INTRODUCTION

Degree-granting institutions in New York State may designate the New York State Board of Regents and the Commissioner of Education as their nationally recognized accrediting agency for the purpose of establishing eligibility for student aid funds available under Title IV of the Higher Education Act of 1965, as amended. Institutions receiving such designation must meet the quality standards established by the Regents and the Commissioner of Education for voluntary institutional accreditation. Institutional adherence to these standards is periodically confirmed through a process of institutional self-study and subsequent peer review.

The Office of Higher Education, acting under the authority of the Regents and the Commissioner, has prepared this “Self-Study Guide” to assist institutions in undergoing a review for purposes of institutional accreditation. The self-study requires an examination of the entire institution and the contributions of its departments to the institution as a whole. The process is intended to help identify areas that need strengthening and suggest future actions as well to assure compliance with accreditation standards.

This guide includes:

- a description of the format for the self-study
- a summary data form
- statements of the applicable standards, "examples of compliance" and "suggested documentation"
- a list of materials commonly used in documentation of the self-study and in the subsequent on-site review (Appendix A)
- specific forms to be used in the self-study (Appendix B)

Because of the distinctiveness of each institution, it is important that the institutional representative coordinating the self-study maintain ongoing communication with the Department’s designated review coordinator during all phases of the self-study process.
An institution must assess itself in terms of all applicable sections of the standards for institutional accreditation. Under each standard, or grouping of standards, three responses are requested:

(1) **Data:** In this section, the institution provides current and accurate information describing its present status with regard to the standard cited. The statements of "examples of compliance" and "suggested documentation" are intended to assist the institution in its self assessment of compliance and to identify any areas needing changes, as well as to assist peer reviewers and decision-making bodies in reaching decisions on accreditation and renewal of accreditation. Documentation may vary in type and scope, depending on an institution’s mission and scope of instruction. The institution should consult with the review coordinator to clarify documentation appropriate to its circumstances. Documentation commonly required is cited in Appendices A and B of this self-study guide.

(2) **Analysis:** In this section, the institution provides a careful and thorough evaluation of its compliance with the standard cited and of the effectiveness of its policies and practices in the area addressed by the standard. It gives due recognition to both accomplishments and areas for improvement.

(3) **Plans:** In this section, the institution presents its plans to build on its strengths in the area addressed or to correct identified weaknesses or matters of non-compliance.
INSTITUTIONAL ACCREDITATION SELF-STUDY GUIDE

SUMMARY DATA

Name of Institution: ____________________________________________

Address of Main Campus: ________________________________________

President: _____________________________________________________

Contact Representative: _________________________________________

Address: ______________________________________________________

E-mail: ___________________ Telephone: ___________________ Fax: ___________________

Number of Branch Campuses: __________

*Attach list with address and enrollments.  See definition in section 4.2 (f) of the Rules of the Board of Regents.*

Number of Degrees Awarded by Level:
*(Preceding academic year July 1 - June 30)*

Associate ________ Baccalaureate _________ First-Professional _________

Master's _________ Master of Philosophy ___________ Doctoral ____________

Number of Faculty: Full-time ____________________ Part-time ______________
*(Most recent fall term)*

Total Enrollment:
*(Most recent fall term)*

Undergraduate: Full-time _______________ Part-time _________________
First-Professional: Full-time _______________ Part-time _________________
Graduate: Full-time _______________ Part-time _________________

First-Year Freshman Enrollment: Full-time _______________ Part-time _________________
*(Most recent fall term)*

Admissions: Completed applications: (a) First Year _______________ (b) Transfer _______________
Acceptances: (a) First Year _______________ (b) Transfer _______________
*(Most recent fall term undergraduate)*
Requests for financial aid transcripts (in preceding academic year, e.g., Sept. 1 - Aug 31)
(a) By other institutions (N) _________
(b) By this institution from other institutions (N) _________

Percents of institutional revenues from: (a) TAP _________ and (b) Pell _________ grant programs  *(Preceding academic year or other 12-month reporting period)*

First-Year Undergraduate Persistence: First term to second term (FT only)
Entering Cohort Number (N) ____ Continued Second Term ____ (N) Percent Continuing ______

Undergraduate Graduation Rate (in period 50 percent greater than normal program length)

Associate Degree (3 years):
Entering Cohort Year ____ Entering Cohort (N) ____ Graduates (N) ____ Rate (%)_________

Job Placement _________

Baccalaureate Degree (6 years):
Entering Cohort Year ____ Entering Cohort (N) ____ Graduates (N) ____ Rate (%)_________
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- Standards of Quality
- Examples of Compliance
- Suggested Documentation

**Standard:** Institutional mission (Regents Rules, §4-1.4(a))

The institution shall have a clear statement of purpose, mission, and goals that shall be reflected in the policies, practices, and outcomes of the institution. The statement of mission may include but need not be limited to: the academic purposes of the institution and the institution’s commitment to the social and economic context in which the institution operates; the relative roles of teaching, creation and preservation of knowledge, and service; the nature of constituents to be served; and the bases for setting priorities.

**Examples of Compliance:**

- Institutional mission and goals are clearly stated in the catalog and other publications.
- The mission statement does not conflict with the institution's charter or authorizations granted by the Regents.
- Institutional goals, objectives, policies, practices, and programs reflect and implement the mission.
- Components of the institution's educational program are consistent in defined objectives and content with stated institutional purpose, mission and goals.
- Members of the institutional community (trustees, administration, faculty, students) are knowledgeable about the institution's mission.
- Institutional and student outcomes are consistent with the institutional mission and goals.
- The institution has a plan and program to assess the effectiveness with which its units and services contribute to the consistent implementation of its mission and goals.

**Suggested Documentation:**

- Citations of pertinent statements in catalogs, other publications, and internal documents.
- Syllabi, examinations and other course materials.
- Surveys of members of the institution's community.
- Data on outcomes for students and the institution as a whole.
- Institutional effectiveness assessment plan and program.
- Reports of internal and external reviews of the institution.
- Minutes of trustees, administrative committees, and faculty committees.
- Institutional long-range master plan.
- Statement of mission.
- Statement of institution vision.
- Evidence of reappraisal of mission.
- Evidence that institutional budgets reflect the mission and goals.
Standard: Assessment of student achievement (Regents Rules, §4-1.4(b))

The institution shall prepare and implement a plan for the systematic assessment of its effectiveness in promoting the quality of student achievement and development. The assessment plan shall include but need not be limited to: graduation rates, retention rates and, as pertinent to institutional mission and programs, state licensing examination results and job placement rates. The plan may include other information important to the institution’s achievement of its mission, such as transfer rates and the subsequent educational success of its graduates. The institution shall provide to the department on request and in all applications for accreditation and renewal of accreditation, evidence of its implementation of the plan and its effects on the quality of student achievement in relation to its mission and goals.

Examples of Compliance:

- The institution has a comprehensive plan and program to assess its effectiveness in promoting the quality of student achievement and development on a scheduled, periodic basis and has implemented the plan.
- The institution’s plan to assess its effectiveness includes assessment of the outcomes of its educational programs and services and specifically includes student persistence and graduation rates, licensing examination results and job placement rates as applicable to the fields and programs of study, and the institutional policies and practices contributing (or not contributing) to these outcomes.

Suggested Documentation:

- Institutional effectiveness assessment plan and documentation of its implementation.
- Outcomes data on student persistence rate, graduation rate, job placement, and other outcomes including, if applicable, state professional licensing examination results.

The institution shall annually submit:

(i) timely and accurate statistical information as prescribed by the commissioner;
(ii) additional specified reports, including data related to persistence and graduation rates, state licensing examination results, job placement rates, and other evidence of the quality of student achievement;
(iii) record of compliance with its program responsibilities under HEA Title IV (including student default rate data, and the results of audits and program reviews);
(iv) record of student complaints and their outcomes; and
(v) other information pertaining to an institution’s compliance with the standards prescribed in this Part, as determined by the department.
Examples of Compliance:

- Annual reports are accurate, complete, and timely.

