

# ***HANDBOOK OF INSTITUTIONAL ACCREDITATION***

**New York State Board of Regents  
and the Commissioner of Education**



**The University of the State of New York  
The State Education Department  
Albany, New York 12234**

**Revised December 2009**

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## INTRODUCTION

This Handbook provides information on institutional accreditation by the New York State Board of Regents and the Commissioner of Education, acting in their capacity as a nationally recognized institutional accrediting agency.

The principal purpose of institutional accreditation by the Regents and the Commissioner of Education is to establish an accredited institution's eligibility for Title IV student aid programs established by the Higher Education Act of 1965, as amended. The institutional accreditation process is entirely voluntary on the part of the institution. The process is separate from the State approval processes of the Regents and the Commissioner.

The institutional accreditation process is administered by the State Education Department's Office of Higher Education. Please direct inquiries to:

Office of College and University Evaluation  
Attention: Accreditation  
State Education Department  
89 Washington Avenue, 5 North Mezzanine  
Albany, NY 12234  
Phone: (518) 474-1551  
Fax: (518) 486-2779  
E-mail: [bmeinert@mail.nysed.gov](mailto:bmeinert@mail.nysed.gov)

The Handbook is available on the Department's web site at [www.highered.nysed.gov/ocue/accredinfo.htm](http://www.highered.nysed.gov/ocue/accredinfo.htm)

# PROTOCOL FOR THE REVIEW OF INSTITUTIONS SEEKING ACCREDITATION OR RENEWAL OF ACCREDITATION

## Overview

The New York State Board of Regents and the Commissioner of Education are an institutional accrediting agency recognized by the Secretary of the United States Department of Education (USDE). An institution may apply to the Regents and the Commissioner for accreditation for the purpose of establishing eligibility to participate in Title IV student aid programs established by the Higher Education Act of 1965, as amended. An application for initial accreditation can occur only after the Regents and the Commissioner, acting in their capacities as a State approval agency have conferred degree authority and registered the institution's program(s). Institutional accreditation focuses on institutional policies and on the qualitative effectiveness of the institution as a whole, particularly with respect to promoting student achievement and development. It takes into account an institution's compliance with its responsibilities as a recipient of Title IV funds if it participates in such programs.

An institution may be accredited for a period of up to ten years or for a shorter time, at the discretion of the Regents and the Commissioner. During its accreditation period, an institution provides annual reports and a mid-point self-study for review to assure sustained compliance with all accreditation standards. The mid-point report normally includes any matters of concern and recommendations noted in an accreditation action by the Regents and the Commissioner. Annual or mid-point reports or information from other agencies related to compliance with standards for accreditation may occasion a review of the accreditation standing of an institution. Such review may take the form of reports on specified topics, a special on-site review, or acceleration of the scheduled periodic accreditation review.

The Department publishes a list of institutions scheduled for accreditation or renewal of accreditation review in the New York *State Register*, requesting third-party comment regarding the institution's qualifications for accreditation.

## Application for Accreditation

An institution seeking institutional accreditation from the Regents and the Commissioner submits a written request and preliminary application describing the scope of requested accreditation. It shows that it has all required State approvals and that it is not under adverse action by the Federal government (with respect to use of Title IV funds) or by another nationally recognized accrediting agency. It may apply for accreditation at any time after obtaining required State agency approvals. Following a preliminary review and assessment of readiness by accreditation staff, an institution may begin the self-study process. The institution will not be reviewed for possible accreditation through a site visit until the self-study can document student outcomes consistent with the institution's statement of mission, purpose and objectives. The accreditation process may take at least 18 months.

## **Preparation of a Self-study**

Upon receipt of an application for accreditation, the professional accreditation staff member of the Office of Higher Education who has been designated as the review coordinator contacts the institution's chief academic officer to discuss the self-study to be prepared for the review. A Self-study Guide, including the accreditation standards, suggested documentation, and other pertinent materials, is provided to the institution. Technical assistance is provided at the institution's request. The review coordinator may visit the campus or representatives of the institution may visit the Department during the self-study preparation. Following receipt of the institution's self-study, the review coordinator examines the self-study to determine the institution's readiness for a site visit by a review team. The Department may require the institution to submit additional information related to the self-study and the accreditation process.

## **Public Notice**

The Department invites written comment from the public concerning the institution's qualifications for accreditation by publishing in the New York State *Register*, or its successor publication, a notice that the institution is being considered for accreditation action.

## **Site Review Team Selection**

The review coordinator establishes the composition of the visiting team well before the visit. The team consists of outside peer reviewers as well as professional accreditation staff from the Department. Team size varies, depending on the scope of the institution; however, it is usually in the range of four to six persons. Team members include faculty and administrators from comparable institutions in New York and other states. Care is taken to identify persons who are expert in their fields and objective in their judgments. Team members have attended a training session on institutional accreditation conducted by the Department's Office of Higher Education. A peer reviewer serves as chair. This person has undergone both the general training for peer reviewers and specific training for team chairs. The Department provides the names and affiliations of proposed team members to the institution, which may request substitutions when there is an actual or appearance of conflict of interest. Conflict of interest guidelines are provided in advance to the institution.

## **Team Preparation for the Visit**

The institution provides each team member with the completed self-study at least 30 days prior to the visit. At the same time, the Department's review coordinator provides the team members with guidelines for conducting review activities, guidelines on conflict of interest, the format for the reporting of findings and recommendations, a tentative schedule of review activities during the visit, and supplementary guidelines for

use in assessment activities and determinations. Team members with a conflict of interest under the written guidelines are expected to recuse themselves from the review. Team members are asked to review carefully the self-study and the Department's review standards and procedures prior to the visit and to seek any needed clarifications from the Department's review coordinator regarding the meaning or application of standards or appropriate documentation. Prior to the start of review activities, the review coordinator and team chair meet with team members for on-site training review. The review session assures consistency in the application of standards, sufficiency of documentation, and appropriateness of findings and recommendations in relation to the institution's mission and scope.

## **The Visit**

The Department will conduct a site visit to the institution to assess compliance with the standards for institutional accreditation. Department staff, a team of peer reviewers, and a team chairperson conduct the visit, which usually lasts three days. During the visit, team members interview faculty, administrators, and students; visit classes; review course syllabi and student work; examine student and faculty folders; examine administrative records and policy statements; assess physical facilities, library resources, and instructional equipment; and visit all branch campuses. Team members meet daily during the site visit to share observations, work on recommendations under the guidance of the chair, and clarify any uncertainties related to the application of standards. Particular attention is given to the development of findings related to the institution's qualitative effectiveness in promoting successful student outcomes and development in relation to applicable standards and the institution's mission and scope.

At the end of the site visit, the chair, other members of the team and the Department's review coordinator meet with the chief executive officer and any staff he or she may designate. The team chair and the review coordinator outline subsequent steps in the review process. No accreditation recommendation is announced at this time.

## **Report of the Visit**

After the site visit, each team member submits to the review coordinator a written report of observations and findings concerning the institution's compliance with the accreditation standards and any recommendations for institutional improvement in relation to the standards. Team member reports are advisory and confidential. In consultation with the team chair, and based on the members' written reports and the team's overall agreement concerning accreditation action, the review coordinator prepares a preliminary draft compliance report. The report includes the team's recommendations for institutional improvement or compliance with specific standards and a preliminary recommendation on accreditation action. Following review of the preliminary draft by Department accreditation staff, the review coordinator sends it to the team for review of clarity, accuracy, internal consistency, pertinence of observations to the accreditation standards, and the preliminary recommendation for accreditation action. Following any revisions based on any team members' comments, the review

coordinator sends a revised draft to the team chair for review and comments. The Department then transmits the draft report, including the preliminary recommendation on accreditation, to the chief executive officer of the institution and asks the institution to note any factual errors, respond to particular requests for clarification or additional information, and provide any comments. The institution is given the opportunity to respond in writing to the draft compliance report within 30 days from the date the Department sends the draft report to it.

The Senior Deputy Commissioner of Education P-16 sends the final report to the institution after the Department receives the institution's response. The final report consists of the draft report and the institution's response. The final report includes the Department's preliminary recommendation with respect to accreditation action and a summary of the institution's compliance with the standards.

### **Determination Process**

The Office of Higher Education transmits the final compliance report and a preliminary recommendation for institutional accreditation action to the Regents Advisory Council on Institutional Accreditation, together with the self-study and other pertinent supporting documentation at least 20 days prior to the scheduled Council meeting. The Council reviews these materials at its next regularly scheduled meeting, drawing on the observations and recommendations of a subcommittee of readers appointed by the Council Chair. Accreditation staff present a summary of the findings and recommended action and are available to respond to questions by Council members. The Council invites representatives of the institution under review and, at the Council's discretion, other interested parties, to make oral presentations. After concluding its review, the Council prepares a recommendation on accreditation action to the Commissioner and the Board of Regents, together with a report on the factual basis supporting the recommendation. (The possible actions are noted in the next section.) The Department transmits a copy of this recommendation and report to the institution.

In the case of a recommendation that is other than accreditation without conditions, the institution and/or the Senior Deputy Commissioner has the right to appeal the Council's accreditation decision as set forth in §4-1.5(b)(9) of Regents Rules. If neither the institution nor the Senior Deputy Commissioner appeals the Council's findings and recommendation, the Commissioner adopts the Council's findings and recommendation as the Commissioner's findings and recommendation to the Regents. At a regularly scheduled public meeting, the Board of Regents considers the Commissioner's findings and recommendation and makes the final determination on accreditation action. At least one member of the Council, normally one of the principal readers, will be available as a resource to the Board of Regents. The Department's accreditation staff, including the review coordinator, also will be available as a resource. Representatives of the applicant institution may be present at this meeting; however, they do not participate in discussion of their application.

The Regents may act or may defer action pending further consideration by the Council or the receipt of additional information. If the Regents take adverse action as defined in Regents Rules §4-1.2(c) on an application for institutional accreditation or renewal of accreditation, a statement of the reason(s) for this action will be provided to the applicant institution.

