Application for Provisional Authorization

to Open a New York State College or University

Organizations seeking to open a New York State college, university, or other institution that offers postsecondary degree programs are subject to the rules and procedures in Section [3.58](https://govt.westlaw.com/nycrr/Document/Iec9dd965c22111dd97adcd755bda2840?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default)) (for-profit) or Section [3.59](https://govt.westlaw.com/nycrr/Document/Icf196ee274a011e8a71bfcba64910a96?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default)) (independent/non-profit) of the Rules of the Board of Regents.

The application materials contained herein represent the requirements for the submission of a written application for provisional authorization subject to the terms of Sections 3.58(c)(1) and 3.59(c)(1) of the Rules of the Board of Regents.

Eligibility

* Individuals, groups, or organizations seeking to establish an independent non-profit New York State college or university are eligible to apply through this pathway and are subject to the rules and procedures of Section [3.59](https://govt.westlaw.com/nycrr/Document/Icf196ee274a011e8a71bfcba64910a96?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default)) of the Rules of the Board of Regents.
* Proprietary/for-profit organizations with an educational purpose, seeking to operate as a New York State college, university, or other institution with the authority to offer degree programs and confer degrees are eligible to apply through this pathway and are subject to the rules and procedures of Section [3.58](https://govt.westlaw.com/nycrr/Document/Iec9dd965c22111dd97adcd755bda2840?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default)) of the Rules of the Board of Regents.
* This application is not designed for organizations seeking to operate programs related to [professional licensure](https://www.op.nysed.gov/professions-index). Organizations interested in starting a college to offer programs related to professional licensure in New York should contact the New York State Education Department’s Office of Professions, Professional Education Program Review (PEPR) for more information on how to apply through that office. Please contact PEPR at [opprogs@nysed.gov](mailto:opprogs@nysed.gov) or 518 474-3817 ext. 360 for more information.
* This application is not designed for institutions located in another state or country that are seeking to offer a degree program or college coursework in New York State. These institutions can apply through the [Permission to Operate](http://www.nysed.gov/higher-ed-authorization/application-submission-and-review) pathway under Section [3.56](https://govt.westlaw.com/nycrr/Document/Iec9db25cc22111dd97adcd755bda2840?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default)&bhcp=1) of the Rules of the Board of Regents. For more information regarding the options for existing institutions located in another state or country contact [IHEauthorize@nysed.gov](mailto:IHEauthorize@nysed.gov).
* Public P-12 schools and school districts are not eligible for authorization to grant college credit or to offer programs that lead to postsecondary degrees conferred by the school or district. Public P-12 schools and school districts that seek to offer postsecondary credit-bearing instruction must do so in formal partnership with an existing New York State college or university with degree-conferring authority.

Initial Review Procedures

Properly submitted written applications will be reviewed by the New York State Education Department (the Department) to determine whether the applicant demonstrates sufficient initial evidence of meeting the requirements set forth in Section 3.58(b)(3) (for-profit), or Section 3.59(b) (independent/non-profit) of the Rules of the Board of Regents. The Department may elect to consult with external fiscal or program content experts in an advisory capacity to aid in its review determination.

* For those written applications that demonstrate sufficient initial evidence of meeting the requirements, the Department will notify the applicant in writing, and the applicant shall be subject to the secondary review procedures set forth in Sections 3.58(c)(2) (for-profit) or 3.59(c)(2) (independent/non-profit) of the Rules of the Board of Regents.
* For written applications that do not demonstrate sufficient initial evidence of meeting the requirements, the application will be closed without further action. In such cases, the Department will provide the applicant with the reasons for its decision in writing. Applicants whose applications are closed may submit a new application no earlier than one year after the Department’s final determination to close the application.