Suggested Documentation:
- Annual reports provided to the department.

Graduation rates

Associate degrees. If, in the judgement of the commissioner, there is a sufficient cohort of students, based on the most recent data submitted to the department, an institution awarding associate degrees that reports an associate degree completion rate more than five percentage points below the mean associate degree completion rate reported by all institutions in the state, according to the most recent information available to the department, shall prepare and submit a plan to improve student achievement as measured by graduation rates. Such plan shall include but need not be limited to: strategies and timelines to achieve a completion rate not lower than five percentage points below the mean. Such plan shall be submitted to, and subject to approval by, the commissioner.

Baccalaureate degrees. If, in the judgement of the commissioner, there is a sufficient cohort of students, based on the most recent data submitted to the department, an institution awarding baccalaureate degrees that reports a baccalaureate degree completion rate more than five percentage points below the mean baccalaureate degree completion rate reported by all institutions in the state, according to the most recent information available to the department, shall prepare and submit a plan to improve student achievement as measured by graduation rates. Such plan shall include but need not be limited to: strategies and timelines to achieve a completion rate not lower than five percentage points below the mean. Such plan shall be submitted to, and subject to approval by, the commissioner.

Job placement rates

Two-year colleges. If, in the judgement of the commissioner, there is a sufficient cohort of students, based on the most recent data submitted to the department, an institution whose mission includes the preparation of students for employment and that offers no programs beyond the associate degree that reports job placement rates, including placement in civilian and military occupations, more than five percentage points below the mean reported by all institutions in the state offering programs no higher than the associate degree level, according to the most recent information available to the department, shall prepare and submit a plan to improve student achievement as measured by job placement rates. Such plan shall include but need not be limited to: strategies and timelines to achieve a job placement rate not lower than five percentage points below the mean. Such plan shall be submitted to, and subject to approval by, the commissioner.

Four-year colleges. If, in the judgement of the commissioner, there is a sufficient cohort of students, based on the most recent data submitted to the department,
an institution whose mission includes the preparation of students for employment and that offers programs at and above the baccalaureate degree that reports job placement rates, including civilian and military occupations, below 80 percent, shall prepare and submit a plan to improve student achievement as measured by job placement rates. Such plan shall include but need not be limited to: strategies and timelines to achieve at least an 80 percent job placement rate. Such plan shall be submitted to, and subject to approval by, the commissioner.

Graduate-only institutions. If, in the judgement of the commissioner, there is a sufficient cohort of students, based on the most recent data submitted to the department, an institution whose mission includes the preparation of students for employment and that offers no programs below the master’s degree that reports job placement rates, including civilian and military occupations, below 80 percent, shall prepare and submit a plan to improve student achievement as measured by job placement rates. Such plan shall include but need not be limited to: strategies and timelines to achieve at least an 80 percent job placement rate. Such plan shall be submitted to, and subject to approval by, the commissioner.

Examples of Compliance:

- Provision of a satisfactory plan to address any shortfalls in the designated performance measures.

Suggested Documentation:

- Written plan, with timelines, to come into compliance with the performance standards.

Standards: Programs of Study (Regents Rules, §4-1.4(c))

Integrity of credit

(i) Each course offered for credit by an institution shall be part of a general education requirement, a major requirement, or an elective in a program of study leading to a degree or certificate.

(ii) Credit toward an undergraduate degree shall be earned only for college-level work. Credit toward a graduate degree shall be earned only through work designed expressly for graduate students. Enrollment of secondary school students in undergraduate courses, of undergraduates in graduate courses, and of graduate students in undergraduate courses shall be strictly controlled by the institution.

(iii) Learning objectives for each course shall be of a level and rigor that warrant acceptance in transfer by other institutions of higher education.

(iv) The institution shall assure that credit is granted only to students who have achieved the stated objectives of each credit-bearing learning activity.

Examples of Compliance:

- Remedial course work is not credit bearing.
- Coursework for undergraduate credit is college level.
- Course enrollment is strictly controlled by the institution according to level; appropriate prerequisite knowledge is required.
- Credit is granted only for courses that count toward some degree offered by the institution, at least as an elective.
- Credit is granted only for achievement of objectives of all credit-bearing activities; grades and credit are commensurate with demonstrated student attainment of course objectives.
- The length of instructional time and hours of supplementary assignments meet the requirements set forth in §4-1.2(s).
- Registrar audits of program progress and completion are consistent with published requirements for curricula and degrees completion.

Suggested Documentation:

- Instructional policy statement and internal guidelines on expectations of effort and level.
- Catalog descriptions of curricula and courses and their prerequisites.
- Comprehensive list of all courses scheduled for a term.
- Written institutional policies regarding enrollment in courses (by level or place in the curriculum).
- Course materials, including general syllabi, instructor course outlines, exam questions, graded student papers, as indicated by review coordinator. (See Appendix A, #13.)
- Recent self-assessments or external assessments of programs, departments, and general education, as available and as indicated by review coordinator.
- Transcripts, registrar's audits on program progress; degree and program templates for advisors.
- Feedback from students, alumni, employers on attainment of course objectives and needed general skills and knowledge.
- Completed Course Assessment Forms, as indicated by review coordinator.

Program of study goals and objectives

(i) The goals and the objectives of each program of study and the competencies expected of students completing the program shall be clearly defined in writing.

(ii) Each program of study shall show evidence of careful planning. The content and duration of programs of study shall be designed to implement their purposes.

(iii) Course syllabi shall clearly state the subject matter, the learning objectives, and requirements of each course and shall be provided to the students in the course.

Examples of Compliance:

- The curriculum design is coherent, implements the philosophy and purposes of the program, and is aligned with the educational objectives of the program.
• Learning experiences and methods of instruction are consistent with the purposes and objectives of the program.
• Curriculum content proceeds from introductory level to advanced in logical sequence with appropriate breadth, depth, and currency.
• Course outlines/syllabi are clear and comprehensive and include: course objectives; prerequisites; credits allocated; course content and assignments; testing methods; method of assessing student achievement; basis of grade; and bibliographic and other resources related to course; and other course policies.
• There is a record of ongoing and formal periodic review of curricular design, content, and effectiveness in implementing stated purposes, consistent with institutional mission and objectives.

Suggested Documentation:

- Descriptions of curricular objectives and requirements in the catalog and other printed materials, and on-line.
- Feedback from faculty and students regarding the effectiveness of curricula in implementing their purposes and meeting defined objectives.
- Course materials, including syllabi, examinations, and graded student papers, as indicated by review coordinator. (See Appendix A, #13.)
- Course evaluations by students and peer reviewers.
- Recent formal program evaluations, including assessment by internal committees and by external peer reviewers and/or constituencies.

Assessment of success in achieving the goals and objectives

There shall be a written plan to assess, no less than every five years, the effectiveness of faculty and students in achieving goals and objectives and to promote improvement. Such assessment shall include systematic collection, review and use of quantitative and qualitative information about programs of study, including information that directly addresses learning outcomes, and shall document actions taken to improve student learning and development.

Examples of Compliance:

• Existence of the required plan.

Suggested Documentation:

- Provision of the assessment plan.

Program length, credit, and other requirements for degrees

For each program of study, the institution shall assure that courses will be offered with sufficient frequency to enable students to complete the program within the minimum time for degree completion for each degree level identified in this paragraph.
(i) **Associate degree programs** shall normally be capable of completion in two academic years of full-time study, or their equivalent in part-time study, with an accumulation of not less than 60 semester hours.

(ii) **Baccalaureate degree programs** shall normally be capable of completion in four academic years of full-time study, or, in the case of five-year programs, five academic years of full-time study, or their equivalent in part-time study, with an accumulation of not less than 120 semester hours.