### **Possible Accreditation Actions**

- Accreditation without conditions. The institution is in full compliance with the standards for institutional accreditation. Any follow-up matters are not, in the judgment of the Regents, of a nature or scope that affects the institution's capacity to maintain adherence to the institutional accreditation standards for the period of accreditation. Recommendations or any follow-up reports relate either to minor compliance matters or to the strengthening of practices that meet the standards of compliance. Accreditation without conditions may be for a period of up to ten years; customarily it is not for a period of less than five years. Accreditation without conditions may apply to institutions seeking initial accreditation or renewal of accreditation.
- Accreditation with conditions. The institution is in substantial compliance with the standards for institutional accreditation. Any areas of non-compliance are not of such nature or scope as to call into question the institution's substantive adherence to the institutional accreditation standards during the term of accreditation. The institution has demonstrated the intent and capacity to rectify identified deficiencies and to strengthen practice in marginally acceptable matters within no more than two years. The institution will be required to take steps to remedy issues raised in the review for accreditation and to provide reports and/or submit to site visits concerning such issues. Accreditation with conditions may be for a period of up to ten years, contingent on a finding of compliance within no more than two years on any areas for deficiency cited in the Regents accreditation action. Accreditation with conditions may apply to institutions seeking initial accreditation or renewal of accreditation.
- Probationary accreditation. The institution is in partial compliance with institutional accreditation standards and may reasonably be expected to meet accreditation standards within no more than two years. During this period, the institution provides documentation of compliance with standards, particularly all standards that were not met at the time of the Regents action. A follow-up visit by Department staff and/or peer reviewers may be required following provision of a required report. Probationary accreditation may apply only to institutions seeking renewal of accreditation.
- Denial of accreditation. The institution does not meet standards for institutional accreditation and cannot reasonably be expected to meet those standards within two years. Denial of accreditation may apply to institutions seeking initial accreditation or renewal of accreditation.

## **Summary of Selected Policies Related to this Protocol**

- Institutional accreditation for Title IV purposes is the outcome of an application that is separate from application for State approvals by the Regents and the Commissioner of Education.
- All determinations about accreditation and renewal of accreditation are based solely on the defined standards and requirements for institutional accreditation set forth in Subpart 4-1 of the Rules of the Board of Regents.
- Approvals by the Regents and the Commissioner, acting singly or together as a State agency, do not impute accreditation by the Regents and the Commissioner acting as a nationally recognized institutional accrediting agency.
- Denial, non-renewal, or other adverse accreditation action, or voluntary withdrawal by an institution, does not impute loss of State approval.
- In the event of institutional closure, State approval policies and processes relative to that action do not impute compliance with teach-out requirements of the standards for accreditation.
- Accreditation and renewal of accreditation are not granted to any institution that is under adverse action by another nationally recognized accrediting agency, by the Federal government with respect to Title IV participation, or by the State approval agency.
- Institutions and the Senior Deputy Commissioner of Education P-16 may appeal accreditation recommendations of the Advisory Council, as set forth in Subpart 4-1 of the Rules of the Board of Regents.

## **ETHICS GUIDELINES FOR PEER REVIEWERS/CONSULTANTS**

### Conflict of Interest

There must be no conflict of interest or appearance of a conflict of interest with the institution under review. There is a conflict of interest when the potential peer reviewer/consultant:

- (1) is a present or former employee, student, member of the governing board, owner or shareholder of, or consultant to the institution that is seeking institutional accreditation from the Board of Regents;
- (2) is a spouse, parent, child, or sibling of an individual or persons listed in (1) above;
- (3) has expressed an opinion for or against the proposed accreditation;
- (4) is seeking or being sought for employment or other relationship with the institution under review;
- (5) has a personal or professional relationship with the institution under review that might compromise objectivity; and/or
- (6) has a competitive relationship with the institution that might compromise objectivity.

### **Confidential Information**

The report is confidential until it is final. You may not disclose the report or any part of the report until the Regents have acted on the institution's application. Confidential information obtained during the course of the review may not be used for personal gain. Reviewers' memoranda, notes and other work products generated during the course of the review are the property of the State Education Department and may never be disclosed.

### Gifts

Gifts or gratuities of more than a nominal value may not be accepted from the institution where doing so might raise an inference that the gift was intended either to influence the team or reviewer in the performance of the accreditation review.

## **APPLICATION PROCESS FOR INSTITUTIONAL ACCREDITATION**

A degree-granting institution located in New York State that has met all the requirements of the Board of Regents and the Commissioner of Education, acting as a State approval agency, may apply to the Regents and the Commissioner for institutional accreditation by them, acting in their capacity as a nationally recognized institutional accrediting agency. Institutional accreditation by the Regents and the Commissioner establishes eligibility to participate in Title IV programs available under the Higher Education Act of 1965, as amended.

An institution will not be considered for institutional accreditation for purposes of establishing eligibility for Title IV participation until it can document success with respect to student achievement in relation to the institution's mission, including, as appropriate, consideration of graduation rates and, as appropriate, State licensing examination scores and job placement rates in accordance with the standards of quality for institutional accreditation set forth in §4-1.4 of the Rules of the Board of Regents. If the institution has not graduated at least one class, it must demonstrate how it will meet the standards.

The applicant institution is encouraged to review closely all materials related to accreditation before deciding to pursue accreditation by the Regents and the Commissioner. Having done so, it sends a letter of interest to:

Office of College and University Evaluation  
Attention: Accreditation  
State Education Department  
Education Building, 5 North Mezzanine  
Albany, New York 12234

The letter encloses evidence that all required State approvals have been met. (These normally include a Regents charter or permission to confer degrees and program registration letters from the State Education Department.) An application will not be entertained if any significant conditions related to compliance with the Rules of the Board of Regents or the Regulations of the Commissioner of Education are attached to any State approvals.

After a review of these materials and the Department's State approval files, the Department will determine whether the institution is in compliance with State approval requirements and whether the institution is under any adverse action by the Federal government with respect to Title IV responsibilities or by any other nationally recognized accrediting agency. If there are no concerns in regard to these matters, a designated accreditation staff member will send the applicant a packet on institutional accreditation, including this Handbook. Once it has submitted an application for accreditation, the applicant institution should maintain ongoing contact with the assigned review coordinator in the Department's Office of Higher Education.

## PART 4

### Regents Accreditation

#### Subpart 4-1

#### Voluntary Institutional Accreditation for Title IV Purposes

##### 4-1.1 Purpose.

The purpose of this Subpart is to establish standards and procedures that must be met by institutions of higher education voluntarily seeking institutional accreditation for purposes of Title IV of the Higher Education Act of 1965, as amended, by the Commissioner of Education and the Board of Regents as a nationally recognized accrediting agency.

##### 4-1.2 Definitions.

As used in the Subpart:

(a) *Accreditation* means the status of public recognition that the Commissioner of Education and the Board of Regents grant to an educational institution that meets the standards and requirements prescribed in this Subpart.

(b) *Accreditation action* means accreditation, accreditation with conditions, probationary accreditation, approval of substantive changes in the scope of accreditation, and denial, revocation, or termination of accreditation.

(c) *Accreditation with conditions* means accreditation that requires the institution to take steps to remedy issues raised in a review for accreditation, and provide reports and/or submit to site visits concerning such issues, provided that such issues do not materially affect the institution's substantial compliance with the standards and requirements for accreditation.

(d) *Adverse action* or *adverse accreditation action* means suspension, withdrawal, denial, revocation, or termination of accreditation or preaccreditation.

(e) *Additional location* means a location of an institution geographically apart from the main campus, other than a branch campus, at which the institution offers at least 50 percent of an educational program.

(f) *Advisory council* means the Regents Advisory Council on Institutional Accreditation established pursuant to section 3.12 of this Title.

(g) *Branch campus* means a location of an institution that is geographically apart and independent of the main campus of the institution, meaning that the location is permanent in nature, offers courses in educational programs leading to degrees or certificates authorized by the department, has its own faculty and administrative or supervisory organization, and has its own budgetary and hiring authority.

(h) *Certificate* means a credential issued by an institution in recognition of the completion of a registered curriculum other than one leading to a degree.

(i) *Course* means an organized series of instructional and learning activities dealing with a subject.

(j) *Curriculum or program or program of study* means the formal educational requirements necessary to qualify for certificates or degrees.

(k) *Credit* means a unit of academic award applicable towards a degree offered by the institution.

(l) *Degree* means an academic award listed in section 3.50 of this Title.

(m) *Department* means the Education Department of the State of New York.

(n) *Deputy commissioner* means the Senior Deputy Commissioner of Education P-16 of the State Education Department.

(o) *Higher Education Act or HEA* means the Higher Education Act of 1965, as amended.

(p) *Institution of higher education or institution* means an institution authorized by the Regents to confer degrees.

(q) *Probationary accreditation* means accreditation for a set period of time, not to exceed two years, during which the institution shall come into compliance with standards for accreditation through corrective action.

(r) *Principal center* means the location of the principal administrative offices and instructional facilities of an institution of higher education.

(s) *Secretary* means the United States Secretary of Education.

(t) *Semester hour* means a credit, point, or other unit granted for the satisfactory completion of a course which requires at least 15 hours (of 50 minutes each) of instruction and at least 30 hours of supplementary assignments, or the equivalent as approved by the commissioner.

(u) *State* means New York State

(v) *Teach-out agreement* means a written agreement between or among institutions that are accredited or pre-accredited by a nationally recognized accrediting agency that provides for the equitable treatment of students if one of those institutions stops offering an educational program before all students enrolled in that program have completed the program.

#### **§4-1.3 General requirements and provisions.**

(a) *General requirements.* To meet the requirements for institutional accreditation and the renewal of existing institutional accreditation, the institution shall meet the requirements in each of the following paragraphs:

(1) State standards. The institution shall be in compliance with State standards prescribed in this Title, including but not limited to section 3.47, and Parts 50, 52, 53 and 54 of this Title. The institution shall be authorized to confer at least one degree and have at least one program that is registered pursuant to Part 52 of this Title.

(2) Standards for accreditation. The institution shall meet the standards of quality for institutional accreditation as prescribed in section 4-1.4 of this Subpart.

(3) Other requirements for accreditation. The institution shall meet all other requirements of this Subpart, including but not limited to the requirements of this section and the procedural requirements set forth in section 4-1.5 of this Part.

(b) *Duration of accreditation.* Accreditation shall be for a term of 10 years or unless otherwise limited to a lesser period for good cause as determined by the commissioner and the Board of Regents, based upon a review conducted pursuant to this Subpart. The term of accreditation may be extended by the commissioner on one or more occasions for a period not to exceed 12 months on each occasion for good cause as determined by the commissioner, including but not limited to inability to conduct site visits because of unforeseen events and the department's plan to coordinate a site visit with a site visit by another accrediting agency.

(c) *Scope of accreditation.* The institution's accreditation shall include the principal center, branch campuses and additional locations that exist at the time accreditation is granted, unless otherwise limited. Such accreditation shall not include substantive changes, as defined in subdivision 4-1.5(d) of this Subpart, made after accreditation is granted. Accreditation action is required to include each such substantive change, as prescribed in subdivision 4-1.5(d) of this Subpart.