Application Formatting

* The Proposal Narrative should be written in 12-point sans-serif font, double-spaced and using 1-inch margins from all edges.
* Charts or graphs included in the Proposal Narrative do not need to follow font size guidelines but must remain within the 1-inch margins.
* Responses in the Proposal Narrative should be organized using the exact headings and exact numbered order as the prompts identified in the Proposal Narrative Requirements.
* Every page of the Proposal Narrative should be counted and all except the title page must have a printed number in the lower right corner. The prefatory pages (Table of Contents Page, List of Attachments) page should be numbered with a lower-case Roman numeral. Beginning with Section 1. Applicant Information, pages should be numbered consecutively, with Arabic numerals, starting with Arabic numeral 1 and continuing to the end of all material presented.
* The Proposal Narrative, excluding the Academic Programs section, must not exceed 100 pages in length.
* The Proposal Narrative should be one consolidated PDF, excluding attachments.
* Required Attachments should be submitted as separate PDF documents, labeled according to the Proposal Narrative instructions.

Submission Procedures

1. Prior to application submission, organizations must first submit a [Notification of Intent](http://www.nysed.gov/higher-ed-authorization/form/degree-authority-notice-of-intent).
2. Once the [Notification of Intent](http://www.nysed.gov/higher-ed-authorization/form/degree-authority-notice-of-intent) is received, NYSED will acknowledge receipt of the Notification of Intent form and provide a link to register for access to a secure online application submission folder. Please note that submission of a Notification of Intent does not guarantee a specific place in the queue of received and completed applications pending review.
3. Do not submit a paper copy of the application. Once an application is ready for submission, all files should be uploaded to the application submission folder and a formal notice of application submission should be sent to [IHEauthorize@nysed.gov.](mailto:IHEauthorize@nysed.gov.)
4. A non-refundable, non-transferable check for $7,000, plus $2,500 for each additional degree program if more than one such program is requested, made payable to the New York State Education Department will be due upon submission of the application.
5. The application payment must be mailed to the address below and include:
   * a check made out to the New York State Education Department
   * a NYSED payment form (see the Application Workbook)

New York State Education Department

ATTN: Provisional Authorization

Office of College and University Evaluation

89 Washington Avenue, Room 960 EBA

Albany, NY 12234

Submission Checklist

A complete written application for provisional authorization includes each of the following:

1. A complete, fully developed, and properly formatted Proposal Narrative;
2. All Attachments properly formatted and separately labeled;
3. Completed  Application Workbook (MS Excel) including all applicable tabs; and
4. Completed Proposed Budget (MS Excel)
5. Check made payable to the New York State Education Department for $7,000 plus $2,500 for each additional degree program if more than one such program is requested.

*Notes:*

1. *The submission of an application for authorization and/or applicant expenditures for the purposes of seeking authorization are not guarantees that the applicant will obtain authorization or be cleared to open if authorized. Any applicant expenses or debts incurred are done so at the risk of not obtaining authorization or registration.*
2. *Material submitted to the NYS Education Department is available pursuant to the NYS Freedom of Information Law (Article 6, Public Officers Law,* [*Sections 84-90*](https://dos.ny.gov/coog/foil2.html)*), unless specifically exempt from release pursuant to §87(2).*

Technical Assistance

Technical questions about submission requirements should be directed to [IHEauthorize@NYSED.gov](mailto:IHEauthorize@NYSED.gov).

Due to NYSED’s role in the review and determination of properly submitted applications, Department management and staff maintain a critical distance from applicants’ pre-submission program design decisions. NYSED cannot provide assistance regarding the substance or content of an application for provisional authorization. As such, NYSED does not schedule in-person meetings or phone calls to discuss the design or content of a prospective applicant’s submission.

