



**Guidelines for the Submission  
of  
Graduate Academic Program Proposals**

**State University of New York  
System Administration  
Academic Programs & Planning**

**November, 2005**

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**State University of New York  
Guidelines for the Submission of Graduate  
Academic Program Proposals  
(Revised November 2005)**

## **I. Introduction.**

These revised guidelines have been written in an attempt to make explicit the requirements and processes involved for SUNY campuses seeking to initiate new graduate programs or to revise existing ones. Taking into account the complex regulatory environment of New York State, they set out the information and steps necessary for program preparation, and describe the stages through which the proposed program will progress toward final registration.

It is the policy of the State University of New York to offer graduate programs to serve the needs of both individual students and society. The guidelines given here are designed to ensure that the University can respond to the changing needs and dimensions of post-graduate education with programs of high academic quality. These guidelines supersede the most recent document on this topic, Memorandum to Presidents 94-1, *Procedures for Submission of Graduate Academic Program Proposals* (<http://www.sysadm.suny.edu/provost/mtp/mtp94-1.pdf>). They also integrate State University policies and initiatives implemented since 1994, such as Mission Review, New Vision for Teacher Education, and Memorandum to Presidents 99-1, *Policy Guidelines on the Consideration of Graduate Programs* (<http://www.sysadm.suny.edu/provost/mtp/mtp99-2.pdf>).

These 2005 guidelines also incorporate and take into account changes in State Education Department policies and requirements, on such topics as teacher education program registration and the criteria for Master Plan Amendment.

Sections II and III describe the process—from Letter of Intent to full program proposal submission—for initiating *new* graduate degree programs. Sections IV-VII treat other kinds of graduate program proposals: advanced certificates, multi-award and multi-institution programs, and revisions of existing programs.

*The procedures described in these guidelines must be followed if the proposed program is new or if an alteration to an existing program includes a major change in its title, focus, design, requirements or mode of delivery. Both master's and doctoral degrees are addressed in this document, as are multi-award and multi-institution programs and advanced (graduate) certificates.*

*Please note that programs in some professional licensure disciplines have discipline-specific guidelines from the State Education Department that must be followed as a supplement to these SUNY guidelines. These disciplines include, but are not necessarily limited to: teacher education, accounting, social work, and psychology (doctoral). If you have questions about a proposal for a program in a licensure-qualifying discipline (see the SED web site, <http://www.op.nysed.gov/proflist.htm>), please consult your campus' assigned reviewer.*

## **II. Procedure for Submission and Evaluation of a Letter of Intent**

The process for initiating a new graduate degree program (master's or doctoral) begins with the Letter of Intent, which is submitted to System Administration by the proposing campus and made available to sister campuses for a 30 day review & comment period. Following this initial 30-day period, it is subject to formal review by System Administration.

The Letter of Intent should be addressed by the campus president or chief academic officer to the University Provost via the program review email address [program.review@sysadm.suny.edu](mailto:program.review@sysadm.suny.edu). The Letter of Intent will be announced in the Academic Programs Update and made available to sister campuses on the System Administration Document Retrieval System. It will also be announced as usual in the Monthly Report of Program Developments issued by the office of Academic Programs & Planning. Sister campuses will have thirty days (from the date of circulation in the Update) to submit a response to the Letter of Intent. *Please note that System Administration may not be able to take into account responses received after the conclusion of the thirty-day review period.*

Responses from sister campuses (from the president or chief academic officer) regarding the proposed program must be sent to the proposing campus and to the University Provost. Campus responses will be incorporated into System Administration's reply to the Letter of Intent.

### ***Letter of Intent Format***

The Letter of Intent should contain the best projections possible at this preliminary stage, according to the following outline:

#### **A. Program Identity and Abstract**

1. Proposed title.
2. Proposed award. Use the authorized abbreviation from Rules of the Board of Regents, Sec. 3.50, at <http://www.highered.nysed.gov/ocue/rules.htm>.
3. Proposed beginning date.
4. Brief description of the proposed program (300 words), including academic content, structure/duration, number of credits and purpose.

#### **B. Institutional Mission and Planning**

1. Explain the relationship of the proposed program to the Board of Trustees-approved mission of the institution. Please document how the development of this program is related to the campus' ongoing planning processes, including (but not necessarily limited to) its Mission Review Memorandum of Understanding, overall campus enrollment planning, and Middle States reaccreditation reviews. If the program constitutes a departure from the campus' Mission Review MOU or other Board policies, please explain in detail the rationale for such a departure.
2. Identify existing or projected programs of the campus in the same or related disciplines and the expected impact of the proposed program on them.

3. Briefly describe proposed arrangements for required external clinical instruction, agency placement, practice teaching, internships, etc., if any, and how these arrangements would affect other institutions using the same facilities. Attest to the sufficiency of proposed off-campus site placements for projected enrollment.

#### **C. Market: Need and Demand**

1. Identify the need for the proposed program within the SUNY system in terms of the availability and capacity of similar programs offered by other SUNY campuses. If there could be a reasonable perception of duplication or redundancy, please provide the rationale for adding this program.
2. Identify similar programs at non-SUNY institutions, public and private, and, where appropriate, the potential impact on them.
3. Identify the potential need for this program in terms of the economy and/or educational needs of the area in which it is to be located, New York State at large and, particularly for doctoral programs, the nation.
4. Estimate student demand expected for this program and explain how the estimate was arrived at.
5. If the program is designed to prepare graduates for immediate employment, estimate employment opportunities and explain how the estimate was arrived at.