(iii) **Master's degree programs** shall normally require a minimum of one academic year of full-time graduate level study, or its equivalent in part-time study, with an accumulation of not less than 30 semester hours. Research or a comparable occupational or professional experience shall be a component of each master’s degree program. The requirements for a master's degree shall normally include at least one of the following: passing a comprehensive test, writing a thesis based on independent research or completing an appropriate special project.

(iv) **The master of philosophy degree** shall require completion of all requirements for the degree of doctor of philosophy except the dissertation, and shall require that the student have been admitted to candidacy in a doctor of philosophy curriculum offered by the institution conferring the master of philosophy degree.

(v) **Doctoral programs** shall require a minimum of three academic years of full-time graduate level study after the baccalaureate degree, or their equivalent in part-time study. Doctoral studies shall include the production of a substantial report on original research, the independent investigation of a topic of significance to the field of study, the production of an appropriate creative work, or the verified development of advanced professional skills.

**Examples of Compliance:**

- Courses are offered with sufficient frequency to allow full-time students to complete the program within the minimum time frames set forth in these standards.
- The length of time for part-time students is reasonable, with suggested limits for program completion.
- Associate degree curricula include a minimum of 60 semester hours.
- Associate degree curricula normally require a minimum of two years of full-time study or the equivalent in part-time study.
- Baccalaureate degree curricula include a minimum of 120 semester hours.
- Baccalaureate degree curricula normally require a minimum of four years of full-time study or the equivalent in part-time study.
- Master's degree curricula include a minimum of 30 semester hours.
- Master's degree curricula normally require a thesis, based on independent research, a culminating project, a comprehensive examination, or some combination of same.
- Master of Philosophy curricula include all the requirements for a doctor of philosophy except the dissertation.
- The M. Phil. requires that the student has been admitted to candidacy in a Ph.D. program.
Doctoral programs include a minimum of three years of full-time graduate study or the equivalent in part-time study.

Doctoral studies include a dissertation based on original research a comparable significant creative work, or the verified development of advanced professional skills.

**Suggested Documentation:**

- Catalog descriptions of all courses citing frequency of offering; catalog includes model schedules.
- Institution's analysis for the previous two years confirming the offering of courses with sufficient frequency for timely degree completion.
- Institution's analysis of its use of course substitutions and independent study as an alternative to offering of courses.
- Records of registrar's degree audits of students; student transcripts.
- For a master's degree program that does not require a thesis, a culminating project, a comprehensive examination, or some combination of the same, evidence that the program was registered with such a characteristic.
- Masters and doctoral theses or equivalent papers; comprehensive examinations for graduate degrees.
- Record of institution's reviews of graduate theses or the equivalent, and comprehensive examinations for sufficiency of depth, breadth, and quality of analysis.

**Standards: Faculty** (Regents Rules, §4-1.4(d))

**Competence and credentials**

(i) In support of the mission of the institution, all members of the faculty shall have demonstrated by training, earned degrees, scholarship, experience, and by classroom performance or other evidence of teaching potential, their competence to offer the courses and discharge the other academic responsibilities which are assigned to them.

(ii) Faculty members who teach in a program leading to a certificate or undergraduate degree shall hold at least a master's degree in the field in which they teach or a related field, or shall be actively pursuing graduate study in such field or related field, or shall have demonstrated, in other widely recognized ways, such as completion of relevant education, training and/or experience, their competence in the field in which they teach. Upon request, institutions shall provide documentation to the commissioner confirming that faculty members who do not hold such master's degree or are not pursuing such graduate study have demonstrated competence in the field in which they teach.

(iii) At least one faculty member teaching in each program of study culminating in a baccalaureate degree shall hold an earned doctorate in an appropriate field, unless the commissioner deems that the program is in a field of study in which other standards are appropriate.
All faculty members who teach within a program of study leading to a graduate degree shall possess earned doctorates or other terminal degrees in the field in which they are teaching or shall have demonstrated, in other widely recognized ways, their special competence in the field in which they direct graduate students. Upon request, institutions shall provide documentation to the commissioner confirming that the faculty members who do not hold such doctorate or terminal degrees have demonstrated special competence in the field in which they direct students.

Examples of Compliance:

- Faculty have the documented expertise, including the advanced study and licensure appropriate to the field, to teach each course to which they are assigned and conduct other faculty responsibilities set forth in this Section.
- Faculty members teaching at the certificate, associate degree, and baccalaureate degree levels hold at least a master's degree in an appropriate field or are actively pursuing graduate study and have the necessary background for in-depth teaching, curriculum development, and program evaluation responsibilities. A minimum of one faculty member teaching in each curriculum at the baccalaureate level holds an earned doctorate.
- Faculty members teaching at the graduate level hold earned doctorates or other terminal degrees in their specialty areas. Any faculty members teaching at the graduate level who do not hold an earned doctorate or other terminal degree have significant, widely recognized special competence in the field in which they teach graduate students as demonstrated by such means as publication record.
- The faculty have college teaching and administrative experience appropriate to their assignments.

Suggested Documentation:

- Faculty transcripts/resumes; record of professional activity; record of service at the institution, as included in faculty folders and other documents.
- Completed faculty information forms and forms on expected advanced training for particular courses, as indicated by review coordinator. (See Appendix B.)
- Completed Faculty Profile Form. (See Appendix B.)
- Faculty handbook, employment agreements and contracts, and other documents with criteria for employment, retention, promotion and tenure; evaluation process and standards, and professional development expectations and support.
- Advertisements for faculty positions.
- Minutes of trustee meetings and administrative and faculty committee meetings related to staffing, curriculum and academic standards.
- Course materials, including syllabi and graded student work.
- Course evaluations by students and peers.
- Institutional self-assessments of the educational program and its components, and their outcomes on staffing.

Adequacy to support programs and services

(i) The faculty shall be sufficient in number to assure breadth and depth of instruction and the proper discharge of all other faculty responsibilities.
(ii) To foster and maintain continuity and stability in academic programs and policies, there shall be in the institution a sufficient number of faculty members who serve full-time at the institution.
(iii) For each program of study the institution shall designate a body of faculty who, with the academic officers of the institution, shall be responsible for setting curricular objectives, for determining the means by which achievement of objectives is measured, for evaluating the achievement of curricular objectives, and for providing academic advice to students.
(iv) The ratio of faculty to students in each course shall be sufficient to assure effective instruction.

Examples of Compliance:

- The faculty clearly are responsible for the development, implementation, and evaluation of curricular design, for ongoing quality assurance, and advising.
- The number of full- and part-time faculty members is sufficient to assure the consistent attainment of institutional and program objectives with respect to breadth and depth of instruction, timely offering of all courses needed to complete each program, and effective conduct of other academic responsibilities.
- There is a sufficient and appropriate number of ongoing full-time faculty members to assure continuity of leadership and stability in all academic programs, including the development, implementation and evaluation of curricular design, ongoing quality assurance, and advising in all program areas. Any exception to the maintenance of a well-qualified core of ongoing full-time faculty in each program area is thoroughly documented in terms of high qualitative learning outcomes for students as well as the unique nature of the field.
- Class size and the methods of instruction are consistently conducive to effective learning. The size of each class is such as to assure prompt, continual, and substantive feedback on student performance during the course and to assure ongoing faculty accessibility to students in the course. Class size is such that the instructor, or a well qualified member of the instructional team for the course, has a good working knowledge of each student’s strengths and weaknesses in the course and interacts with the student to strengthen performance. Remedial classes have enrollments consistent with intensive, individualized teaching; they are consistently less than 20.
- Course evaluations by students and peers assess whether class size and methods of instruction are conducive to effective learning.
Suggested Documentation:

- Printouts of courses offered, with class sizes; summary data on class sizes.
- Completed Faculty Profile Form. (See Appendix B.)
- Course grade sheets, as indicated by review coordinator.
- Faculty Information Forms, as indicated by review coordinator. (See Appendix B.)
- Expected Faculty Expertise Forms, as indicated by review coordinator. (See Appendix B.)
- Syllabi, examinations, graded student papers, and other course materials as indicated by review coordinator. (See Appendix A, #13.)
- Continuity of Faculty Form. (See Appendix B.)
- Observations in institutional self-studies of programs and of institutional functioning, and their outcomes.
- Feedback from students, faculty, graduates and others on instructional effectiveness and outcomes.
- Student and peer evaluations of instructors and courses.
- Composition of committees, including academic standards, curriculum, and tenure and promotion.
- Minutes of faculty committees.
- Faculty handbook and other documents addressing (a) academic governance and (b) expectations in teaching.
- Institutional self-studies of optimum class size for effective teaching and the core of full-time faculty needed to assure continuity and stability in programs and policies.
- Data on student/faculty ratios and class size.
- Data on proportion of instruction by full-time faculty.
- Institutional definition of full-time employment for faculty members.

