Middle States Commission on Higher Education
3624 Market Street, Philadelphia, PA 19104-2680
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Verification of Compliance with Accreditation-Relevant Federal Regulations
Institutional Report Template

The Middle States Commission on Higher Education, as a federally recognized accreditor, is obligated to ensure that its candidate and member institutions comply with the accreditation-relevant federal regulations developed by the U.S. Department of Education in the Higher Education Opportunity Act of 2008. Further, the Commission is required to review candidate and member institutions' continued compliance with Title IV program responsibilities. Commission policy regarding federal compliance requirements for institutions was revised and enacted in January 2013, indicating that institutions must meet these federal regulations to be accredited by the Commission.

In response to this, it is assumed that the institution will provide documentation of policies and procedures that are (1) in writing, (2) approved and administered through applicable institutional processes, and (3) published and accessible to those affected.

In the event that one or more of these regulations do not apply to an institution, that institution shall indicate that fact in the compliance document. Otherwise, all accredited and candidate institutions must respond with regard to each of the areas.

These areas will be reviewed as part of the accreditation process, especially as they relate to the MSCHE Standards and applicable Requirements of Affiliation. Failure to comply with the areas of verification listed above will result in follow-up.

Reports must be filed in the Commission office according to the dates below:

Self-Study Visit falls between. . .	*Report on federal compliance is due no later than. . .*	*Reviewer's Report is due. . .*
September – January	July 1	August 15
February – March	December 1	January 15
April – May	January 15	March 1
PRR review begins . . .	*Report on federal compliance is due no later than. . .*	*Reviewer's Report is due. . .*
June 1	June 1	August 1

Please note that as additional guidance is received from the U.S. Department of Education, these guidelines may be modified without prior notice.

Institution: State University of New York at Potsdam

Report completed by: Compliance Verification Committee

Date: June 1, 2017

1. Student Identity Verification in Distance and Correspondence Education

1. *Policies and procedures used to ensure student identity verification in distance or correspondence education courses.*

SUNY Potsdam ensures student identity verification in distance learning courses through individual Campus Computer Accounts (CCA). Each student is assigned a unique CCA once they have made their admissions deposit to the college or registered for a course. The CCA is used as a login for all campus services including Potsdam's Learning Management System, Moodle, as well as Potsdam email, BearPAWS (student administrative system), BearDeN (degree audit software), logging onto campus computers, on-campus and residential Wi-Fi access, publishing web pages, and proxy access to campus restricted web sites. Computing & Technology Services (CTS) at SUNY Potsdam supports all Campus Computer accounts as well as the processes for users to get setup.

More information about the CCA can be found here: http://www.potsdam.edu/cts/services/cca and in Appendix 1.1.

2. *Procedure(s) regarding the protection of privacy for students enrolled in distance and correspondence courses or programs.*

Student records on Moodle are governed by the institution's FERPA policy, which can be found at: http://www.potsdam.edu/offices/registrar/ferpa and in Appendix 1.2.

Potsdam's Office of the Registrar maintains information for faculty and staff in how FERPA relates to their work with students; it is up to all members of the University to uphold FERPA. The Employee Statement of Understanding (Appendix 1.3) of FERPA must be used by offices of the college to ensure that employees (including work-study students) understand the regulations concerning the confidentiality of student educational records covered under the FERPA. Offices may create and substitute a different FERPA statement of understanding form specific to their office's duties and responsibilities.

Additionally, Computing & Technology Services maintains an Acceptable Use policy that discusses privacy and access to computer resources: http://www.potsdam.edu/cts/policiesforms/acceptableuse and in Appendix 1.4.

Finally, the Provost's Office, Human Resources, the Registrar's Office, and the Center for Creative Instruction work together to provide FERPA training for all new faculty and staff.

3. *Procedure(s) for notifying students about any projected additional charges associated with student identity verification. Provide URLs, catalogs, student handbooks, and other locations of any alternative institutional website documenting required disclosures.*

At this time, Potsdam has no additional charges associated with distance learning courses.

2. Transfer of Credit Policies and Articulation Agreements

1. *Policies and procedures for making decisions about the transfer of credits earned at other institutions (including all modes of delivery, if applicable). Include public disclosure (URL, catalog, or other public locations for information) of policy.*

This information is published in the SUNY Potsdam Undergraduate Catalog under "Academic Policies and Procedures" and can be accessed in any of the following ways:

Undergraduate Catalog, page 39
http://www.potsdam.edu/academics/catalog

Undergraduate Transfer Admissions Page
http://www.potsdam.edu/admissions/transfer

Consumer Information Link
http://www.potsdam.edu/consumerinformation

Transfer Credits
Definition:
Credits earned for instruction not under the direct control of SUNY Potsdam are transfer credits.

Acceptance of Credit:
The Academic Transfer Services Office is responsible for evaluation of transfer credentials. Credits will be accepted for coursework completed with a grade of 1.0/D or higher at a regionally accredited institution of higher education, (i.e., college, junior college, technical institute, seminary, Armed Forces Institute, Service Members Opportunity College or foreign institution). Guidelines issued by the American Association of College Registrars and Admissions Officers (AACRAO) will be used where necessary and applicable to assist in evaluation. An official evaluation of transfer credit will be completed for each transfer student at the time of acceptance to the College. This evaluation constitutes an agreement between the student and SUNY Potsdam and is binding for six years from the catalog date indicated on the evaluation. During that time no changes may be made to the detriment of the student because of subsequent changes in College policy or requirements.

Because of the difficulty in evaluating the equivalence of grading systems among institutions, grades earned elsewhere in courses accepted for transfer credit will not be used in computing the academic average. Therefore, they are not included in eligibility for the President's List, Dean's List or honors designations. Transfer credit from colleges on a different credit/calendar plan necessitates numerical conversion to semester credit hours (for example: quarter hour credits multiplied by 2/3 = semester credit hours).

Upper-Division Credit:
Courses taught at the upper-division level at the transfer institution will transfer as upper-division credit. In general, courses taught at the lower-division level at the transfer institution will transfer as lower-division credit. However, a lower-division course may transfer as equivalent in course content to an upper-division SUNY Potsdam course. In this situation, the decision to grant upper-division credit for the course rests with the corresponding academic department in consultation with Academic Transfer Services. Please note: this is the campus approved policy revision as of Fall 2016.

Major Field Credit:
The decision as to whether and how transferred credits apply toward completion of a major at SUNY Potsdam rests with the major academic department. Note: A grade of 2.0/C or better must be earned in each course to be applied toward the major or major cognates. In addition, a minimum of 15 credits in the major at the upper-division level must be completed at SUNY Potsdam.

Liberal Arts Credit:
In general, credits earned in a department corresponding to an arts and sciences department at SUNY Potsdam will be considered liberal arts. Should the liberal arts content of a particular course be

questioned, the decision will be made by the Academic Transfer Services Office in consultation with the department concerned. Courses from departments of education, military science or business administration are defined as non-liberal arts. If students question the determination of non-liberal arts credit for courses originating in such departments, they may appeal to the Academic Transfer Services Office for a reexamination of the decision. Transfer credits from departments which do not exist at SUNY Potsdam may be given liberal arts credit. In such cases, the decision will be made by the Director of Academic Transfer Services in consultation with related departments.

SUNY Potsdam's Transfer Course Guide (Equivalency Tables) can be accessed at:
https://bearpaws.potsdam.edu/pls/prod/yhwwkwags.P_Web_Artic_Guide
Please note: as this is an interactive tool that allows students to select particular colleges to see how specific courses have previously transferred, it cannot be appended.

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2. *URL and other publication locations, if applicable, of institutions with which the institution has established an articulation agreement.*

A published list of institutions with which SUNY Potsdam has established articulation agreements can be found at: http://www.potsdam.edu/admissions/transfer/articulation

3. Title IV Program Responsibilities

1. *Student loan default rates for the most recent three years. If applicable, submit reports on compliance from the U.S. Department of Education in regard to the cohort default rate, including any default reduction plans.*

Most recent Cohort Default Rate is for
Fiscal Year 2013 – 3-year official rate is 5.3.
Fiscal year 2012 – 3-year official rate is 4
Fiscal Year 2011 – 3-year official rate is 8

(See Appendix 3.1)

No reports issued from the US DOE in regard to cohort Default rate.

See Appendix 3.2 for the most recent three years OMB Circular A-133 Audits for the State of New York and the SUNY system.

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2. *Three most recent years of composite ratios (private and proprietary institutions only).*

Not Applicable. SUNY Potsdam is a public institution, which can be verified at:
http://www.suny.edu/campuses/potsdam/.

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3. *Date of most recent Title IV program review.*

Potsdam has not had a Title IV review by the US Dept. of Education in at least the last 10 years.

4.	*Relevant correspondence from the U.S. Department of Education, such as program reviews and any actions to limit, suspend, or terminate the institution's eligibility to participate in Title IV, including institutional responses, if applicable.*

No correspondence issued from the United States Department of Education

4. Institutional Records of Student Complaints

1.	*Policy and methods used in handling and tracking student grievances and complaints. Include public disclosure(s) of the policy/policies for student grievances and complaints (URLs, catalog, handbook, or other public location of this information).*

SUNY Potsdam participates in Federal student aid programs that are authorized under Title IV of the Higher Education Act of 1965. Participating institutions must be legally authorized to operate with the state in which it is located. Title 34 CFR §600.9 requires states to have a "process to review and appropriately act on complaints concerning the institution including enforcing applicable State laws."[1] Title 34 CFR §668.43(b) requires that institutions:

> *make available for review to any enrolled or prospective student upon request, a copy of the documents describing the institution's accreditation and its State, Federal, or tribal approval or licensing. The institution must also provide its students or prospective students with contact information for filing complaints with its accreditor and with its State approval or licensing entity and any other relevant State official or agency that would appropriately handle a student's complaint.[2]*

To comply with this regulation, SUNY Potsdam provides a single reference point for students, the Student Complaint Resolution webpage, which links to relevant information:
http://www.potsdam.edu/offices/ie/studentcomplaintresolution

SUNY Potsdam makes every effort to resolve student complaints internally, using policies and procedures outlined in the current catalogs and student handbooks. Students should utilize administrative procedures to address concerns and/or complaints in a timely manner. Links to relevant procedures are below.

- **Grade Appeal Procedures**
   Undergraduate Catalog, page 45 (PDF)
   Graduate Catalog, page 19 (PDF)
- Academic Honesty Violations
- Code of Student Conduct Violation
- **Non-Academic Complaints:** Complaints that are not related to an academic grade or integrity concern should be directed to the department chair, academic dean, or department director as appropriate for assistance.
- Bias Incidents Report
- Americans with Disabilities Act
- SUNY Harassment and Discrimination Policy
- Affirmative Action
- Title IX

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[1] https://www.gpo.gov/fdsys/pkg/CFR-2011-title34-vol3/pdf/CFR-2011-title34-vol3-sec600-9.pdf
[2] https://www.gpo.gov/fdsys/pkg/CFR-2011-title34-vol3/pdf/CFR-2011-title34-vol3-sec668-43.pdf

- Family Educational Rights and Privacy Act (FERPA)
- **Criminal Activity:** Complaints involving matters of a criminal nature, such as assault, battery, and theft should be directed to the University Police Department at (315) 267-2222

In the unlikely event that an issue cannot be resolved by the College, students may file a complaint with New York State Education Department. This agency should be contacted only **after** the student has registered a complaint with the College **and** has not received a response to the request for resolution. Contact information for New York State is as follows:

> Office of College and University Evaluation
> New York State Education Department
> 5 North Mezzanine, 89 Washington Avenue, Albany, NY 12234
> Telephone: (518) 474-3852
> Website

Unresolved complaints may also be filed with the Middle States Commission on Higher Education, the University's regional accrediting agency, once all other avenues have been exhausted. Information on its complaint policies and procedures can be found here (PDF).

> Middle States Commission on Higher Education
> 3624 Market Street, 2nd Floor West, Philadelphia, PA 19104
> Telephone: (267) 284-5000
> Email: info@msche.org Spanish: españolinfo@msche.org
> General Link: www.msche.org

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2. *Procedures for making modifications and improvements to the institution as a result of information obtained in handling student complaints.*

As part of the assessment process at SUNY Potsdam, both academic and non-academic departments submit reports on their assessment plans on a three-year cycle. These assessment reports require departments to include information regarding student complaints. In the academic report template, the following question is included: "If student complaints have been received, provide data regarding these complaints and resulting improvements to processes and programs in your department." The non-academic department report template includes instructions to report "Student complaints and resulting program improvements…".

5. Required Information for Students and the Public

1. *URLs, catalogs and student handbooks, and other public locations of any alternative institutional website documenting required disclosures as required by Student Right to Know, as well as polices on SAP, withdrawal, leave of absence, and attendance.*

Consumer Information/Right-to-Know: http://www.potsdam.edu/consumerinformation

University Catalogs: http://www.potsdam.edu/academics/catalog

College Student Handbook: http://www.potsdam.edu/studentlife/handbook

Other Student Handbooks:

| Crane School of |
| Music Psychology |
| Theatre & Dance |

| 2. *Methods used to collect and review information on student outcomes and licensure pass rates.* |

The School of Education and Professional Studies collects licensure pass rates from the New York State Department of Education. These pass rates are shared with education faculty through an annual meeting and posted online at:
http://www.potsdam.edu/sites/default/files/201516LicensureResults.pdf
http://www.potsdam.edu/sites/default/files/documents/offices/ie/assessment/outcomesreports/TEAC-presentation-102815-Final.pdf

Student learning outcomes for each academic department are reported through the assessment process. Every three years, departments report results of their assessments of student learning outcomes and analyze data to make recommendations and improvements to their program of study, if necessary. Academic reports are publically accessible at:
http://www.potsdam.edu/offices/ie/assessment/outcomesreports

General Education student outcomes are assessed on a three year cycle and can be found:
http://www.potsdam.edu/offices/ie/assessment/genedassessment

| 3. *Documents and URLs for advertising and recruitment materials that are available to current and prospective students that show the accreditation status with the Commission and any other U.S. Department of Education approved agencies.* |

University Catalogs: http://www.potsdam.edu/academics/catalog

Accreditations webpage: http://www.potsdam.edu/offices/ie/accreditation

Institutional Effectiveness site: http://www.potsdam.edu/offices/ie/middlestates

Consumer Information/Right to Know: http://www.potsdam.edu/consumerinformation

Crane School of Music: http://www.potsdam.edu/academics/Crane/about

Theatre & Dance: http://www.potsdam.edu/academics/AAS/Theatre

6. Standing with State and Other Accrediting Agencies

| 1. *Documentation of the relationships with any specialized, programmatic, or institutional accrediting agencies recognized by the U.S. Department of Education and all governing or coordinating bodies in the state(s) and countries in which the institution has a presence.* |
| *If, in the last five years, the institution has had a review resulting in non-compliance, include the report from the state or other accreditor as well as the institutional response* |

SUNY Potsdam has regular contact with the [New York State Education Department](...) (NYSED) and the [State University of New York](...) (SUNY) System Administration. All new programs and all significant curricular changes must be approved through these two entities.

Accreditors Recognized by U.S. Secretary of Education:

[National Association of Schools of Music](...) (NASM), Commission on Accreditation
Date of Initial Accreditation: 9/1/1957
Year of Most Recent Comprehensive Review: 2013
Academic Year of Next Scheduled Comprehensive Review: 2022-2023

[National Association of Schools of Theatre](...) (NAST), Commission on Accreditation
Date of Initial Accreditation: 3/1/2013
Year of Most Recent Comprehensive Review: 2009
Academic Year of Next Scheduled Comprehensive Review: 2018-2019

No compliance issues have been identified since Potsdam's self-study.

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2. *URLs, catalogs, student handbooks, and other locations of any alternative institutional website documenting required disclosures.*

http://www.potsdam.edu/offices/ie/accreditation

7. Contractual Relationships

1. *List of contractual arrangements for education services, including name of third-party and applicable programs and the date the arrangement was approved by the Commission).*

Currently, we do not contract with anyone for education services.

2. *URLs, catalogs, student handbooks, and other locations of any alternative institutional website documenting required disclosures.*

Not Applicable.

8. Assignment of Credit Hour

1. *Policy and procedures for credit hour assignment covering for all types of courses (including studio, internships, laboratory, practica, etc.), disciplines, programs, degree levels, formats, and modalities of instruction (including hybrid and online). Include each policy that documents the assignment of credit hours specific to the types noted above. The following should be clearly indicated:*
   - *Academic period (e.g., 15 weeks plus one week exam over two semesters);*
   - *Recommended instructional time (e.g., three 50-minute sessions or two 75-minute sessions per week);*
   - *Recommended out-of-class time requirements (e.g., twice in-class time).*

SUNY Potsdam operates on a 15-week semester for the fall and spring semesters which includes one week for final exams. Summer and winter terms are less than 15 weeks but adhere to the required credit/contact hour relationship and amount of outside preparation required.   Academic calendars are drafted by the academic calendar committee and are approved by President's Council. Currently approved academic calendars can be found online and in Appendix 8.1.

In alignment with the New York State Education Department (SED) policies and definitions[3], the State University of New York (SUNY) has a system-wide policy on credit/contact hour relationships found in Document Number 1305 (Appendix 8.2). Based on the SUNY-wide requirements and as required by SED & SUNY, SUNY Potsdam has established policies and procedures for the assignment of semester credit hours.

For the purpose of credit hours, SUNY Potsdam defines an hour as a 50-minute period. Per credit hour assigned, lectures, seminars, recitations, tutorials and independent studies are all required to meet a minimum of 750 minutes (50 minutes x 15 weeks) plus require two hours of outside preparation for every hour in class. For other schedule types (e.g. labs, studios, etc.), the complete credit and contact hour relationship guidelines types can be found online and in Appendix 8.3.

SUNY Potsdam utilizes a schedule template which is mandated by the Provost's Office. The template helps ensure that the credit hour policy is followed as it is designed with approved blocks of time for both three and four credit hour courses. The guidelines and template[4] can be found online and in Appendix 8.4. The Registrar's Office is responsible for entering the course data. Additionally, the Assistant Registrar and Secretary review schedule changes to help ensure that the credit and contact hour ratios are being followed. If the schedule adjustments are inconsistent with the policy, the course is brought back to the department for review.

For Distance Learning courses, there are no face-to-face meetings in most cases, however these courses have a rigorous course development procedure[5]. The complete handbook for policies and procedures can be found online and in and also in Appendix 8.5.

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2. *URLs, catalogs, student handbooks, and other locations of any alternative institutional website documenting required disclosures.*

See Question 1.

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[3] 8 NYCRR § 50.1 (n) (o) (Definitions)
[https://govt.westlaw.com/nycrr/Document/Ieca5c8abc22111dd97adcd755bda2840?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default)&bhcp=1]
AND 8 NYCRR § 52.2 (c) (4) (Granting of semester credit hours)
[https://govt.westlaw.com/nycrr/Document/Ieca63dd8c22111dd97adcd755bda2840?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default)]
[4] Scheduling guidelines and template are currently under revision.
[5] Online course approval processes are currently under revision, with a new process to be implemented next fall.

3. *Evidence that the institution's credit hour policies and procedures applied consistently across the full range of institutional offerings. If the institution is required to obtain approval from the relevant State Department of Education, compliance with this requirement should be documented.*

SUNY Potsdam has a demanding curricular approval process[6]. As seen online and also in Appendix 8.6**,** there are clear processes for each of the three schools: Arts & Sciences, The Crane School of Music, and Education & Professional Studies. The guidelines cover adding a new course, General Education approval process, Distance Education approval process, adding a new program, revising an existing program, and deleting an existing program. All new courses are reviewed at least by the Department Chair and Dean for confirmation that the work load is appropriate for the credit hours assigned to the course.

Department Chairs are charged with the following as it relates to credit hours:
- Supervising the establishment of departmental degree programs and curricula, including verification of credit hours assigned to new courses.
- Preparing fall and spring schedules of classes, including those for summer, winterim, graduate studies and continuing education following the template approved by the Provost.

4. *Processes used by the institution to review periodically the application of its policies and procedures for credit hour assignment.*

Through the EMS software for academic scheduling, the Registrar's Office runs an "out of template" report that is distributed to the Deans. The template is designed to meet the credit hour requirement, therefore courses that are out of template and are potentially in violation of the credit hour ratios are reviewed.

Additionally, through the Administrative Unit Assessment Reports, the Registrar's Office continually reviews the administration of the registration and scheduling process: http://www.potsdam.edu/sites/default/files/RegistrarAssessmentReport.pdf

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[6] Campus curricular approval processes are currently under review and may be revised next year.

APPENDIX 1.1

Screenshot of and information pulled from http://www.potsdam.edu/cts/services/cca on 05/15/17 at 7:09am.

Campus Computer Account (CCA)

All SUNY Potsdam students are assigned a Campus Computer Account (CCA) once they have made their admissions deposit to the college or registered for a course. All SUNY Potsdam faculty/staff are assigned a CCA when their signed contract is received by Human Resources, PACES or the Research Foundation. The CCA is used for all campus services including Potsdam email, BearPAWS, logging onto campus computers, on-campus and residential Wi-Fi access, Moodle, publishing web pages and proxy access to campus restricted web sites. The same username and password is used for all of these services.

FAQ's

What is my student username?
What is my faculty/staff username?
What is my alumni username?
How do I get my password?
How can I reset my password if I forget it?
What are my security questions?
What if I can't answer my security questions or never set any up?
What if I can't answer my security questions or never set any up, and I cannot come to campus?
What if I'm a Cross-Registered student from another college or if I am faculty and have a Cross-Registered student in my class?
What if I'm a former student who just wants access to my advisory transcript on BearPAWS?
What if I'm an alumnus who just wants to set up a Potsdam email account?
Who should I contact if I have other questions about the Campus Computer Account or I have technical difficulties?
Is it possible to change my CCA username?
I've graduated, but still have an incomplete and/or still have coursework that requires Library Database Access.

What is my student username?
The student username is the first six (6) letters of the last name, followed by the first letter of the first name, the first letter of the middle name and a number calculated from your admission term. Your username is the first part of your Potsdam email address, without the '@potsdam.edu.' Current students can look up their username in the student directory on our web site at http://directory.potsdam.edu/students/.