#### **D. Enrollment and Fiscal Factors**

1. What is the projected enrollment when the program begins?
2. What is the projected enrollment after five years?
3. How were these projections determined?
4. Since this expected enrollment may affect the future campus enrollment composition and totals, estimate the impact of the program on total campus enrollment.
5. Detail costs associated with the program and how existing/anticipated resources will address these costs.

#### ***Formal Response to the Letter of Intent by System Administration***

The formal response to a Letter of Intent will authorize proceeding with proposal development or not, as appropriate, and will provide information on the following matters from the perspective of the State University system. Judgments expressed in the response will be based on

- New York State regulations;
- State University policies, particularly—but not necessarily limited to—Memorandum to Presidents 99-2, *Policy Guidelines on the Consideration of Graduate Programs*, available at <http://www.sysadm.suny.edu/provost/mtp/mtp99-2.pdf>;

- academic planning articulated in the campus' current Mission Review Memorandum of Understanding, any addenda or supplements to the MOU, and any other relevant strategic planning agreements between System Administration and the campus.

The response may encompass many, if not all, of the elements below.

- incidence of like programs and pending Letters of Intent, University-wide;
- enrollment trends, University-wide, in the program area;
- identification of other campuses that have discontinued a program of this kind;
- HEGIS number;
- Board actions, if any, necessary for approval of the program, such as Master Plan Amendment or Degree Authorization;
- should the program lead to professional licensure or certification, advice as to particular registration requirements for such programs;
- general advice as to whether System Administration is encouraging development of such programs;
- advice concerning whether an exceptional proposal format is to be followed;
- curricular, resource or accreditation concerns, as appropriate.

If the response to the Letter of Intent authorizes proposal development, the formal proposal should be submitted within two (2) years. After the two-year period has expired, the campus may be required to resubmit a new Letter of Intent before a proposal can be entertained.

The approval letter from System Administration will reiterate that all graduate degree programs require an external evaluation as part of the full program proposal, and will indicate that campuses are to contact the specified program reviewer in System Administration to coordinate the selection of external site reviewers.

### **III. Preparation and Submission of a Formal Proposal for a Graduate Program**

If submitting hard copy, three (3) copies of the complete program proposal should be addressed to the University Provost at

State University of New York  
System Administration  
SUNY Plaza  
Albany, NY 12246

If submitting electronically, the proposal should be emailed by the campus chief academic officer to [program.review@sysadm.suny.edu](mailto:program.review@sysadm.suny.edu).

The complete proposal consists of the following components, described in greater detail below under the heading “Content of the Program Proposal.” It is important that proposals be complete at the time of submission. Missing or inadequate responses to any of the components specified in these guidelines will lead to delays in processing.

### **Components of a Complete Program Proposal for a New Graduate program**

- A. Cover page, including brief program summary of 300 words (= **Appendix A**).
- B. Detailed program description (including **Appendix F**).
- C. Faculty Information Table (= **Appendix B**), faculty vitae appended.
- D. Student information.
- E. Facilities resources.
- F. Expenditures Table (= **Appendix C**)
- G. Academic quality assurance.
- H. Site visit evaluation report on the proposed program:
  - for non-doctoral programs that do *not* lead to teacher certification: two reviewers are selected by the campus and System Administration;
  - for all programs that lead to teacher certification: two reviewers are selected by the campus and System Administration conjointly with SED;
  - for doctoral programs: two or more reviewers are selected by the campus and System Administration conjointly with SED.
- I. Campus response to the site visit report
- J. Attestation of governance approval.
- K. Master Plan Amendment Background Statement, if necessary (see **Appendix G**).

### ***Content of the Program Proposal***

Items A-K below specify information to be provided for each of the components of a complete program proposal. Take care to follow this template, responding to each item with an appropriate level of detail. Please note that items A, B.2, C.1, F, and H refer to Appendices that must be completed and included with the program proposal in order for it to be considered complete.

*Incomplete proposals will lead to delays in processing.*

#### **A. Cover Sheet.**

Fill in the cover page template included in these Guidelines as **Appendix A: Cover Sheet**.

## **B. Document Describing the Proposed Program.**

This is the most important part of the program proposal. Care should be taken to provide full and appropriately detailed information for each topic. Missing or incomplete information will lead to delays in processing.

1. A full description of the program, including program purpose, structure and content and prospective catalog course descriptions. Give detailed program requirements from admission through degree completion.
2. A completed **Appendix F** (sample semester-by-semester breakdown of courses to be taken).
3. A list of all graduate courses to be taught in the first three years.
4. A description of the impact of the proposed graduate program on other academic programs currently offered by the department and campus. The impact description should include, but need not be limited to, such elements as the following:
  - effect on access to existing undergraduate and graduate programs;
  - effect on retention and time-to-degree in existing undergraduate and graduate programs;
  - effect on student/faculty ratio and/or other measures of the sufficiency of faculty resources;
  - effect on other relevant internal (e.g., instructional and laboratory space) and external (e.g., clinical placements) resources.
5. Procedures for academic advising, and for supervision and evaluation of students' progress through degree completion.
6. A description of significant resources and support programs, both inside and outside the University, to be used by program faculty and students.