(d) *Enforcement of Standards.*

(1) If the review of an institution under the standards prescribed in this section and section 4-1.4 of this Subpart; including such review which may be initiated by one or more complaints against the institution, or a financial or compliance audit or program review conducted by the U.S. Secretary of Education relating to the institution's HEA

Title IV program responsibilities, or an adverse action or a placement on probation by another nationally recognized accrediting agency, among other reasons; indicates that the institution is not in compliance with any such standard, the commissioner and the Board of Regents shall either:

- (i) immediately initiate adverse action against the institution; or
- (ii) require the institution to take appropriate corrective action to bring itself into compliance with such standards within a time period that shall not exceed:
  - (a) twelve months, if the longest program offered by the institution is less than one year in length;
  - (b) eighteen months, if the longest program offered by the institution is at least one year, but less than two years in length; or
  - (c) two years, if the longest program offered by the institution is at least two years in length.

(2) The corrective action period may be extended at the discretion of the commissioner and the Board of Regents upon good cause shown, including but not limited to, an adequate showing by the institution that it has a reasonable explanation for not meeting the standard during the corrective action period and that it has a plan acceptable to the department to meet the standard within a reasonable time period.

(3) An institution that is required to take corrective action pursuant to subparagraph (ii) of paragraph (1) of this subdivision shall receive probationary accreditation for such period of corrective action.

(4) An institution that is applying for accreditation with the commissioner and the Board of Regents for the first time shall not be eligible to receive probationary accreditation.

*(e) Use of information.*

- (1) Information obtained by the department pursuant to an institutional accreditation review may be used by the department for State actions, including but not limited to program registration actions as prescribed in Part 52 of this Title.
- (2) Information obtained by the department in relation to such State actions may be used by the department for purposes of institutional accreditation.
- (3) Information provided to the department by the secretary concerning the institution's compliance with its HEA title IV program responsibilities, including but not limited to annual student default rate data, financial or

compliance audits conducted annually by the secretary, and program reviews conducted periodically by the secretary, shall be a consideration in a review for accreditation or renewal of accreditation, or in an enforcement review.

(f) *Reporting requirements.*

(1) Unless prior approval by the department is otherwise required by this Title, the institution shall notify the department of any substantive change, as defined in subdivision 4-1.5(d) of this Subpart, in its operation within 72 hours after such change.

(2) The institution shall submit data reports on a timetable and in a form prescribed by the department.

(3) The institution shall submit a self-study report at the mid-point of its accreditation term on a timetable and in a form prescribed by the department.

(4) The institution shall notify the department of any denial, withdrawal, suspension, revocation or termination of accreditation or pre-accreditation by another nationally recognized accrediting agency against the institution or any of its programs within 72 hours after receiving official notification of that action by providing to the department a copy of the action.

(g) *Adverse action by an accrediting agency.* In the event of a pending or final adverse action against the institution or a program at such institution by a nationally recognized accrediting agency, or an action to place the institution or program on probation by a nationally recognized accrediting agency, the department shall review the institution's Regents accreditation to determine whether the standards prescribed in this Subpart are being met. Notification of such adverse action or probationary accreditation by a nationally recognized accrediting agency may result in a compliance review as prescribed in subdivision 4-1.5 of this Subpart.

**4-1.4 Standards of quality for institutional accreditation.**

(a) *Institutional mission.* 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 basis for setting priorities.

(b) *Assessment of student achievement.*

(1) 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.

(2) The institution shall annually submit to the department:

(i) timely and accurate statistical information as prescribed by the commissioner;

(ii) additional specified reports, including data related to 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 Subpart, as determined by the department.

(3) (i) Graduation rates.

(a) 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.

(b) 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.

(ii) Job placement rates.

(a) 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.

(b) 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.

(c) 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.

(c) *Programs of study.*

(1) 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.

(2) Programs 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.

(3) 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 document actions taken to improve student learning and development.

(4) 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.

(d) *Faculty.*

(1) 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.

(iv) 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.

(2) 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.

(3) 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.

(e) *Resources.*

(1) 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.

(2) 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.

(3) 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.

(f) *Administration.*

(1) 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.

(v) 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.

(vi) 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.

(2) 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.

(g) *Support services.*

(1) The institution shall assure that whenever and wherever the institution offers courses as part of a program of study 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.

(h) *Admissions.*

(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.

Consumer information.

(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 nonmandatory 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.

(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.

(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 website 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.

(4) 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.

(ii) 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.

(iii) 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.

(iv) 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.

(v) 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.

(j) *Student complaints.*

(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 Subpart.

(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 Subpart and shall be a consideration in any review for accreditation or renewal of accreditation.

*(k) HEA Title IV program responsibilities.*

(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.

*(l) Teach-out agreements.* 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.

*(m) Public disclosure of accreditation status.* An institution that elects to disclose its accreditation status shall disclose such status accurately and identify in its disclosure the specific academic and instructional programs covered by that status and information identifying the New York State Board of Regents and the New York State Commissioner of Education as its institutional accrediting agency. Such information shall include the

address and telephone number of the department. The disclosure shall be consistent with the requirements of section 13.11 of this Title.

#### **4-1.5 Procedures for accreditation.**

##### *(a) Comprehensive review procedures.*

(1) Institutions that seek initial accreditation or renewal of accreditation shall be subject to the requirements of this subdivision.

(2) Application. Institutions seeking initial accreditation shall be required to apply for such accreditation on forms as may be prescribed by the commissioner. Institutions seeking renewal of accreditation shall submit a letter of intent seeking such renewal at least 18 months prior to the end date of the current accreditation period. Institutions seeking renewal of accreditation following accreditation under the transitional procedures prescribed in subdivision (a) of this section shall be notified by the department as to the timelines for commencement of the comprehensive review.

(3) Self-study. Institutions shall be required to conduct an in-depth self-study substantiating compliance with the standards for accreditation set forth in this Subpart and plans for improvements pertinent to such standards and shall submit such self-study to the department. The department shall review the self-study to determine whether the self-study is sufficient in depth and breadth to form a reasonable basis for a site review. A copy of the institutional assessment plan developed pursuant to paragraph (3) of subdivision (e) of section 52.2 of this Title shall be submitted together with each self-study submitted on or after July 1, 2003. The department may require the institution to submit additional information related to the self-study and/or submit additional self-study materials.

(4) Site visit. The department shall conduct a site visit to the institution to assess compliance with the standards for institutional accreditation prescribed in this Subpart.

(5) Public notice and opportunity for comment. The department shall publish in the New York State Register, or its successor publication, a notice that an institution is being considered for accreditation action and invite public written comment concerning the institution's qualifications for accreditation.

(6) Draft compliance review report. The department shall prepare a draft compliance review report and provide a copy to the institution. The institution shall be given the opportunity to respond in writing to the draft compliance review report within thirty days of the date it was sent by the department.

(7) Compliance review report. The department shall prepare a compliance review report and provide a copy to the institution. Such report shall address whether the institution has met each of the standards set forth in sections 4-1.3 and 4-1.4 of this

Subpart and shall include any comments by the institution concerning the draft compliance review report. The report shall include the department's preliminary recommendation with respect to accreditation action.

(8) Advisory council.

(i) The department shall notify the institution by first class mail return receipt requested of the date, time and location of the advisory council meeting at which the council will review the department's preliminary recommendation with respect to accreditation action.

(ii) The institution may submit to the department by first class mail, express mail, or personal service a written submission at least 20 days before the scheduled advisory council meeting.

(iii) The advisory council shall review the department's preliminary recommendation with respect to accreditation action. The department shall transmit to the advisory council the written submission by the institution pursuant to subparagraph (ii) of this paragraph, if any, and the record upon which the department made its preliminary recommendation, which shall include, but need not be limited to, the compliance review report and preliminary recommendation, the institution's self-study, the institution's application for accreditation and additional documentation submitted by the institution in support of the application, the department's responses to the institution concerning its application, and any other documentation upon which the department's preliminary recommendation was based. The advisory council shall invite staff of the department, the institution being reviewed, and at the Council's discretion other interested parties to make oral presentations at the meeting. The advisory council shall base its determination only upon the record before the department and the testimony at the advisory council meeting. A record of the testimony before the advisory council related to the accreditation review shall be maintained, but no stenographic transcript shall be required and a tape recording shall be deemed a satisfactory record.

(iv) When it concludes its review, the advisory council shall prepare a recommendation on accreditation action to the commissioner and the Board of Regents, together with a report of the factual basis and findings in support of that recommendation. The department shall transmit a copy of this recommendation and report to the institution by first class mail, return receipt requested.

(v) In the event that neither the institution nor the deputy commissioner appeals the findings and recommendations of the advisory council, as prescribed in paragraph (9) of this subdivision, the commissioner shall adopt said findings and recommendations as the commissioner's findings and recommendations to the Board of Regents.

(9) Appeal of advisory council recommendation.

(i) Either the institution or the deputy commissioner shall have the right to appeal to the commissioner the findings and recommendations of the advisory council. The institution shall have the right to be represented by counsel during the appeal.

(ii) Within 10 days of the date that the institution receives notification of the findings and recommendations of the advisory council, the institution and/or the deputy commissioner shall notify the commissioner in writing, by first class mail, express delivery, or personal service, of its intention to appeal pursuant to clause (a) of subparagraph (iii) of this paragraph or the deputy commissioner shall notify the commissioner of its intention to appeal pursuant to clause (b) of subparagraph (iii) of this paragraph.

(iii) Within 25 days of the date that the institution receives notification of the findings and recommendations of the advisory council, the institution may commence an appeal pursuant to clause (a) of this subparagraph or the deputy commissioner may commence an appeal pursuant to clause (b) of this subparagraph.

(a) Appeal by the institution. The institution may commence an appeal of the findings and recommendations of the advisory council by filing with the commissioner by first class mail, express delivery, or personal service the original appeal papers, with an affidavit proving the service of a copy thereof upon the deputy commissioner by first class mail, express delivery, or personal service. The deputy commissioner shall transmit to the commissioner the record before the advisory council and the record of its deliberations and its findings and recommendations. The deputy commissioner may also file a written response with the commissioner by first class mail, express delivery, or personal service within 30 days of service of such appeal papers upon the deputy commissioner, with an affidavit proving the service of a copy thereof by first class mail, express delivery, or personal service upon the institution.

(b) Appeal by the deputy commissioner. The deputy commissioner may commence an appeal of the findings and recommendations of the advisory council by filing with the commissioner by first class mail, express delivery, or personal service the original appeal papers, with an affidavit proving the service upon the institution by first class mail, express delivery, or personal service of a copy thereof. The deputy commissioner shall transmit to the commissioner the record before the advisory council and the record of its deliberations and its findings and recommendations. The institution may file a written response with the commissioner by first class mail, express delivery, or personal service within 30 days of service of such appeal papers upon the institution, with an affidavit proving the service of a copy

thereof by first class mail, express delivery, or personal service upon the deputy commissioner.