What is my faculty/staff username?
The faculty/staff username is the first six (6) letters of the last name, followed by the first letter of the first name, and the first letter of the middle name. For John M. Doe the username would be "doejm". Your username is the first part of your Potsdam email address, without the '@potsdam.edu.' Current faculty/staff can look up their username in the faculty/staff directory on our web site at

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How can I reset my password if I forget it?
What are my security questions?
What if I can't answer my security questions or never set any up?
What if I can't answer my security questions or never set any up, and I cannot come to campus?
What if I'm a Cross-Registered student from another college or if I am faculty and have a Cross-Registered student in my class?
What if I'm a former student who just wants access to my advisory transcript on BearPAWS?
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What is my faculty/staff username?
The faculty/staff username is the first six (6) letters of the last name, followed by the first letter of the first name, and the first letter of the middle name. For John M. Doe the username would be "doejm". Your username is the first part of your Potsdam email address, without the '@potsdam.edu.' Current faculty/staff can look up their username in the faculty/staff directory on our web site at http://directory.potsdam.edu/employees/.

What is my alumni username?
The alumni username is the first six (6) letters of the last name, followed by the first letter of the first name, the first letter of the middle name and an automated personalized number. If you had a student username while attending Potsdam, your alumni username is the same as your student username. Your username is the first part of your Potsdam email address, without the '@potsdam.edu.'

How do I get my password?
New students will have their initial CCA passwords mailed to them. International Exchange students will receive their initial passwords from the International Education Office when they arrive on campus. A

faculty/staff member's initial password will be available for pickup at the CTS Helpdesk or will be mailed directly to the employee via US Mail if the hiring department has requested it be mailed to your home address.

How can I reset my password if I forget it?
What are my security questions?
When you log into your CCA the first time, you will be asked to immediately reset the initial password that was given to you, and then to answer 3 from a list of 12 security questions. If at any time you forget your password, on the CCA login page there is a 'Forgot Password' button, that will take you to your security questions. If you are able to answer your 3 questions correctly, you will be enabled to select a new password for your account. The 12 security questions are as follows:

1. What is the country of your ultimate dream vacation?
2. What is the first name of the first person you kissed?
3. What is the name of your favorite childhood friend?
4. What is the street number of the house you grew up in?
5. What was the name of your first stuffed animal toy?
6. What was your childhood nickname?
7. What are the last 5 digits of your driver?s license number?
8. Who was your childhood hero?
9. What is the last name of your favorite teacher?
10. In what town was your first job?
11. What was the first concert you attended?
12. What was your dream job as a child?

Be sure to choose questions for which your answers are not likely to change in the near future, and remember that your answer must use exactly the same wording and spelling each time. To keep your account secure, choose questions that family, colleagues or friends are not likely to know, or answer them using a personal code. For more suggestions on protecting the security of your computer accounts, click here.

What if I can't answer my security questions or never set any up?
If you forget your password and you cannot answer your security questions, or you are a readmitted student who never set up security questions, you can have your password reset by going to one of 3 places on the SUNY Potsdam campus and presenting a valid photo identification card (a SUNY Potsdam photo ID, a driver's license or state-issued ID card with photo, or a passport) during their hours of operation (pending the availability of designated staff password resetters):

1. The CTS Helpdesk in Stillman Hall 103, (315) 267-4444
2. The Crumb Library, (315) 267-2485

What if I can't answer my security questions or never set any up, and I cannot come to campus?
If you forget your password and you cannot answer your security question, or never set up any security questions, and you are not able to come to the SUNY Potsdam campus in the near future, you can have your password reset by printing or scanning the form at this link, and faxing or emailing it along with a clear copy of a valid photo identification card to the Registrar's Office, registrar@potsdam.edu, Fax (315) 267-2157. You will be emailed with your username and instructions. Your temporary password will be valid for 3 days.

What if I'm a Cross-Registered student from another college or am faculty with a Cross-Registered student in my class?
The Associated Colleges (SUNY Potsdam, SUNY Canton, Clarkson University and St. Lawrence University) have agreed to changes in the Cross-Registration policies that will begin in the fall 2014 semester. These changes will align the Associated Colleges regulations with the new SUNY policies which were implemented in

2013. They will also make it easier for faculty to keep track of and grade cross-registered students, and will allow courses to show more accurately on student transcripts. The main points of the changes are as follows:

- Students will appear on class rosters just like any other non-matriculated student.
- Students will not be able to register for a cross-registered course until the week before classes begin. Instructor signatures will not be needed unless the course is closed at that time or requires instructor approval to register.
- Faculty will use their regular grading scale to grade cross-registered students.
- Students will be registered at the host college as non-matriculated students, so they will automatically be given a SUNY Potsdam email and Moodle account.
- Courses will be transcripted at the college where the course is taken, and then transferred to the home college.
- Students must be registered full-time at their home college in order to cross-register.
- No cross-registration will be permitted during the summer session except for college employees using their employment benefits.

If you have any questions about the new policies, please contact the Registrar's Office by emailing registrar@potsdam.edu. The new cross-registration application forms and instructions are available at: http://www.associatedcolleges.org/services/crossregistration.htm

What if I'm a former student who just wants access to my advisory transcript on BearPAWS?
If you are a former student who wishes to get access to your student records through BearPAWS, you can have your BearPAWS account reactivated and password reset by printing or scanning the form at this link, and faxing or emailing it along with a copy of a valid photo identification card to the Registrar?s Office, registrar@potsdam.edu, Fax (315) 267-2157. You will be emailed with your username and log in instructions. Your temporary password will be valid for 3 days.

What if I'm an alumnus who just wants to set up a Potsdam email account?
If you are an alumnus who wishes to have a SUNY Potsdam email account set up, contact the Alumni Relations Office for assistance at (315) 267-2120 or email alumni@potsdam.edu.

Who should I contact if I have other questions about the Campus Computer Account, or if I have technical difficulties?
If you have technical problems or other questions about your CCA, please contact the CTS Helpdesk at helpdesk@potsdam.edu or (315) 267-4444.

Is it possible to change my CCA username?
CCA usernames are unique and generated automatically using an algorithm specifically designed to prevent future username collisions. As such all requests for CCA username cosmetic modifications are denied. Any student/faculty-staff who has legally changed their name and has subsequently notified the Registrar Office and/or Human Resources is eligible to have their CCA username "renamed". CCA rename requests must be made in person at the CTS Helpdesk and persons can not request specific usernames.

I've graduated, but still have an incomplete and/or still have coursework that requires Library Database Access.
Your Professor will need to fill out the Request for Library Database Access (PDF) form and return it to CTS. You will be notified by email with your temporary account information.

APPENDIX 1.2

Screenshot of and information pulled from http://www.potsdam.edu/offices/registrar/ferpa# on 05/15/17 at 7:15am

FERPA - Educational Privacy Act

FERPA Defined

The Family Educational Rights and Privacy Act of 1974 (FERPA) provides current and former students with the right to inspect and review educational records, the right to seek to amend those records, the right to limit disclosure of information from the records and the right to file a complaint with the U.S. Department of Education. Applicants or students may also waive their rights to inspect confidential letters or statements of recommendation.

Directory Information

College officials may not disclose personally identifiable information about a student nor permit inspection of their records without the student's written permission unless such action is covered by certain exceptions permitted by FERPA. Under the provisions of the Act, a college may disclose information about a student if it has designated that the information is "Directory Information." SUNY Potsdam has designated the following as Directory Information:

- student's name
- date and place of birth
- address
- telephone number
- email address
- previous institution(s) attended
- dates of attendance
- enrollment status (full/part time)
- expected date of graduation
- class standing
- major field of study
- academic honors or awards received
- past and present participation in officially recognized sports or activities
- physical factors (height, weight of athletes)
- degrees conferred (including dates)

College Official

In accordance with FERPA, the student's consent is not required when a college official has a legitimate educational interest in the student's educational record; that is, if the official needs to review this information in order to fulfill his/her professional responsibility. However, this does not constitute authorization to share that information with a third party without the student's written consent. A "college official" is: a person employed by the College in an administrative, supervisory, academic or research, or support staff position (including Campus Police and Student Health); a person or company with whom the College has contracted (such as an attorney, auditor or accrediting agent); a person employed by SUNY System Administration; a person serving on the College Council; or a student serving on an official committee, or assisting another college official in performing his or her tasks.

FERPA - Educational Privacy Act

- [Employee Statement of Understanding](#)

- [Request to Withhold Directory Information](#)
- [Student's Rights](#)

- [Home](#)
- [Privacy Policy](#)
- [Contact](#)
- [Accessibility](#)
- [Site Map](#)

Appendix 1.3

Employee Statement of Understanding
of the Family Educational Rights and Privacy Act

STATE UNIVERSITY OF NEW YORK AT POTSDAM

Employee Statement of Understanding
of the Family Educational Rights and Privacy Act

Security and confidentiality of student educational records are a matter of concern for all individuals who have access to files or computerized data bases maintained by SUNY Potsdam offices. Any data base containing student data may be covered in part or in whole by the Family Educational Rights and Privacy Act of 1974.

The Family Rights and Privacy Act (FERPA) was enacted to protect the privacy of students and their education records. Each person working with education records in any format, including handwritten, print, type, film, electronic materials, etc., holds a position of trust and must recognize the responsibility of preserving the security and confidentiality of the information. As a representative of SUNY Potsdam, you are expected:

- To read the FERPA information available on the Office of the Registrar website: www.potsdam.edu.REG.
- To keep personal passwords private. Passwords are not to be written down or shared with others.
- Always to sign off from access to Banner/BearPAWS when leaving the immediate area.
- Not to allow any operator to use a computer which has been signed on under any other operator's user ID and password.
- Not to make or permit unauthorized use of any information in the computer or hard copy files.
- Not to seek personal benefit or permit others to benefit personally by any confidential information which has come to them through their work assignment(s).
- Not to include knowingly or cause to be included in any record or report a false, inaccurate, or misleading entry.

I have read the FERPA information on the Registrar's website. I understand that by virtue of my employment with SUNY Potsdam, I may have access to records which contain individually identifiable information, the disclosure of which is prohibited by the Family Educational Rights and Privacy Act. I acknowledge that I fully understand that the intentional disclosure by me of this information to any unauthorized person could subject me to criminal and civil penalties imposed by law. I further acknowledge that such willful or unauthorized disclosure also violates SUNY Potsdam policy and could constitute just cause for disciplinary action.

Signed_____Date_____

Print Name_____

APPENDIX 1.4

Screenshot of and information pulled from http://www.potsdam.edu/cts/policiesforms/acceptableuse on 05/15/17 at 8:07am.

Acceptable Use / Copyright

Information Technology Acceptable Use Policy

I. Introduction

Access to modern information technology is essential to the State University mission of providing the students, faculty and staff of the State University of New York with educational services of the highest quality. The pursuit and achievement of the SUNY mission of education, research, and public service require that the privilege of the use of computing systems and software, internal and external data networks, as well as access to the World Wide Web, be made generally available to all those of the SUNY community. The preservation of that privilege by the full community requires that each faculty member, staff member, student, and other authorized user comply with institutional and external standards for appropriate use.

To assist and ensure such compliance, SUNY Potsdam establishes the following policy which supplements all applicable SUNY policies, including sexual harassment, patent and copyright, and student and employee disciplinary policies, the Academic Honor Code, as well as applicable federal and state laws.

II. General Principles

1. Authorized use of computing and network resources owned or operated by SUNY Potsdam shall be consistent with the education, research and public service mission of the State University of New York, and consistent with this policy.
2. Authorized users of SUNY Potsdam computing and network resources include faculty, staff, students, and other affiliated individuals or organizations authorized by the Provost or his designee. Use by non-affiliated institutions and organizations shall be in accordance with SUNY Administrative Procedures Manual Policy 007.1: Use of Computer Equipment or Services by Non-affiliated Institutions and Organizations.
3. This policy applies to all SUNY Potsdam computing and network resources, including, but not limited to, host computer systems, SUNY Potsdam-sponsored computers and workstations, software, data sets, and communications networks controlled, administered, or accessed directly or indirectly by SUNY Potsdam computer resources or services, employees, or students.
4. SUNY Potsdam reserves the right to limit access to its computing and network resources when applicable campus or university policies or codes, contractual obligations, or state or federal laws are violated, but does not generally monitor or restrict the content of material transported across those computing and network resources.
5. SUNY Potsdam reserves the right to remove or limit access to material posted on university-owned computers when applicable campus or university policies or codes, contractual obligations, or state or federal laws are violated, but does not generally monitor the content of material posted on university-owned computers.
6. SUNY Potsdam does not generally monitor or restrict material residing on non-Potsdam-owned computers, whether or not such computers are attached to campus networks. However, non-Potsdam-owned computers that are connected to the campus network and violate SUNY Potsdam's policies are subject to investigation and disconnection without notice.
7. SUNY Potsdam reserves the right, upon reasonable cause for suspicion, to access all aspects of its computing and network resources, including individual usage to determine if a user is violating this policy or state or federal laws.
8. This policy may be supplemented with additional guidelines by campus units which operate their own computers or networks, provided such guidelines are consistent with this policy.

III. User Responsibilities

Privacy: No user should view, copy, alter or destroy another's personal electronic files without permission (unless authorized or required to do so by law or regulation). SUNY Potsdam computing and network resources are designed to protect user privacy; users shall not attempt to circumvent these protections.

Copyright: Written permission from the copyright holder is required to duplicate any copyrighted material. This includes, but is not limited to, duplication of music, audiotapes, videotapes, photographs, illustrations, computer software, data and all other information for educational use or any other purpose. Most software and databases that reside on the SUNY Potsdam's computing and network resources are owned by SUNY Potsdam or third parties, and are protected by copyright and other laws, together with licenses and other contractual agreements. Users are required to respect and abide by the terms and conditions of software use and redistribution licenses. Such restrictions may include prohibitions against copying programs or data for use on the SUNY Potsdam's computing and network resources or for distribution outside the SUNY Potsdam, against the resale of data or programs, or against the use of software for non-educational purposes, or for financial gain, and against public disclosure of information about programs (e.g., source code) without the owner's authorization.

Harassment, Libel and Slander: No user may use SUNY Potsdam's computing and network resources to libel, slander or harass any other person.

Access to Computer Resources:

Computer Accounts: Accounts are created for individual students, faculty and staff and are for the use of the assigned individual only.

Sharing of access: Computer accounts, passwords, and other types of authorization are assigned to individual users and should not be shared with others. You are responsible for any use of your account. If an account is shared or the password divulged, the holder of the account may lose all account privileges and may be held personally responsible for any actions that arise from the misuse of the account.

Permitting unauthorized access: You may not run or otherwise configure software or hardware to intentionally allow access by unauthorized users.

Termination of access: When you cease being a member of the campus community (e.g., withdraw, graduate, terminate employment, or otherwise leave the university), or if you are assigned a new position and/or responsibilities within the State University system, your access authorization may be reviewed and terminated. You must not use facilities, accounts, access codes, privileges or information for which you are not authorized in your new circumstances.

Abuse of Computer Resources: Abuse of the SUNY Potsdam's computer resources is prohibited and includes, but is not limited to:

Circumventing Security: Users are prohibited from attempting to circumvent or subvert any system's security measures. Users are prohibited from using any computer program or device to intercept or decode passwords or similar access control information.

Breaching Security: Deliberate attempts to degrade the performance of a computer system or network or to deprive authorized personnel of resources or access to any SUNY Potsdam computing and network resource is prohibited. Breach of security includes, but is not limited to, the following:

- Creating or propagating viruses.
- Cracking.
- Password grabbing.
- Disk scavenging

Game Playing: Limited recreational game playing by students, which is not part of authorized and assigned research or instructional activity, is acceptable, but computing and network resources are not to be used for extensive recreational game playing. Recreational game players occupying a seat in a public computing facility must give up the use of the device when others who need to use the facility for academic or research purposes are waiting

Gambling: Gambling on College Owned Computers is strictly prohibited.

Chain Letters: The propagation of chain letters is considered an unacceptable practice and is prohibited

Unauthorized Monitoring: A user may not monitor the electronic communications of others.

Flooding: Generating excessive network traffic, including spamming and denial-of-service, is prohibited.

Private Commercial Purposes: The computing resources of SUNY Potsdam shall not be used for private commercial purposes or for financial gain.

Political Advertising or Campaigning: The use of SUNY Potsdam's computing and network resources shall be in accordance with University policy on use of University facilities for political purposes (SUNY Administrative Procedures Manual Policy 008).

Modifying software or software installation: A user may not modify the software configuration on any computer provided for general access.

IV. Limitations on Users' Rights and Expectations

1. The issuance of a password or other means of access is to assure appropriate confidentiality of SUNY Potsdam files and information and does not guarantee privacy for personal or improper use of SUNY Potsdam equipment or facilities.
2. SUNY Potsdam provides reasonable security against intrusion and damage to files stored on the central facilities. However, SUNY Potsdam is not responsible for unauthorized access by other users or for loss due to power failure, fire, floods, etc. SUNY Potsdam makes no warranties with respect to Internet services, and it specifically assumes no responsibilities for the content of any advice, data or information received by a user through the use of SUNY Potsdam's computing and network resources.
3. Users should be aware that SUNY Potsdam computing and network resources may be subject to unauthorized access or tampering. In addition, computer records, including e-mail, are considered "records" which may be accessible to the public under the provisions of the New York State Freedom of Information Law.

V. Sanctions

Violators of this policy will be subject to the existing student or employee disciplinary procedures of SUNY Potsdam. Sanctions may include the loss of computing privileges. Illegal acts involving SUNY Potsdam computing resources may also subject users to investigation by campus, local state and federal legal authorities.

VI. How to Report an Abuse or Complaint

To file a complaint or report a violation of this policy, send an e-mail message to abuse@potsdam.edu, or call the Helpdesk of Computing & Technology Services at 315-267-4444.

Copyright/DMCA complaints should go to the college DMCA agent:

David Brouwer
CTS
SUNY Potsdam
44 Pierrepont Ave
Potsdam, NY 13676
315-267-3018
copyright@potsdam.edu

Appendix 3.1

Cohort Default Rate History

Federal Student Aid | PROUD SPONSOR *of the* AMERICAN MIND™   **National Student Loan Data System (NSLDS)**
An OFFICE of the U.S. DEPARTMENT of EDUCATION

NSLDS

Menu **Aid** **Enroll** **GE** **Org** **Report** **Tran**

Org Contact List | Org Search | Data Provider Schedule | Repayment Information | Cohort Default Rate | School Profile | GE Debt Measures

Type: --- Select ---   Code: Name: Retrieve

FSA ID: SUSAN.GODREAU.FSA logged on as: SUSAN GODREAU from STATE UNIVERSITY OF NEW YORK COLLEGE AT POTSDAM / TGI1980 / SC372KD

Name: STATE UNIVERSITY OF NEW YORK COLLEGE AT POTSDAM

Code: 00285000   **Type:** School

Status: OPEN

Address: 44 PIERREPONT AVENUE
POTSDAM, NY 136762294

Cohort Default Rate History List

Fiscal Year	Rate Type	Numerator	Denominator	Rate	Process Date
2013	3YR OFFICIAL	68	1269	5.3	08/06/2016
2013	3YR DRAFT	71	1270	5.5	01/23/2016
2012	3YR OFFICIAL	51	1253	4	08/08/2015
2012	3YR DRAFT	51	1256	4	01/24/2015
2011	2YR OFFICIAL	86	1182	7.2	07/27/2013
2011	2YR DRAFT	87	1181	7.3	02/23/2013
2011	3YR OFFICIAL	95	1180	8	07/26/2014
2011	3YR DRAFT	95	1181	8	01/11/2014
2010	2YR OFFICIAL	49	1073	4.5	08/04/2012
2010	2YR DRAFT	54	1073	5	02/11/2012
2010	3YR OFFICIAL	85	1074	7.9	07/28/2013
2010	3YR DRAFT	85	1073	7.9	02/24/2013
2009	2YR OFFICIAL	51	1142	4.4	07/30/2011
2009	2YR DRAFT	53	1203	4.4	01/16/2011
2009	3YR OFFICIAL	73	1141	6.3	08/05/2012
2009	3YR DRAFT	84	1141	7.3	02/12/2012
2008	2YR OFFICIAL	45	1206	3.7	07/31/2010
2008	2YR DRAFT	48	1206	3.9	01/02/2010
2008	3YR TRIAL	N/A	N/A	N/A	04/14/2011
2007	2YR OFFICIAL	27	1162	2.3	08/01/2009
2007	2YR DRAFT	31	1163	2.6	01/03/2009
2007	3YR TRIAL	N/A	N/A	N/A	10/30/2009
2006	2YR OFFICIAL	37	1294	2.8	08/02/2008
2006	2YR DRAFT	39	1295	3	01/05/2008
2006	3YR TRIAL	N/A	N/A	N/A	10/29/2009
2005	2YR OFFICIAL	37	1264	2.9	07/28/2007
2005	2YR DRAFT	38	1262	3	01/06/2007
2005	3YR TRIAL	N/A	N/A	N/A	10/29/2009
2004	2YR OFFICIAL	41	1344	3	07/29/2006
2004	2YR DRAFT	43	1344	3.1	01/07/2006
2003	2YR OFFICIAL	32	1242	2.5	07/30/2005
2003	2YR DRAFT	34	1241	2.7	01/08/2005
2002	2YR OFFICIAL	52	1231	4.2	07/31/2004
2002	2YR DRAFT	52	1230	4.2	01/10/2004
2001	2YR OFFICIAL	57	1263	4.5	08/02/2003
2001	2YR DRAFT	57	1264	4.5	01/12/2003
2000	2YR OFFICIAL	73	1286	5.6	08/03/2002
2000	2YR DRAFT	74	1287	5.7	01/13/2002
1999	2YR OFFICIAL	62	1155	5.3	08/04/2001
1999	2YR DRAFT	62	1156	5.3	01/13/2001
1998	2YR OFFICIAL	58	1140	5	09/27/2000
1998	2YR DRAFT	59	1139	5.1	12/18/1999
1997	2YR OFFICIAL	77	1005	7.6	08/28/1999

1997	2YR DRAFT	73	1007	7.2	02/27/1999
1996	2YR OFFICIAL	52	1045	4.9	09/26/1998
1996	2YR DRAFT	55	1048	5.2	03/28/1998
1995	2YR OFFICIAL	35	845	4.1	09/27/1997
1995	2YR DRAFT	35	837	4.1	03/29/1997
1994	2YR OFFICIAL	33	790	4.1	11/02/1996
1994	2YR DRAFT	33	789	4.1	06/06/1996
1993	2YR OFFICIAL	44	742	5.9	01/14/1996
1993	2YR DRAFT	47	747	6.2	06/18/1995

The Cohort Default rates listed above may not reflect changes that have resulted from the Cohort Default rate challenge/adjustment/appeal processes.