Evaluation and professional responsibilities

(i) The teaching and research of each faculty member, in accordance with the faculty member’s responsibilities, shall be evaluated periodically by the institution. Members of the instructional staff new to the institution shall receive special supervision during the initial period of appointment.

(ii) The institution shall ensure that each member of the faculty is allowed adequate time, in accordance with the faculty member’s responsibilities, to broaden professional knowledge, prepare course materials, advise students, direct independent study and research, supervise teaching, participate in institutional governance and carry out other academic responsibilities appropriate to his or her position, in addition to performing assigned teaching and administrative duties.

Examples of Compliance:
Institutional policy provides for evaluation of faculty members according to an established schedule and procedure; faculty folders reflect adherence to stated policy.

Orientation and supervision of inexperienced faculty members are carried on during the initial period of appointment; other faculty are evaluated periodically with respect to their teaching and other responsibilities.

The institution has written policies regarding release time and other support for faculty members pursuing activities which contribute to their professional knowledge and implements them consistently and evenhandedly.

Faculty workloads are consistent with the skill levels of students and their needs for instructional support, feedback and individual mentoring.

Faculty workloads permit sufficient time for participation in academic governance, advising, professional development and other designated responsibilities.

Faculty workloads provide sufficient time for course preparations and for frequent and careful assessments of students’ progress, including the development of writing and analytical skills.

Assignment of maximum faculty teaching loads is consistent with the assessed quality of teaching and with high qualitative learning outcomes for students. Total teaching loads, including overload assignments, take into account the effect of class size and total student load on quality of instruction. Normally, full-time faculty have a teaching load of no more than three separate course preparations.

Suggested Documentation:

- Written institution policies in faculty handbook, individual or collective contracts or agreements, and other documents, including descriptions of formal systems of faculty evaluation, orientation and supervision of inexperienced faculty, and faculty workloads.
- Materials in faculty folders on evaluation of teaching and other responsibilities.
- Description of advising responsibilities and workloads of faculty and staff, description of basis for assigning advisees.
- Record of faculty development and other professional activities.
- Internal assessments of faculty workload in relation to the quality of student achievement and development.
- Completed Faculty Information Forms and Statements of Expected Expertise, as indicated by review coordinator. (See Appendix B.)
- Any institutional self-studies on teaching effectiveness.
- Syllabus, examinations, graded student papers and other course materials as indicated by review coordinator. (See Appendix A, #13.)

Standards: Resources (Regents Rules, §4-1.4(e))
Facilities, equipment, and supplies

(i) The institution shall provide classrooms, administrative and faculty offices, auditoria, laboratories, libraries, audio-visual and computer facilities, clinical facilities, studios, practice rooms, and other instructional resources sufficient in number, design, condition, and accessibility to support its mission, goals, instruction, programs, and all other educational activities.

(ii) The institution shall provide equipment sufficient in quantity and quality to support administration, instruction, research, and student performance.

Examples of Compliance:

- Facilities include an adequate number of well-equipped class, conference, and multimedia/computer rooms, and laboratories, as appropriate to the curricula offered.
- Adequate maintenance and repair of equipment and supplies.
- Adequate faculty office space for meetings with students and course preparations.
- Adequate space and equipment for academic support services and administrative services.
- Compliance with the New York State Uniform Fire Code, or with a local fire code that supersedes it, with applicable local health and sanitation codes, and other licensing requirements.
- Provision of computers and other teaching aids sufficient in number, kind, and condition to meet institutional and course objectives.
- Adequate provision for accessibility by all students.

Suggested Documentation:

- Summary data on classrooms, laboratories, academic support services, faculty, administrative services, and other spaces, and equipment related to the educational program. The institution may relate its facilities to the Regents Planning Standards for Higher Education Facilities, as appropriate.
- Summary of provisions for accessibility for students; reports on compliance.
- Summary data on computing and other equipment for the educational program and plans for upgrades.
- Maintenance agreements or budget allocations for maintenance and repair of classroom and laboratory equipment.
- Written agreements for provision of facilities or services by other organizations and to other organizations.
- Certificates of occupancy, code, fire, safety, and health compliance, as applicable.

Library and information resources

(i) The institution shall provide libraries that possess, maintain, and provide access to print and non-print collections and technology sufficient in depth
and breadth to support the mission of the institution and each program of study.

(ii) Libraries shall be administered by professionally trained staff supported by sufficient personnel. Library services and resources shall be available for student and faculty use with sufficient regularity and at appropriate hours and shall support the mission of the institution and its programs of study.

(iii) The institution shall ensure that all students receive instruction in information literacy.

Examples of Compliance:

- The library collection contains print materials, including monographs and serials, and non-print media adequate in breadth and depth to support the institution's mission and curricula, in addition to full-text data bases.
- Professional library staff have master's degrees from accredited library schools.
- Faculty and students have ready access to the circulation, reference, and reserve collections.
- Professional and support staff are sufficient in number to provide instruction and other services to students and to engage in collection development.
- Library services such as orientation, computer search, and duplicating equipment are available to faculty and students.
- Library seating capacity and hours are adequate to meet the needs of students and faculty.
- If the institution operates a virtual library, these resources complement rather than supplant an on-site collection.
- Students consistently attain information literacy skills through their use of library resources.

Suggested Documentation:

- Statement of library hours for student use.
- Statement of collection development plan and underlying budgeting.
- Summary of library holdings and resources by major program area; list of acquisitions in the last year by program area.
- Summary of materials placed on reserve for courses in the fall term of the academic year of the site visit.
- Resumes of full- and part-time professional staff; summary of staffing during hours of operation.
- Summary of seating capacity and computers for student use.
- Summary of access to databases and other information available through library computers.
- Any written agreements or contracts for sharing information resources with other library organizations or networks.
- Summary of instruction in information accessing and library use skills in the term preceding the accreditation site visit; provision of instructional materials.
- Course materials documenting training in information literacy.
- Analysis of library holdings of materials cited under bibliographic resources in course syllabi.
- Evidence of support for the institution's mission in the library's holdings and services.

**Fiscal capacity**

The institution shall possess the financial resources necessary for the consistent and successful accomplishment of its mission and objectives at the institutional, program and course levels.

**Examples of Compliance:**

- The institution demonstrates an acceptable score on the Federal Test of Financial Responsibility and meets all other federal criteria for determining if the institution may participate in the Title IV student aid programs.
- The institution's certified audits and other data indicate ongoing capacity to carry out its educational mission effectively and in compliance with these accreditation standards.
- The institution demonstrates adequacy in enrollment, operating results, and balance sheet results, as measured by a set of thirteen ratios common to the higher education enterprise.

**Suggested Documentation:**

- Institutional budget for the current year; monthly cash flow for the 12 months preceding provision of the self-study.
- Certified financial audits for the three most recent fiscal years.
- Documentation of expenditures supporting the institution's mission, goals, and objectives.

**Standards: Administration** (Regents Rules, §4-1.4(f))

**Responsibilities**

(i) Responsibility for the administration of institutional policies and programs shall be clearly established.

