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MEMORANDUM

To: Donna E. Shalala, President
From: Richard L. Williamson 
Chair, Faculty Senate
Date: February 3, 2014
Subject: Faculty Senate Legislation #2013-26(B) – Approval of Establishment and Disestablishment Guidelines for Certificate Programs

The Faculty Senate, at its January 29, 2014 meeting, voted unanimously to approve the proposal to establish guidelines for new certificate programs at the University of Miami.

While the Faculty Senate has authority to regulate certificate programs, to date it has not exercised that power, pending formally established policies and procedures. Once this legislation is enacted, any newly created certificate program must follow the following approval guidelines. The exact wording of these guidelines was the consequence of collaborative efforts between the Senate Officers and the Provost.

Proposed Guidelines for Certificate Program Submissions

1. Any certificate program that is created within a school, and is restricted to undergraduate students of a certain major, or to students in a graduate or professional school degree program, does *not* require the approval of the Faculty Senate. The Faculty Senate will only require formal written notice.
2. Certificate programs intended for persons not enrolled in the University and that do not give credit, only require formal written notice to the Faculty Senate.
3. Certificate programs which give credit and allow enrollment by persons from outside the University, or by UM students from outside the undergraduate major or outside the graduate or professional school degree program, require the approval of the Faculty Senate.
4. Notwithstanding paragraph 1, if a majority of credits for the certificate program for undergraduate students are taken by distance learning, and the program gives students University of Miami credits, Faculty Senate approval is required. The provisions of this paragraph terminate on June 1, 2016, unless extended.
5. Any certificate programs already in existence at the time this legislation is passed will be considered de facto approved.

6. The Faculty Senate shall specify the information that must be contained in a required notice or request for approval. See the appropriate section of the submission guidelines.

This legislation is now forwarded to you for your action.

RLW/rh

Enclosure

cc: Thomas LeBlanc, Executive Vice President and Provost
William S. Green, Senior Vice Provost, Dean, Undergraduate Studies
Academic Deans

CAPSULE: Faculty Senate Legislation #2013-26(B) – Approval of Establishment and Disestablishment Guidelines for Certificate Programs

APPROVED:  DATE: 2/26/2014
(President's Signature)

OFFICE OR INDIVIDUAL TO IMPLEMENT: All Deans

EFFECTIVE DATE OF LEGISLATION: _____
(if other than June 1 next following)

NOT APPROVED AND REFERRED TO: _____

REMARKS (IF NOT APPROVED): _____

Proposal for Approval of Establishment and Disestablishment Guidelines for Certificate Programs

Purpose: If adopted, this proposal would establish approval guidelines for new certificate programs at the University of Miami.

Background: Pursuant to section A4.1 of the *Faculty Manual*, UNIVERSITY FACULTY have the authority to vote on curricular matters, including certificate programs within the University. Specifically, section A4.1 of the *Faculty Manual* states:

The UNIVERSITY FACULTY is authorized to enact regulations and to formulate rules for the immediate government of the University in such matters as curriculum, scholastic standards, graduation and honors, approval of candidates for earned degrees, and examination and testing programs. The UNIVERSITY FACULTY is authorized to share with the President in decisions regarding the future development of the University, including the institution of new schools, degrees, departments, curricula, and the like

While the Faculty Senate has authority to regulate certificate programs, to date it has not exercised that power, pending formally established policies and procedures. Once this legislation is enacted, any newly created certificate program must follow the following approval guidelines.

Proposed Guidelines for Certificate Program Submissions

1. Any certificate program that is created within a school, and is restricted to undergraduate students of a certain major, or to students in a graduate or professional school degree program, does *not* require the approval of the Faculty Senate. The Faculty Senate will only require formal written notice.
2. Certificate programs intended for persons not enrolled in the University and that do not give credit, only require formal written notice to the Faculty Senate.
3. Certificate programs, which give credit and allow enrollment by persons from outside the University, or by UM students from outside the undergraduate major or outside the graduate or professional school degree program, require the approval of the Faculty Senate.
4. Notwithstanding paragraph 1, if a majority of credits for the certificate program for undergraduate students are taken by distance learning, and the program gives students University of Miami credits, Faculty Senate approval is required. The provisions of this paragraph terminate on June 1, 2016, unless extended.
5. Any certificate programs already in existence at the time this legislation is passed will be considered de facto approved.

6. The Faculty Senate shall specify the information that must be contained in a required notice or request for approval. See the appropriate section of the submission guidelines.