PRIVACY ACT OF 1974 (AS AMENDED)

SUNY Potsdam, Verification of Compliance

Appendix 3.2

Three Most Recent Years
OMB A-133 Circular Audit Reports

KPMG

STATE OF NEW YORK

Independent Auditors' Report as Required by Title 2 U.S. Code of Federal Regulations Part 200 (2 CFR §200), *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*

Year ended March 31, 2016

STATE OF NEW YORK

Table of Contents

Independent Auditors' Report on Compliance for Each Federal Major Program; Report on Internal Control over Compliance; and Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

The Governor
State of New York:

Report on Compliance for Each Major Federal Program

We have audited the State of New York's (the State) compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of the State's major federal programs for the year ended March 31, 2016. The State's major federal programs are identified in the summary of auditors' results Section of the accompanying schedule of findings and questioned costs.

As discussed in note 1 to the schedule of expenditures of federal awards, the State's basic financial statements include the operations of certain entities whose federal awards are not included in the accompanying schedule of expenditures of federal awards for the year ended March 31, 2016. Our audit, described below, did not include the operations of the entities identified in note 1 to the schedule of expenditures of federal awards because those entities had separate audits in accordance with Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance), if required.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditors' Responsibility

Our responsibility is to express an opinion on compliance for each of the State's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of the Uniform Guidance. Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the State's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our unmodified and modified opinions on compliance. However, our audit does not provide a legal determination of the State's compliance.

Basis for Qualified Opinions

As described in Findings 2016-003, 2016-007, 2016-009, 2016-011, 2016-012, 2016-015, 2016-019, 2016-020, 2016-021, 2016-022, 2016-023, 2016-026, and 2016-027 in the accompanying schedule of findings and questioned costs, the State did not comply with requirements related to the following:

Finding No.	State Administering Agency	Major Federal Program or Cluster	Compliance Requirement
2016-003	State Education Department	School Improvement Grant Cluster (84.377, 84.388)	Subrecipient Monitoring
2016-007	Office of Children and Family Services	Rehabilitation Services – Vocational Rehabilitation Grants to States (84.126)	Allowable Costs
2016-009	Office of Temporary and Disability Assistance	Child Support Enforcement (93.563)	Reporting
2016-011	Office of Children and Family Services	Promoting Safe and Stable Families (93.556) Stephanie Tubbs Jones Child Welfare Service Program (93.645)	Allowable Costs
2016-012	Office of Children and Family Services	Promoting Safe and Stable Families (93.556) Stephanie Tubbs Jones Child Welfare Program (93.645)	Subrecipient Monitoring
2016-015	Office of Children and Family Services	Promoting Safe and Stable Families (93.556) Stephanie Tubbs Jones Child Welfare Program (93.645)	Cash Management
2016-019	Department of Health	State Planning and Establishment Grants for the Affordable Care Act (ACA)'s Exchanges (93.525)	Allowable Costs
2016-020	Department of Health	Medicaid Cluster (93.775, 93.777, 93.778)	Special Tests – Inpatient Hospital and Long-Term Care Facility Audits
2016-021	Department of Health	Medicaid Cluster (93.775, 93.777, 93.778)	Procurement and Subrecipient Monitoring
2016-022	Department of Health	Basic Health Program (Affordable Care Act) (93.640)	Allowable Costs

2016-023	Housing Trust Fund Corporation	Housing Vouchers Cluster (14.871, 14.879)	Subrecipient Monitoring
2016-026	Housing Trust Fund Corporation	Community Development Block Grants/ State's Program and Non-Entitlement Grants in Hawaii (14.228)	Program Income
2016-027	Housing Trust Fund Corporation	Hurricane Sandy Community Development Block Grant Disaster Recovery Grants (14.269)	Cash Management

Compliance with such requirements is necessary, in our opinion, for the State to comply with the requirements applicable to those program.

Qualified Opinions

In our opinion, except for the noncompliance described in the Basis for Qualified Opinions paragraph, the State complied, in all material respects, with the types of compliance requirements referred above that could have a direct and material effect on each of the major federal programs listed in Table 1 above for the year ended March 31, 2016.

Unmodified Opinions on Each of the Other Major Federal Programs

In our opinion, the State complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its other major federal programs identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs for the year ended March 31, 2016.

Other Matters

The results of our auditing procedures disclosed other instances of noncompliance which are required to be reported in accordance with the Uniform Guidance and which are described in the accompanying schedule of findings and questioned costs as items 2016-001, 2016-002, 2016-004, 2016-005, 2016-006, 2016-010, 2016-013, 2016-014, 2016-016, 2016-018, 2016-024, 2016-025, 2016-028, 2016-029, 2016-030, and 2016-031. Our opinion on each major federal program is not modified with respect to these matters.

The State's responses to the noncompliance findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The State's responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

Report on Internal Control over Compliance

Management of the State is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the State's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the State's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the preceding paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that were not identified. However, as discussed below, we identified certain deficiencies in internal control over compliance that we consider to be material weaknesses and significant deficiencies.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct noncompliance with a type of compliance requirement of a federal program on a timely basis. A material weakness in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected on a timely basis. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs as items 2016-003, 2016-007, 2016-009, 2016-011, 2016-012, 2016-015, 2016-019, 2016-020, 2016-021, 2016-022, 2016-023, 2016-026, and 2016-027 to be material weaknesses.

A significant deficiency in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs as items 2016-001, 2016-002, 2016-004, 2016-005, 2016-006, 2016-008, 2016-010, 2016-013, 2016-014, 2016-017, 2016-018, 2016-024, 2016-025, 2016-028, 2016-029, 2016-030, and 2016-031 to be significant deficiencies.

The State's responses to the internal control over compliance findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The State's responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

We have audited the financial statements of the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the State, as of and for the year ended March 31, 2016, and the related notes to the financial statements, which collectively comprise the State's basic financial statements. We issued our report thereon dated July 28, 2016, which contained unmodified opinions on those financial statements. Our report included an emphasis of matter paragraph noting the State's adoption as of April 1, 2015 of Governmental Accounting Standards Board (GASB) Statement No. 68, *Accounting and Financial Reporting for Pensions*, GASB Statement No. 71, *Pension Transition for Contributions Made Subsequent to the Measurement Date*, and GASB Statement No. 82, *Pension Issues*. Our report also includes a reference to other auditors who audited the financial statements of the State's Lottery enterprise fund, the New York Local Government Assistance Corporation, the Tuition Savings Program, and certain of the discretely presented component units as identified in note 14 to the basic financial statements, as described in our report on State's basic financial statements.

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the basic financial statements. The accompanying schedule of expenditures of federal awards is

presented for purposes of additional analysis as required by the Uniform Guidance and is not a required part of the basic financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditure of federal awards is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

KPMG LLP

December 8, 2016
(except for the Schedule of Expenditures of Federal Awards, which is as of July 28, 2016)

APPENDIX V
LIST OF CHANGES FOR THE 2016 COMPLIANCE SUPPLEMENT

This Appendix provides a list of changes from the 2015 Compliance Supplement, dated June 2015.

Global

- Because all audits using the 2016 Supplement will be performed under 2 CFR part 200, subpart F, i.e., audits of entity fiscal years beginning on or after December 26, 2014, the 2016 Supplement has removed references to OMB Circular A-133 that in 2015 were shown as dual references to A-133 and 2 CFR part 200. In some cases, e.g., in Part 3.1, certain references to OMB Circular A-133 have been retained because they include information that does not pertain specifically to the audit. These references have been footnoted where they occur.

- All parts and appendices were reviewed for use of the words "should" and "must," both for consistency in usage and clarity of intent, and changes made, as appropriate. Also see Parts 1 and 3 below.

- In order to assist auditors in using Part 2 in conjunction with the program/cluster supplements in Parts 4 and 5, each program/cluster now includes the applicable row from Part 2. In addition, the **bold** introductory wording under III, "Compliance Requirements," has been changed to indicate how the program/cluster supplement is to be used. This includes changing "should" to "must" concerning auditor use of the requirements specified in program/cluster supplements. As part of making this change, the **bold** introductory language has been removed from the BIA/BIE (15.000), DOT (20.000), and ED (84.000) Cross-Cutting sections because it is redundant and there is no corresponding row in the matrix in Part 2.

Table of Contents

- The Table of Contents has been changed to:

    o Modify the program titles for the following programs in Part 4 to make them consistent with the names as they appear in the *Catalog of Federal Domestic Assistance* (CFDA):

    CFDA 14.231 - Emergency Solutions Grant Program

    CFDA 17.258 - WIA/WIOA Adult Program

    CFDA 17.259 - WIA/WIOA Youth Activities

    CFDA 17.278 - WIA/WIOA Dislocated Worker Formula Grants.

(d) Matching Costs

Matching costs, the nonfederal share of certain program costs, are not included in the Schedule except for the State's share of unemployment insurance (see note 4).

(2) Relationship to Federal Financial Reports

The regulations and guidelines governing the preparation of federal financial reports vary by federal agency and among programs administered by the same agency. Accordingly, the amounts reported in the federal financial reports do not necessarily agree with the amounts reported in the accompanying Schedule, which is prepared on the basis explained in note 1(c).

(3) Indirect Cost Rate

The State has elected not to use the 10-percent de minimis indirect cost rate allowed under the Uniform Guidance.

(4) Unemployment Insurance

State unemployment tax revenues and other payments must be deposited into the Unemployment Trust Fund in the U.S. Treasury. Use of these funds is restricted to pay benefits under the federally approved State unemployment law. State unemployment insurance funds as well as federal funds are used to pay benefits under the Unemployment Insurance program (CFDA 17.225). The amount reported in the Schedule for the Unemployment Insurance program included $2.3 billion in State funded expenditures deposited into the Unemployment Trust Fund in the U.S. Treasury.

(5) Loan and Loan Guarantee Program

(a) Federal Student Loan and Loan Guarantee Programs

The federal student loan programs listed below are administered by the State through the State University of New York (SUNY) and balances and transactions related to these programs are included in the State's CAFR. Loans made during the year are included as federal expenditures presented in the Schedule. Loans outstanding at March 31, 2016 amounted to $143.7 million, net of allowance for doubtful accounts. The following table displays activity for federal student loans outstanding at March 31, 2016 (in thousands):

CFDA number	Program title	Beginning balance	Additions	Deletions	Ending balance
84.038	Federal Perkins Loan Program – Federal Capital Contributions	$ 122,568	19,606	19,701	122,473
93.342	Health Professions Student Loans, Loans, Including Primary Care Loans/Loans for Disadvantaged Students	16,246	2,491	2,426	16,311
93.364	Nursing Student Loans	4,786	1,113	962	4,937

SUNY participates in the Federal Direct Student Loans program (CFDA 84.268), which provides federal loans directly to students rather than through private lending institutions. SUNY is responsible only for the origination of the loan (i.e., determining student eligibility and disbursing loan proceeds to the borrower). The Direct Loan Servicer is then responsible for overall servicing and collection of the loan. During the year ended March 31, 2016, SUNY processed $1.2 billion of new loans under the Federal Direct Student Loans program, which are included in the Schedule. The program is administered by the Federal government, therefore, new loans made during the year are reported in the Schedule, whereas the outstanding loan balances are not.

(b) *Home Investment Partnerships Program*

The State administers the Home Investment Partnerships (HOME) Program (CFDA 14.239) through the Housing Trust Fund Corporation. A portion of the HOME Program payments are in the form of low interest loans made to not-for-profit and for-profit organizations to construct multi-family apartment buildings. Loans outstanding at March 31, 2016 amounted to $194.9 million. The following table displays activity for the HOME Program loans outstanding at March 31, 2016 (in thousands):

CFDA number	Program title	Beginning balance	Additions	Deletions	Ending balance
14.239	Home Investment Partnerships Program	$ 183,538	12,537	1,209	194,866

(c) *Hurricane Sandy Community Development Block Grant Disaster Recovery Grants*

The State administers the Hurricane Sandy Community Development Block Grant Disaster Recovery Grants program (CFDA 14.269) through the Governor's Office of Storm Recovery. A portion of the program payments are in the form of loans. Loans outstanding as of March 31, 2016 amounted to $18.1 million. The following table displays activity for the Hurricane Sandy Community Development Block Grant Disaster Recovery Grants program at March 31, 2016 (in thousands):

CFDA number	Program title	Beginning balance	Additions	Deletions	Ending balance
14.269	Hurricane Sandy Community Development Block Grant Disaster Recovery Grants	$ 1,176	16,892	—	18,068

Reference	Finding	State Agency	Status	Contact Person
2015-001	Cash management	State Education Department	Corrected	Thalia Melendez
2015-002	FFATA reporting	State Education Department	Partial corrected. See status report of finding at page B-6 and current year finding 2016-001	Thalia Melendez
2015-003	Monitoring of subrecipients	State Education Department	Corrected	Thalia Melendez
2015-004	Monitoring of subrecipients	State Education Department	Partial corrected. See status report of finding at page B-8 and current year finding 2016-003	Thalia Melendez
2015-005	Suspension and debarment	State Education Department	Partial corrected. See status report of finding at page B-9 and current year finding 2016-004	Thalia Melendez
2015-006	FFATA reporting	State Education Department	Partial corrected. See status report of finding at page B-10	Thalia Melendez
2015-007	Monitoring of subrecipients	State Education Department	Corrected	Thalia Melendez
2015-008	Eligibility	State Education Department	Partial corrected. See status report of finding at page B-12 and current year finding 2016-006	Thalia Melendez
2015-009	Return of Title IV funds	State University of New York	Partial corrected. See status report of finding at page B-13	Michael Abbott
2015-010	Enrollment verification	State University of New York	Partial corrected. See status report of finding at page B-14	Michael Abbott
2015-011	Financial reporting	Office of Temporary and Disability Assistance	Partial corrected. See status report of finding at page B-15	Kathleen Murphy
2015-012	Financial reporting	Office of Temporary and Disability Assistance	Partial corrected. See status report of finding at page B-16 and current year finding 2016-009	Kathleen Murphy
2015-013	Financial reporting	Office of Temporary and Disability Assistance	Partial corrected. See status report of finding at page B-17	Kathleen Murphy
2015-014	Monitoring of subrecipients	Office of Children and Family Services	Partial corrected. See status report of finding at page B-18	Daniel Duffy
2015-015	FFATA reporting	Office of Children and Family Services	Partial corrected. See status report of finding at page B-20	Daniel Duffy
2015-016	Earmarking	Office of Children and Family Services	Partial corrected. See status report of finding at page B-21	Daniel Duffy
2015-017	Special Tests - Payment Rate Setting and Application	Office of Children and Family Services	Partial corrected. See status report of finding at page B-22	Daniel Duffy

STATE OF NEW YORK

Year Finding Summary

March 31, 2016

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2015-16 PRIOR-YEAR FINDING SUMMARY

Prior-Year
Audit Period: <u>State Fiscal Year Ended March 31, 2015</u>

State Agency: <u>The State University of New York</u>

Single Audit Contact: <u>Michael Abbott</u>

Title: <u>University Auditor</u>

Telephone: <u>518-320-1533</u>

E-mail Address: <u>michael.abbott@suny.edu</u>

Prior-Year Audit Report Page Reference: <u>44</u>

Prior-Year Finding Number: <u>2015-009</u>

Status Report on Prior-Year Finding:

Return of Title IV:

Enhanced internal controls have resulted in the Title IV federal funds being returned within the required timeframe.

STATE OF NEW YORK

Year Finding Summary

March 31, 2016

2015-16 PRIOR-YEAR FINDING SUMMARY

Prior-Year Audit Period:	State Fiscal Year Ended March 31, 2015
State Agency:	The State University of New York
Single Audit Contact:	Michael Abbott
Title:	University Auditor
Telephone:	518-320-1533
E-mail Address:	michael.abbott@suny.edu
Prior-Year Audit Report Page Reference:	46
Prior-Year Finding Number:	2015-010

Status Report on Prior-Year Finding:

Controls have been enhanced. The Registrar and Information Technology departments have been coordinating the submissions of the enrollment and graduation files to NSLDS via NSC. The Registrar has also been monitoring the submissions. The Director of Student Financial Services has been verifying sample populations after submissions to ensure that the data is reflected correctly at NSLDS, and has found no issues.

STATE OF NEW YORK

Independent Auditors' Report as Required by OMB
Circular A-133 and Related Information

Year ended March 31, 2015

STATE OF NEW YORK

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Appendix

Independent Auditors' Report on Compliance for Each Major Program; Report on Internal Control over Compliance; and Report on Schedule of Expenditures of Federal Awards Required by OMB Circular A-133, *Audits of States, Local Governments and Nonprofit Organizations*

The Governor
State of New York:

Report on Compliance for Each Major Federal Program

We have audited the State of New York's (the State) compliance with the types of compliance requirements described in the *OMB Circular A-133 Compliance Supplement* that could have a direct and material effect on each of the State's major federal programs for the year ended March 31, 2015. The State's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

As discussed in note 1 to the Schedule of Expenditures of Federal Awards, the State's basic financial statements include the operations of certain entities whose federal awards are not included in the accompanying schedule of expenditures of federal awards for the year ended March 31, 2015. Our audit, described below, did not include the operations of the entities identified in note 1 to the Schedule of Expenditures of Federal Awards because those entities had separate audits in accordance with OMB Circular A-133, if required.

Management's Responsibility

Management is responsible for compliance with the requirements of laws, regulations, contracts, and grants applicable to its federal programs.

Auditors' Responsibility

Our responsibility is to express an opinion on compliance for each of the State's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the State's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our unmodified and modified audit opinions on compliance. However, our audit does not provide a legal determination of the State's compliance.

Basis for Qualified Opinions

As described below and in the accompanying schedule of findings and questioned costs, the State did not comply with certain requirements that are applicable to the major federal programs listed in Table 1. Compliance with such requirements is necessary, in our opinion, for the State to comply with the requirements applicable to those major federal programs.

Table 1			
State Administering Agency	**Major Federal Program or Cluster**	**Compliance Requirement**	**Finding No.**
State Education Department	Improving Teacher Quality State Grants (84.367)	Cash Management	2015-001
	Title I Grants to Local Education Agencies (84.010)		
	School Improvement Grants Cluster:		
	School Improvement Grants (84.377)		
	ARRA – School Improvement Grants (84.388)		
	Special Education Cluster:		
	Special Education – Grants to States (84.027)		
	Special Education – Preschool Grants (84.173)		
State Education Department	School Improvement Grants Cluster:	Subrecipient Monitoring	2015-004
	School Improvement Grants (84.377)		
	ARRA – School Improvement Grants (84.388)		
State Education Department	Rehabilitation Services – Vocational Rehabilitation Grants to States (84.126)	Eligibility	2015-008
Office of Temporary Disability Assistance	Child Support Enforcement (93.563)	Reporting	2015-012

Table 1			
State Administering Agency	**Major Federal Program or Cluster**	**Compliance Requirement**	**Finding No.**
Department of Health	State Planning and Establishment Grants for the Affordable Care Act (ACA)'s Exchanges (93.525)	Allowability	2015-023
Department of Health	Medicaid Cluster (93.775, 93.777, 93.778)	Special Tests – Inpatient Hospital and Long-Term Care Facility Audits	2015-024
Department of Labor	Unemployment Insurance (UI) (17.225) ARRA – Unemployment Insurance (UI) (17.225)	Special Tests - UI Benefit Payments	2015-031
Housing Trust Fund Corporation	Section 8 Housing Choice Vouchers (14.871)	Subrecipient Monitoring	2015-033
Housing Trust Fund Corporation	Hurricane Sandy Community Development Block Grant Disaster Recovery Grants (14.269)	Cash Management	2015-035

Qualified Opinions

In our opinion, except for the noncompliance described in the Basis for Qualified Opinions paragraph, the State complied, in all material respects, with the types of compliance requirements referred above that could have a direct and material effect on the major federal programs listed in Table 1 for the year ended March 31, 2015.

Unmodified Opinions on Each of the Other Major Federal Programs

In our opinion, the State complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its other major federal programs for the year ended March 31, 2015.

Other Matters

The results of our auditing procedures disclosed other instances of noncompliance, which are required to be reported in accordance with OMB Circular A-133 and which are described in the accompanying schedule of findings and questioned costs as items 2015-002, 2015-003, 2015-006, 2015-007, 2015-009, 2015-010, 2015-011, 2015-013, 2015-014, 2015-015, 2015-016, 2015-017, 2015-018, 2015-019, 2015-020, 2015-021, 2015-022, 2015-025, 2015-027, 2015-028, 2015-029, 2015-030, 2015-032, 2015-034, 2015-036, 2015-037, 2015-038, 2015-039, 2015-040, and 2015-041. Our opinion on each major federal program is not modified with respect to these matters.

The State's responses to the noncompliance findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The State's responses were not subjected to the

auditing procedures applied in the audit of compliance, and accordingly, we express no opinion on the responses.

Report on Internal Control over Compliance

Management of the State is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the State's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the State's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies, and therefore, material weaknesses or significant deficiencies may exist that were not identified. However, as discussed below, we identified certain deficiencies in internal control over compliance that we consider to be material weaknesses and significant deficiencies.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A material weakness in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs as items 2015-001, 2015-004, 2015-008, 2015-012, 2015-023, 2015-024, 2015-031, 2015-033, and 2015-035 to be material weaknesses.

A significant deficiency in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliances, yet important enough to merit attention by those charged with governance. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs as items 2015-002, 2015-003, 2015-005, 2015-006, 2015-007, 2015-009, 2015-011, 2015-013, 2015-014, 2015-015, 2015-016, 2015-017, 2015-018, 2015-019, 2015-020, 2015-021, 2015-022, 2015-025, 2015-026, 2015-027, 2015-028, 2015-029, 2015-030, 2015-032, 2015-034, 2015-036, 2015-037, 2015-038, 2015-039, 2015-040, and 2015-041 to be significant deficiencies.

The State's responses to the internal control over compliance findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The State's responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of OMB Circular A-133. Accordingly, this report is not suitable for any other purpose.

KPMG

Report on Schedule of Expenditures of Federal Awards Required by OMB Circular A – 133

We have audited the financial statements of the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the State, as of and for the year ended March 31, 2015, and the related notes to the financial statements, which collectively comprise the State's basic financial statements. We issued our report thereon dated July 24, 2015, which contained unmodified opinions on those financial statements. Our report includes a reference to other auditors who audited the financial statements of New York Local Government Assistance Corporation, the Tuition Savings Program, certain organizations included within the SUNY enterprise fund and certain of the discretely presented components as identified in note 14 to the basic financial statements, as described in our report on State's basic financial statements.