(ii) Within the authority of its governing entity, the institution shall provide that overall educational policy and its implementation are the responsibility of the institution's faculty and academic officers. Other appropriate segments of the institutional community may share in this responsibility in accordance with the norms developed by each institution.

(iii) Academic policies applicable to each course, including learning objectives and methods of assessing student achievement, shall be made explicit by the instructor at the beginning of each term.

(iv) The institution shall provide academic advice to students through faculty or appropriately qualified persons. The institution shall assure that students are informed at stated intervals of their progress and remaining obligations in the completion of the program.
The institution shall maintain for each student a permanent, complete, accurate, and up-to-date transcript of student achievement at the institution. This document will be the official cumulative record of the student's achievement. Copies shall be made available at the student's request, in accordance with the institution's stated policies, or to agencies or individuals authorized by law to review such records.

The institution shall not be in violation of State and/or Federal statute, where such violation demonstrates incompetence and/or fraud in the management of the institution in the judgement of the commissioner.

Examples of Compliance:

- Responsibilities for all institutional functions and services are clearly established and known to all affected constituencies through publication and timely notice.
- Communication channels are clearly established and follow established organizational structure in educational governance and administrative services; communication is open.
- Institutional organization and services, and the institution's program for assessing institutional functioning, are effectively focused on maximizing the quality of student achievement and development.
- Faculty and academic officers are actively engaged in and responsible for the setting of curricular and academic standards.
- Students, advisory committee members, and other representatives of the college community have an opportunity to share in the responsibility of educational governance.
- Academic policies are made explicit by instructors at the beginning of each course.
- A course outline has been developed for each course that includes learning objectives; prerequisites; credits allocated; methods of instruction; course content and assignments; means of assessing student achievement; basis of grades; bibliographic and other resources related to course; and other course policies.
- Students are formally informed of their progress, including all grades and cumulative grade point average, throughout each term.
- Faculty and other staff with advisement responsibilities are regularly and conveniently available to students for academic and career planning advisement.
- Copies of cumulative transcripts and assessments of remaining academic requirements and other obligations are available to students on request.
- Transcripts are kept current and accurately reflect student achievement; they include a key to the meaning of symbols, abbreviations, calculations; there are satisfactory provisions for security.
- The institution has and adheres to procedures and criteria for entries on and changes to academic transcripts.
- Courses taken at other colleges and accepted for credit are included on the transcript.
- Transcripts clearly differentiate between credit and non-credit courses.
Transcripts include term and cumulative grade point averages.

Policies on recording of grades, including those for repeated courses, changes in grades, and other aspects of recording and calculating student attainment adhere to sound, widely accepted professional practices.

Suggested Documentation:

- For Regents-chartered institutions, and as available for proprietary institutions, by-laws of the board of trustees and minutes of their meetings.
- Organizational charts of the institution's structure; description of responsibilities of senior staff; description of responsibilities of committees responsible for assuring institutional effectiveness.
- Written policies concerning curriculum development, evaluation, and revision.
- Minutes of faculty and administrative committees responsible for academic governance.
- Sample transcripts, advisement worksheets, and degree audit worksheets as indicated by review coordinator.
- Compendium or handbook of policies relating to student records, including recording of student progress and records retention.
- Institutional effectiveness assessment plan or its equivalent.
- Self-assessments of academic programs or administrative services in the last three years, and their outcomes.
- Description of the institution’s resource allocation process and criteria.
- Course syllabi, as indicated by review coordinator.

Published policies

The institution shall establish, publish and enforce explicit policies with respect to:

(i) academic freedom;
(ii) the rights and privileges of full-time and part-time faculty and other staff members, working conditions, opportunity for professional development, workload, appointment and reappointment, affirmative action, evaluation of teaching and research, termination of appointment, redress of grievances and faculty responsibility to the institution; and
(iii) requirements for admission of students to the institution and to specific programs of study, requirements for residence, graduation, awarding of credit, degrees or other credentials, grading, standards of progress, payment of fees of any nature, refunds, withdrawals, standards of conduct, disciplinary measures and redress of grievances.

Examples of Compliance:

- Clear and reasonable policies are published and in effect for each of the above items; policies are consistent with applicable governmental requirements; policies meet widely accepted professional expectations of “even-handedness” and “fairness.”
Suggested Documentation:

- Catalogs and brochures, student handbook, faculty handbook, contracts and other pertinent publications; reference to pertinent publications and pages for each item.
- Record of complaints and their resolutions.

**Standard: Support services** (Regents Rules, §4-1.4(g))

(1) The institution shall assure that whenever and wherever the institution offers courses as part of a curriculum it shall provide adequate support services, taking into account its mission and the needs of its students.

(2) Institutions that admit students with academic deficiencies shall provide sufficient supplemental academic services to enable them to make satisfactory progress toward program completion.

Examples of Compliance:

- The institution adequately assesses the skill levels of all entering degree students and addresses any needs for the development of college-level skills, including the areas of writing, literacy, computing, time management, and analytical thinking, that are consistent with the institution's educational mission.
- The institution provides the academic and other support services, including but not limited to tutoring and personal and career counseling, that students may need to succeed in the programs to which they have been admitted.
- The institution provides adequate advising and program planning services to support its academic programs.
- The institution has procedures to assess the effectiveness of its support services in meeting students’ needs.
- If the institution admits English language learners, it provides adequate instruction in English as a Second Language (ESL) to enable such students to undertake college level study in English.
- The institution provides physical resources commensurate with the scope and fields of instruction and learning needs of the students.

Suggested Documentation:

- Samples of any tests or other diagnostic tools used for student assessment, together with the meaning of scores, and the resulting placements and/or other outcomes in accordance with test results.
- Citation of written policies and procedures regarding academic advising, placement, and other student support services; a summary of staffing for these services; a summary record of services provided in the academic year preceding the review visit.
- If childcare is operated by the institution, record of its licensure.
- Assessment of services provided to a sample of 15-30 “at risk” students, as indicated by review coordinator.
- Descriptions of special strategies and programs to strengthen student persistence, and their outcomes.

**Standards: Admissions** (Regents Rules, §4-1.4(h))

1. The admission of students shall be determined through an orderly process using published criteria consistent with the institution’s mission that shall be uniformly applied.

2. Admissions shall take into account both the capacity of the student to undertake a course of study and the capacity of the institution to provide the instructional and other support the student needs to complete the program.

3. Among other considerations and consistent with its mission, the institution shall take measures to increase enrollment in academic programs at all degree levels by persons from groups historically underrepresented in such programs.

4. An institution shall not refuse a student’s request for transfer of credit based solely upon the source of accreditation of the sending institution, where the sending institution is institutionally accredited for Title IV purposes by an accrediting agency recognized by the U.S. Secretary of Education for such purposes.

**Examples of Compliance:**

- Admissions criteria are fully and accurately described in the catalog and other admissions literature.
- The institution adheres to published admission criteria and policies for admitting only those students capable of completing the course of study to which they apply, given the instructional and other support it provides.
- The institution effectively places all admitted students in courses and services consistent with their assessed skill and knowledge.
- The institution identifies groups historically underrepresented in college programs and encourages the enrollment of students from those groups.
- The institution identifies any special educational needs of students, including students with disabilities, and makes appropriate provisions for meeting those needs.
- Availability of documentation that remediation, other college skills, and developmental programs are effective.
- Social, psychological, health, financial, and academic counseling services are available to students and are effective.