(c) In the event that both the institution and the deputy commissioner commence an appeal to the commissioner within the time period prescribed in this section, such appeals shall be automatically consolidated and each party shall be permitted to file a written response with the commissioner by first class mail, express delivery, or personal service within 30 days of the mailing or the personal service of the other party's appeal papers upon the party, with an affidavit proving the service of a copy thereof by first class mail, express delivery, or personal service upon the other party.

(iv) The commissioner shall review any appeal papers, written responses filed, the record before the advisory council, the record of its deliberations, and its findings and recommendations. Upon such record, the commissioner may affirm, reverse, or modify the findings and recommendations of the advisory council. Such determination shall constitute a recommendation regarding accreditation action to the Board of Regents.

(10) Regents decision. At a regularly scheduled public meeting, the Board of Regents shall consider the findings and recommendations of the commissioner and make the determination of accreditation action.

(11) Appeal of a determination of adverse accreditation action or probationary accreditation through Regents reconsideration.

(i) An institution may appeal a Regents determination of adverse accreditation action or granting probationary accreditation through a Regents reconsideration of its determination in accordance with the requirements and procedures of this paragraph. The institution shall have the right to be represented by counsel during the appeal.

(ii) Within five days of the date of a Regents determination of adverse accreditation action or granting probationary accreditation, the institution shall notify the commissioner in writing, by first class mail, express delivery, or personal service, of its intention to appeal, with an affidavit proving the service of a copy thereof upon the deputy commissioner by first class mail, express delivery, or personal service.

(iii) Within 20 days of the date of a Regents determination of adverse accreditation action or granting probationary accreditation, the institution may commence an appeal of such determination by filing with the commissioner by first class mail, express delivery, or personal service the original appeal papers, with an affidavit proving the service of a copy thereof upon the deputy commissioner by first class mail, express, delivery, or personal service.

(iv) The commissioner shall transmit the appeal papers to a standing Subcommittee on Accreditation Appeals of the Committee on Higher and Professional Education of the Board of Regents.

(v) The deputy commissioner may file a written response with the subcommittee by first class mail, express delivery, or personal service within 30 days of service of such appeal papers upon the deputy commissioner by the institution.

(vi) The subcommittee shall review any appeal papers, written responses filed, and the entire record upon which the Regents determination was based, which may include but not be limited to: the record before the advisory council, the record of the advisory council's deliberations and its findings and recommendations, any appeal papers and written responses filed for an appeal of the findings and recommendations of the advisory council, the commissioner's recommendation to the Board of Regents regarding accreditation action, and the Regents determination. Upon such record, the subcommittee may recommend to the Board of regents that it affirm, reverse, or modify its determination of adverse accreditation action or granting probationary accreditation.

(vii) At a regularly scheduled public meeting, the Board of Regents shall consider the subcommittee's recommendation and shall act to affirm, reverse, or modify its determination of adverse accreditation action or granting probationary accreditation.

(viii) While a properly filed appeal is pending, the Regents determination of adverse accreditation action or granting probationary accreditation shall be held in abeyance until the Board of Regents reconsiders the matter and acts to affirm, reverse, or modify such determination.

*(b) Compliance review procedures.*

(1) The department may institute a compliance review at any time during the institution's accreditation period to determine whether the institution is in compliance with standards prescribed in this Subpart, including but not limited to the standards prescribed in sections 4-1.3 and 4-1.4 of this Subpart. Such review may be initiated at the discretion of the department for good cause, which may be based on one or more complaints against the institution relating to such standards; or an adverse action or a placement on probation by another nationally recognized accrediting agency; or financial or compliance audits or program reviews conducted by the U.S. Secretary of Education relating to the institution's HEA Title IV program responsibilities; or other information obtained by the department that the institution may not be in compliance with standards prescribed in this Subpart; among other reasons.

(2) The department shall notify the institution as to the commencement of the compliance review. Such notification shall include but shall not be limited to a

specification of the standard or standards at issue, together with the department's reasons for finding them at issue and shall require the institution to respond in writing.

(3) The department shall review the institution's response and determine whether there is good cause to commence further review. In the event that the department determines that there is no good cause to commence further review, the department shall notify the institution of this determination and that accreditation shall continue to its term. In the event that the department determines that there is good cause to commence further review, the department shall conduct an evaluation to determine compliance with the standards prescribed in sections 4-1.3 and 4-1.4 of the Subpart, which may include a site visit. The department may require the institution to provide the department with information related to compliance with such standards, including but not limited to evidence that the institution is meeting the standard(s) or has taken immediate corrective action to meet the standard(s).

(4) Draft compliance review report. The department shall prepare a draft compliance review report and provide a copy to the institution. The institution shall be given the opportunity to respond in writing to the draft compliance review report within thirty days of the date it was sent by the department.

(5) Compliance review report. The department shall prepare a compliance review report and provide a copy to the institution. Such report shall address whether the institution has met each of the standards at issue and shall include any comments by the institution concerning the draft compliance review report. In the event that the institution has met the standard(s) at issue, the department shall notify the institution in writing of this determination and that accreditation shall continue to its term. In the event that the department determines that the institution has not met one or more standards at issue, the department shall notify the institution and shall transmit a copy of its preliminary recommendation with respect to accreditation action to the institution and to the advisory council.

(6) Advisory council.

(i) The department shall notify the institution by first class mail, return receipt requested of the date, time and location of the advisory council meeting at which the council will make an accreditation recommendation pertaining to such institution.

(ii) The institution may submit to the department by first class mail, express mail, or personal service a written submission at least 20 days before the scheduled advisory council meeting.

(iii) The advisory council shall review the department's preliminary recommendation with respect to accreditation action. The department shall transmit the written submission by the institution pursuant to subparagraph (ii) of this paragraph, if any, and the compliance review report, including its preliminary

recommendation, together with other supporting documentation, which shall include but need not be limited to, documentation prepared either by the institution or the department in support of whether a compliance standard at issue was met, and any other documentation upon which the department's preliminary recommendation was based. The advisory council shall invite staff of the department, the institution being reviewed and at the council's discretion other interested parties to make oral presentations at the meeting. A record of testimony before the advisory council related to the compliance review shall be maintained, but no stenographic transcript shall be required and a tape recording shall be deemed a satisfactory record.

(iv) When it concludes its review, the advisory council shall prepare a recommendation on accreditation action to the commissioner and the Board of Regents, together with a report of the factual basis and findings in support of that recommendation. The department shall transmit a copy of this recommendation and report to the institution by first class mail, return receipt requested.

(7) In the event that neither the institution nor the deputy commissioner appeals the findings and recommendations of the advisory council, as prescribed in paragraph (8) of this subdivision, the commissioner shall adopt said findings and recommendations as the commissioner's findings and recommendations to the Board of Regents.

(8) Appeal of advisory council recommendation. The procedures prescribed in paragraph (9) of subdivision (a) of this section shall be applicable.

(9) Regents decision. At a regularly scheduled public meeting, the Board of Regents shall consider the findings and recommendations of the commissioner and make the determination of accreditation action.

(10) An institution may appeal a Regents determination of adverse accreditation action or granting probationary accreditation through a request for the Regents to reconsider its determination in accordance with the requirements and procedures of paragraph (11) of subdivision (a) of this section. The institution shall have the right to be represented by counsel during the appeal.

*(c) Procedures for institutions on probationary accreditation.*

(1) Probationary accreditation shall be for the period of time prescribed for corrective action in accordance with the requirements of section 4-1.3(d) of this Subpart. The department shall review an institution on probationary accreditation employing the procedures prescribed in this subdivision.

(2) The department shall require the institution to demonstrate compliance with the standards that the institution needs to address through corrective action. The department shall conduct a review of such compliance, which may include a site visit.

(3) Public notice and opportunity for comment. The department shall publish in the New York State Register, or its successor publication, a notice that an institution is being considered for accreditation action and invite public written comment concerning the institution's qualifications for accreditation.

(4) Draft probationary review report. The department shall prepare a draft probationary review report assessing compliance and provide a copy to the institution. The institution shall be given the opportunity to respond in writing to the draft probationary review report within thirty days of the date it was transmitted by the department.

(5) Probationary review report. The department shall prepare a probationary review report and provide a copy to the institution. Such report shall address whether the institution has met the standards at issue and shall include any comments by the institution concerning the draft probationary review report. The report shall include the department's preliminary recommendation with respect to accreditation action.

(6) Advisory council.

(i) The department shall notify the institution by first class mail, return receipt requested of the date, time and location of the advisory council meeting at which the council will review the department's preliminary recommendation with respect to accreditation action.

(ii) The institution may submit to the department by first class mail, express mail, or personal service a written submission at least 20 days before the scheduled advisory council meeting.

(iii) The advisory council shall review the department's preliminary recommendation with respect to accreditation action. The department shall transmit to the advisory council the written submission by the institution pursuant to subparagraph (ii) of this paragraph, if any, and the record upon which the department made its preliminary recommendation, which shall include but need not be limited to, the probationary review report and preliminary recommendation, pertinent documentation prepared either by the institution or the department in support of whether the institution should be accredited, and any other documentation upon which the department's preliminary recommendation was made. The advisory council shall invite staff of the department, the institution being reviewed and at the council's discretion other interested parties to make oral presentations at the meeting. A record of the testimony before the advisory council related to the accreditation review shall be maintained, but no stenographic transcript shall be required and a tape recording shall be deemed a satisfactory record.

(iv) When it concludes its review, the advisory council shall prepare a recommendation on accreditation action to the commissioner and the Board of

Regents, together with a report of the factual basis and findings in support of that recommendation. The department shall transmit a copy of this recommendation and report to the institution by first class mail, return receipt requested.

(7) In the event that neither the institution nor the deputy commissioner appeals the findings and recommendations of the advisory council, as prescribed in paragraph (8) of this subdivision, the commissioner shall adopt said findings and recommendations as the commissioner's findings and recommendations to the Board of Regents.

(8) Appeal of advisory council recommendation. The procedures prescribed in paragraph (9) of subdivision (a) of this section shall be applicable.

(9) Regents decision. At a regularly scheduled public meeting, the Board of Regents shall consider the findings and recommendations of the commissioner and make the determination of accreditation action.

(10) An institution may appeal a Regents determination of adverse accreditation action or granting probationary accreditation through a request for the Regents to reconsider its determination in accordance with the requirements and procedures of paragraph (11) of subdivision (a) of this section. The institution shall have the right to be represented by counsel during the appeal.