Proposed Guidelines for Certificate Program Disestablishment

1. A brief memo explaining the reason for the abolition and the number, if any, of students currently enrolled in the Department, Program, or Certificate Program.
2. All applicable memoranda as outlined in [Section I](#) of the "GUIDELINES FOR SUBMISSION OF PROPOSALS REQUIRING FACULTY SENATE OFFICE NOTIFICATION AND/OR APPROVAL." See following:

I. Mandatory Memoranda for All Proposals

Each proposal submitted to the *Faculty Senate Office* must include the following memoranda (where applicable):

1. A memo from the department chair(s) signifying approval of the faculty of the appropriate department(s)
 - See [Notes 5¹ and 6²](#) for additional guidance
2. A memo from the dean(s) signifying approval of the faculty of the appropriate School(s)/College(s)
 - See [Notes 5 and 6](#) for additional guidance
3. A memo from the Graduate School Dean signifying approval of the Graduate Council (for graduate programs only)
4. A memo from the Office of Planning, Institutional Research, and Assessment (PIRA) signifying receipt of the proposal

The changes are noted in underline/strikeout format below.

BEGIN TEXT:

Faculty Senate Required Notification or Approval

Note: All of the topics listed below require Departmental and/or School approval. However, this list is not conclusive, and the Faculty Senate Office, [Graduate School](#), Office of Planning, Institutional Research, and Assessment ([PIRA](#)), Academic Deans Policy Council (ADPC), and Board of Trustees may require additional notification or approval, especially for matters affecting the entire University and infrequent actions. Additionally, some general considerations are as follows:

¹ 5. Although the Faculty Senate Office requires all proposals to be submitted with a memo from the department chair(s) signifying approval of the faculty of the appropriate department(s) and a memo from the dean(s) signifying approval of the faculty of the appropriate School(s)/College(s), this requirement is not meant to provide the relevant faculty with veto power over proposals. The Faculty Senate Office is simply seeking a letter expressing the relevant faculty's views on the proposals.

² 6. While not a literal requirement, the Senate strongly prefers to see letters of support from Deans, Department Chairs, or heads of other units that might be affected. This does not mean that other units have a veto over new units or programs. Nevertheless, avoiding pointless overlap and confusing unit and program names is a consistent Senate concern, which is largely alleviated by such support letters.

- many actions require a faculty vote prior to submission of a proposal to the Faculty Senate;
- a faculty vote is helpful, even on matters where it is not required; and
- it is also often helpful for schools and colleges to consult informally with the General Welfare Committee and/or Faculty Senate Officers prior to making a formal presentation.

	Faculty Senate Approval Required	Faculty Senate Notification Required ³	Contact Faculty Senate Office for Further Instructions
<u>Schools and Colleges</u>	<ul style="list-style-type: none"> • <u>Establish or dis-establish</u> • EDUCATOR FACULTY number: authorization or change within School/College⁴ • <u>Name change</u> 	<ul style="list-style-type: none"> • Appoint ad hoc committee for Schools/Colleges faculty promotion and/or tenure • Change general education requirements⁵ 	
<u>Departments and Programs</u>	<ul style="list-style-type: none"> • <u>Establish, re-establish, abolish, or combine</u> • <u>Transfer Department from one School/College to another School/College</u> • <u>Name change</u> 		
<u>Degrees, Majors and Minors</u>	<ul style="list-style-type: none"> • <u>Establish, re-establish, abolish, or combine degree</u> • <u>New major/minor</u> • <u>Joint/dual degree: establish with institution outside UM</u> • <u>Name change (degree only)</u> 	<ul style="list-style-type: none"> • New undergraduate course⁶ • Inactive status for major/minor 	<ul style="list-style-type: none"> • <u>New track for major/minor</u> • <u>Reactivate major/minor</u> • <u>Joint/dual degree⁷</u> • <u>Streamline two-degree programs (same or multiple Schools/Colleges)</u>
<u>Centers and Institutes</u>	<ul style="list-style-type: none"> • <u>Charter revision⁸</u> • <u>Name change</u> 		<ul style="list-style-type: none"> • <u>Establish⁹ or dis-establish</u>

³ See Section I, "Mandatory Memoranda for All Proposals," for required documents.

⁴ Prior to approval, it is recommended that: (i) the full voting faculty of the School/College ratifies the change and (ii) the School/College provides an explanation of any additional requirements for appointing EDUCATOR FACULTY with the title of professor, if applicable. Alternatively, the school council may ratify the change if an annual vote by the full voting faculty authorizes the School Council to do so.

⁵ At issue here are School-level requirements, not the University's General Education Requirements.

⁶ Notification is to the Faculty Senate's University Curriculum Committee.

⁷ The Faculty Senate Office will require a statement of what, if anything, has changed with the joint degrees.