**Suggested Documentation:**

- Data on number of applications, acceptances, and students enrolled for the most recent academic years together with demographic and academic profile of admitted students for the most recent fall term including such demographic elements as age, gender, racial/ethnic distribution, and geographic origin of students and such academic
elements as grade point averages and admission test scores, as pertinent.  
- Admissions criteria as published in catalog; supplemental written materials describing assessment standards and policies.  
- Written advanced placement policies and challenge opportunities.  
- Written guidelines on providing academic assistance to students in need of remediation; documentation of practice.  
- Sample of admission files, as indicated by review coordinator.  
- Data, including institutional self-studies, on the success/failure of students who have completed remedial coursework.  
- Catalog and other published materials indicating availability of social, psychological, health, financial, and academic counseling services.  
- Statement of materials that normally are included in a student folder.  
- Provision of a sample of student academic records, as indicated by review coordinator.  
- Procedures for identifying and addressing special educational needs of admitted students.  
- Data on the number of persons from historically underrepresented groups recruited by, applying to, and accepting and enrolling at the institution; discussion of policy and strategies employed.

**Standards: Consumer information** (Regents Rules, §4-1.4(i))

(1) The following information shall be included in all catalogs of the institution:

   (i) Information shall be provided on financial assistance available to students, costs of attending the institution, the refund policy of the institution, and the instructional programs and other related aspects of the institution. Information shall include programs of financial assistance from State, Federal, institutional and other sources. Information on the institution’s standards of progress shall be disclosed, if different from those utilized for State student financial aid programs.

   (ii) Cost of attending the institution for each of the cost categories listed below shall be provided. Estimates, so indicated, may be used where exact figures are unavailable or inappropriate. Where summary information is provided, an institutional office where detailed information can be obtained shall be identified.

   (a) **Tuition and fees.** Information shall be provided on all assessments against students for direct educational and general purposes. A brief description of the purpose of any mandatory fee shall be included if the purpose of such fee is not apparent from its name. Course fees and lab fees shall be clearly identified. Conditions under which non-mandatory fees need not be paid shall be clearly stated.

   (b) **Books and supplies.** Estimated costs of textbooks, books, manuals, consumable supplies and equipment, which a student should possess as a necessary corollary to instruction, shall be provided. Separate estimates shall be provided for major program categories for which such costs vary more than 25 percent from the average for the entire institution.
(c) **Room and board.** Costs of housing and food services operated by the institution shall be provided where such services are available. Estimated costs of similar accommodations available in the community shall also be provided. These figures shall be consistent with estimated student budgets prepared by the institution's financial aid office.

(d) **Other living expenses.** Estimated cost of personal expenses applicable to students devoting primary efforts to pursuit of educational objectives shall be provided. This estimate shall be consistent with similar figures defined by the institution's financial aid office.

**Examples of Compliance:**

- Tuition and mandatory course and laboratory fees are clearly identified. Conditions under which non-mandatory fees need not be paid are clearly stated.
- Estimated costs of textbooks, manuals, consumable supplies and equipment that a student should possess are provided.
- Costs of housing and food services operated by the institution are provided. Estimated costs of similar accommodations available in the community are also provided.
- Estimated cost of personal expenses applicable to students devoting primary efforts to pursuit of educational objectives is provided.

**Suggested Documentation:**

- Catalogs; citation of pages in self-study.

(iii) The institution shall state its policy and requirements on student withdrawal from the institution and its policy and requirements concerning refunds due to failure of students to complete an academic term for any reason. The policy shall include the percentage or amount of tuition, fees, institution-operated room and board, and other assessments to be refunded after specified elapsed periods of time.

**Example of Compliance:**

- The institution has a clearly stated and published refund policy that includes the percentage or amount of tuition, fees, institution-operated room and board charges, and other assessments to be refunded after specified elapsed periods of time.

**Suggested Documentation:**

- Catalogs; citation of pages in self-study.

(iv) The instructional programs of the institution shall be described accurately.

(a) **Degree, certificate and diploma programs.** A list of degree, certificate and diploma programs shall be provided. The list shall
be consistent with the inventory of registered degree and certificate programs maintained by the department. The list shall contain at least the official approved program title, degree, HEGIS code number, and shall be preceded by a statement that enrollment in other than registered or otherwise approved programs may jeopardize a student’s eligibility for certain student aid awards.

(b) Program descriptions. Each degree, certificate or diploma program shall be described in terms of program objectives, prerequisites and requirements for completion.

(c) The academic year in which each instructional offering (course) is expected to be taught shall be indicated.

(d) Program related facilities. A general description of instructional, laboratory and other facilities directly related to the academic program shall be provided, in addition to general information describing the total physical plant. Narrative and/or statistical information shall be provided about library collections and facilities, student unions, and institution-operated eating-places. Hours of operation, including holiday and vacation schedules, shall be provided.

(e) Faculty and other instructional personnel. Regular resident faculty shall be listed by rank, with the highest degree held by the faculty member and the institution by which such degree was granted, full-time or part-time status, and department or major program area to which such member is assigned. An estimated number of adjunct faculty and teaching assistants in each department or major program area shall be provided.

(f) Recruiting and admission practices. The process and criteria for the recruitment and admission of students to the institution and to specific programs of study, as required by subparagraph (iii) of paragraph (2) of subdivision (f) of this section and by subdivision (h) of this section, shall be published.

(g) Academic calendar. The academic calendar of the institution, and of specific programs of study, if different, shall be published.

(h) Grading. The grading policy of the institution, and of specific programs of study, if different, shall be published.

(i) Student retention and graduation. Information on student retention and graduation rates shall be provided based on a summary of the most recent cohort survival statistics (e.g., percentages of those students enrolled at the end of the spring term, percentages of freshman classes that graduate in four, five and six years) available to the institution for at least full-time undergraduates. Statistics shall be computed in a manner consistent with data reported to the department through its higher education data system.

(j) Outcomes for former students. Summaries of employment outcomes, advanced study, and student professional and occupational licensing examination results compiled by or provided to the institution shall be provided. The student cohort year or years, or date of examinations shall be included. Data displays on employment outcomes shall be by major or discrete curricular area.

(v) Information shall be provided on the institution’s code of conduct for students and any disciplinary measures that may be applied to a student.
for a violation of such conduct, with a description of the institution’s student disciplinary process.

(2) Institutions that produce a multi-year catalog may use an annual printed addendum to update the information in the catalog or, if the catalog is also online, a Web site update. All print and online catalogs shall be archived annually, and archived copies shall be retained permanently.

(3) The institution shall demonstrate that it continuously assesses the effectiveness of its efforts to provide students and prospective students with timely, accurate, and complete consumer information.

Examples of Compliance:

- Programs are accurately listed according to title, degree, and HEGIS code.
- Programs are described in terms of both prerequisites and requirements for completion.
- The academic year in which each course is expected to be taught is included.
- Instructional, laboratory, and other facilities directly related to the academic program are described.
- Information about hours of operation of the institution’s services, including the library and food services, is provided.
- Faculty are listed by rank, indicating the highest degree held by each faculty member, the institution which granted the highest degree, and the program area to which the faculty member is assigned.
- An estimated number of adjunct faculty and teaching assistants in each department or major program is provided.
- Admissions criteria and procedures are fully described in the institution’s catalogs.
- The academic calendar is published in the catalog.
- The institution’s academic policies including its grading policies are published.
- Information on graduation rates and retention is provided.
- Summaries of job placement statistics and information on other activities of former students compiled by the institution are available.

Suggested Documentation:

- Catalogs; citation of pages in self-study.

Advertising

(i) Advertising conducted by or on behalf of an institution shall not be false, misleading, deceptive, or fraudulent and shall be consistent with the provisions of Article 22-A of the General Business Law. Advertising and promotional material shall not leave false, misleading, or exaggerated impressions of the institution, its personnel, its facilities, its courses and services, or the occupational opportunities of its graduates.
The primary emphasis of all advertisements and promotional literature shall be the educational services offered by the institution. Such advertising and promotional literature shall clearly indicate that education, not employment, is being offered by the institution.

Statements and representations in all forms of advertising and promotion shall be clear, current, and accurate. To the extent that statements of facts are made, such statements shall be restricted to facts that can be substantiated. Materials to support statements and representations in advertising and promotion shall be kept on file and shall be available for review by the department.