(d) *Procedures for a change in scope of accreditation.*

(1) For purposes of this subdivision, substantive change shall mean:

(i) any change in the established mission or objectives of the institution;

(ii) any change in the legal status, form of control, or ownership of the institution;

(iii) the addition of courses or programs that represent a significant departure, in either content or method of delivery, from those that were offered when the department last evaluated the institution for accreditation;

(iv) the addition of courses or programs at a degree or credential level above that which is included in the institution's current accreditation;

(v) a change from clock hours to credit hours;

(vi) a substantial increase in the number of clock hours or credit hours awarded for successful completion of a program; or

(vii) the establishment of an additional location or branch campus, as such terms are defined in section 4-1.2 of this Subpart.

(2) An accredited institution that has experienced a substantive change, as defined in paragraph (1) of this subdivision, shall be required to apply to the department for a change in the scope of its accreditation in a format prescribed by the department.

(3) The department shall have the authority to make the determination concerning approval or disapproval of the institution's application for a change in the scope of accreditation, based on a substantive change.

(4) General review requirements.

(i) The institution shall document to the department that the proposed substantive change does not adversely affect its capacity to meet the standards set forth in sections 4-1.3 and 4-1.4 of this Subpart.

(ii) The institution shall document that all necessary State approval actions, including but not limited to program registrations, master plan amendments, and charter actions, have been completed favorably.

(iii) The department may conduct a site visit in connection with the review of any proposed substantive change.

(5) Special review requirements. In addition to meeting the general review requirements prescribed in paragraph (4) of this subdivision, the special review requirements prescribed in this paragraph shall apply to substantive changes concerning changes of ownership that effect a change in control of the institution, branch campuses, and additional locations.

(i) Branch campuses.

(a) For instances in which the institution seeks to extend its scope of accreditation to a branch campus, as defined in section 4-1.2 of this Subpart, the institution shall submit a business plan for the branch campus, prior to such establishment. The business plan shall include, but need not be limited to, the educational program or programs to be offered, the projected revenues and expenditures and cash flow, and the operations, management and physical resources at the branch campus.

(b) The department shall conduct a site visit to the branch campus within six months of its establishment.

(c) The commissioner may extend accreditation to the branch campus only after the department evaluates the business plan and determines that the branch has sufficient educational, financial, operational, management and physical resources to meet the standards prescribed in section 4-1.4 of this Subpart.

(ii) Additional locations.

(a) For instances in which the institution seeks to extend the scope of accreditation to additional locations, as defined in section 4-1.2 of this Subpart, the institution shall submit an application for the extension of the scope of accreditation to include such locations prior to their establishment. The department shall conduct a review, which shall include but not be limited to, determining whether the institution has the fiscal and administrative capacity to operate the additional location.

(b) Site visits.

(1) Such review shall include a site visit within six months of establishment of the additional location, if the institution: has a total of three or fewer additional locations; or has not demonstrated to the department's satisfaction that it has a proven record of effective educational oversight of additional location; or has been placed on probationary accreditation or is subject to some limitation by the department on its accreditation.

(2) The department shall conduct a site visit of additional locations when the department has evidence that a location or locations has experienced rapid enrollment growth or that the institution has experience rapid growth in the number of additional locations.

(3) The department shall visit all locations as part of a site visit for accreditation or renewal of accreditation.

(4) The purpose of the site visits prescribed in this clause shall be to verify that an additional location has the personnel, facilities and resources the institution stated that it had in its application for approval of the additional location.

(iii) Change in ownership effecting change in control. For instances in which the substantive change is caused by a change in ownership, which effects a change in control of the institution, the department shall conduct a site visit within six months of the change in ownership.

(6) Draft substantive change review report. The department shall prepare a draft report on the substantive change assessing compliance and provide a copy to the institution. The institution shall be given the opportunity to respond in writing to the draft report within thirty days of the date it was transmitted by the department.

(7) Substantive change review report. The department shall send to the institution the determination by the deputy commissioner concerning the change in the scope of accreditation, together with the substantive change review report. Such determination

and report shall address whether the institution has met the standards set forth in this Subpart, and any comments by the institution concerning the draft review report.

(8) Procedures on denial of change in scope of accreditation. Decisions to deny a change in the scope of accreditation may be appealed in accordance with the following procedures:

(i) Within 15 days of receiving notice of the decision to deny a change in the scope of accreditation, the institution shall notify the commissioner in writing by first class mail, express mail, or personal service, of its intention to appeal.

(ii) Within 60 days of receiving notice of the decision to deny a change in the scope of accreditation, the institution shall submit its appeal to the commissioner by first class mail, express mail, or personal service. The appeal shall take the form of a written statement that presents the institution's position on the determination and the substantive change review report and all evidence and information which the institution believes is pertinent to the case. The appeal shall include a statement and explanation of the specific grounds of the appeal. The institution shall have the right to be represented by counsel during the appeal.

(iii) Upon appeal by the institution, the deputy commissioner shall submit to the commissioner the documentation supporting the deputy commissioner's decision to deny the change in the scope of accreditation, including but not limited to the institution's application, additional documentation submitted by the institution in support of its application, the substantive change review report and any other documentation upon which the deputy commissioner's decision was based.

(iv) Within sixty days of receiving the institution's statement of appeal, the commissioner shall issue a determination on the appeal.

Adopted by the Board of Regents:  
June 12, 2001, effective July 4, 2001.

Amended by the Board of Regents:  
November 9, 2001, effective November 29, 2001,  
April 23, 2002, effective May 16, 2002,  
February 13, 2007, effective March 8, 2007.

# INSTITUTIONAL ACCREDITATION SELF-STUDY GUIDE

## 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.

## INSTITUTIONAL ACCREDITATION SELF-STUDY GUIDE

### SELF-STUDY FORMAT

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 (%) \_\_\_\_\_

## INSTITUTIONAL ACCREDITATION SELF-STUDY GUIDE

- **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.
- (iv) 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.
- (v) 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.
- (vi) 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.
- (ii) 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.
- (iii) 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.
- (iv) 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.
  - (v) 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.

## MATERIALS COMMONLY USED IN AN INSTITUTIONAL ACCREDITATION SELF-STUDY AND SITE VISIT

### APPENDIX A

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.

- S      1.      Copy of organizational chart; list of senior administrators and descriptions of their responsibilities.
- S      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.
- A      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.
- S      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.
- S      5.      Retention, graduation, placement statistics, licensing examination results (pass rates), advanced study, transfers, and other outcomes data. Results of employment and graduate “satisfaction surveys.”
- S      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).
- S      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.

- S 8. Copy of faculty collective bargaining contract (if applicable); blank copy of individual faculty contracts or employment agreements for full- and part-time faculty.
- S 9. Blank copy of course and faculty evaluation forms used by students, peers, and administrators.
- S 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.
- A 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.
- S 12. Course outlines/syllabi as indicated by review coordinator. (Have all syllabi available on site.)
- A 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.).
- S 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.
- S 15. Completed Faculty Profile, Faculty Continuity, Course Review, and Individual Faculty Information Forms (See Appendix B).
- S 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.
- S 17. List of materials normally in a student's file; blank copy of forms, generic letters, etc.
- S 18. List of materials normally in a faculty member's file; copy of blanks of forms.
- S 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.

- S 20. Description of recent or planned changes in curriculum, academic services and policies related to academic performance or progress of students.
- S 21. Description of measures/services to improve student performance and persistence, including scope and assessed outcomes of particular services.
- S 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.
- S 23. Sample transcripts of the prior year's graduates (15, alphabetically; personal identification should be removed).
- S 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).
- A 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).
- S 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.
- S 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.
- S 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.
- A 29. Admissions and marketing literature used in all media in the last year.
- A 30. Advertisements for faculty and professional staff positions in the last year.
- A 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.
- S 32. Summary of library/resource center print holdings, access to databases, and other resources.
- S 33. Copy of any current institutional effectiveness plan, or the equivalent.

- S 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

**INSTITUTIONAL ACCREDITATION  
SELF-STUDY GUIDE**

**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.

FACULTY PROFILE FORM

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.

Curricula (If many programs, cluster by major discipline areas). Separate programs by degree level (associate, bachelor's, etc.)	Degree Awarded	Total No.	Full-time				Prof. License in Field (e.g., CPA) <sup>1</sup>	Total No.	Part-time				Prof. License in Field (e.g., CPA) <sup>1</sup>	Name of Director or Coordinator of Curriculum
			Highest Earned Degree						Highest Earned Degree					
			Doct	Mast	First Prof <sup>2</sup>	Other degrees			Doct	Mast	First Prof <sup>2</sup>	Other degrees		

<sup>1</sup>Count may duplicate degrees

<sup>2</sup>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)

Time Teaching at Institution	Full time* (continuous service)	Part time* (total terms of service **)
Less than 1 term		
One full term to one year		
1 year but less than 3 years		
3 years but less than 5 years		
5 years but less than 7 years		
7 years but less than 9 years		
9 or more Years		

\*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

Teaching This Term: (list each section)	Credits	Approx Enroll	Location if not main campus	Day(s) and time Offered

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.

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3. EDUCATION: (starting with most recent)

<u>Degree</u>	<u>Institution</u>	<u>Date Received</u>	<u>Major/ Specialization</u>	<u>Title of Research</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

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

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

<u>Institution</u>	<u>Subjects</u>	<u>Dates</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

6. ACTIVITY IN PROFESSIONAL ASSOCIATIONS:

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7. PUBLICATIONS:

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

8. OTHER SIGNIFICANT PROFESSIONAL ACCOMPLISHMENTS

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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.  
\_\_\_\_\_

## **ANNUAL DATA REPORT FORM**

### **FOR INSTITUTIONS ACCREDITED BY THE BOARD OF REGENTS AND THE COMMISSIONER OF EDUCATION**

#### INSTRUCTIONS

Complete one form for the institution as a whole, and, if multi-campus, for the main campus and each branch campus as defined in § 4-1.2 of the Rules of the Board of Regents. For example, an institution with two branch campuses would submit three reports. Specific data do not apply uniformly to all institutions. Unless specified otherwise, complete the form for the preceding academic year, defined as July 1 through June 30.