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the State's basic financial statements. The accompanying Schedule of Expenditures of Federal Awards is presented for purposes of additional analysis as required by OMB Circular A-133 and is not a required part of the basic financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the Schedule of Expenditure of Federal Awards is fairly stated in all material respects in relation to the basic financial statements as a whole.

KPMG LLP

November 25, 2015
(except for the Schedule of Expenditures of
  Federal Awards, which is as of July 24, 2015)

STATE OF NEW YORK

Notes to Schedule of Expenditures of Federal Awards

Year ended March 31, 2015

(1) Basis of Presentation

(a) Reporting Entity

For purposes of complying with The Single Audit Act, the State of New York is defined in a manner consistent with the entity defined in the Comprehensive Annual Financial Report (CAFR) as of and for the year ended March 31, 2015 except for the following:

i. New York State and Local Retirement System, State Lottery, and City University of New York Fund;

ii. Research Foundation of the State University of New York;

iii. All public benefit corporations, as defined in the CAFR (note 14), except for the following four public benefit corporations, which are included:

    1. Dormitory Authority of the State of New York

    2. New York State Energy Research and Development Authority

    3. Hugh C. Carey Battery Park City Authority

    4. Housing Trust Fund Corporation

Accordingly, the accompanying Schedule of Expenditures of Federal Awards (Schedule) includes all federal award programs administered by the State of New York (State), as defined above, for the year ended March 31, 2015.

(b) Federal Student Loan Programs

The federal student loan programs listed below are administered by the State through the State University of New York (SUNY) and balances and transactions related to these programs are included in the State's CAFR. Loans made during the year are included as federal expenditures presented in the Schedule. The balance of loans outstanding at March 31, 2015 consist of:

CFDA number	Program title		Amounts outstanding (in thousands)
84.038	Federal Perkins Loan Program – Federal Capital Contributions	$	122,568
93.342	Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students		16,246
93.364	Nursing Student Loans		4,786

(c) Home Investment Partnerships Program

The State administers the Home Investment Partnerships (HOME) Program (CFDA No. 14.239) through the Housing Trust Fund Corporation. A portion of the HOME program payments are in the

STATE OF NEW YORK

Schedule of Findings and Questioned Costs

Year ended March 31, 2015

Federal Agency:	United States Department of Education
Programs:	Federal Direct Student Loans (84.268)
Award numbers:	P268K140303
Award years:	2014
State Agency:	The State University of New York
Reference:	2015-009

Criteria

Returns of Title IV funds are required to be deposited or transferred into the student financial aid account or electronic fund transfers initiated to the U.S. Department of Education (ED) or the appropriate Federal Family Education Loan Program (FFEL) lender as soon as possible, but no later than 45 days after the date the institution determines that student withdrew. Returns by check are late if the check is issued more than 45 days after the institution determined that the student withdrew or the date on the canceled check shows the check was endorsed more than 60 days after the date the institution determined that the student withdrew (34 CFR section 668.173(b)).

Condition

We performed testing of the return of funds process at six State University of New York (SUNY) campuses. Of the six locations reviewed, we noted an exception at one location, as follows:

For 1 of the 25 students sampled whom withdrew during the 2014-2015 academic year from the Farmingdale State College SUNY, Title IV funds were not refunded on a timely basis. For the one instance noted, the student withdrew on October 3, 2014 and the funds were returned on November 24, 2014, which is 52 days after the withdrawal date.

Based on the above, SUNY was not fully in compliance with federal requirements related to returns of Title IV funds.

A similar finding related to SUNY University at Buffalo was included in the prior year Single Audit Report as finding number 2014-011 on page 48. No instances of noncompliance were noted in the current year related to SUNY University at Buffalo.

Cause

The cause of the condition is due to the frequency that the withdrawal reports were produced for management review. One such report was not produced and provided to the financial aid department in a timely enough manner to ensure the return of Title IV refunds within the prescribed 45 days.

Questioned Costs

None.

Recommendation

We recommend SUNY strengthen its procedures to ensure that Title IV funds are returned to the ED or lender on a timely basis.

Views of Responsible Officials

Presented in the State Agency Corrective Action Plans attached as an appendix to the Single Audit Report.

Schedule of Findings and Questioned Costs
Year ended March 31, 2015

Federal Agency:	United States Department of Education
Programs:	Federal Direct Student Loans (84.268)
	Federal Pell Grant Program (84.063)
Award numbers:	P268K140303, P268K145189, and P063P133112
Award years:	2014
State Agency:	The State University of New York
Reference:	2015-010

Criteria

Under the Federal Family Education Loan Program (FFEL) and Direct Loan programs, schools must complete and return within 30 days the Enrollment Reporting Roster file [formerly the Student Status Confirmation Report (SSCR)] placed in their Student Aid Internet Gateway (SAIG) mailboxes by ED via National Student Loan Data System (NSLDS) (OMB No. 1845 0035). The institution determines how often it receives the Enrollment Reporting Roster file with the default set at every two months, but the minimum is twice a year. Once received, the institution must update changes in student status, report the date the enrollment status was effective, enter the new anticipated completion date, and submit the changes electronically through the batch method or the NSLDS web site. Institutions are responsible for timely reporting, whether they report directly or via a third party servicer.

Unless the school expects to complete its next roster within 60 days, the school must notify the lender or the guaranty agency within 30 days, if it discovers that a student who received a loan either did not enroll or ceased to be enrolled on at least a half time basis (FFEL, 34 CFR section 682.610; Direct Loan, 34 CFR section 685.309).

Condition

Enrollment verifications are electronically reported directly to the National Student Clearinghouse (NSC) via a secure FTP by the Registrar's Office. The enrollment verification includes the semester in which the student is enrolled, enrollment status (full time, half time, less than half time, or not enrolled), anticipated graduation date or last date of enrollment, SSN, and permanent address. Status changes are reported by NSC to NSLDS.

We performed testing of the enrollment verifications process at six State University of New York (SUNY) campuses. Of the six locations reviewed, we noted exceptions at one location, as follows:

The Farmingdale State College SUNY did not communicate status changes to ED via NSLDS on a timely basis. At the time of our testwork, the College had already identified this issue and was in the process of reporting the necessary status changes. Of the 25 students sampled that graduated or withdrew during the 2014-2015 academic year, 21 were not communicated to ED via NSLDS on a timely basis. For the 21 status changes not communicated timely, the status changes were reported on various dates, ranging from 19 to 69 days past the required reporting date.

Late submissions delay the notification to the Department of Education for Direct Loans, as well as potential deferments, grace periods and repayments, and the payment of interest subsidies.

A similar finding related to SUNY Buffalo State College and SUNY University at Buffalo was included in the prior year Single Audit Report as finding number 2014-012 on page 50. No instances of noncompliance were noted in the current year related to SUNY Buffalo State College and SUNY University at Buffalo.

Cause

The enrollment reporting changes were not timely submitted due to reporting delays caused by a change in reporting format to MELDS. The issue was further exacerbated when the College sought advice from the Clearinghouse on how to handle the enrollment reporting after identifying an isolated number of students whose Spring 2015 enrollment was being picked up incorrectly, affecting their in-school status. When asked if they should send in the data as is and make the manual changes for those students at NSLDS, the Clearinghouse advised them to delay the reporting until all could be reported correctly so NSLDS and the Clearinghouse records would match.

Questioned Costs

None.

Recommendation

We recommend SUNY implement additional controls to ensure that the required student status changes are submitted to NSC and ultimately NSLDS within the required time frame.

Views of Responsible Officials

Presented in the State Agency Corrective Action Plans attached as an appendix to the Single Audit Report.

NEW YORK STATE CORRECTIVE ACTION PLAN

Single Audit of Federal Programs for
State Fiscal Year Ended March 31, 2015

State Agency: The State University of New York

Single Audit Contact: Michael Abbott

Title: University Auditor

Telephone: 518-320-1533

E-mail: michael.abbott@suny.edu

Federal Program(s) (CFDA # [s]): Federal Direct Student Loans (84.268)

Audit Report Reference: 2015-009

<u>**Type of Finding:**</u>

Internal Control with related noncompliance	[X]
Internal Control Only (no noncompliance cited)	[ ]
Other reportable noncompliance (Finding Only)	[ ]
Questioned Costs	None

II. <u>**Summary of Finding (including any Internal Control Recommendation(s), if applicable):**</u>

The auditors performed testing of the return of funds process at six State University of New York (SUNY) campuses. Of the six locations reviewed, the auditors noted an exception at one location, as follows:

For 1 of the 25 students sampled whom withdrew during the 2014-2015 academic year from the Farmingdale State College SUNY, Title IV funds were not refunded on a timely basis. For the one instance noted, the student withdrew on October 3, 2014 and the funds were returned on November 24, 2014, which is 52 days after the withdrawal date.

Based on the above, SUNY was not fully in compliance with federal requirements related to returns of Title IV funds.

A similar finding related to SUNY University at Buffalo was included in the prior year Single Audit Report as finding number 2014-011 on page 48. No instances of noncompliance were noted in the current year related to SUNY University at Buffalo.

SUNY should strengthen its procedures to ensure that Title IV funds are returned to the ED or lender on a timely basis.

III. <u>**Agency Response:**</u>

Farmingdale State College agrees with the auditors finding pertaining to the Return of Title IV (R2T4) exception noted in the audit.

NEW YORK STATE CORRECTIVE ACTION PLAN

Single Audit of Federal Programs for
State Fiscal Year Ended March 31, 2015

For the entire student sample reviewed by the auditors, all R2T4 calculations were completed accurately. However, there was one exception where the funds were returned on an untimely basis.

This one exception was the result of a delay in running one report, identifying students who withdrew and would need to be reviewed for R2T4 calculations and return of funds.

Internal controls have been enhanced where reports are produced more frequently and the scheduled dates of delivery are strictly adhered to.

NEW YORK STATE CORRECTIVE ACTION PLAN

Single Audit of Federal Programs for
State Fiscal Year Ended March 31, 2015

State Agency: The State University of New York

Single Audit Contact: Michael Abbott

Title: University Auditor

Telephone: 518-320-1533

E-mail: michael.abbott@suny.edu

Federal Program(s) (CFDA # [s]):   Federal Direct Student Loans – (84.268)
                                                Federal Pell Grant Program – (84.063)

Audit Report Reference: 2015-010

Type of Finding:

Internal Control with related noncompliance	[ ]
Internal Control Only (no noncompliance cited)	[ ]
Other reportable noncompliance (Finding Only)	[X]
Questioned Costs	<u>None</u>

II.   **<u>Summary of Finding (including any Internal Control Recommendation(s), if applicable):</u>**

Enrollment verifications are electronically reported directly to the National Student Clearinghouse (NSC) via a secure FTP by the Registrar's Office. The enrollment verification includes the semester in which the student is enrolled, enrollment status (full time, half time, less than half time, or not enrolled), anticipated graduation date or last date of enrollment, SSN, and permanent address. Status changes are reported by NSC to NSLDS.

The auditors performed testing of the enrollment verifications process at six State University of New York (SUNY) campuses. Of the six locations reviewed, the auditors noted exceptions at one location, as follows:

The Farmingdale State College SUNY did not communicate status changes to ED via NSLDS on a timely basis. At the time of the auditor's testwork, the College had already identified this issue and was in the process of reporting the necessary status changes. Of the 25 students sampled that graduated or withdrew during the 2014-2015 academic year, 21 were not communicated to ED via NSLDS on a timely basis. For the 21 status changes not communicated timely, the status changes were reported on various dates, ranging from 19 to 69 days past the required reporting date.

Late submissions delay the notification to the Department of Education for Direct Loans, as well as potential deferments, grace periods and repayments, and the payment of interest subsidies.

NEW YORK STATE CORRECTIVE ACTION PLAN

Single Audit of Federal Programs for
State Fiscal Year Ended March 31, 2015

A similar finding related to SUNY Buffalo State College and SUNY University at Buffalo was included in the prior year Single Audit Report as finding number 2014-012 on page 50. No instances of noncompliance were noted in the current year related to SUNY Buffalo State College and SUNY University at Buffalo.

SUNY should implement additional controls to ensure that the required student status changes are submitted to NSC and ultimately NSLDS within the required time frame.

III.   <u>Agency Response</u>:

Farmingdale State College agrees with the auditors finding pertaining to the enrollment verification process and reporting student status changes within the required time frame.

The 21 were not communicated to ED via NSLDS on a timely basis due to reporting delays caused by a change in reporting format to MELDS. The issue was further exacerbated when we sought advice from the Clearinghouse on how to handle the enrollment reporting after identifying an isolated number of students whose Spring 2015 enrollment was being picked up incorrectly, affecting their in-school status. When asked if we should send in the data as is and make the manual changes for those students at NSLDS, the Clearinghouse advised us to delay the reporting until all could be reported correctly so NSLDS and the Clearinghouse records would match.

The College has identified several steps to help ensure the timely submission of student status changes. These steps include additional reminders to responsible departments, reconciling errors, confirming that files have been sent on time, and verifying information has been reported correctly.

STATE OF NEW YORK

Prior Year Finding Summary

Year ended March 31, 2015

2014-15 PRIOR-YEAR FINDING SUMMARY

Prior-Year
Audit Period: State Fiscal Year Ended March 31, 2014

State Agency: State University of New York

Single Audit Contact: Michael Abbott

Title: University Auditor

Telephone: (518) 320-1533

E-mail Address: michael.abbott@suny.edu

Prior-Year Audit Report Page Reference: 48-49

Prior-Year Finding Number: 2014-011

Status Report on Prior-Year Finding:

University at Buffalo

Internal controls have been enhanced and now include a "verification" step with rechecking of all Return of Title IV (R2T4) calculations; in order to ensure that all calculations, adjustments, and refunds have been fully completed within the required timeframe. The University of Buffalo has also established a task force to focus on R2T4 compliance, processing, and policy and procedures.

The preliminary results of the 2014-15 Federal A-133 Audit by KPMG show all 40 R2T4 cases were properly calculated and funds returned correctly, with no errors or findings.

STATE OF NEW YORK
Prior Year Finding Summary
Year ended March 31, 2015

2014-15 PRIOR-YEAR FINDING SUMMARY

Prior-Year
Audit Period: State Fiscal Year Ended March 31, 2014

State Agency: State University of New York

Single Audit Contact: Michael Abbott

Title: University Auditor

Telephone: (518) 320-1533

E-mail Address: michael.abbott@suny.edu

Prior-Year Audit Report Page Reference: 50-51

Prior-Year Finding Number: 2014-012

Status Report on Prior-Year Finding:

University at Buffalo

System configuration has been adjusted and internal controls have been established to ensure the timeliness of reporting enrollment changes involved with the NSLDS Enrollment status reporting.

The preliminary results of the 2014-15 Federal A-133 Audit by KPMG, show all 25 NSLDS Enrollment reporting student cases were properly reported within the required time frame, with no errors or findings.

SUNY Buffalo State College

Degree Award files are now transmitted two times a semester to NSC to ensure student data files are reported to the ED and NSLDS on a timely basis.

KPMG

STATE OF NEW YORK

Independent Auditors' Report as Required by OMB
Circular A-133 and Related Information

Year ended March 31, 2014

STATE OF NEW YORK

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Appendix

State Agency Corrective Action Plans

Prior Year Finding Summary

KPMG LLP
515 Broadway
Albany, NY 12207-2974

Independent Auditors' Report on Compliance for Each Major Program; Report on Internal Control over Compliance; and Report on Schedule of Expenditures of Federal Awards Required by OMB Circular A-133, *Audits of States, Local Governments and Nonprofit Organizations*

The Governor
State of New York:

Report on Compliance for Each Major Federal Program

We have audited the State of New York's (the State) compliance with the types of compliance requirements described in the *OMB Circular A-133 Compliance Supplement* that could have a direct and material effect on each of the State's major federal programs for the year ended March 31, 2014. The State's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

As discussed in note 1 to the schedule of expenditures of federal awards, the State's basic financial statements include the operations of certain entities whose federal awards are not included in the accompanying schedule of expenditures of federal awards for the year ended March 31, 2014. Our audit, described below, did not include the operations of the entities identified in note 1 to the schedule of expenditures of federal awards because those entities had separate audits in accordance with OMB Circular A-133, if required.

Management's Responsibility

Management is responsible for compliance with the requirements of laws, regulations, contracts, and grants applicable to its federal programs.

Auditors' Responsibility

Our responsibility is to express an opinion on compliance for each of the State's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the State's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our unmodified and modified opinions on compliance. However, our audit does not provide a legal determination of the State's compliance.

Basis for Qualified Opinions

As described below and in the accompanying schedule of findings and questioned costs, the State did not comply with certain requirements that are applicable to certain of its major federal programs. Compliance with such requirements is necessary, in our opinion, for the State to comply with the requirements applicable to the identified major federal programs.

Table 1			
State Administering Agency	**Major Federal Program or Cluster**	**Compliance Requirement**	**Finding No.**
State Education Department	Improving Teacher Quality State Grants (84.367) Title I Cluster: Title I Grants to Local Education Agencies (84.010) 21st Century Community Learning Centers (84.287) School Improvement Grants Cluster: School Improvement Grants (84.377) ARRA – School Improvement Grants (84.338) Special Education Cluster: Special Education-Grants to States (84.027) Special Education-Preschool Grants (84.173)	Cash Management	2014-001
State Education Department	School Improvement Grants Cluster: School Improvement Grants (84.377) ARRA – School Improvement Grants (84.338)	Subrecipient Monitoring	2014-007
State Education Department	Rehabilitation Services – Vocational Rehabilitation Grants to States (84.126)	Eligibility	2014-010
Department of Health	Affordable Care Act – State Exchange Grants (93.525) Children's Health Insurance Program (93.767)	Allowable Costs	2014-024

	Medicaid Cluster (93.775, 93.777, 93.778) Special Supplemental Nutrition Program for Women, Infants, and Children (10.557)		
Office of Alcoholism and Substance Abuse Services	Block Grants for Prevention and Treatment of Substance Abuse (93.959)	Cash Management	2014-027
Department of Labor	Unemployment Insurance (UI) (17.225)	Special Test #2: UI Benefit Payments	2014-029
Housing Trust Fund Corporation	Section 8 Housing Choice Vouchers (14.871)	Subrecipient Monitoring	2014-031
Housing Trust Fund Corporation	Hurricane Sandy Community Development Block Grant Disaster Recovery Grants (14.269)	Cash Management	2014-033
Housing Trust Fund Corporation	Hurricane Sandy Community Development Block Grant Disaster Recovery Grants (14.269)	Reporting	2014-034

Qualified Opinions

In our opinion, except for the noncompliance described in the Basis for Qualified Opinions paragraph, the State complied, in all material respects, with the types of compliance requirements referred above that could have a direct and material effect on the major federal programs listed in Table 1 above for the year ended March 31, 2014.

Unmodified Opinions on Each of the Other Major Federal Programs

In our opinion, the State complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its other major federal programs for the year ended March 31, 2014.

Other Matters

The results of our auditing procedures disclosed other instances of noncompliance which are required to be reported in accordance with OMB Circular A-133 and which are described in the accompanying schedule of findings and questioned costs as items 2014-002, 2014-003, 2014-004, 2014-005, 2014-006, 2014-008, 2014-009, 2014-011, 2014-012, 2014-013, 2014-014, 2014-015, 2014-016, 2014-017, 2014-018, 2014-019, 2014-020, 2014-021, 2014-022, 2014-023, 2014-025, 2014-026, 2014-028, 2014-030, 2014-032, and 2014-035. Our opinion on each major federal program is not modified with respect to these matters.

The State's responses to the noncompliance findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The State's responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

Report on Internal Control over Compliance

Management of the State is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the State's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the State's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the preceding paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that were not identified. However, as discussed below, we identified certain deficiencies in internal control over compliance that we consider to be material weaknesses and significant deficiencies.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct noncompliance with a type of compliance requirement of a federal program on a timely basis. A material weakness in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected on a timely basis. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs as items 2014-001, 2014-007, 2014-010, 2014-023, 2014-024, 2014-027, 2014-029, 2014-031, 2014-033, and 2014-034 to be material weaknesses.

A significant deficiency in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliances yet important enough to merit attention by those charged with governance. We consider the deficiencies in internal control over compliance described in the a accompanying schedule of findings and questioned costs as items 2014-002, 2014-003, 2014-004, 2014-005, 2014-006, 2014-008, 2014-009, 2014-011, 2014-012, 2014-014, 2014-015, 2014-016, 2014-017, 2014-018, 2014-019, 2014-020, 2014-021, 2014-022, 2014-025, 2014-026, 2014-028, 2014-030, 2014-032, and 2014-035 to be significant deficiencies.

The State's responses to the internal control over compliance findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The State's responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of OMB Circular A-133. Accordingly, this report is not suitable for any other purpose.

KPMG

Report on Schedule of Expenditures of Federal Awards Required by OMB Circular A – 133

We have audited the financial statements of the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the State, as of and for the year ended March 31, 2014, and the related notes to the financial statements, which collectively comprise the State's basic financial statements. We issued our report thereon dated July 24, 2014, which contained unmodified opinions on those financial statements. Our report included an emphasis of matter paragraph noting the State's adoption of Governmental Accounting Standards Board (GASB) Statement No. 61, *The Financial Reporting Entity: Omnibus,* and Statement No. 65, *Items Previously Reported as Assets and Liabilities* in the fiscal year ended March 31, 2014. Our report also includes a reference to other auditors who audited the financial statements of New York Local Government Assistance Corporation, the Tuition Savings Program, certain organizations included within the SUNY enterprise fund and certain of the discretely presented components as identified in note 14 to the basic financial statements, as described in our report on State's basic financial statements.

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the State's basic financial statements. We have not performed any procedures with respect to the audited financial statements subsequent to July 24, 2014. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by OMB Circular A-133 and is not a required part of the basic financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditure of federal awards is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

KPMG LLP

November 26, 2014
(except for the Schedule of Expenditures of Federal Awards, which is as of July 24, 2014)

(c) *Loans Outstanding (SUNY)*

The State had the following loan balances outstanding, net of allowances, at March 31, 2014. Except for new loans made during the fiscal year ended March 31, 2014, these loan balances are not included in the expenditures presented in the Schedule.

CFDA number	Program title		Amounts outstanding (in thousands)
84.038	Federal Perkins Loan Program – Federal Capital Contributions	$	121,105
93.342	Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students		16,270
93.364	Nursing Student Loans		4,601

These programs were considered major federal financial assistance programs under the Student Financial Aid Cluster in the State's Single Audit.