Any endorsement or recommendation shall include the author’s identity and qualifications and shall be used only with the author’s consent. No remuneration of any kind for any such endorsement or recommendation shall be paid for such endorsement or recommendation.

References to the New York State Board of Regents in any advertisement or promotional literature shall comply with the requirements of Section 13.11 of this title and subdivision (m) of this Section [§4-1.4 of the Rules of the Board of Regents].

Examples of Compliance:

- Students are recruited based on factual and accurate information about the institution.
- Financial aid is not the sole enrollment incentive used to recruit students, and aid available only at the institution is distinguished from aid available at most institutions.
- When recruiting students, representatives of the institution state clearly their credentials, purpose, and position or affiliation with the institution; such recruiters are either volunteers or paid employees of the institution and are not paid on the basis of numbers of students recruited.
- All advertisements, promotional literature and recruitment activities focus primarily on the educational services offered by the institution.
- The institution accurately characterizes its recognition by the New York State Board of Regents.

Suggested Documentation:

- Advertising and other promotional materials.

Standards: Student complaints (Regents Rules, §4-1.4(j))

(1) The institution shall establish, publish, and consistently administer internal procedures to receive, investigate, and resolve student complaints related to the standards prescribed in this Part.

(2) The institution may have informal means by which students can seek redress of their complaints.

(3) The institution shall have a formal complaint procedure that shall include, but need not be limited to: steps a student may take to file a formal complaint; reasonable and appropriate time frames for investigating and resolving a formal complaint; provision for the final determination of each
formal complaint to be made by a person or persons not directly involved in the alleged problem; and assurances that no action will be taken against the student for filing the complaint.

(4) The institution shall maintain adequate documentation about each formal complaint and its disposition for a period of at least six years after final disposition of the complaint. Assessment of the disposition and outcomes of complaints shall be a required component of any self-study required by this Part and shall be a consideration in any review for accreditation or renewal of accreditation.

Examples of Compliance:

- The institution has formal procedures for students to file complaints and seek redress of grievances consistent with the requirements of this section. The procedures protect the rights of the student and provide for a fair hearing with adequate assurance that no action will be taken against the student for filing the complaint.
- The institution maintains adequate documentation of its handling of all formal complaints for at least six years after the final disposition of the complaint.

Suggested Documentation:

- Catalogs, student handbooks, or other publications widely available to students stating complaint policy and procedures; citation of pages in the self-study.
- Record of any complaints in previous two years.

Standards: HEA Title IV program responsibilities (Regents Rule 4-1.4 (k))

(1) An institution shall have a procedure in place to ensure that it is in compliance with its program responsibilities under Title IV of the HEA and shall maintain a record describing such procedure.

(2) An institution shall maintain a record of its compliance with its program responsibilities under Title IV of the HEA over the previous 10 years, unless the department determines that there is good cause for a shorter records retention period. This record shall include: student default rate data provided annually to the Secretary by the institution; financial or compliance audits conducted annually by the Secretary; and program reviews conducted periodically by the Secretary. The institution shall submit information from this record of compliance to the department on a periodic basis as determined by the department.

Examples of Compliance:

- The institution has a procedure in place to ensure its compliance with its responsibilities to participate in Title IV student aid programs.
- The institution maintains a record describing its compliance, including student default rate data; financial or compliance audits conducted by the Secretary; and program reviews conducted by the Secretary.
Suggested Documentation:

- Written procedures indicating methods of complying with Title IV responsibilities.
- Record of compliance, including Federal audits.
- Student default rates in most recent three years.

**Standards: Teach-out agreements** (Regents Rules, §4-1.4(l))

Any teach-out agreement that an institution has entered into with another institution or institutions shall be submitted to the department for approval. To be approved, such agreement shall:

1. be between or among institutions that are accredited or pre-accredited by a nationally recognized accrediting agency;
2. ensure that the teach-out institution(s) has the necessary experience, resources, and support services to provide an educational program that is of acceptable quality and reasonable similar in content, structure, and scheduling to that provided by the closed institution;
3. ensure that the teach-out institution(s) can provide students access to the program and services without requiring them to move or travel substantial distances.

**Examples of Compliance:**

- Any teach-out agreement has been approved by the department.
- Any teach-out agreement shall be with an accredited institution or institutions.
- The teach-out institution has the necessary experience, resources, and support services to provide a comparable educational program.
- The teach-out plan does not require students to move or travel substantial distances to have access to the program(s) and services.

Suggested Documentation:

- None required.

**Standard: Public disclosure of accreditation status** (Regents Rules, §4-1.4 (m))

An institution that elects to disclose its accreditation status shall disclose such status accurately and include in its disclosure the specific academic and instructional programs covered by that status and information identifying the commissioner and the Board of Regents as its institutional accrediting agency. Such information shall include the address and telephone number of the department.
Examples of Compliance:

- The institution's statement of its accreditation status is accurate and up-to-date.

Suggested Documentation:

- Published materials that cite the institution's accreditation by the commissioner and the Regents; citation of the pages in the self-study.
A comprehensive self-study is ordinarily supported by the following types of documentation. The documentation required may be modified by the review coordinator in consultation with the institution.

The list below shows a typical distribution of items to be sent in advance and those that can be provided on site. (This breakdown is determined by the review coordinator.) At least three weeks prior to the visit, each team member receives the completed Self-Study and the other materials listed below that are cited as “S” (except items 16 and 33). Copies of all materials sent to team members are also to be assembled on site.

S = Send  A = Have available on site for reviewers.

1. Copy of organizational chart; list of senior administrators and descriptions of their responsibilities.

2. Copy of by-laws and/or other documents describing institutional governance, including trustee responsibilities, and institutional purposes and goals. Self-study reports in last three years dealing with general issues of institutional mission, goals and effectiveness.

3. Minutes of trustee meetings; minutes of faculty governance committees (including academic standards, curriculum, tenure and promotion). Minutes of meetings of academic units within the institution, (departments, divisions, schools) as indicated by review coordinator. Provide for last three years.

4. Undergraduate admissions profiles (a) academic: (e.g., high school rank in class distributions, GPA, SAT, ACT, or ability to benefit scores, ESL and other placement score distributions, etc.) and (b) demographic (e.g., age, gender, ethnic/racial, income distributions). Graduate admissions profiles by undergraduate grade point average distribution and graduate or professional assessment tests (GRE, LSAT, GMAT, etc.). Data for most recent fall term.

5. Retention, graduation, placement statistics, licensing examination results (pass rates), advanced study, transfers, and other outcomes data. Results of employment and graduate “satisfaction surveys.”

6. Copy of student handbook or other materials that describe student obligations, standards of conduct, disciplinary measures, redress of grievances, and due process (including handling of complaints).

7. Copy of faculty handbook or other materials that describe standards for appointment, reappointment, promotion and tenure; professional responsibilities; professional development; termination; redress of grievances; faculty responsibility to the institution.

8. Copy of faculty collective bargaining contract (if applicable); blank copy of individual faculty contracts or employment agreements for full-
and part-time faculty.

9. Blank copy of course and faculty evaluation forms used by students, peers, and administrators.

10. Schedule of courses offered at the time of the visit and for the term prior to the visit (all times, formats, locations). The prior term information should be provided to the review coordinator at the beginning of the self-study to assist in identifying the course sample for item 13.

11. Any special reports to trustees, institution-wide committees, or senior administrators on academic issues (e.g., general education, grading practices) related to institutional effectiveness. Provide for last three years.

12. Course outlines/syllabi as indicated by review coordinator. (Have all syllabi available on site.)

13. Packets of materials on courses specified by review coordinator (including syllabus/course outline; final grade roster; final examination questions; graded student papers (15 alphabetically based on final grade roster); copy of title page and table of contents of principal texts; completed Faculty Information Form (See Appendix B.); completed Statement of Expertise Form (see Appendix B.); completed Course Review Form (See Appendix B.).