**Due Date: January 30<sup>th</sup>**

**Send the completed report to:**

Office of College and University Evaluation  
Attention: Accreditation  
State Education Department  
Education Building, 5N Mezzanine  
89 Washington Avenue,  
Albany, NY 12234

Please also provide:

1. Two copies of your current catalog(s) and one comprehensive printed list of courses/sections offered in the most recent fall term (all locations, times, and formats).
2. Copy of any final reports of findings of audits reported to the institution by public agencies, dated within the 13 months preceding the due date of this form. Include audits or reviews of institutional compliance with program responsibilities under the Higher Education Act, Title IV.
3. Copy of any reports of other accrediting agencies and the agency accreditation action letter dated within the 13 months preceding the due date of this form.
4. The most recent certified balance sheet for the current year for the institution; current year budget. For proprietary institutions within a corporate organization, also provide the most recent certified audit of the parent corporation.
5. A list and brief description of the institutional self-assessments of administrative units, programs and services, or the institution as a whole a) scheduled and b) completed 13 months prior to the due date of this report.
6. List of any other nationally recognized accrediting agencies that preaccredit or accredit your institution or any specific programs.

NOTE: Any of these data may be provided through a copy of comparable documentation provided to other agencies or organizations, with the data items highlighted. Responses to particular items may be provided as attachments.

**ANNUAL DATA REPORT FORM FOR ACCREDITED INSTITUTIONS**

Complete form for preceding academic year – July 1 – June 30

Completed by

Name:	Date:
Title:	E-mail:
Telephone:	Fax:

**Part A: Institutional Directory Information**

Name of Institution:

Name of campus if more than one:

Address:

President (or Campus Director):

For proprietary institutions: present corporate ownership (name and corporate address):

Also provide a corporate organizational chart for all components of the corporation related to this institution, showing lines of responsibility and accountability.

Accreditation contact name:

Title:	E-mail:
Telephone:	Fax:

**Part B: Student Information**

▪ Fall enrollment (most recent fall semester):

Full-time	Undergraduate	1 <sup>st</sup> Professional	Graduate
(a) Preceding Year			
(b) Current Year			
Part-time			
(a) Preceding Year			
(b) Current Year			
Average class size			

	Preceding Year	Current Year
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▪ Undergraduate admissions (first-time freshmen; fall term)

# of completed applications		
# of acceptances		
# of freshman enrollees		

▪ Graduate admissions (all programs; fall term)

# of completed applications		
# of acceptances		
# of enrollees		

<ul style="list-style-type: none"> <li>First-professional degree student admissions (all programs; fall term)</li> </ul>			
# of completed applications			
# of acceptances			
# of enrollees			
<ul style="list-style-type: none"> <li>Admissions Test Scores for most recent two years available (e.g., SAT/ACT, CPAt, ESL, GRE, GMAT, LSAT, etc.)</li> </ul> <p>For scores, report middle 50 percent range, or mean or median (cite which one). For each test provide key to scores or benchmarks (grade, equivalency, percentile, etc.).</p>			
Test Name:			
Year	Scores		Key for Scores
(1)			
(2)			
Test Name:			
Year	Scores		Key for Scores
(1)			
(2)			
Test Name:			
Year	Scores		Key for Scores
(1)			
(2)			
Freshman persistence rate (full-time, first-time, first term to second term) in the preceding two years			
Year	Entering Number	Continuing Number	Persistence Rate
(1)			
(2)			
<b>PART C: Educational Program Information</b>			
<ul style="list-style-type: none"> <li>Courses (most recent fall term)</li> </ul>			
Total # of course titles offered			
Total # of course sections offered			
% of sections taught by full-time faculty			
Total # of courses for credit provided by a non-accredited* entity through one or more contractual relationships			
*Non-accredited means not accredited by an agency nationally recognized as an accrediting agency by the U.S. Secretary of Education.			
Describe contracts, courses, clientele and enrollments on separate sheet.			
<ul style="list-style-type: none"> <li>Distance education for fall term only (i.e., teacher and student not in the same place)</li> </ul>			
	Preceding Year	Current Year	
# of students taking distance education courses			
# of courses offered through distance education			
List on a separate sheet all programs for which 50 percent or more of credits may be earned through distance education. Asterisk programs that can be completed entirely through distance education			

<b>PART D: Faculty Information</b>				
▪ Number of Faculty (all faculty teaching at location in the fall semester)				
	Preceding Year		Current Year	
Full-time				
Part-time				
<b>PART E: HEA TITLE IV Responsibilities Information</b>				
▪ Federal loan default data (most recent two years available)				
Year	Number in Default		Rate of Default	
(1)				
(2)				
<b>PART F: Student Outcomes Information</b>				
▪ Number of degrees awarded for preceding academic year				
Associate	Baccalaureate	Master's	Doctorate	1 <sup>st</sup> Professional
▪ Undergraduate cohort graduation rates for FT undergraduate for two most recent cohorts reported: (3 years for associate degree, 6 years for baccalaureate degree)				
Degree level:				
Year	Entering Number	Completing Number	Completion Rate	
(1)				
(2)				
▪ Provide on separate sheet job placement data by field, as reported to other data systems (VTEA, ACICS or other organizations), or as collected if not reported, for each of the two most recent years available.				
▪ Exit examination scores: Provide results of licensure (teaching, nursing, law, etc.) or equivalent proficiency outcomes of enrollees and graduates for each of the last two years (percent passing/score distribution)				
Test	Year	Number	Percent Passing	

## PART G: MAJOR INSTITUTIONAL CHANGES INFORMATION

- **Summary of recent major changes.** Include those changes made in the 13 months preceding the due date of this form. Also include changes planned for the next six months after the due date.
  1. Senior administrative officers and trustees
  2. Ownership/control (if proprietary) with date of change
  3. Additional branch campuses as defined in § 4.2 (f) of the Regents Rules. Document any State approvals connected with addition of one or more branch campuses as federally defined.
  4. Substantial change in mode of instructional delivery (including distance learning and alliances/collaborative relationships with other colleges and non-collegiate organizations)
  5. Major changes in scope of educational program, including new degree level and expansions/contractions by 50 percent or more in fall enrollment (at one-degree level for program having one or more full- and part-time students). Document any State approvals (i.e., program registrations, master plan amendments, charter amendments) granted or in application that are related to each change cited
  6. Significant capital investments related to the educational program
  7. Major changes in revenue (greater than 20 percent) from any one source (including Federal or State student aid). Other significant changes in financial resources or their allocation.
  8. Major changes in current or prospective expenses and/or liabilities (including student aid disallowance)
  9. List of formal student complaints and their outcomes.

Complete one form for the institution as a whole, and if multi-campus, for the main campus and each branch campus defined as in § 4-1.2 of the Rules of the Board of Regents. Please complete the form for the preceding academic year defined as July 1 through June 30.

Please also provide:

1. Two copies of the institution's current catalog(s) and one comprehensive printed list of courses/sections offered in the most recent fall term (all locations, times, and formats).
2. Copy of any reports of other accrediting agencies and the agency accreditation action letter dated with the 13 months preceding the due date of this form.
3. List of any other nationally recognized accrediting agencies that preaccredit or accredit your institution or any specific programs.

## INSTITUTIONAL ACCREDITATION POLICIES RELATED TO THE CRITERIA OF THE UNITED STATES SECRETARY OF EDUCATION

***These policies supplement provisions of Subpart 4-1 of the Rules of the Board of Regents.***

### **Composition of Evaluation and Decision-Making Bodies**

The evaluation, policy, and decision-making bodies directly involved in accreditation by the Regents and the Commissioner acting as a nationally recognized institutional accrediting agency shall include academic and administrative personnel [Ref: 34 CFR 602.15 (a) (3)].

When the Regents and the Commissioner act as a nationally recognized institutional accrediting agency, the public shall be represented on all decision-making bodies involved in the institutional accreditation function [Ref: 34 CFR 602.15 (a) (5)].

### **Maintenance of Records of Accreditation Reviews and Decisions**

When the Regents and the commissioner act as a nationally recognized institutional accrediting agency, complete and accurate records of the last two full accreditation reviews of each institution shall be retained. These records include the institution's most recent self-study report, on-site evaluation reports, institutional responses to on-site reports, and other reports, annual reports, mid-point and other periodic reports, any reports of special reviews conducted by the Department between regular reviews, all accreditation decisions, including adverse actions, and all correspondence with the institution that is significantly related to decisions about its accreditation [Ref:34 CFR 602.15(b)].

### **Review of Accreditation Standards**

A review of all institutional accreditation standards in Subpart 4-1 of the Rules of the Board of Regents shall be conducted on a repeating four-year cycle. The purpose of the comprehensive review in each cycle will be an examination of the adequacy, in practice, of the standards for the evaluation of educational quality. A review plan and schedule within this cycle shall be developed and implemented by accreditation staff of the Department in consultation with the Regents Advisory Council on Institutional Accreditation. Complaints about accreditation standards or procedures will be considered in the cyclical program of comprehensive review of its standards. In addition, accreditation standards and their applications shall be examined continuously, based on accreditation experience and feedback from pertinent constituencies, to assure currency with evolving standards in distance education and other evolving areas.

The Regents shall initiate action on changes to the standards within 12 months of identifying a need for such changes. Such changes shall take effect within a stated time following formal adoption by the Regents. Revisions of standards or adoption of new standards by the Board of Regents shall take into account any recommendations of the Regents Advisory Council on Institutional Accreditation and shall include an opportunity for comment by accredited institutions, other relevant constituencies, and the public for a period of not less than 45 days [Ref: 34 CFR 602.21(a)].

## Review of Complaints

In responding to complaints against itself as an accrediting agency, it is the Department's policy to ask the office that is the subject of the complaint to review the matter and resolve it if possible or, alternatively, to explain why it cannot be resolved in the manner desired by the complainant. It is Department policy to respond to any such complaints within 30 days of receipt. If the complaint involves a person or persons, it is Department policy to ask an administrator outside the accreditation staff to provide an unbiased assessment of the complaint. If the complaint is about accreditation standards or procedures, it is Department policy to assign the review to the Department's Office of Counsel to provide an unbiased assessment of the complaint.. A complainant is informed that he or she may directly contact the U.S. Secretary of Education with a complaint regarding the accreditation standards or procedures of the agency [Ref: 34 CFR 602.23 (c)].

## Provision for Public Correction of Incorrect or Misleading Information on Accreditation

An institution that designates the Board of Regents and the Commissioner of Education as its nationally recognized institutional accrediting agency for Title IV purposes shall make public correction, as specified by the Regents and the Commissioner, of incorrect or misleading information related to the accreditation status of the institution, the contents of reports of on-site reviews, or the accreditation actions of the Regents and the Commissioner, with respect to the institution. Subsequent to an investigation, correction may include all or some of the following: (1) posting of the correction on the institution's web site; (2) correction notices in the media in which the misrepresentation has been disseminated; and (3) letters of correction to any agency or organization to which the institution provided the misleading or inaccurate information, all nationally recognized agencies that accredit one or more programs at the institution or the institution as a whole, the U.S. Secretary of Education; or any interested parties that make inquiry about the misrepresentation.