General Evaluation Guide for the Written Application

|  |  |
| --- | --- |
| **Expected Quality of Responses** | **Weak and/or Disqualifying Responses** |
| * Demonstrates a clear and logical connection between the applicant institution’s mission and the responses to individual prompts in the application. * Demonstrates a depth of response in each section, which indicates depth of knowledge, and the skill and capability to operate quality credit-bearing postsecondary academic programs. * Demonstrates an overall clarity, coherence, and congruence between sections. * Demonstrates clear evidence that each of the criteria identified in Rules of the Board of Regents Sections 3.59(b)1-6 (non-profit); or 3.58(b)(3)i-v (for-profit) have been met. * The evidence cited or provided to support claims is verifiable and originates from credible sources. * The ideas and plans presented demonstrate originality, and where information or materials have been adopted/adapted, proper citation for external sources is provided. * Files are submitted with the filenames and format required in the application. | * Provides opaque, or overly terse and/or surface-level responses to prompts, without depth or elaboration. * Demonstrates inconsistencies throughout one or more sections. * Demonstrates choppy or disjointed narrative that lacks clarity, coherence or congruence between sections. * Provides responses of “not applicable” to sections or submission requirements that are clearly applicable. * The information provided does not provide sufficient evidence or raises substantial questions as to whether the applicant has met the criteria identified in the Rules of the Board of Regents Sections 3.59(b)1-6 (non-profit) or 3.58(b)(3)i-v (for-profit). * Contains unoriginal or borrowed ideas and/or information without clear citation to its source (plagiarism). * Uses/cites evidence that does not originate from credible sources and methods; or draws invalid, illogical, or one-off conclusions from otherwise credible source material. * Submission is missing key information. * Contains extensive spelling and typographical errors. * Files are submitted incorrectly, and/or without conformity to the established filenames and formatting requirements. |

PROPOSAL REQUIREMENTS

Responses in the Proposal Narrative should be organized using the exact headings and exact numbered order as the prompts identified below.

Title Page

Provide a Title Page with the name of the proposed institution, Chief Executive Officer name and contact information, and date of submission.

Table of Contents

Provide Table of Contents pages identifying the major sections of the proposal narrative and the associated page numbers.

List of Attachments

Provide List of Attachments pages listing all attachments that are included in the application submission and their file name.

Proposal Narrative:

1. Applicant Information
   1. Identify members of the applicant group. Provide a table including name, address, current place of employment and position title. Attach resumes for each applicant group member. If the applicant is an organization, provide the organization’s most recent three years of audited financial statements, including any management letters and supplemental reports. If the applicant is a for-profit organization, provide in a table the name and contact information of individuals with an ownership interest in the organization and specify their percent ownership.
   2. Discuss the capacity of the applicant group to establish and operate a New York State degree-granting institution.
   3. Provide the name and contact information of any third-party consultants or contractors that have participated in the planning, design, and submission of this application.
   4. Identify any individuals associated with this proposal, who have been involved with the ownership, operation, maintenance, or management of a public charter school, nursery school, kindergarten, elementary school, secondary school, Licensed Private Career School or Certified English as a Second Language School, college, or university registered, approved or authorized by the New York State Education Department or authorized by the New York State Board of Regents. Identify the legal name, contact information, date of initial registration/authorization, and current status of each entity for which each individual has been involved.
   5. Identify any individuals associated with this proposal, who have been involved in an application submitted to the New York State Education Department (other than this application) for the operation, maintenance, or management of a public charter school, nursery school, kindergarten, elementary school, secondary school, Licensed Private Career School or Certified English as a Second Language School, college, or university to be registered, approved or authorized by the New York State Education Department or authorized by the New York State Board of Regents. Identify the date of the application submitted and the outcome or status of those applications.
   6. Identify any individuals associated with this proposal, who have been involved with the ownership, operation, maintenance, or management of a public charter school, nursery school, kindergarten, elementary school, secondary school, non-degree postsecondary school, college, or university authorized in another state or country. Identify the legal name, contact information, and current status of those institutions.

Attachments required for this section:

1. Audited Financial Statements
2. Resumes of members of applicant group
3. Proposed Institution Corporate Structure

* 1. Describe the proposed corporate structure of the institution and its relationship to the founding organization and other affiliates, if any. Provide a rationale for the structure and summarize the New York State laws and regulations that govern its establishment and operation. Attach a diagram mapping corporate relationships.