## **C. Faculty**

1. Complete **Appendix B: Faculty Information Table**.
2. Append vitae of current faculty members who will implement the program. Faculty vitae should include:
  - rank and status;
  - educational and employment background;
  - professional affiliations and activities;
  - important awards and recognition;
  - publications;
  - brief description of research projects, including grants.

3. Indicate anticipated changes in the faculty for the next three years. What new positions or replacement positions has the administration authorized? Also, what reductions, if any, are foreseen? Indicate presumptive qualifications for positions to be filled during this time.

#### **D. Students: Admission, Support and Enrollment**

1. Describe the criteria and procedures for admission to the proposed program.
2. Describe the type of student body to be served. Of particular interest are the following: geographic and academic origins of students; proportions of women and minority group members; foreign students and students for whom English is a second language. If there are special provisions or requirements for the latter, or for special admissions in any category, describe them.
3. Describe types, amounts, and sources of financial support anticipated. Indicate the proportion of the student body in each category of support, including those receiving no support.
4. Indicate the projected enrollment at the inception of the program, and after five years, and explain how these projections were determined.

#### **E. Facilities**

1. Provide a brief description of currently available resources, anticipated increased needs, and plans for meeting such needs. Elements to address will normally include the following.
  - general and departmental library holdings and acquisitions;
  - access to off-campus research materials;
  - research and laboratory facilities and equipment;
  - computer facilities and services;
  - technical and secretarial services for students and faculty;
  - office, classroom, and study space.
2. Describe special support facilities and unique resources.

#### **F. Expenditures**

Complete **Appendix C: Expenditures Associated with the Program.**

#### **G. Academic Quality Assurance**

1. In order to demonstrate how program quality will be maintained and monitored, describe provisions for periodic program review.
2. If this is a professional program for which special accreditation is to be sought,

provide the name of the accrediting agency and a timetable for completing the accrediting process. If special accreditation will not be sought, explain why.

3. For doctoral programs: describe the potential for this program to achieve national prominence and distinction.

## **H. Site Visit Evaluation Report**

Once the program proposal has been prepared, the graduate officer on the campus, working with the relevant department, prepares a list of proposed external site reviewers. External reviewers must possess significant expertise in the discipline and not have close personal or professional relationships with campus personnel. It is normally presumed that reviewers will be from out of state, though in the case of some (particularly professional) disciplines it may be desirable to include an in-state reviewer. For new masters level programs, a team of two reviewers is selected; for new doctoral programs the size of the team may vary from two to five. This system of peer review is designed to encourage academic excellence and to ensure quality in graduate education within SUNY and New York State.

The campus initiates the external review procedure by contacting its assigned program reviewer in the System Administration office of Academic Programs & Planning, who will coordinate the selection of external evaluators. In the case of doctoral programs, or any graduate program that leads to teacher certification, the campus and System Administration cooperate with SED in the selection of reviewers. In the case of all other graduate program proposals subject to external review, the campus and System Administration select reviewers. Costs associated with conducting the external review are the responsibility of the proposing campus.

**Appendix D: External Review Report Template** contains instructions and format to be followed by external evaluators in preparing their report.

## **I. Campus Response to the Site Visit Report**

The *Evaluation Report* is followed in the final program proposal by the *Campus Response to the Report*, which contains comments on any recommendations made by the external evaluators. The campus should address all of the evaluators' concerns and recommendations, indicating those that have been adopted, will be adopted, or reasons why they should not be adopted within the context of the State University of New York or the particular campus. Please note that this is supposed to be an *institutional* response and should therefore demonstrate a strong institutional commitment to the program. If the Campus Response involves substantive alterations to the program curriculum as a result of the evaluators' recommendations, please include an updated description of the curriculum that incorporates all such changes. This updated description will comprise the baseline program to which future revisions are understood to apply.

## **J. Local Resolutions and Support Documents**

Include attestation by the Chief Academic Officer or other responsible campus administrator that the program has received approval by relevant local governance bodies.

## **K. Background Statement/Abstract for Master Plan Amendment**

The rules that determine when Master Plan Amendment is required have been relaxed since the 1994 SUNY Graduate Program Proposal Guidelines were released. In particular, it is no longer the case that *all* new doctoral programs necessarily require Master Plan Amendment. **Appendix G: What Requires Master Plan Amendment Approval?** contains the State Education Department's current operating criteria. If Master Plan Amendment is required, a Master Plan Amendment Background Statement should be included with the program proposal. In general, the campus will be notified and advised about this at the time of the approval of the Letter of Intent. The Background Statement will be appended to the resolution presented to the SUNY Board of Trustees and functions as a summary (1-2 pages) of program information concerning the proposed amendment. The SUNY Background Statement also serves as the draft Abstract that will be circulated at a later date by SED.

After the program has been approved by the SUNY Board of Trustees and forwarded for review and registration to the New York State Education Department, the Abstract is circulated to other New York public, independent, and proprietary degree-granting institutions as the basis for their comment on the need and demand for the proposed program and its potential effect on other institutions.