Persistent or serious misrepresentation may provide a basis for adverse accreditation action by the Regents and the Commissioner pursuant to Subpart 4-1 of the Rules of the Board of Regents. [Ref: 34 CFR 602.23 (e)].

## Notifications of Accreditation Decisions

The following entities shall be notified of the following actions:

- (1) **Entities:** Secretary of Education (by letter), appropriate accrediting agencies (by letter), and the public (by public notice in the *New York State Register*, published by the New York State Department of State, and on the accreditation web site of the Office of Higher Education).
- (2) **Actions:** A decision to award initial accreditation to an institution or to review its accreditation; a final decision to deny, withdraw or terminate the accreditation of an institution; a decision to take adverse accreditation action against an institution or place an institution on probation; or a decision by an accredited institution to withdraw from or let lapse its accreditation.

With respect to those institutions that designate the Board of Regents and the Commissioner as their primary nationally recognized institutional accrediting agency for Title IV purposes, the Department shall provide to the Secretary and appropriate accrediting agencies written notice of any action cited under §602.26(b)(1) or (2) within 30 days of the date the action is taken. Within 60 days after a decision to place an institution on probation or to deny, withdraw, suspend, revoke or terminate an institution's accreditation, the Board of Regents will provide a brief statement to the Secretary and the public, upon request, summarizing the reasons for the adverse action. It will provide the institution an opportunity to comment with regard to the decision of adverse action and forward those statements and comments, if any, to the Secretary. It will also make such statements and comments, if any, available to the public, upon request.

The Department shall provide public notice of decisions described above through posting with the New York Department of State within 24 hours of notice to the institution, for publication in the New York *State Register*. The Department shall, within 30 days of receipt of notification from any accredited institution its decision to withdraw voluntarily from accreditation by the Regents and the Commissioner, notify the Secretary and appropriate accrediting agencies of this decision. The Department shall notify the Secretary and appropriate accrediting agencies of any lapse of accreditation within 30 days of the date of lapse [Ref: 34 CFR 602.26].

### **Information to be Provided to the U.S. Secretary of Education**

The Secretary of Education will be provided a copy of any annual report prepared by the Regents and the Commissioner acting in their capacity as a nationally recognized institutional accrediting agency.

The Secretary of Education will be provided a copy, updated annually, of the directory of institutions accredited by the Regents and the Commissioner acting as a nationally recognized institutional accrediting agency.

The Secretary of Education will be provided a written data summary of the Regents and the Commissioner's activities as a nationally recognized institutional accrediting agency during the previous year if requested by the Secretary.

The Secretary of Education will be provided any proposed change in policies, procedures or accreditation standards that might affect the Regents and the commissioner's scope of recognition or compliance with the criteria for recognition at the same time such proposed change is published in the *State Register*.

The Secretary of Education will be provided the name of any institution or program that the Regents and the Commissioner have reason to believe is failing to meet its HEA Title IV responsibilities or is engaged in fraud or abuse, together with the reasons for the Department's concern.

The Secretary of Education will be provided information in the possession of the Regents and the Commissioner related to an accredited institution's compliance with its HEA Title IV responsibilities upon request of the Secretary [Ref: 34 CFR 602.27].

## **Regard for the Decisions of States and Other Accrediting Agencies**

The Secretary of Education will be provided a thorough explanation, consistent with the Regents and the Commissioner's institutional accreditation standards, of why it is accrediting an institution that has been denied accreditation or is under adverse action by another nationally recognized agency. The Regents and the Commissioner will provide this explanation within 30 days of the accreditation action.

The Regents and the Commissioner will, upon request, share with other appropriate recognized agencies and state approval agencies information about the accreditation status of an institution and any adverse actions taken against an accredited institution [Ref: 34 CFR 602.28].

## THE NEW YORK STATE REGENTS ADVISORY COUNCIL ON INSTITUTIONAL ACCREDITATION

The Regents Advisory Council on Institutional Accreditation is a key external accreditation group composed of nine voting members who are educators and public representatives. Its purpose is to review applications for accreditation and renewal of accreditation of New York colleges and universities voluntarily seeking accreditation by the Regents and the Commissioner, pursuant to Subpart 4-1 of the Rules of the Board of Regents, to establish eligibility to participate in HEA Title IV student aid programs. The Council also reviews such other matters as the Department may ask it to review and makes recommendations to the Regents and the Commissioner based on its review. It also advises the Department on institutional accreditation procedures, standards, and policies [§3.12(d)(1) of the Regents Rules].

The Advisory Council meets twice a year to review all applications for accreditation and renewal of accreditation that are submitted to it by the Senior Deputy Commissioner of Education. The organization, procedures and responsibilities of the Advisory Council are set forth in its Bylaws. Council members are

Russell K. Hotzler  
President  
CUNY New York City College of Technology  
New York, NY  
Council Chair  
Term ends June 30, 2010

Barbara Bartoletti, Legislative Director  
New York State League of Women  
Voters  
Albany, NY  
Public Member  
Term ends: June 30, 2010

Charles Callahan III, Vice President  
and Chief Operating Officer  
Plaza College  
Jackson Heights, NY  
Term ends: June 30, 2010

Wayne McCown, Ph.D.  
Vice President and Dean  
Northeastern Seminary  
Rochester  
Term ends: June 30, 2010

Gillian Small  
University Dean for Research  
The City University of New York  
New York  
Term ends: June 30, 2010

Warren Rosenberg, PhD  
Provost & Vice President of Academic Affairs  
Iona College  
715 North Avenue  
New Rochelle, NY 10801  
(914) 633-2601  
Term ends: October 30, 2012

Geraldine Pasternak  
Professor, Department of Behavioral Sciences  
Kingsborough Community College  
Brooklyn, NY  
Term ends: June 30, 2010

David John Rhodes, President  
School of Visual Arts  
New York, NY  
Council Vice Chair  
Term ends: June 30, 2009

David J. Triggle  
University Distinguished Professor  
of Biochemical Pharmacology  
State University of New York at Buffalo  
Buffalo, NY  
Term ends: June 30, 2009

Joseph P. Frey  
Deputy Commissioner of Education  
*ExOfficio*

# NEW YORK STATE REGENTS ADVISORY COUNCIL ON INSTITUTIONAL ACCREDITATION

## BYLAWS

### Article I. Purpose

There is need for a board composed of educators and public representatives to assist the Board of Regents and the Commissioner of Education in making institutional accreditation and reaccreditation determinations for degree-granting institutions in New York State that seek accreditation by the Board of Regents and the Commissioner, acting in their capacity as a nationally recognized accrediting agency. The Regents Advisory Council on Institutional Accreditation (hereinafter the "Council") is therefore established. The Advisory Council will review all applications for accreditation and reaccreditation that are submitted to it by the Senior Deputy Commissioner of Education P-16 and make recommendations to the Regents and the Commissioner based on its review. The Council will also serve as an advisory group on institutional accreditation procedures, standards, and policies.

### Article II. Membership

*Section 1.* (a) The Council shall be composed of a minimum of nine voting members and one non-voting member. Members of the Council shall not participate in any decisions in which there is a conflict or the appearance of a conflict between their duty in the public interest and their private interests.

(b) Membership shall include:

- (i) At least seven educators practicing in New York State. Of this number, at least two shall have experience as senior administrators in degree-granting institutions; at least two shall have had experience as full-time faculty members in degree-granting institutions; at least one shall be a full-time faculty member at the time of appointment.
- (ii) At least two public representatives. Members of this group shall include persons who have a community and public-interest organization experience and who have demonstrated interest in higher education and who are not affiliated with a degree-granting institution in New York State as an employee or unpaid officer.
- (iii) The Deputy Commissioner of Education, *ex officio*, who shall be a non-voting member.

*Section 2.* The Commissioner shall appoint members to serve on the Council.

*Section 3.* The responsibility of the appointed members shall be to serve the purpose of the Council set forth in Article I.

*Section 4.* (a) Terms of the initial voting members of the Council shall be arranged so that the terms of three members will expire on June 30, 2001, the terms of three members will expire on June 30, 2002, and the terms of the three remaining members will expire on June 30, 2003. Thereafter, members shall be appointed to serve a regular term of three years each.

*Section 5.* It shall be the duty of the Council to prescribe and implement attendance policies for the membership. Timely accomplishment of the Council's work shall underlie such policies.

### Article III, Governance

*Section 1.* The Commissioner shall appoint a chair and vice chair from the membership who shall serve terms of three years, except for the initial chair and vice chair who will serve from May 19, 2000, through June 30, 2001. Thereafter, the terms shall commence on July 1 and end on June 30 of the third year following.

*Section 2.* The chair or, in his/her absence or incapacity, the vice-chair shall:

- Preside at meetings of the Council;
- Be responsible for the preparation of each meeting agenda in consultation with the Senior Deputy Commissioner of Education P-16;
- Serve as an ex-officio, non-voting member on such standing or ad hoc committees or subcommittees as the Council or Commissioner may establish;
- Recognize individuals and representatives of constituent groups from whom the Council seeks to solicit information;
- Establish, with the concurrence of the Commissioner, provisions for considering written statements from individuals who have requested permission to present them with respect to specific upcoming applications for accreditation and reaccreditation; and
- Provide for the preparation of an annual report of Council activities to the Board of Regents.

*Section 3.* Periodically, the Council shall report its accreditation and reaccreditation recommendations to the Board of Regents through the Commissioner of Education. It also shall make an annual report to the Board of Regents which will both summarize the actions of the Council and include any recommendations the Council may, following self-study, choose to make on its procedures or on the institutional accreditation processes and standards.

*Section 4.* The Chair shall appoint *ad hoc* committees to review individual applications for institutional accreditation or reaccreditation. These committees normally shall consist of two voting members, neither of whom shall have a conflict of interest, as provided in Section 1a of Article II of these bylaws. The task of these committee members is to be primary readers of the application. Each committee shall make a recommendation to the full Council for its discussion and recommendation. The chair also shall appoint annually an *ad hoc* committee to review procedures and policies related to the Council's responsibilities and operation and make recommendations to the Council. The work of this committee may form a basis for the Council's annual report to the Board of Regents.

## Article IV. Meetings

*Section 1.* The Council shall meet twice a year for one or two consecutive days, to be determined by the Department. The chair may also call additional meetings for good cause.