⁸ This only applies to University-wide Centers/Institutes.

⁹ See *Faculty Manual*, sections B6.5, B.6.6 for provisional status for Centers/Institutes.

	Faculty Senate Approval Required	Faculty Senate Notification Required ³	Contact Faculty Senate Office for Further Instructions
Certificate Programs	<ul style="list-style-type: none"> • Establishment or disestablishment of programs for undergraduate students giving University credit and the majority of the credits are taken through distance learning.* • <u>Establishment or disestablishment of programs giving University credit, where enrollment is open to students outside the University, or students from outside the undergraduate or graduate/professional school degree program.</u> 	<ul style="list-style-type: none"> • <u>Establishment or disestablishment of programs within a school, restricted to students within a major, or students in a graduate/professional school degree program</u> • <u>Establishment or disestablishment of programs intended for persons not enrolled in the University, and do not give credit</u> 	

*Effective until June 1, 2016, unless extended.

**GUIDELINES FOR SUBMISSION OF PROPOSALS REQUIRING
 FACULTY SENATE OFFICE NOTIFICATION AND/OR APPROVAL**

I. Mandatory Memoranda for All Proposals

Each proposal submitted to the *Faculty Senate Office* must include the following memoranda (where applicable):

1. A memo from the department chair(s) signifying approval of the faculty of the appropriate department(s)
 - See [Notes 5 and 6](#) for additional guidance
2. A memo from the dean(s) signifying approval of the faculty of the appropriate School(s)/College(s)
 - See [Notes 5 and 6](#) for additional guidance
3. A memo from the Graduate School Dean signifying approval of the Graduate Council (for graduate programs only)
4. A memo from the Office of Planning, Institutional Research, and Assessment (PIRA) signifying receipt of the proposal

II. Additional Requirements for Degrees, Majors, Minors and Tracks

A. For submission of proposals for the establishment (or the re-establishment of previously suspended) of new Degrees, proponents need to provide to the *Faculty Senate Office*:

1. For Graduate Degrees and Certificate Programs, comply with the requirements contained in http://www.miami.edu/gs/index.php/graduate_school/graduate_council/.
2. A 2-3 page executive summary
3. A description of the mission (purpose and goals), market analysis/demand, an assessment of library collections and a detailed budget (Do not include individual names on the budget, only titles)
4. A memo from the dean(s) and/or Provost indicating approval of the proposed budget
5. All applicable memoranda as outlined in [Section I](#) of these Guidelines

B. For submission of proposals for the establishment (or the re-establishment of previously suspended) of Majors, Minors and Tracks, proponents need to provide to the *Faculty Senate Office*:

1. A memo explaining, at a minimum, the reason for the establishment or re-establishment, an assessment of the program's purpose and goals, and a description of the market analysis and demand in the job market for graduates in the field
 - See [Note 2](#) for additional guidance
2. All applicable memoranda as outlined in [Section I](#) of these Guidelines

C. For submission of proposals for the abolition of Graduate or Undergraduate Degrees, Majors, Minors or Tracks, proponents need to provide to the *Faculty Senate Office*:

1. A brief memo explaining the reason for the abolition and the number, if any, of students currently enrolled in the Degree, Major, Minor or Track
 - See [Note 9](#) for additional guidance
2. All applicable memoranda as outlined in [Section I](#) of these Guidelines

D. For submission of proposals for name changes of existing Graduate or Undergraduate Degrees, proponents need to provide to the *Faculty Senate Office*:

1. A brief memo explaining the reason for the change and the standard in the industry, and indicating that the new title is justified and does not result in undue overlap with titles of other existing degrees
2. All applicable memoranda as outlined in [Section I](#) of these Guidelines

- E. For submission of proposals for the combination of existing Graduate or Undergraduate Degrees within the same school or college, proponents need to provide to the *Faculty Senate Office*:**
1. A detailed memo explaining, at a minimum, the reason for the combination, and indicating that the title of the newly combined Degrees is justified and does not result in undue overlap with titles of other existing degrees
 - See [Note 10](#) for additional guidance
 2. A brief outline of budget implications, if any
 3. All applicable memoranda as outlined in [Section I](#) of these Guidelines
- F. For submission of proposals for the establishment of a Graduate or Undergraduate Joint Degree between two or more schools or colleges, proponents need to provide to the *Faculty Senate Office*:**
1. A 2-3 page executive summary
 2. A description of the mission (purpose and goals), market analysis/demand, an assessment of library collections and a detailed budget (Do not include individual names on the budget, only titles)
 - See [Note 10](#) for additional guidance
 3. A memo from the dean(s) and/or Provost indicating approval of the proposed budget
 4. All applicable memoranda as outlined in [Section I](#) of these Guidelines
- G. For submission of proposals for the establishment of a Graduate or Undergraduate Dual-Degree with an institution outside the University of Miami, proponents need to provide to the *Faculty Senate Office*:**
1. A 2-3 page executive summary
 2. A description of the mission (purpose and goals), market analysis/demand, an assessment of library collections and a detailed budget (Do not include individual names on the budget, only titles)
 3. A memo from the dean(s) and/or Provost indicating approval of the proposed budget
 4. A memo from the Provost or the President of the outside institution indicating support for the proposal
 5. All applicable memoranda as outlined in [Section I](#) of these Guidelines