### **ABSTRACT FOR MASTER PLAN AMENDMENT**

(adopted from SED guideline)

Prepare a one- or two-page abstract summarizing the proposal that **briefly** sets forth:

- (a) the title of the proposed program and the degree, diploma, or certificate to which it leads;
- (b) the purpose and goals of the program and its relationship to the stated mission of the institution and to existing offerings of the institution;
- (c) the curriculum;
- (d) the unique characteristics of the program;
- (e) requirements for admission to the program;
- (f) the nature of the prospective student body;
- (g) projected (full- and part-time) enrollment in the program's first and fifth year of operation;
- (h) facilities, equipment, faculty, and other academic resources available, and planned to be acquired, to support the proposed program;
- (i) prospects for employment/further education for the program's graduates; and

- (j) additional basis of need for the program.

*This completes the listing of required elements for new master's and doctoral program proposals. The following pages outline requirements for proposals for new multi-award (combined degree) programs, multi-institution programs, advanced certificates, and for revisions to existing graduate programs.*

#### **IV. Multi-Award Programs**

Since multi-award—commonly referred to as “combined”—programs require separate registration, specific proposals must be submitted for each one. Even if the proposed degree program is composed of one or more previously registered programs, the materials listed below must be submitted. The most common form of multi-award program is the bachelor's/master's program, but it is also possible to combine degrees awarded at the same level (master's/master's) or at two different levels of graduate study (master's/doctorate). Please note that the awarding of two degrees at the same level is governed by a specific SUNY policy, Memorandum to Presidents 86-2, *Restatement of Guidelines on Awarding of Two Degrees at the Same Level*, which should also be consulted when developing such a program; it is available at <http://www.sysadm.suny.edu/provost/MTP/MTP86-2.pdf>

Multi-award programs typically involve the following elements:

- special admission requirements;
- curricular integration between the component programs;
  - Bachelor's/master's programs: the undergraduate degree is abbreviated in a way that takes into account work done at the graduate level, with the result that more advanced work is encountered sooner than when pursuing the two degrees separately.
  - Master's/master's (or master's/doctorate) programs: a small portion of each curriculum is counted toward completion of the other, usually as electives or as part of a special concentration (see Memorandum to Presidents 86-2, referenced above, on the parameters of overlap between degrees at the same level).
- shortening of time-to-degree compared to the total credit hours required for the separate programs when pursued seriatim.

#### Materials to be submitted:

*Use the outline below as a template for preparing multi-award program proposals*

1. Program title and suggested HEGIS code(s) for the multi-award program.
2. Titles and SED program code numbers of the currently registered programs to be combined.
3. Clear tabular display of the separate existing programs juxtaposed with the combined program.

4. General requirements for program completion (total credit hours in major, in a second field, in liberal arts, etc.).
5. Specific program requirements:
  - a. Describe limitations imposed on admission to restrict to students with exceptional academic records; include admission requirements and administrative process for making admissions decisions.
  - b. List all required courses, indicating whether graduate or undergraduate, how many credits, and when and how often offered.
  - c. Indicate the number of undergraduate (if applicable) and graduate elective credits required.
  - d. Indicate the number of semesters of full-time study required for program completion at the undergraduate (if applicable) and graduate levels.
  - e. State all other program requirements such as thesis, comprehensive examination, field experience, project, and residence.
  - f. Describe the means by which program quality is assured given the time-shortened aspect of the program.

## V. Multi-Institution Programs

SUNY institutions may develop degree programs in cooperation with other SUNY and non-SUNY campuses. Such *multi-institution* programs—commonly referred to as “joint” programs—, if they involve the matriculation of students at a New York state institution at any time within New York state, must be submitted for SUNY approval and SED registration. Multi-institution programs may lead to a single degree, or multiple degrees (i.e., they may also be multi-award programs).

If the multi-institution program combines already-existing registered programs at the two participating institutions, and leads to two degrees, one awarded by each institution, follow the guideline above in section III for multi-award programs, adjusting where appropriate to indicate:

- administrative provisions for coordinating admission and advisement between the two institutions;
- program policies governing residency requirements and tuition charges;
- which portions of the curriculum will be completed at each institution;
- any other special arrangements or requirements arising from the multi-institution character of the program.

If the multi-institution program is a completely new venture—whether or not it is a multi-award program—follow the procedures for a new graduate degree program, adjusting where appropriate to indicate:

- degree-granting status of participating institutions;

- administrative provisions for admissions and advisement between the two institutions;
- program policies governing residency requirements and tuition charges;
- which portions of the curriculum will be completed at each institution;
- any other special arrangements or requirements arising from the multi-institution character of the program.

## **VI. Advanced (Graduate) Certificates**

The Advanced Certificate, known informally as the Graduate Certificate, may be proposed for any post-baccalaureate curriculum that does not lead to a degree (i.e., a master's or doctorate). The Advanced Certificate shows great variation in the number of credits required, but its salient feature is that all courses involved must be applicable to a registered graduate degree program. (There are some rare exceptions to this latter rule, such as post-doctoral certificates in certain health-related disciplines.) Students may be enrolled directly into the Advanced Certificate program or may be drawn from those enrolled in master's or doctoral degree programs.

Because the courses are part of registered graduate programs and the faculty is affiliated with such programs, advanced certificate proposals typically follow an abbreviated review process. In general, advanced certificate proposals are not required to go through the Letter of Intent or external review stages. The proposal for an advanced certificate will normally include the following components:

### Elements of the Abbreviated Proposal

- Rationale for the certificate, which also identifies the registered graduate programs to which the courses apply
- Curriculum, with course descriptions drawn from the campus graduate catalog (for each new course proposed, a syllabus is required)
- Faculty credentials and course responsibilities—include vitae for faculty who are not part of a currently existing graduate program.
- Students: information on admission and advisement.
- Resources and support programs

While the Letter of Intent is not an explicit requirement for Advanced Certificate proposals, the Provost's Office may occasionally solicit reactions from other campuses if issues of competition have particular importance.