Attachments required for this section:

1. Diagram mapping corporate relationships
2. Mission, Programs, and Long-term Planning
   1. Provide the projected enrollment for the first five years of operation.
   2. Provide a mission statement that defines the core purpose and key values of the institution. The mission statement should be reflected throughout all sections of the application. If the applicant is an existing educational organization, identify any changes in organizational mission and/or define and describe how degree-granting authority is connected to and consistent with that mission.
   3. Provide a list of implementable goals designed to achieve the mission.
   4. Identify the academic calendar to be used and the rationale for choosing it. Provide a sample academic calendar for a complete year.
   5. Describe long-term plans for growth beyond the initial programs and enrollment identified.
   6. Describe plans, if any, to seek and obtain institutional accreditation and/or participate in federal Title IV student financial aid programs. Include in these plans any assumptions about the use of Title IV dollars to support the operating budget of the institution. (Budget assumptions should also be reflected in the budget section.)
   7. Complete the “Programs” tab in the Application Workbook. Identify any programs intended to lead to teacher, educational leader, or pupil personnel services certification. Note: The proposed degrees must be among those authorized and approved under Section [3.50](https://govt.westlaw.com/nycrr/Document/Iec9d8b48c22111dd97adcd755bda2840?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default)&bhcp=1) of the Rules of the Board of Regents.

Attachments required for this section:

*Reminder: Complete the following Application Workbook tab:*

* *Programs*

1. Need
   1. Describe the academic needs in New York State that are not currently being met that would be addressed by the proposed institution and its proposed program(s). Provide an independent, third-party analysis commissioned by the applicant that includes verifiable data to support claims of need. This analysis should address student and/or employer demand, enrollment trends of similar programs, broader social or economic need, and the availability of similar programs in the proposed location/region, including those offered by New York institutions via distance education.
   2. Describe how the applicant’s proposed degree-granting institution and specific degree programs are designed to meet needs identified in the previous response.
   3. Justify the total costs to students to obtain the proposed degrees in relation to employment and earning prospects, and student debt for graduates. Reference in the narrative, and include as attachments, verifiable data and other valid evidence to support claims of need in relation to employment, earnings, and student debt.

Attachments required for this section:

1. Independent, third-party analysis of need, including verifiable data.
2. Evidence of need in relation to employment, earnings, and student debt.
3. Leadership and Governance
   1. Describe the proposed governance structures of the institution, including the board of trustees or board of directors (as applicable), other structures (e.g., committees, councils, etc.), and groups (e.g., faculty) that have an essential role in the governance of the institution. Include information about the roles and responsibilities of these structures, their composition, and information about how and when these structures will set, analyze, and make decisions about overall educational policy and its implementation.

Use the “Governance” tab in the “Application Workbook” to provide a list of proposed members of the initial board of trustees or board of directors, as well as participants in other governance structures (committee, council, etc.). Include a brief description of their qualifications and include their resumes as an attachment. Identify with a star any members who have a family or spousal connection. Specify the terms of members of the board of trustees or board of directors, as well as the method of appointment.

* 1. Provide a detailed description of the program for on-boarding new board members. Specify the processes in place to orient new board members and for providing continuing updates for current members of the governing body of the institution. Attach any content that is currently available.
  2. Provide the actual or proposed institutional by-laws or operating codes, including written polices outlining the governance responsibilities of administration and faculty. Included in this response should be the written policies regarding situations defined by the institution as conflicts of interest, such as the presence of paid staff on the governing body.
  3. Provide an overall institutional governance chart, delineating clear lines of responsibility and authority for setting the overall policies of the institution.

Attachments required for this section:

*Reminder: Complete the following Application Workbook tab:*

* *Governance*

1. Institution by-laws or operating codes.
2. Board member resumes.
3. Policies outlining the governance responsibilities of the administration and faculty.
4. Content and materials developed to orient new board members.
5. Overall institutional governance chart.
6. Organizational Resources
   1. Beginning with the Chief Executive Officer, Chief Academic Officer, and Chief Financial Officer, identify the key positions in the institution’s administration. Describe how they will function in a coordinated manner to provide oversight and implementation of the overall educational policies of the institution.
   2. Use the “Administrative Employees” tab in the Application Workbook to identify the proposed administrative roles of the institution, starting with the leadership positions identified in the previous response. Include summaries of required qualifications and job duties, and identify the specific autonomies/authority the positions will have to make key decisions (e.g., hiring, promotion, program approval, budget adoption, etc.). Where available provide the names the individuals in those roles and include their resumes or curriculum vitae in the attachments.
   3. Complete the “Academic Employees” tab of the Application Workbook to identify by name, title, and experience the faculty members teaching in this program and include all Faculty Curriculum Vitae. For currently vacant positions, provide a description of the minimum qualifications and a timeline to hire.
   4. Include the staff members (non-faculty) that are critical to operating the program in the “Academic Employees” tab of the Application Workbook and include the resumes of these staff members. For currently vacant positions, provide a description of the minimum qualifications for the position.
   5. Provide an organizational management chart, delineating clear lines of responsibility, authority, and position-specific autonomies for implementing education policies of the institution.