III. Additional Requirements for Departments, Programs, and Certificate Programs

- A. For submission of proposals for the establishment or re-establishment (when previously suspended) of new Departments, Programs, and Certificate Programs, proponents need to provide to the *Faculty Senate Office*:**
1. A 2-3 page executive summary

2. A description of the mission (purpose and goals), market analysis/demand, an assessment of library collections and a detailed budget (Do not include individual names on the budget, only titles)
3. A memo from the dean(s) and/or Provost indicating approval of the proposed budget
4. For proposals pertaining to the establishment of a new department, a document specifying the makeup of the initial Consultative Committee for the appointment of a department chair (*Faculty Manual* section A13.2)
5. All applicable memoranda as outlined in [Section I](#) of these Guidelines

B. For submission of proposals for the abolition of Departments, Programs, and Certificate Programs, proponents need to provide to the *Faculty Senate Office*:

1. A brief memo explaining the reason for the abolition and the number, if any, of students currently enrolled in the Department, Program, or Certificate Program.
2. All applicable memoranda as outlined in [Section I](#) of these Guidelines

C. For submission of proposals for name changes of existing Departments, Programs, and Certificate Programs, proponents need to provide to the *Faculty Senate Office*:

1. A brief memo explaining, at a minimum, the reason for the change and the standard in the industry, and indicating that the new title is justified and does not result in undue overlap with titles of other existing departments or programs
2. All applicable memoranda as outlined in [Section I](#) of these Guidelines

D. For submission of proposals for the combination of existing Departments, Programs, or Certificate Programs, proponents need to provide to the *Faculty Senate Office*:

1. A detailed memo explaining, at a minimum, the reason for the combination, indicating that the title of the newly combined Department/Program is justified and does not result in undue overlap with titles of other existing departments or programs, and indicating compliance with all relevant provisions outlined in Section A11 of the *Faculty Manual*
2. All applicable memoranda as outlined in [Section I](#) of these Guidelines

E. For submission of proposals for the transfer of a Department from one School/College to another School/College, proponents need to provide to the *Faculty Senate Office*:

1. A detailed memo explaining, at a minimum, the reason for the transfer and indicating compliance with all relevant provisions outlined in Section A11 of the *Faculty Manual*
2. All applicable memoranda as outlined in [Section I](#) of these Guidelines

IV. Additional Requirements for Schools and Colleges

A. For submission of proposals for the establishment of new Schools and Colleges, proponents need to provide to the *Faculty Senate Office*:

1. A 2-3 page executive summary
2. A highly detailed description of the mission (purpose and goals), market analysis/demand, an assessment of library collections and a detailed budget (Do not include individual names on the budget, only titles)
3. A memo from the dean(s) and/or Provost indicating approval of the proposed budget
4. For proposals pertaining to the establishment of a new school, a document specifying the makeup of the initial School Council (*Faculty Manual* section A5.1)
5. All applicable memoranda as outlined in [Section I](#) of these Guidelines

B. For submission of proposals for the dis-establishment of Schools and Colleges, proponents need to provide to the *Faculty Senate Office*:

1. A memo explaining the reason for the dis-establishment and the number of students, if any, currently enrolled in the School or College
2. All applicable memoranda as outlined in [Section I](#) of these Guidelines

C. For submission of proposals for name changes of existing Schools and Colleges, proponents need to provide to the *Faculty Senate Office*:

1. A brief memo explaining, at a minimum, the reason for the change and the standard in the industry, and indicating that the new title is justified and does not result in undue overlap with titles of other existing Schools/Colleges
2. All applicable memoranda as outlined in [Section I](#) of these Guidelines

V. Additional Requirements for Centers and Institutes

For information on guidelines for Centers and Institutes, please see:

<https://umshare.miami.edu/web/wda/facultysenate/CentersInstitutesGuidelines.pdf>

VI. Approval Process

A. Senate approval process

1. Submission of the proposal to the General Welfare Committee. The proposal must be received in electronic form at *least 10 days* in advance of the relevant General Welfare Committee meeting. Visit www.miami.edu/fs or contact the Senate office at (305) 284-3721 for a list of meeting dates. The proponent

should assume that the General Welfare Committee has already reviewed the document, and thus present only a summary of the proposal.

