaining the professional accreditation.

b. The AQAD process begins with a department self-study written to answer the AQAD review questions. A committee of at least two outside scholars in the discipline or interdisciplinary field, preferably from other R1 universities and with administrative experience as a department chair, reviews the self-study, visits campus to interview department faculty, staff, and students, and provides its evaluation to the Provost. Four written reports – the department's or program's self-assessment, the report from external reviewers, a department's or program's response to the external report that includes an action plan, and the Dean's response to the action plan – document the review and the department's or program's response.

[Detailed information about AQAD review is available in Campus Procedures for Academic Quality and Assessment, 2017, available at https://www.umass.edu/oapa/sites/default/files/pdf/aqad/aqad_procedures-20171004.pdf]

3. Reorganization of Departments

a. Reorganizing a Department can take various forms, including merger of two or more departments into one, division of one department into two or more, or inserting or

removing a distinct academic program from a department's administrative purview. Renaming a department while all else remains the same is not a substantive reorganization. However a renaming is a sufficiently significant change that proposals to rename a department are also considered under the process for revising an academic program. This is particularly important when, as is usually the case, a department name change is occurring in conjunction with a degree program name change.

b. Reorganizing a department is also considered under the process for revising an academic program given in Section II.B.4. The precise process depends on the extent to which the reorganization will also involve changes to any of the academic programs offered by that department.

c. Proposals to reorganize a department do not require preliminary approval from the Board of Trustees or the Board of Higher Education, but do require approval at those levels after campus governance approval.

4. Termination of Departments

a. Termination of a Department occurs when all of the academic programs at the graduate and undergraduate levels, including certificates and minors, are terminated, or the administration of all of its programs is transferred to another department as part of a reorganization.

b. Termination of a Department or a Program for financial reasons is regarded as a last resort, with reduction in size as the preferred method of addressing anticipated persistent budget shortfalls.

G. PROGRAMS

1. Creation of Programs

a. The term "Program" is also used to refer to the institutional structure created for a group of faculty who administer an authorized degree program that operates as a distinct entity within a department or a college. Affiliated tenure system faculty have their tenure homes in departments, and program directors are chosen from among the tenured faculty affiliated with the program.

b. Proposals to create programs are considered through the same process and according to the same criteria as creation of a new department, as outlined in Section III.D.1.

2. Review of Programs

a. Programs also undergo periodic Academic Quality and Development (AQAD) review, as required by the UMass system-wide Performance Measurement System. The primary purposes of an AQAD review are to assess the core academic functions of teaching, learning, research/professional/creative activity, public service, and academic outreach on a regular basis. The campus administration has established procedures for

implementing AQADs consistent with the System-level guidelines adopted by the Board of Trustees in Trustee Doc. T98-033 (1998).

b. The AQAD process begins with a department self-study written to answer the AQAD review questions. A committee of at least two outside scholars in the discipline or interdisciplinary field, preferably from other R1 universities and with administrative experience as a department chair, reviews the self-study, visits campus to interview department faculty, staff, and students, and provides its evaluation to the Provost. Four written reports – the department's or program's self-assessment, the report from external reviewers, a department's or program's response to the external report that includes an action plan, and the Dean's response to the action plan – document the review and the department's or program's response.

[Detailed information about AQAD review is available in Campus Procedures for Academic Quality and Assessment, 2017, available at https://www.umass.edu/oapa/sites/default/files/pdf/aqad/aqad_procedures-20171004.pdf]

3. Reorganization of Programs

a. Reorganizing a Program can take various forms, including shift to department status, subsumption within a department, merger with a department while remaining a distinct organizational entity within that department, merger with one or more other programs, or division of an existing program into two or more programs. Renaming a program while all else remains the same is not a substantive reorganization. However a renaming is a sufficiently significant change that proposals to rename a department are also considered under the process for revising an academic program. This is particularly important when, as is usually the case, a department name change is occurring in conjunction with a degree program name change.

b. If reorganization of a program involved a shift to department status, that shift will be considered under the process for creating a new department specified in Section III.D.1 Other forms of reorganizing a program are considered under the process for revising an academic program given in Section II.B.4. The precise process depends on the extent to which the reorganization will also involve changes to any of the academic programs offered by that program.

c. Proposals to reorganize a program do not require preliminary approval from the Board of Trustees or the Board of Higher Education, but do require approval at those levels after campus governance approval.

4. Termination of Programs

a. A decision to terminate all of the degree programs administered by a group of faculty organized as a program entails termination of that organizational structure, as does transfer of all its degree programs to one or more departments or other programs.

b. Termination of a Program for financial reasons is regarded as a last resort, with reduction in size as the preferred method of addressing anticipated persistent budget shortfalls.