In view of the complex and frequently changing licensure requirements for professional licensure programs in the health sciences, Advanced Certificate proposals in these fields may need to satisfy discipline-related requirements beyond the general parameters of SUNY review. In such cases, it is recommended that the campus consult its assigned reviewer at System Administration before submitting the proposal.

## **VII. Revisions to Existing Graduate Programs**

Revisions to existing graduate programs, including changes to a program's curriculum, title, award, or mode of delivery, generally require review and approval by the University Provost and by the State Education Department.

Use **Appendix E, Guideline for Revision of Existing Graduate Academic Programs** as a template for proposals to revise an existing graduate program. If there are questions as to whether a particular change will require submission of a proposal, consult the assigned program reviewer for your campus.

## Appendix A: Cover Sheet

**Basic Information.** Type requested information in the specified table cell to the right. Cells will expand as necessary.

If the proposal is for (i) a new program that (ii) will lead to certification as a classroom teacher, please also fill out the State Education Department *Application Form for Registration of a Teacher Education Program* and submit (two copies) with the completed SUNY proposal. The SED application is available at [www.highered.nysed.gov/ocue/tetappl.htm](http://www.highered.nysed.gov/ocue/tetappl.htm).

A. Name of institution:

Specify campus where program will be offered, if other than the main campus:

B. Campus President or  
Chief Academic Officer

Name and title:

Signature and date:

C. Contact person, if different

Name and title:

Telephone :

Fax:

E-mail:

D. Proposed program title:

E. Proposed degree or other award:

F. Proposed HEGIS code:

G. Total program credits:

H If the program will be offered jointly with another institution, name and address of the institution/branch below:

*If the other institution is degree-granting, attach a contract or letter of agreement signed by that institution's President or CEO. If it is non-degree granting, refer to SED Memorandum to Chief Executive Officers No. 94-04 (<http://www.highered.nysed.gov/ocue/ceo%20memorandum.htm>).*

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I. If the program will lead to teacher certification as other than a classroom teacher, list the intended:

Certification title(s) and type(s):

(e.g., English 7-12, Professional; Childhood 1-6, Initial/Professional)

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J. If specialized accreditation will be sought indicate:

Accrediting group:

Expected date of accreditation:

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K. Anticipated enrollment:

Initial:

Maximum within first five years:

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L. If this program will be offered in a special format, please specify (See **Appendix H** for definitions.):

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M. If this program will be offered in an atypical schedule that may affect program financial aid eligibility, please describe:

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N. Brief Program Summary (300 words), describing academic content, structure and duration.

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### Appendix B: Faculty Information Table

(Adapted from SED guidelines)

Name	FT/PT	Dept	Sex M/F	R/E *	Articles in Refereed Journals (last 5 years)	External Research Support (most recent academic yr)	Dissertation Load (most recent academic yr)		Number of Advisees(mo st recent academic yr)		Number of Classes Taught (most recent academic yr)	
							Comm	Chr	Doc	Mstrs	GR	UG
<b>Full Professor</b>												
<b>Associate Professor</b>												
<b>Assistant Professor</b>												
<b>Other</b>												

\*Racial/Ethnic Groups - Black (B), White (W), Hispanic (H), Native American Indian/Alaskan Native (N), Asian/Pacific Islander (A), Foreign (F)

### Appendix C: Expenditures Associated with the Program

Expenditures		Start-up	When the program begins	After five years
Personnel	<i>Existing Funds</i>			
	<i>New funds</i>			
Library	<i>Existing Funds</i>			
	<i>New funds</i>			
Equipment	<i>Existing Funds</i>			
	<i>New funds</i>			
Laboratories	<i>Existing Funds</i>			
	<i>New funds</i>			
Supplies & Expenses (OTPS)	<i>Existing Funds</i>			
	<i>New funds</i>			
Capital Expenditures	<i>Existing Funds</i>			
	<i>New funds</i>			
Student Support	<i>Existing Funds</i>			
	<i>New funds</i>			
Other	<i>Existing Funds</i>			
	<i>New funds</i>			
Total				

Provide below a description of the process used to identify costs associated with developing and implementing the program and sources of revenue to match those costs. Include attestation that the academic leadership of the campus has planned for, and is strongly committed to, providing necessary resources.

## Appendix D: External Review Report Template

The external review report is one of the most important components of a new graduate program proposal. Your task as a proposal evaluator is to examine the program proposal and related materials, respond to the questions in the External Review Report Template, and submit a report that speaks to the quality of and need for the program. Your report should be forwarded to the institution for review and comment. It will then become part of the full program proposal. After approval by the Board of Trustees of the State University of New York, the report and the institution's response to it will be transmitted to the State Education Department with the institution's request for program registration. The report should aim for completeness, accuracy and objectivity.