(d) *Loans Outstanding (Housing Trust Fund Corporation)*

The State administers the Home Investment Partnerships (HOME) Program (CFDA No. 14.239). A portion of the HOME payments are in the form of low-interest loans made to not-for-profit and for-profit organizations to construct multifamily apartment buildings. Only new loans made in the fiscal year ended March 31, 2014, amounting to $12.3 million, are included in the accompanying Schedule as expenditures for the fiscal year ended March 31, 2014. The outstanding balance of these loans at March 31, 2014 amounted to $171.4 million, and were included in determining that HOME was a Type A program.

STATE OF NEW YORK

Schedule of Findings and Questioned Costs

Year ended March 31, 2014

Federal Agency:	United States Department of Education
Program:	Federal Direct Student Loans (84.268)
Award Number:	P268K140303
Award Year:	2013
State Agency:	The State University of New York
Reference:	2014-011

Criteria

Returns of Title IV funds are required to be deposited or transferred into the student financial aid account or electronic fund transfers initiated to the U.S. Department of Education (ED) or the appropriate Federal Family Education Loan Program (FFEL) lender as soon as possible, but no later than 45 days after the date the institution determines that student withdrew. Returns by check are late if the check is issued more than 45 days after the institution determined that the student withdrew or the date on the canceled check shows the check was endorsed more than 60 days after the date the institution determined that the student withdrew (34 CFR section 668.173(b)).

Condition

We performed testing of the return of funds process at six SUNY campuses. Of the six locations reviewed, we noted an exception at one location, as follows:

For one of the 25 students sampled whom withdrew during the 2013-2014 academic year from the SUNY University at Buffalo, Title IV funds were not refunded on a timely basis. For the one instance noted, the student withdrew on October 3, 2013 and the funds were returned on June 12, 2014, which is 261 days after the withdrawal date.

Based on the above, SUNY was not fully in compliance with federal requirements related to returns of Title IV funds.

A similar finding related to SUNY Empire State College and Purchase College was included in the prior year Single Audit Report as finding number 2013-15 on page 54. No instances of noncompliance were noted in the current year related to Empire State College and Purchase College.

Questioned Costs

None

Recommendation

SUNY should strengthen its procedures to ensure that Title IV funds are returned to the ED or Lender on a timely basis.

STATE OF NEW YORK

Schedule of Findings and Questioned Costs

Year ended March 31, 2014

Views of Responsible Officials

Presented in the State Agency Corrective Action Plans attached as an appendix to the Single Audit Report.

STATE OF NEW YORK

Schedule of Findings and Questioned Costs
Year ended March 31, 2014

Federal Agency:	United States Department of Education
Programs:	Federal Direct Student Loans (84.268)
	Federal Pell Grant Program (84.063)
Award Numbers:	P268K140303, P268K145189, P063P133112
Award Year:	2013
State Agency:	The State University of New York
Reference:	2014-012

Criteria

Under the Federal Family Education Loan Program (FFEL) and Direct Loan programs, schools must complete and return within 30 days the Enrollment Reporting Roster file [formerly the Student Status Confirmation Report (SSCR)] placed in their Student Aid Internet Gateway (SAIG) mailboxes by ED via National Student Loan Data System (NSLDS) (OMB No. 1845 0035). The institution determines how often it receives the Enrollment Reporting Roster file with the default set at every two months, but the minimum is twice a year. Once received, the institution must update for changes in student status, report the date the enrollment status was effective, enter the new anticipated completion date, and submit the changes electronically through the batch method or the NSLDS web site. Institutions are responsible for timely reporting, whether they report directly or via a third party servicer.

Unless the school expects to complete its next roster within 60 days, the school must notify the lender or the guaranty agency within 30 days, if it discovers that a student who received a loan either did not enroll or ceased to be enrolled on at least a half time basis (FFEL, 34 CFR section 682.610; Direct Loan, 34 CFR section 685.309).

Condition

Enrollment verifications are electronically reported directly to the National Student Clearinghouse (NSC) via secure FTP by the Registrar's Office. The enrollment verification includes the semester in which the student is enrolled, enrollment status (full time, half time, less than half time, or not enrolled), anticipated graduation date or last date of enrollment, SSN, and permanent address. Status changes are reported by NSC to NSLDS.

We performed testing of the enrollment verifications process at six SUNY campuses. Of the six locations reviewed, we noted exceptions at two locations, as follows:

- The SUNY Buffalo State College did not communicate status changes to ED via NSLDS on a timely basis. Of the 25 students sampled that graduated or withdrew during the 2013-2014 academic year, 1 was not communicated to ED via NSLDS on a timely basis. For the 1 status change not communicated timely, the status change was reported on October 25, 2013, which was 6 days past the required reporting date.

- The SUNY University at Buffalo did not communicate status changes to ED via NSLDS on a timely basis. Of the 25 students sampled that graduated or withdrew during the 2013-2014 academic year,

STATE OF NEW YORK

Schedule of Findings and Questioned Costs

Year ended March 31, 2014

two were not communicated to ED via NSLDS on a timely basis. For the two status changes not communicated timely, the status changes were reported on April 24, 2014, which was 16 days past the required reporting date.

Late submissions delay the notification to the Department of Education for Direct Loans, as well as potential deferments, grace periods and repayments, and the payment of interest subsidies.

A similar finding related to SUNY College at Cobleskill was included in the prior year Single Audit Report as finding number 2013-16 on page 56. No instances of noncompliance were noted in the current year related to the College at Cobleskill.

Questioned Costs

None

Recommendation

SUNY should implement additional controls to ensure that the required students status changes are submitted to NSC and ultimately NSLDS within the required time frame.

Views of Responsible Officials

Presented in the State Agency Corrective Action Plans attached as an appendix to the Single Audit Report.

STATE OF NEW YORK

State Agency Corrective Action Plans

Year ended March 31, 2014

State Agency:	The State University of New York
Single Audit Contact:	Michael Abbott
Title:	University Auditor
Telephone:	518-320-1533
E-mail:	michael.abbott@suny.edu
Federal Program(s) (CFDA # [s]):	Federal Direct Student Loans (84.268)
Audit Report Reference:	2014-011

I. **Type of Finding:**   [Check one to identify the nature of the particular audit finding]

Internal Control with Related Noncompliance	[X]
Internal Control Only (No Noncompliance Cited)	[ ]
Other Reportable Noncompliance (Finding Only)	[ ]

Questioned Costs   <u>None</u>

II. **Summary of Finding (including any Internal Control Recommendation(s), if applicable):**

The auditors performed testing of the return of funds process at six SUNY campuses. Of the six locations reviewed, they noted an exception at one location, as follows:

For one of the 25 students sampled whom withdrew during the 2013-2014 academic year from the SUNY University at Buffalo, Title IV funds were not refunded on a timely basis. For the one instance noted, the student withdrew on October 3, 2013 and the funds were returned on June 12, 2014, which is 261 days after the withdrawal date.

Based on the above, SUNY was not fully in compliance with federal requirements related to returns of Title IV funds.

A similar finding related to SUNY Empire State College and Purchase College was included in the prior year Single Audit Report as finding number 2013-15 on page 54. No instances of noncompliance were noted in the current year related to Empire State College and Purchase College.

SUNY should strengthen its procedures to ensure that Title IV funds are returned to the ED or lender on a timely basis.

III. **Agency Response:**

The University at Buffalo agrees with the auditors' finding pertaining to the Return of Title IV (R2T4) exception noted in the audit.

For the entire student sample reviewed by the auditors, all R2T4 calculations were completed timely and accurately. However, there was one exception where the funds were returned to the Department of Education on an untimely basis.

This exception was the result of human error. Currently, the staff member who performs the calculation is also required to process the adjustment to the student's award in PeopleSoft (University at Buffalo's student information system). In this instance, the staff member failed to make the required adjustment to the student award.

Internal controls have been enhanced and will include a "verification" step to our existing business process. This verification step will include the rechecking of all R2T4 calculations in order to ensure that all adjustments and refunds have been fully completed within the required timeframe.

In addition to this procedural change, the University of Buffalo has recently established a team of staff who will focus on quality assessment and compliance. The team is responsible for periodic random sampling and review of student files and will perform its own internal audit to help ensure overall compliance.

Additional training will be delivered to staff in an effort to mitigate human error in the future.

STATE OF NEW YORK
State Agency Corrective Action Plans
Year ended March 31, 2014

State Agency:	The State University of New York
Single Audit Contact:	Michael Abbott
Title:	University Auditor
Telephone:	518-320-1533
E-mail:	michael.abbott@suny.edu
Federal Program(s) (CFDA # [s]):	Federal Direct Student Loans (84.268) Federal Pell Grant Program (84.063)
Audit Report Reference:	2014-012

I.   <u>**Type of Finding:**</u>   [Check one to identify the nature of the particular audit finding]

Internal Control with Related Noncompliance   [X]
Internal Control Only (No Noncompliance Cited)   [ ]
Other Reportable Noncompliance (Finding Only)   [ ]

Questioned Costs   <u>None</u>

II.   <u>**Summary of Finding (including any Internal Control Recommendation(s), if applicable):**</u>

Enrollment verifications are electronically reported directly to the National Student Clearinghouse (NSC) via a secure FTP by the Registrar's Office. The enrollment verification includes the semester in which the student is enrolled, enrollment status (full time, half time, less than half time, or not enrolled), anticipated graduation date or last date of enrollment, SSN, and permanent address. Status changes are reported by NSC to NSLDS.

The auditors performed testing of the enrollment verifications process at six SUNY campuses. Of the six locations reviewed, exceptions were noted at two locations, as follows:

- The SUNY Buffalo State College did not communicate status changes to ED via NSLDS on a timely basis. Of the 25 students sampled that graduated or withdrew during the 2013-2014 academic year, 1 was not communicated to ED via NSLDS on a timely basis. For the 1 status change not communicated timely, the status change was reported on October 25, 2013, which was 6 days past the required reporting date.

- The SUNY University at Buffalo did not communicate status changes to ED via NSLDS on a timely basis. Of the 25 students sampled that graduated or withdrew during the 2013-2014 academic year, two were not communicated to ED via NSLDS on a timely basis. For the two status changes not communicated timely, the status changes were reported on April 24, 2014, which was 16 days past the required reporting date.

Late submissions delay the notification to the Department of Education for Direct Loans, as well as potential deferments, grace periods and repayments, and the payment of interest subsidies.

A similar finding related to SUNY College at Cobleskill was included in the prior year Single Audit Report as finding number 2013-16 on page 56. No instances of noncompliance were noted in the current year related to the College at Cobleskill.

SUNY should implement additional controls to ensure that the required student status changes are submitted to NSC and ultimately NSLDS within the required time frame.

III. <u>**Agency Response:**</u>

<u>SUNY Buffalo State College</u>

The finding was the result of a manual late degree submission. The Campus' automated systems capture withdrawals as well as degree awards.

<u>Corrective Action Plan</u>

In order to prevent a reoccurrence of this event, SUNY Buffalo State College has increased the number of Degree Award files transmitted during each semester to ensure that all student status changes are sent to ED via NSLDS on a timely basis.

<u>SUNY University at Buffalo</u>

The University at Buffalo agrees with the auditors findings pertaining to the untimely reporting of enrollment verifications for the two instances noted in the audit.

While the Office of the Registrar consistently submits enrollment files to the National Student Clearinghouse on a timely basis, the status changes identified for students in the audit where not reported timely. These enrollment changes were not submitted in files sent to NSLDS via NSC due to coding errors.

<u>Corrective Action Plan</u>

System configuration has been adjusted and internal controls have been established to identify the potential for miscoding of enrollment changes in the future. Random sampling of enrollment files will be periodically performed to ensure future accuracy.

2013-2014 PRIOR-YEAR FINDING SUMMARY

Prior-Year Audit Period:	State Fiscal Year Ended March 31, 2013
State Agency:	State University of New York
Single Audit Contact:	Michael Abbott
Title:	University Auditor
Telephone:	(518) 320-1533
E-mail Address:	michael.abbott@suny.edu
Prior-Year Audit Report Page Reference:	52-53
Prior-Year Finding Number:	13-14

Status Report on Prior-Year Finding:

University at Buffalo

The University at Buffalo hired a new Director of Financial Aid in October 2013. To mitigate the risk of future findings, the Director developed a plan to implement improvements to ensure the office maintains compliance with both federal and State guidelines. The Director is working on creating an organizational structure that will create additional internal controls. Improvements planned include: reengineering and automating existing business processes; creating two positions that will focus on compliance and quality assessment; redefining job responsibilities with clear definition on expectations and accountability. These changes will ensure that the required notice of disbursement notifications are being sent to all loan recipients within the required time frame.

Stony Brook University

Stony Brook University implemented an automated weekly process to ensure that the required notification is sent within the required time frame to students receiving direct loan disbursements.

STATE OF NEW YORK
Prior Year Finding Summary
Year ended March 31, 2014

2013-2014 PRIOR-YEAR FINDING SUMMARY

Prior-Year Audit Period:	State Fiscal Year Ended March 31, 2013
State Agency:	State University of New York
Single Audit Contact:	Michael Abbott
Title:	University Auditor
Telephone:	(518) 320-1533
E-mail Address:	michael.abbott@suny.edu
Prior-Year Audit Report Page Reference:	54-55
Prior-Year Finding Number:	13-15

Status Report on Prior-Year Finding:

Empire State College

Empire State College has taken corrective actions to help ensure Title IV refunds are processed accurately and timely. The procedural improvements include having the Financial Aid and Registrar Offices work together to ensure timely reporting, enhancing the format of the student status report, allotting dedicated resources for refund calculations, and conducting secondary reviews of the refund calculations.

Purchase College

Purchase College returned the Title IV funds to the U.S. Department of Education and implemented procedures to ensure future compliance. Controls within Student Financial Services have been expanded and a working group has been formed to manage the calculation and return of Title IV funds.

STATE OF NEW YORK

Prior Year Finding Summary

Year ended March 31, 2014

2013-2014 PRIOR-YEAR FINDING SUMMARY

Prior-Year Audit Period:	State Fiscal Year Ended March 31, 2013
State Agency:	State University of New York
Single Audit Contact:	Michael Abbott
Title:	University Auditor
Telephone:	(518) 320-1533
E-mail Address:	michael.abbott@suny.edu
Prior-Year Audit Report Page Reference:	56-57
Prior-Year Finding Number:	13-16

Status Report on Prior-Year Finding:

SUNY Cobleskill

SUNY Cobleskill continues to submit student status reports to the National Clearing House on a timely basis. The Registrar's office has taken over the responsibility for this reporting and the process is effective. The changes made to the reporting profile with National Student Loan Data System (NSLDS) continue to facilitate timely monthly reporting. The Financial Aid Office continues to monitor and reconcile NSLDS data to Campus data on a regular basis to ensure accuracy.

Appendix 8.1

Approved Academic Calendars
for Upcoming Years

SUNY POTSDAM 2017-18 ACADEMIC CALENDAR

Approved by President's Council July 2014,
W/D Date Revised 12/14, Commencement Revised 3/15

FALL - 2017

New Students Move In	Fri., Aug. 25
Welcome Week Activities	Sat. Aug. 26–Fri. Sep. 1
Returning Students Move In	Sat. - Sun., Aug. 26-27
Classes Begin	Mon., Aug. 28
Last Day to Add/Drop	Fri. Sep. 1
Early Alerts Due	Fri., Oct. 6
Fall Recess Begins	Fri., Oct. 6 (10:00 pm)
Classes Resume	Wed., Oct. 11 (8:00 am)
Last Day to Withdraw	Fri., Nov. 3
Last Day to Elect S/U	Fri., Nov. 3
Thanksgiving Recess Begins	Tue., Nov. 21 (10:00 pm)
Classes Resume	Mon., Nov. 27 (8:00 am)
Last Day of Classes	Fri., Dec. 8
Academic Preparation	Sat.- Sun., Dec. 9-10
Final Examinations	Mon.- Fri., Dec. 11-15
Final Grades Due	Tue., Dec. 19 (10:00 am)

WINTERIM: Tentatively, January 3 - 17, 2018, w/ MLK Day off

SPRING - 2018

Students Move In	Sat.- Sun., Jan. 20-21
Classes Begin	Mon., Jan. 22
Last Day to Add/Drop	Fri., Jan. 26
February Recess Begins	Fri., Feb. 16
Classes Resume	Wed., Feb. 21
Early Alerts Due	Mon., Mar. 5
Last Day to Withdraw	Fri., Mar. 30
Last Day to Elect S/U	Fri., Mar. 30
Spring Recess Begins	Fri., Mar. 30 (10:00 pm)
Classes Resume	Mon., Apr. 9 (8:00 am)
Last Day of Classes	Fri., May 11
Academic Preparation	Sat. - Sun., May 12-13
Final Examinations	Mon.- Fri., May 14-18
Commencement Ceremonies	Sat., May 19
Final Grades Due	Wed., May 23 (10:00 am)

INFORMATION DATES

Labor Day ……………………Mon., Sep. 4	President's Day…………………..Mon., Feb. 19
Columbus Day……………… Mon., Oct.9	Easter……………………………..Sun., Apr. 1
Thanksgiving………………... Thu., Nov. 23	Clarkson Graduation……….……Sat., May 12
Dr. MLK, Jr. Day……………..Mon., Jan. 15	Memorial Day …….……….………Mon., May 28

New York State Education Law Section 224-a requires campuses to excuse without penalty individual students absent from class because of religious beliefs and to provide equivalent opportunity to make up study or work requirements missed because of such absences. Faculty are advised not to give examinations or require that papers be due on those holidays. Students are required to notify faculty of their impending absence for religious purposes at least one class session in advance so arrangements can be made for making up missed assignments, quizzes or tests. Students are responsible for material presented during their absence.

SUNY POTSDAM 2018-19 ACADEMIC CALENDAR
Approved by President's Council February 2017

FALL - 2018

New Students Move In .... Fri., Aug. 24
Welcome Week Activities .... Sat. Aug. 25–Fri. Aug. 31
Returning Students Move In.. Sat. - Sun., Aug. 25-26
Classes Begin .... Mon., Aug. 27
Last Day to Add/Drop .... Fri. Aug. 31
Early Alerts Due .... Fri., Oct. 5
Fall Recess Begins .... Fri., Oct. 5 (10:00 pm)
Classes Resume .... Wed., Oct. 10 (8:00 am)
Last Day to Withdraw .... Fri., Nov. 2
Last Day to Elect S/U .... Fri., Nov. 2
Thanksgiving Recess Begins .... Tue., Nov. 20 (10:00 pm)
Classes Resume .... Mon., Nov. 26 (8:00 am)
Last Day of Classes .... Fri., Dec. 7
Academic Preparation .... Sat.- Sun., Dec. 8-9
Final Examinations .... Mon.- Fri., Dec. 10-14
Final Grades Due .... Tue., Dec. 18 (10:00 am)

WINTERIM: Online: 12/20-1/18 (No class 12/25, 1/1) On-Campus: 1/3-1/16

SPRING - 2019

Students Move In .... Sat.- Sun., Jan. 19-20
Classes Begin .... Tue. Jan. 22
Last Day to Add/Drop .... Mon., Jan. 28
Early Alerts Due .... Fri. March 8
Spring Recess Begins.. Fri. Mar. 8 (10:00pm)
Classes Resume…………………………………………..Mon. March 18
Last Day to Withdraw .... Mon., Apr. 8
Last Day to Elect S/U .... Mon., Apr. 8
April Recess Begins .... Wed, Apr. 17 (10:00 pm)
Classes Resume .... Mon., Apr.22 (8:00 am)
Last Day of Classes .... Fri., May 10
Academic Preparation .... Sat. - Sun., May 11-12
Final Examinations .... Mon. - Fri., May 13-17
Commencement Ceremonies .... Sat., May 18
Final Grades Due …………………………………………….. Wed., May 22 (10:00 am)

INFORMATION DATES

Labor Day ……………………….Mon., Sep. 3	President's Day………………….Mon., Feb. 18
Columbus Day………………. Mon., Oct.8	Easter…………………………...Sun., Apr. 21
Thanksgiving………………....Thu., Nov. 22	Clarkson Graduation……….…..Sat., May 11
Dr. MLK, Jr. Day……………...Mon., Jan. 21	Memorial Day …………….…….Mon., May 27

New York State Education Law Section 224-a requires campuses to excuse without penalty individual students absent from class because of religious beliefs and to provide equivalent opportunity to make up study or work requirements missed because of such absences. Faculty are advised not to give examinations or require that papers be due on those holidays. Students are required to notify faculty of their impending absence for religious purposes at least one class session in advance so arrangements can be made for making up missed assignments, quizzes or tests. Students are responsible for material presented during their absence.

SUNY POTSDAM 2019-20 ACADEMIC CALENDAR
Approved by President's Council February 2017

FALL - 2019

New Students Move In .... Fri., Aug. 23
Welcome Week Activities .... Sat. Aug. 24–Fri. Aug. 30
Returning Students Move In.. Sat. - Sun., Aug. 24-25
Classes Begin .... Mon., Aug. 26
Last Day to Add/Drop .... Fri. Aug. 30
Early Alerts Due .... Fri., Oct.4
Fall Recess Begins .... Fri., Oct. 11 (10:00 pm)
Classes Resume .... Wed., Oct. 16 (8:00 am)
Last Day to Withdraw .... Fri., Nov. 1
Last Day to Elect S/U .... Fri., Nov. 1
Thanksgiving Recess Begins .... Tue., Nov. 26 (10:00 pm)
Classes Resume .... Mon., Dec. 2 (8:00 am)
Last Day of Classes .... Fri., Dec. 6
Academic Preparation .... Sat.- Sun., Dec. 7-8
Final Examinations .... Mon.- Fri., Dec. 9-13
Final Grades Due .... Tue., Dec. 17 (10:00 am)

WINTERIM: 2020 Online: 12/22-1/21 (No class 12/25, 1/1, 1/20) On-Campus: 1/2-1/15

SPRING - 2020

Students Move In .... Sat.- Sun., Jan. 25-26
Classes Begin .... Mon. Jan. 27
Last Day to Add/Drop .... Mon., Jan. 31
Early Alerts Due .... Fri. March 6
Spring Recess Begins.. Fri. Mar. 6 (10:00pm)
Classes Resume…………………………………………..Mon. March 16 (8:00am)
Last Day to Withdraw .... Fri., Apr. 3
Last Day to Elect S/U .... Fri., Apr. 3
April Recess Begins .... Fri, Apr. 10 (10:00 pm)
Classes Resume .... Wed., Apr.15 (8:00 am)
Last Day of Classes .... Fri., May 15
Academic Preparation .... Sat. - Sun., May 16-17
Final Examinations .... Mon. - Fri., May 18-22
Commencement Ceremonies .... Sat., May 23
Final Grades Due …………………………………………….. Wed., May 27 (10:00 am)

INFORMATION DATES

Labor Day …………………….Mon., Sep. 2	President's Day…………………..Mon., Feb. 17
Columbus Day……………… Mon., Oct.14	Easter…………………………..Sun., Apr. 12
Thanksgiving………………....Thu., Nov. 28	Clarkson Graduation……….…..Sat., May 16
Dr. MLK, Jr. Day……………..Mon., Jan. 20	Memorial Day ……….….………Mon., May 25

New York State Education Law Section 224-a requires campuses to excuse without penalty individual students absent from class because of religious beliefs and to provide equivalent opportunity to make up study or work requirements missed because of such absences. Faculty are advised not to give examinations or require that papers be due on those holidays. Students are required to notify faculty of their impending absence for religious purposes at least one class session in advance so arrangements can be made for making up missed assignments, quizzes or tests. Students are responsible for material presented during their absence.