## I. SCHOOLS WITHIN A COLLEGE

1. Creation of Schools within a College

a. Proposals to create a School within a College need support from the Dean of College in which the School will be housed. Those considering the creation of a School within a College should also consult with the Provost's Office before initiating the formal process.

b. Proposals to form a School must include the following components:

i. The proposed name of the School and a list of the participating units.

ii. A rationale indicating the desirability of establishing a particular identity and its potential impact on recruitment of students or faculty, public relations, development, research, instruction, outreach, or other goals or activities of the participating unit(s). Precedents at other universities of comparable stature may also be noted.

iii. In the case of multi-unit Schools, a written agreement specifying how the Director will be selected and any cooperative relationships among the participating units.

iv. Evidence of support from the faculty of the participating unit(s) and any other major stakeholders.

v. Signature approval by the Dean of the College in which the School will be organized. If any of the participating Departments or Programs report to other Deans, the signatures of those Deans are required as well.

vi. Signature approval of the Heads or Chairs of all participating Academic Departments and the Directors of all participating Academic Programs.

c. Proposals to create a School within a College will be reviewed by the Academic Priorities Council and the Program and Budget Council before being submitted to the Faculty Senate.

## J. COLLEGES

1. Creation of Colleges

a. Proposals to create a new college are initiated by the Provost. They are reviewed by the Academic Matters, Academic Priorities, Graduate, Budget & Planning, and Research Councils before being taken up in the Faculty Senate.

b. Proposals to create a new college receive very careful consideration because of the large commitment of resources involved.

c. Proposals to create a new college should not be posted to the CCMS until the provost is satisfied that there is support for creation of the new college in the central administration and the departments that would be part of the new college, support or at least acceptance by any college that would lose departments or programs to the new college, and support from other areas of campus.

d. After approval by the Faculty Senate, proposals to create a new college must also be approved by the Board of Trustees.

2. Reorganization of Colleges

a. Reorganizing a college can involve either the merging two or more existing colleges into one, or transferring departments and/or programs between existing colleges.

b. Proposals to detach departments and/or programs from one or more existing colleges to form a new college are treated as proposals to create a new college, not as proposals to reorganize an existing one. When creation of the new college is approved, any reorganization of an existing college or colleges implied by creation of the new college takes effect simultaneously.

3. Termination of Colleges

a. When termination of a college is implied in proposed reorganizations, it takes effect as a consequence of the approved reorganization.

b. Termination of a College is also implied in termination of all the academic programs offered by departments or programs located within that college.

c. Termination of a College for financial reasons would occur only if all of the academic programs offered by departments and programs within it are terminated. As with departments and programs, reduction in size is the preferred method of addressing anticipated persistent budget shortfalls.

## IV. PROCEDURES RELATING TO POLICIES AND RECOMMENDATIONS

A. GENERAL INFORMATION

1. The term “policy” covers procedures and rules approved by the Faculty Senate relating to the administration of an academic program or activity, including the Academic Regulations and the Academic Grievance Policies, as these fall within the area of primary faculty responsibility.

2. The term “recommendations” covers suggestions formally adopted by the Faculty Senate that relate to matters within the primary responsibility of the administration. Examples include the Tobacco-Free Campus Policy and the recommendations of the Ad Hoc Committee on Organization of the Ombuds Office.

B. ADOPTION

1. Proposers with ideas for a new policy should consult with the Secretary of the Faculty Senate before submitting a proposal through the CCMS. In general, such proposals will be assigned for initial discussion to the Academic Matters Council and/or the Graduate Council depending on whether they relate to undergraduate programs, graduate programs, or both. They may be assigned in addition or instead to the General Education Council, the Commonwealth Honors College Council, or the University Writing Committee if they pertain specifically to the General Education, Honors, or Writing Program as the Faculty Senate Rules Committee determines.

2. Proposers of recommendations should consult with the Secretary of the Faculty Senate and the Chair of the Faculty Senate Council or Committee addressing the topic that would be covered by the recommendation. Proposals for recommendations are not submitted through the CCMS; Councils or Committees convey the text of any recommendation they wish the Faculty Senate to consider to it as a Special Report.

3. The policies and recommendations covered by this section address campus-level concerns, so are adopted when approved by the Faculty Senate.

C. REVISION

1. Proposers of revisions to policies or recommendations should present them to the Faculty Senate Council(s) or Committee that undertook initial examination of the policy or recommendation. The Faculty Senate Office will identify the relevant Councils or Committees on request.

2. Proposals for revision of a policy or recommendation are handled in the same way as initial proposals, being recommended by a Council or Committee and adopted by the Faculty Senate.

D. REPEAL

1. Proposers of repealing a policy or recommendation should present their proposal to repeal to the Faculty Senate Council(s) or Committee that undertook initial examination of the policy or recommendation. The Faculty Senate Office will identify the relevant Councils or Committees on request.

2. Proposals for repeal of a policy or recommendation are handled in the same way as initial proposals, being recommended by a Council or Committee and adopted by the Faculty Senate.

3. A policy or recommendation is also considered to have been repealed if superseded by a different policy or recommendation adopted later.