Campus	
Proposed Program Title and Award	
Evaluators	
Date of Site Visit	

(Cells will expand as necessary)

### I. Program

1. Assess program purpose, structure, and requirements as well as formal mechanisms for program administration and monitoring.
2. Comment on the special focus of this program as it relates to the discipline. What are plans and expectations for continuing program development and self-assessment?
3. Assess the breadth and depth of coverage in terms of faculty availability and expertise, regular course offerings and directed study, and available support from related programs. What evidence is there of program flexibility and innovation?
4. Discuss the relationship of this program to undergraduate and other graduate programs (if any) of the institution. Consider interdisciplinary programs, service function, joint research projects, support programs, etc.
5. What evidence is there of need and demand for the program locally, in the state, and in the field at large? What is the extent of occupational demand for graduates? What evidence is there that it will continue?

### II. Faculty

1. What is the caliber of the faculty, individually and collectively, in regard to training, experience, research and publication, professional service, and recognition in the field?
2. What are the faculty members' primary areas of interest and expertise? How important to the field is the work being done? Discuss any critical gaps.
3. Assess the composition of faculty in terms of diversity (race, gender, seniority).
4. Evaluate faculty activity in generating funds for research, training, facilities, equipment, etc.
5. Assess the faculty in terms of size and qualification for the areas of specialization to be offered. Evaluate faculty workload, taking into consideration responsibility for undergraduate and other graduate programs (if any). Describe and evaluate any plans for future staffing.
6. Discuss credentials and involvement of adjunct and support faculty.

### III. Students

1. Comment on the student clientele the program seeks to serve, and assess plans and projections for student recruitment and enrollment.
2. What are the prospects that recruitment efforts and admissions criteria will supply a sufficient pool of highly qualified applicants and enrollees?
3. Comment on provisions for encouraging participation of persons from underrepresented groups. Is there adequate attention to the needs of part-time, minority, or disadvantaged students?
4. Assess the system for monitoring students' progress and performance and for advising students regarding academic and career matters.
5. Discuss prospects for placement or job advancement.

### IV. Resources

1. What is the institution's commitment to the program as demonstrated by the operating budget, faculty salaries and research support, the number of faculty lines relative to student numbers and workload, support for faculty by non-academic personnel, student financial assistance, and funds provided for faculty professional development and activities (colloquia, visiting lecturers, etc.).

2. Discuss the adequacy of physical resources and facilities, e.g., library, computer, and laboratory facilities, internship sites, and other support services for the program, including use of resources outside the University.

V. Comments

1. Summarize the major strengths and weaknesses of the proposed program with particular attention to feasibility of implementation and appropriateness of objectives for the degree offered.
2. In what ways will this program make a unique contribution to the field? In the case of doctoral programs, please address the likelihood of the proposed program achieving national prominence.
3. Include any further observations important to the evaluation of this graduate program proposal and provide any recommendations for the proposed program.

## Appendix E: Guideline for Revising Existing Graduate Programs

The State Education Department requires re-registration of a program in which significant changes are made:

*New registration shall be required for any existing curriculum in which major changes are made that affect its title, focus, design, requirements for completion, or mode of delivery.*  
§52.1(h). Regulations of the Commissioner of Education

A major change for a graduate program may involve 9 or more required (non-elective) credits, or a change in focus (e.g., biological sciences to health professions, addition or deletion of a track/concentration), location, or format (e.g., day to evening). *Any* change to a program leading to New York State teacher certification or licensure is considered major.

For each existing program for which a change is proposed, the following minimal information should be provided under the signature of the campus president or chief academic officer and addressed to the Provost of the University:

- 1) The name of the program (by *registered* title), the award, and the program code number from the SED *Inventory of Registered Programs*. If the program leads to teacher certification, indicate the current certificate area and level. If the program leads to New York State licensure, please state.
- 2) Description of the proposed change and rationale for the change. The most compelling rationale is grounded academically, often arising from the results of ongoing assessment, changes in quality standards, or comparative market information.  
  
If the program leads to certification in classroom teaching, describe how the proposed change is consistent with the standards for certification in §52.21(b) of the *Commissioner's Regulations*. State how the proposed change is consistent with the University's policy initiative *New Vision in Teacher Education*, available at: <http://www.sysadm.suny.edu/provost/teachered.htm>, and with the standards of your chosen national accrediting body.
- 3) Curriculum outline of the current program and of the proposed revised curriculum, with changes in program (e.g., courses added, deleted) clearly noted. In many cases, draft or actual catalog copy proves a helpful means of providing this information.
- 4) Course outlines for new courses, if any. Indicate prerequisites, the frequency with which the course is offered, and the name, faculty rank, and status of the instructor(s). If none, please so state.
- 5) For new faculty teaching new courses, provide brief résumé(s). If no new faculty are required, please state.
- 6) Description of any additional costs. If none, please explain.
- 7) Effective date of the change in the program. If the current program needs to remain registered until students have graduated (or have been otherwise accommodated), please indicate the anticipated effective date by which matriculants will have cleared the old version of the program.

This outline can be used for title changes as well as curricular content changes. It will satisfy the requirements of the State Education Department for programs registered for general purposes as well as those leading to teacher certification or professional licensure.

### Appendix F: Semester Tables

Using the tables below (duplicate or expand as necessary, show the sequencing and scheduling of courses and credits in the program, by semester or quarter/trimester, for the first full cycle of the program. Include additional semesters if offered on a part- time basis. These pages may be duplicated as needed.