Appendix 8.2

SUNY Credit/Contact Hour Policy

	Policy Title: Credit/Contact Hour
	Document Number: 1305
Category: Academic Affairs	Effective Date: June 30, 1976
Responsible Office: Academic Affairs	This policy item applies to: Community Colleges State-Operated Campuses

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Summary

The State University of New York (University), like most American higher education, has adopted a variant of the traditional "Carnegie Unit" as a measure of academic credit. This unit is known in the University by the familiar term, "semester credit hour," and is the primary academic measure by which progress toward a degree is gauged. It is recognized that such a unit measures only a part, albeit a major part, of a composite learning experience, based upon formally structured and informal interactions among faculty and students.

Policy

Over the past several years, for academic purposes, some faculties have allowed modifications of the classical Carnegie definition of a semester credit hour, which has stipulated that one semester credit hour be awarded for fifteen sessions of 50-minutes duration in classroom lecture-recitation each requiring two hours of outside preparation by the student. Today there are many types of educational experiences with which credit hour assignment may properly be associated.

In the interest of accurate academic measurement and cross-campus comparability, the following definitions and practices apply in controlling the relationship between contact and credit hours. These definitions constitute a formalization of current and historic policy in order to ensure consistency throughout the University. Courses may be composed of any combination of elements described, such as a lecture course which also has required laboratory periods or a lecture course having an additional requirement for supervised independent study or tutorial activity.

A semester credit hour is normally granted for satisfactory completion of one 50-minute session of classroom instruction per week for a semester of not less than fifteen weeks. This basic measure may be adjusted proportionately to reflect modified academic calendars and formats of study. Semester credit hours are granted for various types of instruction as follows:

I. Lecture, seminar, quiz, discussion, recitation

A semester credit hour is an academic unit earned for fifteen 50-minute sessions of classroom instruction with a normal expectation of two hours of outside study for each class session. Typically, a three-semester credit hour

course meets three 50-minute sessions per week for fifteen weeks for a total of 45 sessions.

II. Activity supervised as a group (laboratory, field trip, practicum, workshop, group studio)

A semester credit hour is awarded for the equivalent of fifteen periods of such activity, where each activity period is 150 minutes or more in duration with little or no outside preparation expected. Forty-five 50-minute sessions of such activity would also normally earn one semester credit hour. Where such activity involves substantial outside preparation by the student, the equivalent of fifteen periods of 100 minutes duration each will earn one semester credit hour.

III. Supervised individual activity (independent study, individual studio, tutorial)

One credit for independent study (defined as study given initial guidance, criticism, review and final evaluation of student performance by a faculty member) will be awarded for the equivalent of forty-five 50-minute sessions of student academic activity.

Credit for tutorial study (defined as study which is given initial faculty guidance followed by repeated, regularly scheduled individual student conferences with a faculty member, and periodic as well as final evaluation of student performance) will be awarded on the basis of one semester hour credit for each equivalent of fifteen contact hours of regularly scheduled instructional sessions.

IV. Full-time Independent Study (student teaching, practicum)

If a student's academic activity is essentially full-time (as in student teaching), one semester credit hour may be awarded for each week of work.

V. Experiential Learning

At its discretion, an institution may award credit hours for learning acquired outside the institution which is an integral part of a program of study. When life or work experience is to be credited as a concurrent portion of an academic program design, as in an internship, one semester credit hour will be awarded for each 40-45 clock-hour week of supervised academic activity that provides the learning considered necessary to program study.

VI. Credit by Examination

At its discretion, an institution may award semester hour credits for mastery demonstrated through credit-by-examination. When such credit by examination is allowed, it may be used to satisfy degree requirements or to reduce the total number of remaining hours required for a degree.

VII. Short Sessions

Credit hours may be earned in short sessions (summer sessions, intersessions, etc.) proportionately to those earned for the same activity during a regular term of the institution, normally at no more than one credit per week of full-time study.

VIII. Appeal and Review

Institutions may present educational justification for departures from these policy provisions to the office of the provost and vice chancellor for academic affairs, which will be responsible for their interpretation. Credit hours to be earned in approved overseas academic programs will continue to be considered on an individual basis following established procedures. Other special arrangements suggested by campuses will be considered on an individual basis by this office.

Definitions

Semester credit hour – normally granted for satisfactory completion of one 50-minute session of classroom instruction per week for a semester of not less than fifteen weeks.

Other Related Information

Credit-bearing Off-campus Instructional Activities, Administration of

Award of Academic Credit by Evaluation

Procedures

There are no procedures relevant to this policy.

Forms

There are no forms relevant to this policy.

Authority

8 NYCRR § 50.1 (n) (o) (Definitions)

8 NYCRR § 52.2 (c) (4) (Granting of semester credit hours)

History

Memorandum to presidents from the office of the vice chancellor for academic programs, dated June 30, 1976.

Appendices

There are no appendices relevant to this policy.

Appendix 8.3

Potsdam Credit/Contact Hour Policy

UPDATED CREDIT/CONTACT HOUR RELATIONSHIP
For BANNER Schedule Types
Required by SUNY Central Administration and the NYS Education Department

1-Lecture
2-Seminar
3-Recitation
One credit hour for one classroom hour/week/15 week term (1:1) (This assumes a normal outside preparation by the student of two hours for every hour in class).

4-Lab 1:2 credit/contact ratio
One credit hour for two classroom hours/week/15 week term (1:2). This is for supervised group activity such as a laboratory, field trip, or workshop involving substantial outside preparation by the student.

4A-Lab 1:3 credit/contact ratio
One credit hour for three classroom hours/15 week week/term (1:3). This is for supervised group activity such as a laboratory, field trip or workshop involving little or no outside preparation time by the student.

5-Tutorial
6-Independent Study
One credit hour for one classroom hour/week/15 week term (1:1) (This assumes a normal outside preparation by the student of two hours for every hour in class).

7-Programmed Instruction
We aren't currently using this schedule type at Potsdam.

8-Student Teaching
Full Time, 1:1 Week, one credit hour for one week of work or equivalent, such as full time student teaching.

9-Distance Learning
This is for courses with no or limited face-to-face meetings and approved by the Distance Learning Coordinator as meeting the same learning outcomes as classroom based courses.   They are entered into the schedule of classes by the Extended Education Office.

10-Internship
Full Time, 1:1 Week, one credit hour for one week of work or equivalent, such as an internship placement.

11-Lect/Lab/Rec 1:1.5 credit/contact ratio
For studio type courses that combine instruction with in-class practice activities, such as Art Studio, Dance and Drama courses, which earn one credit hour for 1.5 classroom hours/week/15 week term 1:1.5).

12-Practicum
One credit hour for two classroom hours/week/15 week term (1:2). This is for supervised group activity such as a practicum involving substantial outside preparation by the student.

CREDIT HOUR NOTES:

- An hour is defined as a 50-minute period for credit purposes.

- To earn a Carnegie Unit (1 credit hour), 1:1 classes (lecture, seminar, recitation, tutorial and independent study) are required to meet a minimum of 750 minutes/credit hour (50 minutes x 15 weeks).

- 2 hour courses = 1500 minutes (two 50-minute sessions/week x 15 weeks)

- 3 hour courses = 2250 minutes (three 50-minute sessions/week x 15 weeks)

- 4 hour courses = 3000 minutes   (four 50-minute sessions/week or two 100-minute sessions x 15 weeks)

LABS using 1:2 ratio:
    1 credit = 100 minutes/week x 15 weeks
    1 credit = 1500 minutes required/semester
    2 credits= 3000 minutes/semester
    3 credits = 4500 minutes/semester

LABS using 1:3 ratio:
    1 credit = 150 minutes/week x 15 weeks
    1 credit = 2250 minutes required/semester
    2 credits = 4500 minutes/semester
    3 credits = 6750 minutes/semester

LECTURE/LAB/REC using 1:1.5 ratio:
    1 credit = 75 minutes/week x 15 weeks
    1 credit = 1125 minutes required/semester
    2 credits = 2250 minutes/semester
    3 credits = 3375 minutes/semester

Last Revised: April 2010

Appendix 8.4

Scheduling Template Guidelines

TO: Department Chairs

FROM: Margaret Madden, Provost

SUBJECT: Revised Scheduling Template Guidelines for Spring 2012 Schedule

DATE: 1 September 2011

Last year's Template Task Force presented a series of recommendations to me last May. The President's Council and Academic Affairs Committee have discussed them and agreed that we should begin implementing most of them in the planning of the Spring 2012 schedule. Specifically, we will adopt the following

> I. Keep the basic template as it is, beginning at 8 am, with the existing rules for 4 credit courses and 2 day per week courses intact.

> II. Institute a guideline that at least 20% of the courses offered by a School or a Department must be outside of Prime Time, defined as beginning before 9:00 am or at 3:00 pm or later, or taught as a weekend course.

> III. Institute a guideline that at least 10% of the courses offered by a School or a Department must include a Friday meeting.

> IV. Institute a guideline that each Department should review the number of courses offered in each time slot in order to spread them more evenly across the template; in particular, overloading at MWF at 10:00 am, TuTh 11:00-12:15, MW 2:00 (to any end time), or TuTh 2:00 (to any end time) should be avoided. Individual Instructors should be advised that these times should be avoided if they expect to teach in a Projector/Smart classroom or wish to be assigned a particular classroom.

> V. The scheduling of large classrooms should be monitored by the deans to avoid scheduling multiple large classes at the same time.

> VI. The Dean's Offices will be responsible for enforcing these guidelines, as well as for assisting chairs with understanding and implement them. We suggest that CTS be requested to write a report that can be used regularly to identify the percentages of non-prime time and Friday classes.

To implement these recommendations, the following will be done:

1. Regarding section V, chairs will submit a list of times of large sections before the first iteration of the schedule so that adjustments can be made to eliminate conflicts.

2. CTS will create a report that will be run after the first iteration of the schedule is submitted to the Registrar's office. Deans will review it immediately and ask chairs to make adjustments if necessary.

3. After the first iteration of the schedule is complete, the Registrar's office will prepare a list of times that computer presentation classrooms are available and send it to chairs and deans to encourage full utilization of those rooms throughout the day.

4. Recommendation VII, which concerns the Governance Hour, will be referred to the Faculty Senate for consideration in the fall of 2012.

APPENDIX

Template Taskforce Proposals Summary: 5/13/11

I. Keep the basic template as it is, beginning at 8 am, with the existing rules for 4 credit courses and 2 day per week courses intact.

II. Institute a guideline that at least 20% of the courses offered by a School or a Department must be outside of Prime Time, defined as beginning before 9:00 am or at 3:00 pm or later, or taught as a weekend course.

III. Institute a guideline that at least 10% of the courses offered by a School or a Department must include a Friday meeting.

IV. Institute a guideline that each Department should review the number of courses offered in each time slot in order to spread them more evenly across the template; in particular, overloading at MWF at 10:00 am, TuTh 11:00-12:15, MW 2:00-3:15 or later, or TuTh 2:00-3:15 or later should be avoided. Individual Instructors should be advised that these times should be avoided if they expect to teach in a Projector/Smart classroom or wish to be assigned a particular classroom.

V. The scheduling of large classrooms should be monitored by the deans to avoid scheduling multiple large classes at the same time.

VI. The Dean's Offices will be responsible for enforcing these guidelines, as well as for assisting chairs with understanding and implement them. We suggest that CTS be requested to write a report that can be used regularly to identify the percentages of non-prime time and Friday classes.

VII. We suggest that the Governance Hour be changed to 3:00 on Fridays to open up the Tu/Th after 3:00 timeslot for spreading classes across the template.

EVENING CLASS TEMPLATES

Undergraduate

Dear Department Chairs,

As you know, we are trying to provide more evening courses that will be accessible for adults with daytime jobs or childcare responsibilities. In addition, an increasing number of undergraduate evening courses are being scheduled for other reasons and we are starting to run into the kinds of problems that arise without a course scheduling template, e.g., room conflicts and student inability to enroll in overlapping courses. Therefore, we have created a template for evening undergraduate courses as follows. If your fall schedule includes courses that begin at or after 4:30, please try to fit them into this schedule.
1. For courses meeting one evening per week, the schedule would be 5:30pm to 8:00pm.
2. For courses meeting two evenings per week, the schedule would be 5:30pm to 6:45pm.
3. For courses meeting three times per week, the schedule would be 6:00pm to 6:50pm, 7:00pm to 7:50pm and 8:00pm to 8:50pm.

Note that this does not apply to graduate courses, which can start earlier because the primary population, teachers, finish work earlier in the day than a 9-5er.

Thank you for your cooperation,
Maggie (February 2006)

Graduate

4:30 – 7:00 pm, 7:10-9:40 pm

Appendix 8.5

Policies and Procedures for
Online & Hybrid Course Development

Policies and Procedures for

Online & Hybrid Course Development

Office of the Provost

SUNY Potsdam

Table of Contents

I.   **Rationale**

To establish a foundation of minimum standards and best practices on which to build quality online and hybrid courses. As well, avenues for enforcement and remediation will be clearly defined, to ensure all SUNY Potsdam online and hybrid courses adhere to high standards of quality.

II.   **The Distance Learning Curriculum Advisory Committee (DLCAC)**

The charge of the DLCAC is to review proposals for online courses, make recommendations for improvement, and for approval. These recommendations are then forwarded to the appropriate curriculum committees, in accordance with the College's online approval process.

Members serve for three-year terms that are renewable by mutual agreement. To be considered for membership, faculty members must have experience teaching online courses. Members are appointed by the Provost, based on recommendations from the Distance Learning Coordinator, deans and directors, and other faculty members.

Proposals are reviewed by subcommittees of three committee members. If a proposal is approved by the subcommittee unanimously it need not be presented to the full committee. Members of the subcommittee may bring any proposal to the full committee for discussion of either the proposal itself or larger principles that may need to be addressed.

III.   **Definitions**

All *Distance Learning* courses must adhere to the guidelines and standards herein. Online and hybrid courses, defined below, fall under the umbrella of *Distance Learning.* While the percentages to identify each type indicate when a formal review is necessary, *any* course that is intended to be delivered as a distance learning course must adhere to this policy.

Online Course: 90-100% delivered online; typically have **no face-to-face** (campus-based; onsite) meetings (excepting proctored exams). A formal review is required through the Online & Hybrid Course Approval Process.

> An online or *asynchronous* course is one that is web-based, conducted independently of time and location. Such a course can be taken by a student and given by an instructor from any location with a broadband internet connection and which do not require the student to be online at a certain time of day, with no requirement for face-to-face contact. The design, development, and delivery of online courses involve pedagogy, strategies and technologies that may vary considerably from traditional classrooms.

Hybrid Course (aka Blended): 25-89% delivered online; There **is a reduction in seat time**; require some face-to-face (campus-based; onsite) meetings. A formal review is required through the Online & Hybrid Course Approval Process.

A hybrid course blends onsite instruction with online learning. A significant part of course activity and content is online, thereby allowing a reduction in seat time. Note that any *required* onsite visit/activity, other than for exams, will classify the course as a hybrid.

Web-Enhanced (aka Supplemental): 1-24% delivered online with **no reduction in seat time**. No formal review required.

A web-enhanced course is a traditional, onsite course utilizing a web-based technology (such as a CMS) that serves as a repository for content and resources that supplement the onsite component.

In plain English – if *no seat time* is given up, it's web-enhanced; if *some seat time* is given up, it's a hybrid; if *all seat time* is given up (with the exception of exams), it's an online course.

IV.   Procedures for Online and Hybrid Course Development

Note: Distance Learning courses that are new (those not yet approved for campus delivery regardless of format) must first go through normal academic approval process prior to being submitted for online course development.

Full and part-time faculty members who wish to develop and/or teach an online or hybrid course must follow these procedures:

1.   Application for Online Course Development

[*Recommended this takes place 9-12 months prior to intended delivery date for online course.*]

1. Complete the *Application for Online or Hybrid Course Development*
2. Submit application to your Department Chair for review/approval.
3. Chair forwards application to appropriate Dean for review/approval.
4. Dean forwards application to the Arts & Sciences Curriculum Committee (A&S CC) or Crane Undergraduate Program Committee (CUPC) chair, as applicable.
5. Dean or A&S CC/CUPC chair forwards application to the Distance Learning Coordinator for review/approval.
6. Distance Learning Coordinator forwards application to Provost for review and approval (if *development stipend* or *release time* is being sought).
7. Provost (or DL Coordinator, as appropriate) notifies applicant of approval or denial to develop proposed online course.

2. Course Development and Academic Approval Process

[*Recommended this process begins 9-12 months prior to the semester/session that the course will first be delivered.*]

1. Develop the course with assistance of Distance Learning Coordinator**,** Instructional Designer, and/or faculty mentor as necessary.

2. Consult with Library staff if course has an online electronic reference component and consult with other departments that may be contributing academic support.

3. If this is the first online course proposed by the faculty member, he or she must successfully complete the *Pedagogy & Technology of Online Learning* (PTOL) seminar and/or other related training as appropriate before the course is delivered. Other instructors may also find it beneficial to update their skills with the seminar or similar training.

4. Submit the course (in the Learning Management System, LMS), along with supporting documentation and necessary forms (General Education application, syllabus/schedule, Banner form, as applicable) to Distance Learning Coordinator for formal review by the Distance Learning Curriculum Advisory Committee (DLCAC). New courses are given *Provisional Status*, and then are delivered twice before permanent approval is considered. The course site should include as a minimum:

   - Syllabus as a *page* (a Moodle resource) and *accessible*, *printable document* (PDF)

   - Course schedule and course orientation as a *page* and *accessible*, *printable document* (PDF)

   - 100% of all course units/weeks/sections laid out with summaries and placeholders for all content, forums, and assignments

   - 25% of all course content (readings, PowerPoint presentations, etc.) including a minimum of two complete units fully available for review

   - 25% of all quizzes fully available

   - 75% of all discussions forums and or other interactive elements outlined

   The application should also include a short narrative explaining the requirements, expectations, and strategy for *faculty-student* and *student-student* interaction and collaboration.

   Deadlines for submission are:

   - Fall and Summer courses   -   January 15th
   - Winterim and Spring courses   -   August 22nd

5. DLCAC chair returns approval packet with recommendation for approval/denial and detailed analysis to applicant. Developer should address and remedy any elements that do not meet minimum requirements as identified during the review. Failure to do so in a timely manner will negatively affect listing/advertising of the proposed course. This packet may be signed and transferred electronically.

6. Developer will forward the approval packet (in EchoSign) to Department Chair for review and signature. Packet will contain one or more of the following::

    a. The course syllabus

    b. A BANNER Form

    c. BANNER Distance Learning Catalog Entry Form (if applicable)

    d. The recommendations from the DLCAC.

    e. Appropriate proposal forms (if applicable)

        i. General Education Program Course Proposal Application, or
        ii. Shortened Academic Term General Education Proposal Application

    Department Chair reviews proposal, indicating approval or denial, and returns application packet to the developer. If not recommended for approval, reasons must be provided to applicant.

7. Developer presents the approval packet with appropriate forms and content to their school dean:

    a. Dean, School of Arts & Sciences

    b. Dean, School of Education and Professional Studies.

    c. Dean, Crane School of Music.

    The Dean's office will ensure the appropriate Curriculum Committee has reviewed proposals accordingly.

    Dean returns recommendation for approval/denial to applicant. If not recommended for approval, reasons must be provided to developer.

8. Developer presents the completed approval packet, with appropriate forms and content to the Distance Learning Coordinator.

    Distance Learning Coordinator verifies approval and course is added to BANNER.

9. Four weeks before delivery, DLCAC chair or committee member verifies that all remaining content and activities have been added, and that the course is ready for delivery. The course can then be delivered.

V.   Copyright, Intellectual Property and Ownership

Course development must be the original work of the faculty member. Whenever or wherever copyrighted material is incorporated, it is the faculty member's responsibility to secure permission to use the copyrighted work and to abide by the copyright policies set forth by the College.

Faculty developers maintain ownership of their intellectual property incorporated into their online or hybrid course(s) offered by SUNY Potsdam.

Furthermore, the original material contained in the online or hybrid course, regardless of third-party technologies or course/learning management system used, will be considered the property of the

faculty member (that is, despite the use of software licensed by, or hardware owned by the College to deliver, display, create, store, or otherwise affect material developed/used by the faculty member, the ownership of such original, intellectual material remains with the author.)

VI.   Quality Assurance for Online and Hybrid Courses

Quality Assurance Assessment - To ensure continued and consistent quality, all online and hybrid courses will be subject to re-evaluation every three years from the time each is first approved for delivery. A review by the Distance Learning Coordinator will be carried out with recommendations, if any, for updates being forwarded to the instructor/developer and department Chair. If deemed necessary, the course will undergo a formal review by the Distance Learning Curriculum Advisory Committee; recommendations that result may need to be addressed by the instructor/developer before the course can be delivered again.

Student Evaluations - The Distance Learning Coordinator may administer a student survey to determine whether the technical (including design) aspects of the course are satisfactory; e.g., *Were there issues logging in? Did LMS Support respond in a timely manner to questions or request for assistance? What other support services would you like to see available online? Did you find the design user-friendly? If not, suggestions for improvement are encouraged.*

Administration of anonymous student evaluations for each course and instructor will follow the current policy for evaluations.