*Section 2.* The Council shall make decisions regarding recommendations to the Board of Regents by a majority vote of its voting membership. The chair or vice chair has full voting power on all decisions by the Council. A record of dissenting votes and comments will be placed in the Council minutes. In exceptional circumstances the chair may permit members to vote *in absentia* under conditions he or she shall prescribe. The chair shall decide on requests for permission to vote *in absentia* consistently and shall not grant or deny permission arbitrarily.

*Section 3.* Meetings shall contain the following elements: call to order; determination of a quorum, approval of minutes of the preceding meeting, items of information, action items, discussion items, items for inclusion in future meeting agendas, and adjournment.

*Section 4.* A majority of the full voting membership of the Council constitutes a quorum.

## Article V. Duties of Staff

*Section 1.* Staff shall:

- Keep minutes of all full Council meetings;
- Transmit copies of minutes to all Council members at least seven days in advance of the next Council meeting;
- Transmit copies of Council-approved minutes to the Senior Deputy Commissioner of Education P-16;
- Send agenda materials to Council members sufficiently in advance of each meeting;
- Have copies of Council agenda materials available at the time of Council meetings; and
- Provide materials needed for review of proposed accreditations and reaccreditations as determined by the chair. These materials may include the institutional self-study, reports of external reviews, and staff recommendations.

## Article VI. Expectations of Members

*Section 1.* Council members are expected to attend all scheduled meetings. With prior notification and for valid reasons, the chair may excuse members. Two unexcused absences from scheduled meetings within a 12-month period are grounds for removal of the member from the Council.

*Section 2.* Council members are expected to prepare thoroughly for each meeting by reading and reacting to supporting documents, as provided.

*Section 3.* Council members are expected to work in a collaborative fashion with each other, the Board of Regents, and Education Department staff. Council members are expected to express views and opinions or concerns openly and constructively.

*Section 4.* Council members are expected to apply consistently and evenhandedly the institutional accreditation standards set forth in the Education Law and other New York State statutes, the Rules of the Board of Regents, the Regulations of the Commissioner of Education, and policies applicable in New York State to degree-granting institutions and relevant to the U.S. Secretary of Education's criteria for national recognition as an accrediting agency.

#### Article VII. Amendments

*Section 1.* Any member of the Council may submit a proposed amendment to these bylaws. A written, full, and complete text of the proposed amendment shall be provided to the membership at least one month prior to the meeting at which the amendment is to be considered. Approval of the amendment shall be by two-thirds vote of the full voting membership. Amendments shall become effective upon approval by the Commissioner.

#### Article VIII. Approval of Bylaws

*Section 1.* These bylaws shall take effect upon adoption by a two-thirds vote of the voting membership and approval by the Commissioner.

Adopted by the Council: May 19, 2000

Amended: October 13, 2000, October 26, 2001  
(April 2007 amendment pending approval of the Commissioner)

Approved by the Commissioner: *Richard P. Mills*

**DIRECTORY OF COLLEGES AND UNIVERSITIES ACCREDITED BY THE  
NEW YORK STATE BOARD OF REGENTS AND THE COMMISSIONER OF EDUCATION**

**American Academy of Dramatic Arts**

120 Madison Avenue  
New York, NY 10016-7089  
New York County  
(212) 686-9244  
Roger Croucher, President  
Control: Independent (Not-for-profit)  
Highest Degree Awarded: Associate  
Accredited Since: 1972

**American Museum of Natural History, Richard Gilder Graduate School**

Central Park West at 79<sup>th</sup> Street  
New York, NY 10024  
New York County  
(212) 769-5100  
Ellen V. Futter, President  
Control: Independent (Not-for-profit)  
Highest Degree Awarded: Doctorate, graduate only  
Accredited Since: 2009

**Bramson ORT College**

69-30 Austin Street  
Forest Hills, NY 11375-4222  
Queens County  
(718) 261-5800  
Ephraim Buhks, President  
Control: Independent (Not-for-profit)  
Highest Degree Awarded: Associate  
Accredited Since: 1979

Additional Location:

Bramson ORT College  
Bensonhurst Campus  
5815 20th Avenue  
Brooklyn, NY 12230  
Kings County  
(718) 261-5800  
Accredited Since: 2000

**Christie's Education**

11 West 42<sup>nd</sup> Street, 8<sup>th</sup> Floor  
New York, NY 10036  
New York County  
(212) 355-1501  
Véronique Chagnon-Burke, Director of Studies  
Control: Proprietary (For-profit)

Highest Degree Awarded: Master's, no undergraduates  
Accredited since: 2007

### **Cold Spring Harbor Laboratory**

P.O. Box 100  
One Bungtown Road  
Cold Spring Harbor, NY 11724-0100  
Suffolk County  
(516) 367-8310/6890  
Dr. Bruce Stillman, President

Control: Independent (Not-for-profit)  
Highest Degree Awarded: Doctorate, no undergraduates  
Accredited Since: 1998

### **Elmezzi Graduate School of Molecular Medicine**

350 Community Drive  
Manhasset, NY 11030-3828  
Nassau County  
(516) 562-1001  
(718) 470-7553

Dr. Michael Dowling, CEO & President  
Control: Independent (Not-for-profit)  
Highest Degree Awarded: Doctorate, no undergraduates  
Accredited Since: 1994

### **Globe Institute of Technology, Inc.**

500 Seventh Avenue  
New York, NY 10018  
New York County  
(212) 349-4330  
Martin Oliner, President

Control: Proprietary (For-profit)  
Highest Degree Awarded: Baccalaureate  
Accredited Since: 1996

### **Holy Trinity Orthodox Seminary**

Corner Robinson Road & Route 167  
Jordanville, NY 13361-1919  
Herkimer County  
(315) 858-0945

The Very Reverend Archimandrite Luke, Rector  
Control: Independent (Not-for-profit)  
Highest Degree Awarded: Baccalaureate  
Accredited Since: 1948

### **Institute of Design and Construction**

141 Willoughby Street  
Brooklyn, NY 11210-1919  
Kings County  
(718) 855-3661

Vincent C. Battista, Executive Director  
Control: Independent (Not-for-profit)  
Highest Degree Awarded: Associate

Accredited Since: 1972

Louis V. Gerstner Jr. Graduate School of Biomedical  
Sciences at Sloan-Kettering Cancer Center  
1275 York Avenue  
PO Box 441  
New York, NY 10021-6007  
(646) 888-6639  
Dr. Harold Varmus, President  
Control: Independent (Not-for-Profit)  
Highest Degree Awarded: Graduate Only  
Accredited Since: 2008

### **New York Academy of Art**

111 Franklin Street  
New York, NY 10013-2911  
New York County  
(212) 966-0300  
David Kratz, President  
Control: Independent (Not-for-profit)  
Highest Degree Awarded: Master's, no undergraduates  
Accredited Since: 1989

### **New York Career Institute**

11 Park Place  
New York, NY 10007  
New York County  
(212) 962-0002  
David Reid, President  
Control: Proprietary (For-profit)  
Highest Degree Awarded: Associate  
Accredited Since: 1982

### **New York College of Health Professions**

6801 Jericho Turnpike, Suite 300  
Syosset, NY 11791  
Nassau County  
(516) 364-0808  
Lisa Pamintuan, President  
Control: Independent (Not-for-profit)  
Highest Degree Awarded: Master's  
Accredited since: 2007

### **Northeastern Seminary**

2265 Westside Drive  
Rochester, NY 14624-1997  
Monroe County  
(585) 594-9471/6800  
John Martin, President, Roberts Wesleyan  
Control: Independent (Not-for-profit)

Highest Degree Awarded: Master's, no undergraduates  
Accredited Since: 1998

### **Rabbi Isaac Elchanan Theological Seminary**

2540 Amsterdam Avenue  
New York, NY 10033  
(212) 960-5280

Rabbi Yona Reiss

Control: Independent (Not-for-profit)

Highest Degree Awarded: Advanced Certificate

Accredited Since: 1973

### **The Rockefeller University**

1230 York Avenue  
New York, NY 10021-6399  
New York County  
(212) 327-8000

Dr. Paul M. Nurse, President

Control: Independent (Not-for-profit)

Highest Degree Awarded: Doctorate, no undergraduates

Accredited Since: 1954

### **Salvation Army School for Officer Training**

201 Lafayette Avenue  
Suffern, NY 10901  
Rockland County  
(845) 357-3501

Major Stephen Banfield, Training Principal

Control: Independent (Not-for-profit)

Highest Degree Awarded: Associate

Accredited Since: 2005

### **Technical Career Institutes**

320 West 31<sup>st</sup> Street  
New York, NY 10001-2789  
New York County  
(212) 594-4000

James Melville, President

Control: Proprietary (For-profit)

Highest Degree Awarded: Associate

Accredited Since: 1972

### **The King's College**

350 Fifth Avenue, Suite 1500  
New York, NY 10118  
New York County  
(212) 659-7200

J. Stanley Oakes, President

Control: Independent (Not-for-profit)

Highest Degree Awarded: Baccalaureate

Accredited Since: 1999

### **Union Graduate College**

Lamont House  
807 Union Street  
Schenectady, NY 12308-3103  
Schenectady County  
(518) 388-6148  
Laura Schweitzer, President  
Control: Independent (Not-for-profit)  
Highest Degree Awarded: Master's  
Accredited Since: 2004

### **Utica School of Commerce**

201 Bleecker Street  
Utica, NY 13501-2280  
Oneida County  
(315) 733-2300  
Philip M. Williams, President  
Control: Proprietary (For-profit)  
Highest Degree Awarded: Associate  
Accredited Since: 1972

#### Additional Locations:

Utica School of Commerce  
Canastota Campus  
P.O. Box 462  
Route 5  
Canastota, NY 13032-0462  
Madison County  
(315) 697-8200  
Accredited Since: 1995

Utica School of Commerce  
Oneonta Campus  
17 Elm Street  
Oneonta, NY 13820-1828  
Otsego County  
(607) 432-7003  
Accredited Since: 1995

### **Wood/Tobe-Coburn School**

8 East 40<sup>th</sup> Street  
New York, NY 10016-0190  
New York County  
(212) 686-9040  
Sandi Gruninger, President  
Control: Proprietary (For-profit)  
Highest Degree Awarded: Associate  
Accredited Since: 1972



**ACCREDITATION STAFF  
OF THE BOARD OF REGENTS AND THE COMMISSIONER OF EDUCATION**

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University of the State of New York and  
Commissioner of Education

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Office of Higher Education

Barbara D. Meinert, Coordinator  
Office of College and University  
Evaluation

Robert F. McHugh, Associate

Paul Thompson, Associate

Kathleen Egan, Associate

Ellen Zunon, Associate

Linnea D. LoPresti, Associate

Doreen G. Moore, Administrative Assistant