Attachments required for this section:

*Reminder: Complete the following Application Workbook tab:*

* *Administrative Employees*
* *Academic Employees*

1. Resumes or Curriculum Vitae for individuals holding key leadership positions.
2. Curricula Vitae for faculty
3. Resumes or Curriculum Vitae for Academic Employees holding key leadership positions.
4. Organizational management chart.
5. Institutional Assessment and Data Management
   1. Identify the primary individual responsible for data collection and reporting (Director of Institutional Research) by name and title and provide their contact information. Include their resume/CV as an attachment. (Note: this role should be included in the Academic or Administrative Employees tab of the workbook.)
   2. Describe the reviewing system and procedures for institutional assessment, including but not limited to the assessment of institutional goals and objectives, degree program goals and curricular objectives, and the success of students and faculty in achieving goals and objectives. Include a description of the roles and responsibilities of administration and faculty regarding institutional assessment, including lines reporting of decision-making authority from the program through to the board of trustees or directors. Additionally, include the specific methods, measures, and time intervals by which assessment results are collected, analyzed, reported, and acted upon by the institution’s governing bodies and administration.
   3. Describe the structures and procedures for the oversight, supervision, and evaluation of faculty teaching and research.
   4. Identify the technology and data management systems in place to support institutional assessment. Attach samples of the capability of the system to collect, analyze, and report on institutional, programmatic, and student assessment data to support institutional assessment protocols. (The cost of these systems must be reflected in the budget and budget narrative).
   5. Describe the system of internal controls for ensuring accuracy and integrity in data reporting.

Attachments required for this section:

1. Resume/CV for the Director of Institutional Research
2. Samples of the capability of technology or data management systems to collect, analyze, and report on institutional assessment data at multiple levels.
3. Academic Technologies
   1. Describe the institution’s plans to offer online or blended coursework and programs and the roles that academic technologies play in meeting the institution’s mission.
   2. Describe any Learning Management Systems (LMS) or other technologies supporting the delivery of online or blended coursework.
   3. Describe any other academic technologies available to support the delivery of classroom-based instruction and student learning.

*Notes:*

1. *Institutions planning to offer online or blended coursework will be subject to additional submission requirements and review. Should applications make it past the initial review stage, applicants will be asked to provide additional information and demonstrate capacity for online programming related to institutional support, technology support, course development, course structure, teaching and learning, social and student engagement, faculty support, student support, evaluation and assessment.*
2. *Academic technologies presented in this application must be appropriately represented in the budget and budget narrative.*
3. *Institutions planning to offer online or blended coursework must include responses in the Institutional Leadership and Governance section, which demonstrate a governance structure to enable clear, effective, and comprehensive decision-making related to online and blended education.*
4. Academic and Other Support Services
   1. Describe the organizational approach and method for identifying students in need of academic support services and the organizational systems and structures in place to provide academic support to students.
   2. Describe the framework for academic advisement at the institution including all advising models employed and explain how it will meet the needs of students. Include advisement policies, frequency of advisement, method of delivery, and qualifications of academic advisors and any other individuals providing academic advisement. Describe any other ways in which students are informed of their degree progress and remaining graduation requirements and at what intervals this occurs.
   3. Describe other types of student support services (e.g., health or counseling services) that are made available and/or accessible to students.