VII.   Standards of Quality in Distance Education Course Development

Research has provided several essential elements and recommended practices with regard to distance education courses. To ensure SUNY Potsdam offers high-quality courses that address the needs of today's students, the following are identified as essential elements that should be present in all SUNY Potsdam online and hybrid (as appropriate) courses:

- **Comprehensive Syllabus and Complete Schedule** with explicit expectations, requirements, and dates for assignment, activities, projects, and so on.

- **Orientation to the course** and online components (explanation of site layout/navigation, participatory/interaction elements, how to get started, what to do next…)

- **Consistent and complete course** structure modeling effective practices (e.g. chunking content into manageable and logical sections).

- **Meaningful and consistent organization** - section and document titles designed to organize and convey information about the activities, content, and structure of course.

- **An introduction to each course module**

- **Detailed and clear instructions** for each learning activity: expectation, timeframe, navigation, etc.

- **Available and accessible course information** – compatible formats, working links, user-friendly

- **Ample opportunities for interaction** with the instructor and with others in the course.

- **Ample opportunities to actively engage** and interact with the content.

Also integral to the perceived quality of an online course are the characteristics of the instructor that contribute to the atmosphere and community in the online environment:

- Anticipate and address student questions in the design of the course (Where do I get the textbook? Where/how do I start? When are the exams? How do I get help? …)

- Be responsive and present in the online course environment.

- Use directives, first person voice, and conversational tone throughout your course.

- Be sensitive to the student's perspective.

- Create well-explained online and off-line activities relevant to the course and avoid "busy work."

- Create a sense of community by providing community-building opportunities and venues for interaction (ice-breaker activities, team work, discussion forums, etc.).

The purpose of these standards is to provide a set of guiding principles for instructors who teach online. The standards focus on learning outcomes, elements that constitute a SUNY Potsdam online or hybrid course, and guidelines for quality online instruction.

To ensure quality and consistency among all online and hybrid courses delivered by SUNY Potsdam, the instructional quality guidelines for instructors who develop and/or teach online or hybrid courses are as follows:

A. Course Design

- The majority (if not all) of the course requirements and instructor-student communications are completed using the LMS (Moodle), hybrid courses excepted in certain circumstances.

- On-campus (onsite) activities are not required for online courses (with the exception of proctored exams); Hybrid courses will have a clear schedule of required, onsite attendance established prior to the beginning of the course in any given semester or session.

- Course homepage (initial landing page) must contain a "What to do First" or "How to Get Started" statement to welcome and direct the student.

- Course must contain an *orientation*:
  - An overview of the online learning environment that covers each tool that will be used in the course and explains the site's organization and navigation within the Learning Management System

- All downloadable documents will be in a file format accessible to all types of computer users (PDF is the most compatible format world-wide; the PDF Reader is free, as are conversion utilities).

- Unused tools and content areas/sections (witin the LMS) must be hidden or deleted to reduce potential confusion.

- All courses will follow the *SUNY Potsdam Online and Hybrid Syllabus Guidelines* (outlined below at item B)*.

- **Interaction/participation -** Students should be involved in a variety of activities that engage them in interactive, participatory, and collaborative exchanges with and among other students, in course content, and between the student and the instructor. Interactive involvement should constitute a significant portion of the course structure (especially for online courses). Student interactivity in a three-credit online course should be equivalent to at least thirty-seven and one-half hours of *instructional contact time* as in a traditional classroom.

  The instructional contact time equivalent in the online environment is measured in terms of time-on-task involving instructional activities with significant, active participation by the instructor.

  Examples of technologies that allow for interactivity follow, though not all satisfy the instructional contact time equivalent mentioned above:

  o **Discussion Forum-** A discussion that focuses on a topic where participants respond to the topical question or statement as well as to the replies, questions, and comments of other participants. This is the primary means of meeting the required *instructional contact hours* for instructor and students.

  o **Messaging -** Either within an LMS or using a common instant messenger program (such as AIM, Yahoo Messenger, etc.). This method is recommended for virtual office hours or one-on-one support sessions; It is not recommended to be used in place of the threaded discussion *(see Chat Room below)*

  o **Email -** Often used for private communication with students, and for emergency announcements. Not recommended for class discussions, general questions, or homework submission.

  o **Chat Room** (synchronous activity) **-** Students participate at an established time. Used for virtual office hours or meetings with teams/groups at scheduled times. Not recommended for lectures/discussions.

  o **Other Technologies** (synchronous and asynchronous) **-** Audio/video discussion forum, blogs, wikis, recorded lectures, Podcasts, voice mail, telephone, interactive whiteboard, Skype and other interactive videoconferencing technologies.

Presentation Strategies - High-quality courses should be multi-modal by design and should contain more than one of the following instructional methods:

  o **Text lessons/lectures** with supporting images and multimedia (charts, tables, graphs, audio). Note: Attaching or embedding document files should, whenever feasible, be a secondary element that complements the on-screen text (content displayed directly in a web browser).

  o **Video Elements** - Video elements may be produced to support a course, or copyright permission secured to allow the use of commercial materials. Videotaped materials can be distributed to students via the internet as part of the course package. Video elements should be close-captioned and/or distributed with a text transcript whenever feasible. Internet-hosted videos, such as YouTube, TED Videos, and Vimeo, are increasing in popularity and becoming valuable as a teaching/learning tool. Copyright restrictions must be observed.

- o **Interactive Elements** - Activities that involve computer-assisted instructional elements or multimedia presentations; Design and delivery should be considered during development of such resources, including accessibility and format. For example, a PowerPoint presentation designed to be presented by a speaker is not recommended to be posted as a stand-alone element in an online course. The presentation may be enhanced (see section below) or re-designed for effective delivery in the absence of a speaker. Consider your audience and the utilities chosen carefully.

  - o **Audio-enhanced components –** Included are narration added to PowerPoint presentations, audio w/transcripts for introducing topics/units/modules, Podcasts of lectures, audio discussion replies, etc..

- External Links can encourage research beyond the textbook/notes provided; Can be designed as a guided learning activity (virtual field trip). Links can also provide an avenue to companion web material (from the textbook publisher) that may prove beneficial to the student (self-assessments, practice quizzes, learning games, etc.).

- Textbooks and Study Guides, either electronic (soft copy) or printed (hard copy), are often essential components in distance education courses. Copyright restrictions must be observed.

- Courses should be designed that require students to analyze, synthesize, evaluate, and utilize content.

- Learning activities should correspond to clearly defined learning outcomes.

- Course content, instructional methods, technologies and context should complement each other.

- Outcomes address content mastery and increased learning skills.

- Students with skills in the course subject matter, instructional methods, and technologies may work collaboratively to create learning opportunities (e.g. Moderating a discussion forum, encouraging additional discourse, answering technology-related questions).

- Instructional methods and techniques should be evaluated on a regular basis for effectiveness; results should be utilized for improvement.

B. SUNY Potsdam Online and Hybrid Syllabus and Schedule Guidelines

The syllabus must be included within the course shell (structure), and will include:

a. Course subject and level (e.g. ANTH350)

b. Faculty member's name, contact information

c. Course objectives

d. Minimum requirements and expectations, such as attendance for required onsite sessions (hybrid courses), online participation, written assignments (acceptable formats), examinations (whether online, on-campus, or proctored off-site), grading criteria, etc.

e. Technical requirements such as Internet access, type of browser, necessary plug-ins and/or third-party software, computer capabilities, etc.

f. Required textbooks and supplemental readers or material.

g. Detailed information regarding how to contact the instructor (forums, email, fax, telephone, instant messaging, etc.), including an expected turnaround time for the instructor's response.

h. A detailed course schedule that includes:

      i. Information regarding assignments, due dates, and methods of submission

      ii. Required readings and/or tasks, projects, research, etc.

      iii. Activities that require active participation by the students

      iv. Dates of required examinations (whether online or onsite)

C. Teaching and Learning

- Interaction between faculty and students is an essential characteristic in the online environment that increases retention and student success rate. The most common, and most efficient, method of active involvement by the instructor with his/her students in through the use of discussion forums. *See Interactivity section above.*

- Where privacy is required (i.e. information is not publicly disseminated to the class as a whole), voice-mail, telephone, or email are recommended.

- Feedback on assignments should be conducted individually and in a timely manner. Questions of a general nature (those one would ask openly in a classroom setting) are better addressed in a discussion forum – all students have access to the initial question, all have access to the answer provided. As in a classroom setting, this exchange may potentially benefit the whole class. As well, it reduces the amount of email an instructor has to manage.

- Expectations of learner activities should be understandable to the average student.

- Assessment methods used should be appropriate to the course and the stated learning objectives.

- Flexibility is inherent in the course design to increase the learner's control over the time, place, and pace of instruction within acceptable parameters (for example, courses should allow for a varied pace within a module or unit, but the course overall should not be self-paced).

- Students should have access to current and accurate grade information (such as an online grade book).

- General Education courses must have assignments that can be used to assess the extent to which students have satisfied General Education outcomes.

- Instructor must send a *welcome message* to all enrolled students containing information about logging in to the LMS and a list of the required course materials at least one week prior to the start of the course.

D. Accessibility

The college will be responsible for acting in a timely manner to make instructional materials and/or other resources used in an online or hybrid course available to students with disabilities. An exception to this is when doing so would significantly alter the nature of the instructional activity.

Print Material - Alternatives include Braille, large print, audiotape, and digital sound files.

The Online Environment - Developers should make course content usable (understandable and navigable). This includes making language clear and simple as well as providing understandable mechanisms for navigating within and between pages, areas, or tools. Providing navigation tools and orientation information will maximize accessibility and usability.

Not all users can make use of visual cues such as image maps, proportional scroll bars, side-by-side frames, or images (graphics) that guide sighted users. Users also lose contextual information when they can only view a portion of a page, either because they are accessing the page one word at a time (speech synthesis or Braille display), or one section at a time (small or magnified display).

Without orientation information, users may not be able to understand very large tables, lists, menus, etc.

All courses should be designed for compliance with Section 508 accessibility regulations.

VIII.   The TEACH Act

Introduction

Copyright law provides educators with **a separate set of rights in addition to fair use, to display (show) and perform (show or play) others' works** *in the classroom*. These rights are in Section 110(1) of the Copyright Act and apply to any work, regardless of the medium.

Until recently, however, when the classroom was remote, the law's generous terms for face-to-face teaching in Section 110(1) shrank dramatically in Section 110(2) -- some would say to the vanishing point!

These severe limitations on what could be performed in distance education received lots of attention. In 1998, Congress directed the Copyright Office to prepare a report recommending what should be done to facilitate the use of digital technologies in distance education.

The Copyright Office prepared its report and recommended significant changes. In March 2001, a bill was introduced closely tracking the Copyright Office's recommendations. It took almost 2 years, but the TEACH Act finally became law in late 2002.

The TEACH Act expands the scope of educators' rights to perform and display works and to make the copies integral to such performances and displays for digital distance education, making the rights closer to those we have in face-to-face teaching. But there is still a considerable gap between what the statute authorizes for face-to-face teaching and for distance education. For example, as indicated above, **an educator may show or perform any work related to the curriculum, regardless of the medium, face-to-face in the classroom** - still images, music of every kind, even movies. There are no limits and no permission required. **Under 110(2)**, however, even as revised and expanded, **the same educator would have to pare down some of those materials to show them to distant students**. The **audiovisual works**

and dramatic musical works may only be shown as *clips* -- "reasonable and limited portions," the Act says.

This disparity, coupled with the considerable number of additional limits and conditions (see **Section 110(2)'s expanded rights,** below) imposed by the statute, may lead some educators to conclude that it's more trouble than it's worth to rely on Section110(2). This statute's complexity provides a new context within which to think about fair use: compared to the many conditions and limits contained in Section 110(2), the four factor fair use test seems, well, simple and elegant. That's a good thing, because even when we rely on and find 110(2) helpful, fair use will still figure heavily in our exercise of performance rights because putting anything online requires making a copy of it. **The TEACH Act authorizes us to digitize works for use in digital distance education, but only to the extent we are authorized to use those works in Section 110(2)**, and so long as they are **not available digitally in a format free from technological protection**. So, for example, where 110(2) authorizes the use of movie clips and the available DVDs don't permit ripping (a prerequisite to creating a digital "clip"), you can digitize those parts using an analog tape; but you are not authorized by the TEACH Act to digitize the whole movie. **Fair use is almost always going to be the best source of authority for making copies in any context**, but especially in conjunction with statutes like 110(2) that give us specific authorization that may not be sufficient in a particular case.

Fair use also remains important because the activities the TEACH Act authorizes are a small subset of the uses of electronic resources educators may wish to make. It only covers **in class performances and displays, not**, for example, **digital delivery of supplemental reading materials**. For those activities, as well as many others, we'll need to continue to rely on fair use. This means that, in general, where there is an established market for permissions, there will often be a narrower scope for fair use. In practical terms, this means that where it's easy to get permission, for example, to put text materials on reserve, our reliance on fair use should be limited; on the other hand, where it's near impossible to get permission, for example, for music and movies where those industries are not yet very responsive to the needs of distance educators, the scope of fair use expands to permit reasonable uses of such materials for both local and remote students. So, fair use will likely be very helpful for using music and movies in the classroom and as supplementary materials.

Section 110's role in the balance of interests has always been to permit educators to share works with their students, to show others' works in class. In its exclusion of meaningful rights for digital distance educators, Section110 was failing to carry its weight, so to speak. It had been, in effect, "written out" of the statute by being permitted to become outdated and obsolete. Now it has been expanded to permit educators to show materials the statute did not cover before; however, new Section 110(2) significantly limits who may display and perform how much of what materials and under what circumstances. "Ready to use the TEACH Act," below, summarizes the 22 (!) prerequisites. Nevertheless, we may be optimistic that, **together with fair use**, this new statute will achieve Congress' goal of facilitating the use of digital technologies in distance education.

Section 110(2)'s expanded rights include the following:

1. Transmitting performances of all of a non-dramatic literary or musical work

> Non-dramatic literary works as defined in the Act exclude audiovisual works; thus, examples of permitted performances in this category in which entire works may be displayed and performed

might include a poetry or short story reading. Non-dramatic musical works would include all music other than opera, music videos (because they are audiovisual), and musicals.

2. Transmitting reasonable and limited portions of any other performance

This category includes all audiovisual works such as films and videos of all types, and any dramatic musical works excluded above.

3. Transmitting displays of any work in amounts comparable to typical face-to-face displays

This category would include still images of all kinds.

Exclusions from coverage:

Not everyone, nor every work, is covered. Section 110(2) **applies only to accredited, nonprofit educational institutions**. The rights granted do *not* extend to the use of works **primarily produced or marketed for in-class use in the digital distance education market;** works the instructor knows or has reason to believe **were not lawfully made or acquired**; or **textbooks**, course-packs and other materials typically purchased by students individually.

This last exclusion results from the definition of "***mediated instructional activities***," a key concept within the expanded Section 110(2) meant to limit it to the kinds of materials an instructor would actually incorporate into a class-time lecture. In other words, the **TEACH Act covers works an instructor would show or play during class,** such as movie or music clips, images of artworks in an art history class, or a poetry reading. **It does not cover materials an instructor may want students to study, read, listen to or watch on their own time *outside* of class**. Instructors will have to rely on other rights they may have to post those materials, such as the fair use statute.

Conditions:

In addition, the statute specifies a **formidable list of circumstances** under which the permitted uses may be made:

1. The performance or display must be:

   a. A regular part of systematic **mediated instructional activity**;

   b. Made **by, at the direction of, or under** the supervision of the **instructor**;

   c. **Directly related** and **of material assistance to the teaching content**; and

   d. **For** and technologically **limited to students** enrolled in the class.

2. The institution must:

   a. Have **policies** and provide **information about**, and give **notice** that the materials used may be protected by, **copyright**;

b. Apply technological measures that **reasonably prevent recipients** from *retaining* the works beyond the class session and *further distributing* them; and

c. **Not interfere with technological measures** taken by copyright owners that prevent retention and distribution.

Authority to make copies:

Finally, a new section was added to the Copyright Act to authorize educators to make the copies necessary to display and perform works in a digital environment. New Section 112(f) (ephemeral recordings) works with Section 110 to permit those authorized to perform and display works under 110 **to copy digital works and digitize analog works** in order to make authorized displays and performances **as long as**:

1. **Such copies are retained only by the institution and used only for the activities authorized by Section 110; and**

2. **For digitizing analog works, no digital version of the work is available free from technological protections that would prevent the uses authorized in Section 110.**

The following page contains a checklist to help you determine compliance with the TEACH Act.

IX.   TEACH Act Compliance Checklist

☐   My institution is a nonprofit accredited educational institution or a governmental agency

☐   It has a policy on the use of copyrighted materials

☐   It provides accurate information to faculty, students and staff about copyright

☐   Its systems will not interfere with technological controls within the materials I want to use

☐   The materials I want to use are specifically for students in my class

☐   Only those students will have access to the materials

☐   The materials will be provided at my direction during the relevant lesson

☐   The materials are directly related and of material assistance to my teaching content

☐   My class is part of the regular offerings of my institution

☐   I will include a notice that the materials are protected by copyright

☐   I will use technology that reasonably limits the students' ability to retain or further distribute the materials

☐   I will make the materials available to the students only for a period of time that is relevant to the context of a class session

☐   I will store the materials on a secure server and transmit them only as permitted by this law

☐   I will not make any copies other than the one I need to make the transmission

☐   The materials are of the proper type and amount the law authorizes:

- Entire performances of non-dramatic literary and musical works

- Reasonable and limited parts of a dramatic literary, musical, or audiovisual works

- Displays of other works, such as images, in amounts similar to typical displays in face-to-face teaching

☐ The materials are not among those the law specifically excludes from its coverage:

- Materials specifically marketed for classroom use for digital distance education

- Copies I know or should know are illegal

☐ Textbooks, course-packs, electronic reserves and similar materials typically purchased individually by the students for independent review outside the classroom or class session

☐ If I am using an analog original, I checked before digitizing it to be sure:

- I copied only the amount that I am authorized to transmit

- There is no digital copy of the work available except with technological protections that prevent my using it for the class in the way the statute authorizes

*The content above, subsequent to and including the section labeled **The TEACH Act**, has been adapted from The Copyright Crash Course, © 2001 Georgia K. Harper, under a Creative Commons License.*

X.   **Developer's Checklist**

Think you are ready to submit your course to the DLCAC for review? Take a look at your course's Moodle site with this checklist in hand. These are some of the criteria the DLCAC members will use to review your course.

Place a check mark in the box if you can answer YES to the question posed.

GENERAL

Your Moodle site includes a comprehensive Syllabus and Schedule.

☐ Is it displayed on screen (within a page)?

☐ Is there a link to a PDF version?

☐ Does it include the course subject and level? (e.g. ANTH350)

☐ Does it include course objectives?

☐ Does it include minimum requirements and expectations?

☐ Does it include technical requirements?

☐ Does it include required textbooks or other materials?

☐ Does it include a detailed schedule of activities?

☐ Does it include detailed information concerning assignments, due dates, and methods of submission?

☐ Does it include dates of required examinations?

☐ Does it include information regarding how to contact the instructor?

Your Moodle site includes an Orientation Document to the course and its online components.

☐ Is it a separate document from the syllabus?

☐ Does it explain site layout, navigation, and where to find important information? (Contact info, tech help)

☐ Does it explain technical requirements (such as recommended browser or required plug-ins for audio/video)?

☐ Does it include task/activity/participation instructions? (How to use forums, submit assignments, check grades?)

☐ Does it include your expectations of the students, and what the students can expect of you, in terms of:

 ☐ Active/collaborative participation (in forums, group activities, "in-class" activities, etc.)?

 ☐ Passive/individual participation (homework, research, email, project/papers, "out-of-class" activities)?

 ☐ Expected turnaround time for feedback?

 ☐ How to participate in forums (how/when to reply, how to treat/respond to your follow-up posts, grammar and punctuation, etc.)?

Your Moodle site has a consistent and complete course structure.

☐ Is your site in the *weekly* format? If not, why is the *topics* format a better choice?

☐ Is each week/topic free of unnecessary clutter? (Has a lot of links to resources that could be better displayed in a *page* and improve focus.)

☐ Is each week/topic complete? Are all of the resources uploaded? Have all of the assignments/quizzes been created?

Your Moodle site displays meaningful and consistent organization.

☐ Is each week/topic formatted consistently?

☐ Are forums set up properly and consistently?

☐ Are images and white space used carefully and effectively?

The Moodle site includes an introduction, agenda, or summary of expectations for each week/topic.

☐ Is the user clearly informed of the task at hand, the required activities, and where to find necessary resources?

☐ Are due dates made clear?

The Moodle site includes detailed and clear instructions for each learning activity.

☐ Are instructions present for each assignment, test/quiz, discussion, or other learning activity?

☐ Do you provide context for each resource or activity? (Why am I reading this? Why is this assignment relevant?)

☐ Do you include acceptable formatting and file type(s)?

☐ Have you avoided illegal characters such as #, $, %, &, @, and * in file names?

☐ Did you suggest a naming convention for any files submitted electronically, such as lastname_assignmentname.docx (or necessary file type)

The site includes available and accessible course information.

☐ Are all of the links (internal or external) working correctly?

☐ Are links named descriptively to improve usability and reduce confusion?

☐ Have you avoided providing only a bunch of links to downloadable documents? In most situations, on-screen display of content on a page improves usability.

☐ Did you include the downloadable (printer-friendly PDF) format embedded as an option to on-screen material?

The site includes ample opportunities for interaction with the instructor and others in the course.

☐ Do you have a strong and obvious *presence* in your course site?

☐ Are there forums present in your site? (Topical, related to activities, for asking general questions, etc.)

☐ For fully online courses, do you offer virtual "office hours"? Is that information readily available to students?

The site includes ample opportunities to actively engage in and interact with the CONTENT.

☐ Are students given the opportunity to use or apply what they're learning directly in the course? Examples include forums, group work, self-tests.

☐ Have you avoided giving "busy work"? If a student is not being graded on an activity, do not require it.

DESIGN & DELIVERY

On-campus (onsite) activities are not required for online courses (with the exception of proctored exams)

☐ If a hybrid course, have you clearly listed all dates, times, and locations of required onsite visits?

The site includes a "What to do first" or "How to get started" statement to welcome and direct the student who initially enters the course site (appears on the course site's homepage or initial landing page).

☐ The site includes a "What to do First" or "How to Get Started" statement to welcome and direct the student.

The unused tools and content areas of Moodle are hidden or deleted to reduce potential confusion.

☐ There are no incomplete pages.
☐ Have you removed tools that are not used properly or are vestigial remains of other elements that have been disabled/turned off? (news items block, for example, if the news forum is not being used)

There is evidence of sufficient interactivity/participation relative to course credit hours.