FALL		SPRING		FALL		SPRING	
COURSE TITLE	Credits	COURSE TITLE	Credits	COURSE TITLE	Credits	COURSE TITLE	Credits
<b>Total Credits</b>		<b>Total Credits</b>		<b>Total Credits</b>		<b>Total Credits</b>	

FALL		SPRING		FALL		SPRING	
COURSE TITLE	Credits	COURSE TITLE	Credits	COURSE TITLE	Credits	COURSE TITLE	Credits
<b>Total Credits</b>		<b>Total Credits</b>		<b>Total Credits</b>		<b>Total Credits</b>	

## Appendix G: What Requires Master Plan Amendment Approval?

[State Education Department Document]

(Statutory Authority: Section 237 of Education Law. See also Section 52.1 and Part 54 of the Regulations of the Commissioner of Education.)

### A. **What Are Master Plans?**

A college or university states its mission, goals, and objectives in its master plan. The master plan describes its philosophy, purposes, and direction; the characteristics of the clientele(s) it seeks to serve; the level and range of programs it offers; the research it conducts; and the services it provides. It may be modified by amendment as changing conditions warrant.

### B. **How Are Amendments To Institutional Master Plans Reviewed?**

Development of a master plan by a higher education institution which includes projected new programs does not mean that those programs are automatically approved. Approval requires specific action. When an institution seeks to expand its academic mission (levels of study, disciplinary areas, campus locations), it must submit an application to do so. Its intentions must be documented and presented for public review by the Regents. The Regents must approve an amendment of the institution's master plan before it may undertake the proposed activities. The main purpose of approving amendments to institutional master plans is to permit public review of significant changes in an institution's academic mission.

### C. **What Programs Requiring Master Plan Amendment Approval?**

Approval of a first master plan or of an amendment to an existing master plan is required for:

1. An institution's initial authorization to award a degree (i.e., a new college);
2. An institution's first program at a new level of study (e.g. first master's degree);
3. An institution's establishment of a branch campus or interinstitutional program;
4. At each degree level an institution's first program (associate, baccalaureate, first-professional, master's, and doctoral) in each of the following ten disciplinary areas (except as provided below):
  - (1) Agriculture
  - (2) Biological Sciences
  - (3) Business
  - (4) Education, including education, home economics, and library science; however, an institution offering home economics and/or

library science but not education programs may not offer education programs without master plan amendment approval

- (5) Engineering, including engineering, architecture, engineering technology, metallurgy, and related interdisciplinary studies; however, an institution offering architecture, engineering technology, and/or metallurgy but not engineering programs may not offer engineering programs without master plan amendment approval
- (6) Fine Arts
- (7) Health Professions
- (8) Humanities, including humanities, area studies, classics, comparative literature, English, foreign languages, linguistics, philosophy, religious studies, theology, and related interdisciplinary studies
- (9) Physical Sciences, including physical sciences, astronomy, astrophysics, atmospheric sciences and meteorology, chemistry, computer science, earth sciences, geology, geophysics and seismology, mathematics, oceanography, paleontology, physics, and related interdisciplinary studies
- (10) Social Sciences, including social sciences, anthropology, archaeology, communication, criminology, economics, geography, history, political science, psychology, public affairs, and sociology.

**D. How Are Master Plan Amendments Related To Academic Mission And Program Of Study?**

An institution's or campus' approved academic mission consists of the levels of study it offers and the set of disciplinary areas in the New York State taxonomy of academic programs in which it offers degree programs at each level of study (associate, baccalaureate, first-professional, master's, and doctoral). Each program of study at an institution is a curriculum as defined in Section 50.1 (i) of the Commissioner's Regulations. For purposes of administration, each program of study also is categorized in a Higher Education General Information Survey (HEGIS) subject field. For example, a liberal arts college's academic mission might include baccalaureate programs in the disciplinary areas of Biological Sciences, Humanities, and Physical Sciences.

The programs of study in those areas would be categorized in such subject fields as HEGIS 0407, zoology; 1105, French; 1503, comparative literature; 1905, chemistry; 1702, statistics; and 0702, information sciences and systems.

One **exception** to the fourth requirement for approval of a master plan amendment follows. An institution authorized to offer baccalaureate and master's degrees and offering registered baccalaureate programs in a HEGIS subject field (4-digit level) within one of the ten areas may register a master's degree program in the same subject field without approval of a master plan

amendment, even if it would be the institution's first master's degree program in the disciplinary area. Subsequent registration of additional master's degree programs in the disciplinary area would not need master plan amendment approval. For example, if an institution authorized to confer master's degrees offers a registered baccalaureate program in zoology (HEGIS 0407) and wishes to offer a master's degree program in the same subject field, zoology, the only action needed would be registration, even if the program would be its first master's degree program in the Biological Sciences disciplinary area.

The Regents will act on a request for approval of an amendment to the master plan of an institution already authorized to award degrees on the basis of supporting material that does not include a full curriculum in registerable form only when the institution does not have faculty competent to design the curriculum and teach the courses. In that circumstance, the proposal will (1) list the specific first program or programs to be submitted for registration pursuant to the master plan amendment; (2) describe the institution's overall competence to establish such programs at a high quality level; (3) describe generally the foreseeable programs it would offer at each proposed level within each proposed disciplinary area; and (4) describe in detail the resources it would use to design, develop, and eventually, offer the programs. Registration then follows approval of the master plan amendment as a separate action when full details on personnel and other matters are available.