*Note: academic and support services roles should be included in the “Academic Employees” or “Administrative Employees” tab of the Application Workbook as appropriate.*

1. Student Records Generation and Retention
   1. Describe the structures, methods, tools, policies and protocols by which student transcripts and other student records will be regularly and systematically generated, stored, and accessed by students and by agencies or other individuals authorized by law to review such records. Specify the methods and plans for electronic storage of student records, as well as any backup solutions.
   2. Describe the procedures by which the institution will verify that degree requirements have been met for each student prior to recommending them for degree conferral.
2. Institutional Policies
   1. The following policies are required to be in place for any New York State degree-granting institution. These policies should be developed and adopted by the leadership and governing body of the proposed institution. Use the “Policies” tab of the Application Workbook to provide the information requested below. For each policy listed in the table, identify the name and title of the person or group primarily responsible for implementing and maintaining the policy. Also identify where interested parties (e.g., students, faculty, staff) can access the policy (e.g., student handbook; faculty handbook; other), citing specific pages and locations.

Policies with New York State Regulatory Reference

* Academic Freedom (52.2(e)(3)(i)
* Rights and privileges of full-time faculty (52.2(e)(3)(ii))
* Rights and privileges of part-time faculty (52.2(e)(3)(ii))
* Rights and privileges of staff (52.2(e)(3)(ii))
* Working conditions (52.2(e)(3)(ii))
* Professional development (52.2(e)(3)(ii))
* Workload (52.2(e)(3)(ii))
* Appointment/Reappointment (52.2(e)(3)(ii))
* Affirmative action (52.2(e)(3)(ii))
* Evaluation of teaching and research (52.2(e)(3)(ii))
* Termination of appointment (52.2(e)(3)(ii))
* Faculty grievances/complaints (52.2(e)(3)(ii))
* Faculty responsibility to the institution (52.2(e)(3)(ii))
* Admission to the institution and each curriculum (if different (52.2(e)(3)(iii))
* Residency (52.2(e)(3)(iii))
* Graduation (52.2(e)(3)(iii))
* Awarding of credit (52.2(e)(3)(iii))
* Awarding of degrees or other credentials (52.2(e)(3)(iii))
* Grading (52.2(e)(3)(iii))
* Standards of progress (52.2(e)(3)(iii))
* Payment of fees (52.2(e)(3)(iii))
* Refunds (52.2(e)(3)(iii); 53.3(c))
* Withdrawals (52.2(e)(3)(iii))
* Standards of conduct (52.2(e)(3)(iii))
* Disciplinary measures (52.2(e)(3)(iii))
* Student grievances/complaints (52.2(e)(3)(iii))
* Academic advisement (52.2(e)(5))
* Conduct on Campuses (Education Law Article 129-A)
* Sexual Assault, Dating Violence, Domestic Violence and Stalking Prevention and Response Policies and Procedures (Education Law Article 129-B)
  1. Include fully developed copies of the faculty handbook, student handbook, and any other key policy documents referenced above.

Attachments required for this section:

*Reminder: Complete the following Application Workbook tab:*

* *Policies*

1. Faculty Handbook
2. Student Handbook
3. Other policy documents that contain required policies or student information.
4. Information for Students
   1. Complete the “Information for Students” tab in the Application Workbook to provide the name and title of the person primarily responsible for developing and maintaining the information listed below, as well as where interested parties (e.g., students, faculty, staff) can access the information. Include copies of documents that contain this information as an attachment.

Information (with New York State Regulatory Reference) that must be made available to students:

* Financial assistance (state, federal, and institutional programs) (53.3 (a))
* Tuition and fees (53.3(b)(1))
* Cost of books and supplies (53.3(b)(2))
* Cost of room and board (53.3(b)(3))
* Cost of other living expenses (53.3(b)(4))
* List of degree, certificate, and diploma programs (53.3(d)(1))
* Prerequisites and requirements for completion of each degree, certificate, or diploma program (53.3(d)(2))
* The academic year each course will be taught (53.3(d)(3))
* Description of facilities, including hours of operation and holiday/vacation schedules (53.3(d)(4))
* List of faculty members (53.3(d)(5))
* Student retention (53.3(d)(6))
* Placement of graduates (53.3(d)(7))

Attachments required for this section:

*Reminder: Complete the following Application Workbook tab:*

* *Information for Students*

1. Documents containing information in this section.
2. Advertising, Recruitment, and Enrollment Strategies
   1. Describe the advertising methods and other recruitment and enrollment activities and strategies that will be employed by the institution. Methods and strategies for advertising and recruitment should be aligned with the total costs of such activities outlined in the budget.
3. Library Resources
   1. Describe the library collections and how the library collections support the proposed academic programs and the mission of the institution. Include the cost of acquiring and maintaining library collections in the budget proposal.
   2. Provide information relating to all library staff members ranging from administrators to other support staff, in the “Academic Employees” tab of the Application Workbook. Include their resumes as an attachment.
   3. Identify the operating hours of the library and explain how the library schedule will meet the needs of students and faculty.