14. Most recent institutional profile reports to voluntary organizations, such as the College Board, Peterson’s Guides, or U.S. News and World Report, the Common Data Form, or comparable forms.

15. Completed Faculty Profile, Faculty Continuity, Course Review, and Individual Faculty Information Forms (See Appendix B).

16. The two most recent certified audits; Federal Test of Financial Responsibility data for three most recent years; Federal compliance audits of “13 common ratios” data for three most recent years; institutional budget for current year; other compliance audits related to HEA Title IV compliance (last three years); monthly cash flow report for 12 months preceding submission of the self-study. Send two copies to review coordinator only.

17. List of materials normally in a student’s file; blank copy of forms, generic letters, etc.

18. List of materials normally in a faculty member’s file; copy of blanks of forms.

19. Current catalog(s), annotated to show (a) recent changes in senior staff and full-time faculty personnel, and (b) pages stating required consumer information, noting the requirement being addressed.

20. Description of recent or planned changes in curriculum, academic services and policies related to academic performance or progress of students.
21. Description of measures/services to improve student performance and persistence, including scope and assessed outcomes of particular services.

22. Study of a specific sample of undergraduate students (15 to 30) admitted in the “at risk” category (if any): achievement levels and issues on entry, performance and outcomes following entry; a description of institutional interventions/services; and analysis of what, if anything, might have been done differently.

23. Sample transcripts of the prior year's graduates (15, alphabetically; personal identification should be removed).

24. List of students in their last term of study for their degree; transcripts and degree audits of students in this group (first 15, alphabetically; personal identification should be removed).

25. Copies of recent self-studies for other nationally recognized accrediting agencies and the subsequent reports of the accrediting agencies (last 3 years); compliance and audit reports by public agencies (last 3 years).

26. List of evaluative/compliance reports prepared for external organizations in the 18 months prior to the date of the institutional accreditation visit. Include reports that are pertinent to one or more of the standards for institutional accreditation.

27. List of evaluation/compliance reports received from external organizations or reviewers in the 18 months prior to the date of the institutional accreditation visit. Include reports that are pertinent to one or more of the standards for institutional accreditation.

28. List of diagnostic and placement tests for first-time undergraduate students with scores for admissions or placement options and numbers in each group. Copy of blank forms.

29. Admissions and marketing literature used in all media in the last year.

30. Advertisements for faculty and professional staff positions in the last year.

31. For baccalaureate programs, senior essays as available. For graduate programs, master's theses, essays, projects; doctoral thesis proposals and completed theses; comprehensive examination questions.

32. Summary of library/resource center print holdings, access to databases, and other resources.

33. Copy of any current institutional effectiveness plan, or the equivalent.

34. Updated annual data report form, data for current term or preceding term if visit is less than one month after start of current term.
APPENDIX B

Forms to Be Used in Documentation

- Faculty Profile Form (institution-wide)
- Faculty Continuity Form (institution-wide)
- Faculty Information Form (individual)
- Statement of Expertise Form (individual)
- Course Review Form (individual)

Note: The review coordinator will specify the courses and faculty member for which the "individual" forms should be completed as part of the documentation process.
1. Complete a form for the Spring ’04, ’05, and ’06 quarters.

2. At end of table, provide an unduplicated total count of faculty in each column.

<table>
<thead>
<tr>
<th>Curricula (If many programs, cluster by major discipline areas). Separate programs by degree level (associate, bachelor's, etc.)</th>
<th>Degree Awarded</th>
<th>Total No.</th>
<th>Full-time</th>
<th>Part-time</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Highest Earned Degree</td>
<td>Highest Earned Degree</td>
</tr>
<tr>
<td></td>
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<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>Doct.</td>
<td>Mast</td>
</tr>
</tbody>
</table>

1 Count may duplicate degrees
2 Examples of first professional degrees: J.D., M.D., D.D.S., D.C., Pharm.D.
## FACULTY CONTINUITY FORM

(Number of Faculty for each of the most recent four quarters)

<table>
<thead>
<tr>
<th>Time Teaching at Institution</th>
<th>Full time* (continuous service)</th>
<th>Part time* (total terms of service **)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 1 term</td>
<td></td>
<td></td>
</tr>
<tr>
<td>One full term to one year</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 year but less than 3 years</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 years but less than 5 years</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 years but less than 7 years</td>
<td></td>
<td></td>
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<td>7 years but less than 9 years</td>
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<tr>
<td>9 or more Years</td>
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*Define full and part time here or reference pertinent pages in Faculty or Employee Handbook.

**Two terms equal one year.

Note any atypical instances of faculty service.
FACULTY INFORMATION FORM

Directions: Form to be completed for faculty designated by the department's review coordinator.

Note: Some items may be completed by reference to an attached resume

Date: __________________ Institution: ____________________________

Name: __________________ Department: __________________________

Years at Institution: ______ FT (new) ________ PT (new) ________ Tenured? (Yes or No) ______

Institution has no tenure system ________

1. CURRENT RESPONSIBILITIES AT THIS INSTITUTION:
   a. Teaching

<table>
<thead>
<tr>
<th>Teaching This Term: (list each section)</th>
<th>Credits</th>
<th>Approx Enroll</th>
<th>Location if not main campus</th>
<th>Day(s) and time Offered</th>
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   b. Advising: Number of Advisees: Undergraduate ________ Graduate ________

   c. Other Assignments/Responsibilities (committees, etc., in last three years):

   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
2. CURRENT RESPONSIBILITIES AT OTHER COLLEGES/SCHOOLS, COMPANIES, AGENCIES, ETC.

________________________________________

________________________________________

________________________________________

________________________________________

________________________________________

3. EDUCATION: (starting with most recent)

<table>
<thead>
<tr>
<th>Degree</th>
<th>Institution</th>
<th>Date Received</th>
<th>Major/ Specialization</th>
<th>Title of Research</th>
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</table>

4. OTHER PROFESSIONAL TRAINING/EXPERIENCE RELATED TO COURSES LISTED ABOVE

________________________________________

________________________________________

________________________________________

5. PRIOR TEACHING EXPERIENCES: (starting with those most pertinent to current teaching assignments at this institution)

<table>
<thead>
<tr>
<th>Institution</th>
<th>Subjects</th>
<th>Dates</th>
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</table>
6. ACTIVITY IN PROFESSIONAL ASSOCIATIONS:

______________________________________________________________________
______________________________________________________________________
______________________________________________________________________

7. PUBLICATIONS:
   a. Most Significant
   b. Recent (last 3-5 years)

8. OTHER SIGNIFICANT PROFESSIONAL ACCOMPLISHMENTS

______________________________________________________________________
______________________________________________________________________

9. EVALUATION OF TEACHING AND OTHER RESPONSIBILITIES BY COLLEGE
   a. What are this institution's policies on evaluation of faculty?
   b. Describe this institution's support of your professional development in the past five years.
STATEMENT OF EXPERTISE FORM

Institution’s Statement of Faculty Expertise that Should Underlie Specific Courses

Directions: Form to be completed only for courses designated by the Department’s review coordinator.

Course: ___________________________ Course Number: ________________

Attach course description from catalog. Include statement of expected prerequisite courses or knowledge.

Expected Faculty Expertise

1. Minimum Degree(s) Acceptable Field(s) of Degree

   ___________________________ ________________________________

   ___________________________ ________________________________

   ___________________________ ________________________________

2. Coursework/formal training needed as a specific knowledge foundation in field to teach course content with sufficient breadth, depth and currency. For example, if the course is Calculus I, indicate coursework or advanced knowledge beyond Calculus I needed to demonstrate sufficient expertise, in the institution’s view.

   ____________________________________________________________

   ____________________________________________________________

   ____________________________________________________________

3. Any comparable alternative basis of content knowledge and how documented.

   ____________________________________________________________

   ____________________________________________________________

   ____________________________________________________________

4. Other expertise and skills needed to teach course content. May 2009