#### **E. What Kinds Of Major Undertakings, Require Master Plan Amendment Approval?**

1. New Institutions. Establishing a new higher education institution requires Regents review and approval of a master plan amendment. This includes the conversion of an existing nondegree institution to a degree-granting institution. Supporting material for a proposed new institution will include full documentation of (1) the need for the institution and its programs, (2) the resources available to it, (3) its academic mission in terms of the disciplinary areas in which it would offer programs at each degree level, (4) the individual programs in each disciplinary area, and (5) the degrees and other awards it would offer. Establishing a new degree-granting institution, including converting a nondegree institution to degree-granting, requires additional information beyond the scope of this memorandum. Contact the Office of College and University Evaluation for more information.
2. Branch Campuses and Interinstitutional Programs. Pursuant to Part 54 of the Commissioner's Regulations, establishing a branch campus or interinstitutional program requires Regents review and approval of an amendment to an institution's master plan. For an independent institution, concurrent amendment of its charter also may be needed (see page 38).

Supporting material for a proposed branch campus or interinstitutional program includes full documentation of (1) the need for it, (2) the resources available to it, (3) its academic mission in terms of the disciplinary areas in which it would offer programs at each degree level, (4) the individual programs within each disciplinary area, and (5) the degrees and other awards the institution initially intends to award there. Additional programs that do not fall within a branch campus' or interinstitutional program's approved mission will require separate approval of an amendment to the institution's master plan pursuant to section D, above.

An institution may offer the programs at the branch campus or interinstitutional program after receiving (1) approval to establish a branch campus or interinstitutional program and (2) registration of the programs.

**F. Do Extension Courses Require Master Plan Amendment Approval?**

Individual courses offered in extension do not require master plan amendment approval and/or charter amendment because they are of a limited and temporary nature, so long as the institution does not offer a complete program at an extension location. Part 54 requires institutions to inform the Department annually of the locations of extension sites and interinstitutional sites. It also defines extension centers and interinstitutional centers and requires that institutions receive the Commissioner's approval to operate them. (Institutions inform the Department each year of the locations of extension and interinstitutional locations through the Inventory of Off-Campus Instructional Locations (NYSED-8 form) in the Higher Education Data System [HEDS]. Memorandum to Chief Executive Officers 80-16 sets forth the procedures for seeking approval of extension and interinstitutional centers.

**G. What Is The Procedure For Approval Of A Master Plan Amendment?**

If a proposal requires review and approval of an amendment to the institution's master plan, amendment of its charter, or both, the Department prepares a formal recommendation to the Regents following its review and analysis of the information provided. The normal time the Department needs to review a proposal that also requires master plan amendment approval and or charter amendment is four months. (Following Regents approval of an amendment to the master plan of State University or City University, the Governor must approve the amendment. The Department cannot register the program proposed until the Governor has approved the master plan amendment.)

## Appendix H: Format Definitions

[State Education Department Document]

**Evening:** All requirements for the degree or other award must be offered during evening study.

**Weekend:** All requirements for the degree or other award must be offered during weekend study.

**Evening/Weekend:** All requirements for the degree or other award must be offered during a combination of evening and weekend study.

**Day Program:** For programs having EVENING, WEEKEND, or EVENING/WEEKEND formats, indicates that all requirements for the degree or other award can also be completed during traditional daytime study.

**Independent Study:** A major portion of the requirements for the degree or other award must be offered through independent study rather than through traditional classes.

**Distance Education:** A major portion of the requirements for the degree or other award can be completed through study delivered by distance education.

**External:** All requirements for the degree or other award must be capable of completion through examination, without formal classroom study at the institution.

**Accelerated:** The program is offered in an accelerated curricular pattern which provides for early completion.

**Standard:** For programs having **Independent, Distance Education, External, OR Accelerated** formats, indicates that all requirements for the degree or other award can also be completed in a standard, traditional format.

**Bilingual:** Instruction is given in English and in another language. By program completion, students are proficient in both languages. This is not intended to be used to identify programs in foreign language study.

**Language:** The program is taught in a language other than English.

**Upper-Division:** A program comprising the final two years of a baccalaureate program. A student cannot enter such a program as a freshman. The admission level presumes prior completion of the equivalent of two years of college study and substantial prerequisites.

**Cooperative:** The program requires alternating periods of study on campus and related work experience. The pattern may extend the length of the program beyond normal time expectations.

**5-Year:** For baccalaureate programs. Indicates that because of the number of credits required, the program is approved as a 5-year program with five-year State student financial aid eligibility.

**4.5 Year:** For baccalaureate programs. Indicates that because of the number of credits required, the program is approved as a 4.5-year program with 4.5-year State student financial aid eligibility.

**Not Full-Time:** The program cannot be completed on a full-time basis: for example, a 60-credit program that leads to an associate degree that cannot be completed in two academic years. Such programs are not eligible for TAP payments to students.

**Exempted from Contact Hour Requirement:** The program is specifically exempted from Commissioner's Regulation 50.1(o) concerning minimum number of class hours per credit.

**Exempted from Branch Campus Requirement:** The program has been specifically exempted from Part 54 of Commissioner's [Regulations](#) requiring branch campus status. For example, some certificate programs at worksites have been granted this exemption.