Attachments required for this section:

1. Resumes for Library Staff
2. Facilities
   1. Describe the institution’s facility and equipment needs and resources, based on the proposed education programs and anticipated program enrollments.
      1. If the applicant has secured an identified facility, identify the specific location, and provide a description of classrooms, faculty offices, auditoria, laboratories, libraries, audiovisual and computer facilities, clinical facilities, studios, practice rooms, and other instructional resources sufficient in number, design, condition, and accessibility necessary to implement the educational programs and to provide student support services. Provide scaled schematics of the space. Additionally, explain how the facility will meet the needs of students and provide an assurance that it will be accessible for persons with disabilities. **OR**
      2. If the applicant has not yet secured a specific facility, specify potential locations that are under consideration; **AND**
      3. Identify the specifications and specific plans for classrooms, faculty offices, auditoria, laboratories, libraries, audiovisual and computer facilities, clinical facilities, studios, practice rooms, and other instructional resources sufficient in number, design, condition, and accessibility necessary to implement the educational programs and to provide student support services. Provide any approved schematics. Additionally, explain how the facility will meet the needs of students and provide an assurance that it will be accessible for persons with disabilities; **AND**
      4. Provide a reasonable and feasible action plan and timeline for securing facilities.

Attachments required for this section:

1. Scaled schematics of physical space

*Note: In addition to evaluating the proposed facilities for its educational soundness, the Department will analyze the reasonableness and feasibility of securing planned facilities at current market rates in relation to the operating budget and budgeting assumptions within the fiscal plan for the proposed institution to determine the likelihood of achieving registration of programs.*

1. Third Party Providers
   1. Provide the contact information for any third-party providers that are planned to have a role in the content or delivery of academic programs. Describe their specific roles in relation to the faculty and administration of the institution.
   2. Provide the contact information for any third-party providers that are planned to have a role in the delivery of back-office services or student advisement and support services. Describe their specific roles in relation to the faculty and administration of the institution.
2. Academic Program Information

*Provide detailed responses to the following for each proposed* *program:*

* 1. For each program create a cover sheet that includes the proposed institution name, program title, degree award, number of credits, and proposed launch year (e.g., Y1, Y2, etc.).
  2. Describe the purpose of the program and identify the educational and career objectives.
  3. Describe how the program relates to the institutional mission.
  4. Describe the structure of the program, including course and non-course requirements (e.g., pre-requisite courses, core courses, liberal arts and sciences requirements, elective courses, comprehensive exam, capstone projects, practicums, or internships, etc.). If the program has multiple options (e.g., tracks, specializations, concentrations, etc.), provide the requirements for each.
  5. Using the “Course Offerings” tab in the Application Workbook, identify the courses to be offered each academic term, from year one through year five of the operation of the program. For each course, provide the course number and title, the official catalogue description, the course type (e.g., pre-requisite, core course, liberal arts & sciences (LAS)), and number of credits. Include all course syllabi as an attachment.