2. Upon the recommendation of the General Welfare Committee, the proposal will be placed on the Senate agenda. A proponent should be present at the Faculty Senate meeting to answer questions and to present a summary of the proposal if requested. Visit www.miami.edu/fs or contact the Senate office at (305) 284-3721 for a list of meeting dates. The Senate may require two readings, but often waives the second reading.
3. Approval of the proposal by the Faculty Senate as Class B legislation will be forwarded to the President by the Faculty Senate Chair.

B. Required Approvals Beyond the *Faculty Senate Office*

1. Approval of the President
2. Approval of the Academic Affairs Committee and the Executive Committee of the Board of Trustees (for doctoral programs and new graduate degrees only)
3. Approval of the Academic Deans' Policy Council (for University Center and Institute charters only, see *Faculty Manual* Section B6.5)

C. Post-Approval Review

1. The Provost, after consultation with the Graduate School, shall report to the Senate on the status of new graduate programs within three years of their establishment (per Legislation #95012(D)).
2. Periodic five year reviews may be conducted on all other programs as required by the *Faculty Manual* or as deemed appropriate by the Faculty Senate or the Executive Vice President and Provost (see *Faculty Manual* section C18.2.3)

VII. Examples

To view previously approved proposals, see the following legislations:

1. Faculty Senate Legislation #2007-25(B) - Name Change of the Department of Orthopedics and Rehabilitation
<https://umshare.miami.edu/web/wda/facultysenate/2007-Legislation/2007-25B.pdf>
2. Faculty Senate Legislation #2006-04(B) - Major in Classics in the Department of Classics
<https://umshare.miami.edu/web/wda/facultysenate/2006-legislation/2006-04.pdf>
3. Faculty Senate Legislation #2008-25(B) - Establishment of a degree of Doctor of Philosophy (Ph.D.) in Environmental Science and Policy in the Graduate School
<https://umshare.miami.edu/web/wda/facultysenate/2008-legislation/2008-25B.pdf>
4. Faculty Senate Legislation #2007-31(B) - Proposal for the Establishment of the Department of Human Genetics
<https://umshare.miami.edu/web/wda/facultysenate/2007-Legislation/2007-31B.pdf>

VIII. Notes

1. These proposal guidelines are general and illustrative. They may vary depending on the particular type of proposal being submitted and additional information may be requested.
2. The amount of detail required for proposals will depend on the context. For example, more detail is required for a proposal for a new degree than for a major, and less yet is required for a new minor.
3. In addition to Faculty Senate action, some of these actions require the formal approval of the Graduate School Council, the Office of Planning, Institutional Research, and Assessment (PIRA), the Academic Deans Policy Council (ADPC), and/or the Board of Trustees.
4. It is often helpful to the Senate and the proposing unit if, at an early stage, informal consultations are held with the Faculty Senate Office. A pre-proposal discussion with the General Welfare Committee is also helpful, particularly if the proposal is complex or may involve some controversy.
5. Although the Faculty Senate Office requires all proposals to be submitted with a memo from the department chair(s) signifying approval of the faculty of the appropriate department(s) and a memo from the dean(s) signifying approval of the faculty of the appropriate School(s)/College(s), this requirement is not meant to provide the relevant faculty with veto power over proposals. The Faculty Senate Office is simply seeking a letter expressing the relevant faculty's views on the proposals.
6. While not a literal requirement, the Senate strongly prefers to see letters of support from Deans, Department Chairs, or heads of other units that might be affected. This does not mean that other units have a veto over new units or programs. Nevertheless, avoiding pointless overlap and confusing unit and program names is a consistent Senate concern, which is largely alleviated by such support letters.
7. When a proposal is a major one, it is often helpful, particularly for a presentation to the Senate itself, if the presenters are the Dean and the most directly involved faculty member.
8. If CVs are included in a proposal, please send these as a separate document.
9. A proposal to suspend a degree, major or minor, but not to abolish it, only requires written notice to the Faculty Senate Office.
10. A proposal to establish a Joint or Dual Degree that seeks to combine existing degrees without substantive change only requires written notice to the Faculty Senate Office. All other proposals for Joint or Dual Degrees (those that consist of substantive changes) must contain all applicable documentation as outlined in Section II.E-G of these Guidelines.