*Resources for this task:*

* [*Department Expectations: Curriculum (including Internships, Financial Aid Considerations, and Liberal Arts and Sciences)*](http://www.nysed.gov/college-university-evaluation/department-expectations-curriculum)
* [*Curriculum Regulations*](http://www.nysed.gov/common/nysed/files/core-regs-task3.docx)
  1. Use the “UG (undergraduate) Schedule” tab or “Grad Schedule” tab in the Application Workbook to illustrate a student’s potential path through the program. Note: The sample program schedule is used to determine program eligibility for financial aid.
  2. Provide a definition of “full-time” faculty for this program. Include the number of credits expected to be taught by full-time faculty per academic term.
  3. Identify the program-specific admission criteria.
  4. Describe the method and processes by which admissions decisions are made.
  5. Identify any program-level policies and procedures on transfer credits and advanced program standing.
  6. If the program will grant substantial credit for learning derived from experience, describe the methods for evaluation learning and the maximum number of credits that can be awarded in this manner.
  7. Identify and describe all program-specific equipment required to implement the proposed program and specify which equipment the institution already possesses, and which equipment still be obtained. Provide a schedule for obtaining the necessary equipment including cost justifications (which should also be represented in the overall budget).
  8. Describe how the current library collections and resources support the proposed program. If library resources must be obtained to effectively support this program, describe the plan and schedule for obtaining these resources including cost justifications (which should also be represented in the overall budget).

Attachments required for this section:

*Reminder: Complete the following Application Workbook tabs:*

* *Course Offerings*
* *Course Schedule(s)*

1. [ program name ] Course Syllabi
2. Budget and Financial Resources
   1. Describe any operational or financial support to be provided by any outside entity and how the support will be reflected in financial reports. Attach a draft or sample contractional agreement. If philanthropic funding is included in the budget, then provide commitment letters that note any restrictions or conditions from the top five contributors.
   2. Identify the existing financial resources of the institution, including the type of accounts and balances. In addition, provide information describing and explaining the sources of the existing financial resources of the institution.
   3. Use the relevant tabs in the Proposed Budget Excel file to detail the institution’s estimated expenditures and revenues for the proposed term of provisional authorization (from year 1 through year 5). Major features of the Budget Template may not be modified.
   4. In the narrative, provide an explanation and discussion of key budget assumptions underlying the budget projections for each major line item. Provide clear reference labels between the narrative and the budget template. Explain how the budget aligns with and supports implementation of the educational program.
   5. Present viable strategies for meeting potential budget and cash flow challenges, particularly for the first year of operation. If the school anticipates incurring debt for any reason, such as for acquisition of its facility, the budget must address the schedule for debt repayment and the budget discussion should elaborate on the repayment assumptions and plan.
   6. If available, submit the most recent three years of audited financial statements, including any supplemental sections and/or management letters.
   7. Submit as attachments any other relevant information demonstrating the financial status and condition of the applicant institution.

Attachments required for this section:

1. Proposed Budget (MS Excel)
2. Draft or sample contractual agreement(s) and/or commitment letters related to outside funding, if applicable
3. Audited Financial Statements, if applicable
4. Supplemental documentation related to the financial status and/or condition of the applicant, as appropriate
5. Project Plan and Timeline
   1. As an attachment, provide a project plan demonstrating the clear action steps, specific timelines, specific persons responsible by name and title, and specific deliverables essential for the effective start-up of the institution. Furthermore, describe the actions required throughout the provisional term to reach full capacity. (e.g., recruiting, hiring, and training of faculty, securing facilities, securing approvals including program registration, student orientations and onboarding, regular program and institutional assessment actions, etc.)

Attachments required for this section:

1. Project Plan and Timeline
2. Executive Overview

Provide an executive overview that includes the items below. (*If the application proceeds to the regional consultation phase of secondary review, the Executive Overview will be shared with other institutions in the region to comply with Section 237 of the Education Law and Section 137 of Chapter 82 of the Laws of 1995.)* ***The executive overview should not exceed five-pages in length.***

* 1. Identify the applicant organization, its key members, the proposed degree-granting institution, its mission, goals, control (non-profit, for-profit) and proposed location. If the applicant is a for-profit organization, provide the name of individuals with an ownership interest in the organization and specify their percent ownership;
  2. Identify and describe each proposed degree program, including their purpose, goals, scope of credits to be earned, award to be received, total costs to earn an award, and any unique characteristics;
  3. Summarize evidence of need in relation to data on social or economic needs, lack of similar programs in the proposed location/region, and employer demand;
  4. Provide a summary profile of students likely to participate in the institution’s programs, including demographic, geographic, and career stage information;
  5. Provide the projected full- and part-time enrollment (total and per-program) in the institution’s first and fifth year of operation in New York State; and
  6. Describe long-term plans for growth beyond the initial programs identified.