☐ Is there clear evidence of activities that involve the students and the instructor where learning or dialog exchange takes place in each weekly chunk, section, or topic?

All downloadable documents should be in a file format accessible to all types of computer users. PDF (*Portable Document Format*) is a universally compatible and recognizable file type and should be used in your DL course (unless a specific file type is necessary for a learning activity; e.g. an Excel spreadsheet or Word template**).**

☐ All downloadable documents are in a file format (PDF) accessible to all types of computer users.

PRESENTATION STRATEGIES

This category isn't necessarily a pass/fail one, but rather aims to ensure that a variety of instructional methods are used to enhance the learning environment.

☐ **Your Moodle site has text lessons/lectures with supporting images and multimedia (charts, tables, graphs, audio).**

☐ **Your Moodle site incorporates video elements.**
☐ Have copyright restrictions been observed?

☐ **The site incorporates activities that involve computer-assisted instructional elements or multimedia presentations.**

The site includes audio-enhanced components.

☐ Do your PowerPoint presentations have narration? Any PowerPoint presentations should be able to "stand-alone" and deliver themselves.

The idea is to avoid using PowerPoint presentations that just feature bullets of text and images (those that complement a speaker). Presentations like these need more explanation (narration or notes) in the online environment.

☐ Do you have transcripts to accompany Podcasts? *If you have a student with a hearing impairment, you should definitely provide a transcript for each of your podcasts.*

Now that you have finished examining your course, look back at this checklist and address any items that you did not check **YES** for.

Appendix 8.6

Curricular Approval Processes

School of Arts and Sciences (A&S)
Undergraduate New Course
Approval Process

This process is for <u>permanent</u> additions/deletions/changes to course offerings. One-time and temporary offerings do not require this process; they only require approval from the appropriate Chair and acknowledgement from both the Arts & Sciences Curriculum Committee and the Dean. Temporary courses are numbered X95, and may be offered twice with that number; after that, they must receive permanent numbering via this process.

Questions about this process should be directed to the Associate Dean.

1. Submit ==A&S Course Registration Form== with supporting materials and ==Banner Catalog Entry Form== to the Chair of the initiating department.

2. Chair of the of the initiating department signs and submits A&S Course Registration Form, supporting materials and Banner Form to the Chair of the Arts & Sciences Curriculum Committee.

3. After review by the Arts & Sciences Curriculum Committee, the Chair forwards the proposal to the Dean with recommendation.

4. Dean forwards proposal to the Associate Dean of the School of Education and Professional Studies for impact statement.

5. Upon receipt of impact statement from SOEPS, Dean reviews all materials.

6. If approved, Dean signs and forwards A&S Course Registration and Banner forms to the Registrar.

<u>Timeline</u>
Course proposals should be submitted as early as possible to ensure time for adequate consideration, scheduling, and paperwork.

School of Arts and Sciences (A&S)
Graduate New Course
Approval Process

This process is for <u>permanent</u> additions/deletions/changes to course offerings. One-time and temporary offerings do not require this process; they only require approval from the appropriate Chair and acknowledgement from both the Arts & Sciences Curriculum Committee and the Dean. Temporary courses are numbered X95, and may be offered twice with that number; after that, they must receive permanent numbering via this process.

Questions about this process should be directed to the Associate Dean.

1. Submit A&S Course Registration Form with supporting materials and Banner Catalog Entry Form to the Chair of the initiating department.

2. Chair of the of the initiating department signs and submits A&S Course Registration Form, supporting materials and Banner Form to the Chair of the Arts & Sciences Curriculum Committee.

3. After review by the Arts & Sciences Curriculum Committee, the Chair forwards the proposal to the Dean of Arts & Sciences with recommendation.

4. If approved, the Dean of Arts & Sciences forwards proposal to the Dean of Graduate Studies.

5. If approved, the Dean of Graduate Studies signs and forwards A&S Course Registration and Banner forms to the Registrar.

<u>Timeline</u>
Course proposals should be submitted as early as possible to ensure time for adequate consideration, scheduling, and paperwork.

Crane School of Music
Undergraduate New Course
Approval Process

This process is for <u>permanent</u> additions/deletions/changes to Crane course offerings. One-time and temporary offerings do not require this process; they only require approval from the appropriate Chair and paperwork from the Associate Dean. Temporary courses are numbered X95, and may be offered twice with that number; after that, they must receive permanent numbering via this process.

Questions about this process or the course registration form should be directed to the Chair of the Crane Undergraduate Program Committee.

1. Instructor gets approval from Department Chair(s), who also approves Instruction Type.
   Note: Instruction Type may impact faculty load credit.

2. Instructor submits Crane Undergraduate Course Registration Form to Undergraduate Program Committee.
   A syllabus must be attached to the form.

3. The proposal is to be made available to the entire Crane faculty (via e-mail and/or posting in the mailroom) to allow for feedback about it to the Chair of UPC before the meeting in which it will be considered.

4. UPC votes on the proposal, and forwards its recommendation to the Dean.

5. Upon Dean's approval, information regarding new course is forwarded and deposited with the Associate Dean, who completes the Banner Catalog Entry Form, and forwards to the Registrar.

<u>Timeline</u>
- Course proposals should be submitted as early as possible to ensure time for adequate consideration, scheduling, and paperwork. Proposals should ideally be submitted two semesters before being offered (i.e. one semester before being listed in the upcoming semester's Class Schedule.

- In order for courses to be listed in the Schedule of Courses, all information/approval must be received by the Associate Dean by the fourth week of the previous semester and by the Registrar by the sixth week of the semester.

Crane School of Music
Graduate New Course
Approval Process

This process is used for <u>permanent</u> additions/deletions/changes to our course offerings. One-time and temporary offerings do not require this form; they only require approval from the appropriate Chair and paperwork from the Associate Dean. Temporary courses are numbered X95, and may be offered twice with that number; after that, they must receive permanent numbering via this form.

Questions about this form or the course registration process should be directed to the Chair of the Crane Graduate Committee.

1. Instructor gets approval from Department Chair(s), who also approves Instruction Type.
    Note: Instruction Type may impact faculty load credit.

2. Instructor submits <mark>Crane Graduate Course Registration Form</mark> to Graduate Committee.
    A syllabus must be attached to the form.

3. The proposal is to be made available to the entire Crane faculty (via e-mail and/or posting in the mailroom) to allow for feedback about it to the Chair of GC before the meeting in which it will be considered.

4. GC votes on the proposal, and forwards its recommendation to the Dean.

5. Upon Dean's approval, information regarding new course is forwarded and deposited with the Associate Dean, who completes the <mark>Banner Catalog Entry Form</mark>, and forwards to the Registrar.

<u>Timeline</u>
- Course proposals should be submitted as early as possible to ensure time for adequate consideration, scheduling, and paperwork. Proposals should ideally be submitted two semesters before being offered (i.e. one semester before being listed in the upcoming semester's Class Schedule.

- In order for courses to be listed in the Schedule of Courses, all information/approval must be received by the Associate Dean by the fourth week of the previous semester and by the Registrar by the sixth week of the semester.

School of Education and Professional Studies
Undergraduate and Graduate
New Course Approval Process

The School of Education and Professional Studies (SOEPS) requires no School-level review of new course/course-level revisions. Many years ago, it was determined that Department-level review of course development/revisions, including approval of x95 courses, was most appropriate. Departments are expected to confer with any related departments when making such changes.

The official review/approval of a new or revised course comes with the [Banner Form](#) submission, with review and sign-off by the Department Chair and by the Dean/Associate Dean. Therefore, there is no School course approval form equivalent to the other schools' forms.

This process is used for permanent additions/deletions/changes to our course offerings. One-time and temporary offerings do not require this form; they only require approval from the appropriate Chair and paperwork from the Associate Dean. Temporary courses are numbered X95, and may be offered twice with that number; after that, they must receive permanent numbering via this form.

Questions about this process should be directed to the Associate Dean.

1. Department reviews SOEPS Course Proposal Form.

2. Submit Banner Catalog Entry Form and supporting materials to the Chair of the initiating department.

3. Chair requests impact statements from other department chairs in SOEPS.

4. Chair of the of the initiating department signs and submits Banner Form and supporting materials (including impact statements) to the Dean of the SOEPS.

5. If approved, Dean signs and forwards Banner Form and supporting materials to the Registrar.

Timeline
Course proposals should be submitted as early as possible to ensure time for adequate consideration, scheduling, and paperwork.

All "General Education Approval" should link to:

http://www.potsdam.edu/academics/general_education/faculty

All "Distance Education Approval" should link to:

http://www.potsdam.edu/academics/online/faculty/process.cfm

School of Arts and Sciences (A&S)
Undergraduate New Program[1]
Approval Procedures

Questions about this process should be directed to the Associate Dean.

1. Undergraduate program or departmental faculty members meet with the Assistant Provost to go over process and identify forms required for state submission.

2. Departmental or program faculty members develop the proposal in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the Dean/Associate Dean.
   - Proposers must develop the proposal with consideration of applicable SUNY and NYSED regulations and procedures (i.e., using their forms). Consult with Assistant Provost as needed for assistance.
   - Proposers must also consider requirements and regulations of appropriate accreditation agencies. Consult with Dean as needed for assistance.

3. Meet with Dean to develop a <mark>Business Plan</mark>. A Business Plan is required for all new majors and minors and must be approved by the Dean in conjunction with the Provost.

4. Dean sends the proposal draft to all other Deans, the Director of Libraries, the Director of Academic Transfer Services, and the Director of General Education for impact statements.
   - Please assume that impact statements for new programs/majors will take a minimum of 4 weeks to complete. The impact statements for new minors will take a minimum of 3 weeks to complete.
   - Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.
   - If there are significant changes to the proposal later in the process, program proposers should solicit additional feedback at that point. Consult with Dean to determine if this is required.

5. Departmental or program faculty members submit the proposal to the Chair of the A&S Curriculum Committee.

6. After the A&S Curriculum Committee reviews the proposal, the Chair forwards the proposal to the Dean with recommendation and signature.

7. If Dean feels the proposal is ready, he presents the proposal to the Arts & Sciences Council for their recommendation.

8. Arts & Sciences Council reviews and submits their recommendation to the Dean.

9. Dean reviews all materials, impact statements and recommendations.

10. If approved, Dean forwards the proposal and impact statements to the Chair of Faculty Senate for campus action.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

11.   Chair forwards the proposal and impact statements to the chair of the Academic Programs and Curriculum Committee as well as the Business Affairs Committee Chair.

12. Following review by the Academic Programs and Curriculum Committee, the proposal and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

13. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

14. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
   • Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

15.   At scheduled Faculty Senate meeting, Academic Programs and Curriculum Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

16. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal to the President of the College with the recommendation of the Faculty.

17. Once approved by the President, program faculty meet with Assistant Provost to prepare proposal for submission to SUNY and NYSED and, if applicable, with the Dean of Arts & Sciences to prepare proposal for submission to the appropriate accreditation agency.

18. In conjunction with the Assistant Provost, the proposal will now go through SUNY approval procedures. These procedures include (but are not limited to):
   • Submission of a formal Program Announcement to SUNY Provost and to other SUNY campuses for review
   • 30 day waiting period in which they may submit comments and/or concerns about the proposed program
   • Proposal review by SUNY approved external reviewers
   • Proposal revisions to address comments/concerns of other campuses and/or the external reviewers
   • Submission of complete proposal and supporting materials to SUNY for approval

19. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and registration.

20. Once approval and program registration is received from NYSED and, if applicable, the appropriate accreditation agency, the proposal is forwarded and deposited with the Associate Dean, who completes a BearDen Program Change Form and submit to the Registrar's Office for catalog and BearDen updates.

21. Then the program may be advertised and students may be recruited.

School of Arts and Sciences (A&S)
Graduate New Program[1]
Approval Procedures

Questions about this process should be directed to the Associate Dean.

1. Graduate program or departmental faculty members meet with the Assistant Provost to go over process and identify forms required for state submission.

2. Departmental or program faculty members develop the proposal in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the Dean/Associate Dean.
   - Proposers must develop the proposal with consideration of applicable SUNY and NYSED regulations and procedures (i.e., using their forms). Consult with Assistant Provost as needed for assistance.
   - Proposers must also consider requirements and regulations of appropriate accreditation agencies. Consult with Dean as needed for assistance.

3. Meet with Dean of Arts & Sciences to develop a Business Plan. A Business Plan is required for all new majors and minors and must be approved by the Dean in conjunction with the Dean of Graduate Studies and the Provost.

4. Dean of Arts & Sciences sends the proposal draft to all other Deans and the Director of Libraries for impact statements.
   - Please assume that impact statements for new programs/majors will take a minimum of 4 weeks to complete. The impact statements for new minors will take a minimum of 3 weeks to complete.
   - Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.
   - If there are significant changes to the proposal later in the process, program proposers should solicit additional feedback at that point. Consult with Dean to determine if this is required.

5. Departmental or program faculty members submit the proposal to the Chair of the A&S Curriculum Committee.

6. After the A&S Curriculum Committee reviews the proposal, the Chair forwards the proposal to the Dean with recommendation and signature.

7. If Dean feels the proposal is ready, he presents the proposal to the Arts & Sciences Council for their recommendation.

8. Arts & Sciences Council reviews and submits their recommendation to the Dean of Arts & Sciences.

9. Dean reviews all materials, impact statements and recommendations.

10. If approved, the Dean forwards the proposal and impact statements to the Dean of Graduate Studies.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

11. If approved, the Dean of Graduate Studies forwards the proposal and impact statements to the Chair of Faculty Senate for campus action.

12. Chair forwards the proposal and impact statements to the chair of the Graduate Affairs Committee as well as the Business Affairs Committee Chair.

13. Following review by the Graduate Affairs Committee, the proposal and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

14. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

15. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
    - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

16. At scheduled Faculty Senate meeting, Graduate Affairs Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on

17. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal to the President of the College with the recommendation of the Faculty.

18. Once approved by the President, program faculty meet with Assistant Provost to prepare proposal for submission to SUNY and NYSED and, if applicable, with the Dean of Arts & Sciences to prepare proposal for submission to the appropriate accreditation agency.

19. In conjunction with the Assistant Provost, the proposal will now go through SUNY approval procedures. These procedures include (but are not limited to):
    - Submission of a formal Program Announcement to SUNY Provost and to other SUNY campuses for review
    - 30 day waiting period in which they may submit comments and/or concerns about the proposed program
    - Proposal review by SUNY approved external reviewers
    - Proposal revisions to address comments/concerns of other campuses and/or the external reviewers
    - Submission of complete proposal and supporting materials to SUNY for approval

20. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and registration.

21. Once approval and program registration is received from NYSED and, if applicable, the appropriate accreditation agency, the proposal is forwarded and deposited with the Associate Dean, who completes a BearDen Program Change Form and submit to the Registrar's Office for catalog and BearDen updates.

22. Then the program may be advertised and students may be recruited.

Crane School of Music
Undergraduate New Program[1]
Approval Procedures

Questions about this process should be forwarded to the Dean of the Crane School of Music.

1. Undergraduate program or departmental faculty members meet with the Assistant Provost to go over process and identify forms required for state submission.

2. Departmental or program faculty members develop the proposal in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the Dean/Associate Dean.
    * Proposers must develop the proposal with consideration of applicable SUNY and NYSED regulations and procedures (i.e., using their forms). Consult with Assistant Provost as needed for assistance.
    * Proposers must also take NASM guidelines and requirements into consideration. Consult with the Dean of the Crane School of Music as needed for assistance.

3. Proposal must be supported by Area committee(s), if applicable.

4. Proposal must be supported by Department and Department Chair.

5. Meet with Dean to develop a Business Plan as well as determine NASM submission requirements.
    A Business Plan is required for all new majors and minors and must be approved by the Dean in conjunction with the Provost.

6. Dean sends the proposal draft to all other Deans, the Director of Libraries, the Director of Academic Transfer Services, and the Director of General Education for impact statements.
    * Please assume that impact statements for new programs/majors will take a minimum of 4 weeks to complete. The impact statements for new minors will take a minimum of 3 weeks to complete.
    * Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.
    * If there are significant changes to the proposal later in the process, program proposers should solicit additional feedback at that point. Consult with Dean to determine if this is required.

7. Send proposal to the Crane Undergraduate Program Committee (UPC) for review and recommendation. UPC solicits:
    * Impact Statements (programmatic, not fiscal) from all Crane Departments
    * Comments from the entire Crane faculty via e-mail

8. After discussion and vote, the Chair of the Undergraduate Program Committee forwards the proposal and the committee recommendation to the Crane Faculty Association.

9. After discussion and vote in Crane Faculty Association meeting, the President of CFA forwards the proposal and CFA recommendation to the Dean for review and approval.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

10. Dean reviews all materials, impact statements and recommendations

11. If approved, the Dean forwards the proposal and impact statements to the Chair of Faculty Senate for campus action.

12. Chair forwards the proposal and impact statements to the chair of the Academic Programs and Curriculum Committee as well as the Business Affairs Committee Chair.

13. Following review by the Academic Programs and Curriculum Committee, the proposal and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

14. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

15. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
    - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

16. At scheduled Faculty Senate meeting, Academic Programs and Curriculum Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

17. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal to the President of the College with the recommendation of the Faculty.

18. Once approved by the President, program faculty meet with Assistant Provost to prepare proposal for submission to SUNY and NYSED and, if applicable, with the Dean of Crane to prepare proposal for submission to NASM.

19. In conjunction with the Assistant Provost, the proposal will now go through SUNY approval procedures. These procedures include (but are not limited to):
    - Submission of a formal Program Announcement to SUNY Provost and to other SUNY campuses for review
    - 30 day waiting period in which they may submit comments and/or concerns about the proposed program
    - Proposal review by SUNY approved external reviewers
    - Proposal revisions to address comments/concerns of other campuses and/or the external reviewers
    - Submission of complete proposal and supporting materials to SUNY for approval

20. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and registration.

21. Once approval and program registration is received from NYSED and NASM, proposal is forwarded and deposited with the Associate Dean, who completes a BearDen Program Change Form and submits to the Registrar's Office for catalog and BearDen updates.

22. Then the program may be advertised and students may be recruited.

Crane School of Music
Graduate New Program[1]
Approval Procedures

Questions about this process should be forwarded to the Dean of the Crane School of Music.

1. Graduate program or departmental faculty members meet with the Assistant Provost to go over process and identify forms required for state submission.

2. Departmental or program faculty members develop the proposal in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the Dean/Associate Dean.
   - Proposers must develop the proposal with consideration of applicable SUNY and NYSED regulations and procedures (i.e., using their forms). Consult with Assistant Provost as needed for assistance.
   - Proposers must also take NASM guidelines and requirements into consideration. Consult with the Dean of the Crane School of Music as needed for assistance.

3. Proposal must be supported by Area committee(s), if applicable.

4. Proposal must be supported by Department and Department Chair.

5. Meet with Dean of Crane to develop a Business Plan as well as determine NASM submission requirements. A Business Plan is required for all new majors and minors and must be approved by the Dean in conjunction with the Dean of Graduate Studies and the Provost.

6. Dean sends the proposal draft to all other Deans and the Director of Libraries for impact statements.
   - Please assume that impact statements for new programs/majors will take a minimum of 4 weeks to complete. The impact statements for new minors will take a minimum of 3 weeks to complete.
   - Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.
   - If there are significant changes to the proposal later in the process, program proposers should solicit additional feedback at that point. Consult with Dean to determine if this is required.

7. Send proposal to the Crane Graduate Committee (GC) for review and recommendation. GC solicits:
   - Impact Statements (programmatic, not fiscal) from all Crane Departments
   - Comments from the entire Crane faculty via e-mail

8. After discussion and vote, the Chair of the Graduate Committee sends the proposal and the committee recommendation to the Crane Faculty Association.

9. After discussion and vote in Crane Faculty Association meeting, the President of CFA sends the proposal and CFA recommendation to the Dean of Crane for review and approval.

10. Dean reviews all materials, impact statements and recommendations.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

11. If approved, the Dean of Crane forwards the proposal and impact statements to the Dean of Graduate Studies.

12. If approved, the Dean of Graduate Studies forwards the proposal and impact statements to the Chair of Faculty Senate for campus action.

13. Chair forwards the proposal and impact statements to the chair of the Graduate Affairs Committee as well as the Business Affairs Committee Chair.

14. Following review by the Graduate Affairs Committee, the proposal and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

15. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

16. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
   - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

17. At scheduled Faculty Senate meeting, Graduate Affairs Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

18. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal to the President of the College with the recommendation of the Faculty.

19. Once approved by the President, program faculty meet with Assistant Provost to prepare proposal for submission to SUNY and NYSED and, if applicable, with the Dean of Crane to prepare proposal for submission to NASM.

20. In conjunction with the Assistant Provost, the proposal will now go through SUNY approval procedures. These procedures include (but are not limited to):
   - Submission of a formal Program Announcement to SUNY Provost and to other SUNY campuses for review
   - 30 day waiting period in which they may submit comments and/or concerns about the proposed program
   - Proposal review by SUNY approved external reviewers
   - Proposal revisions to address comments/concerns of other campuses and/or the external reviewers
   - Submission of complete proposal and supporting materials to SUNY for approval

21. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and registration.

22. Once approval and program registration is received from NYSED and NASM, proposal is forwarded and deposited with the Associate Dean, who completes a BearDen Program Change Form and submits to the Registrar's Office for catalog and BearDen updates.

23. Then the program may be advertised and students may be recruited.

School of Education and Professional Studies (SOEPS) Undergraduate and Graduate New Program[1] Approval Procedures

Questions about this process should be forwarded to the Associate Dean.

1. Departmental or program faculty members meet with the Assistant Provost to go over process and identify forms required for state submission.

2. Departmental or program faculty members develop the proposal in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the Dean/Associate Dean.
   - Proposers must develop the proposal with consideration of applicable SUNY and NYSED regulations and procedures (i.e., using their forms). Consult with Assistant Provost as needed for assistance.

3. Meet with Dean to develop a <mark>Business Plan</mark>. A Business Plan is required for all new majors and minors and must be approved by the Dean in conjunction with the Provost.

4. Dean sends the proposal draft to all other Deans, the Director of Libraries, and if applicable the Director of Academic Transfer Services and the Director of General Education for impact statements.
   - Please assume that impact statements for new programs/majors will take a minimum of 4 weeks to complete. The impact statements for new minors will take a minimum of 3 weeks to complete.
   - Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.
   - If there are significant changes to the proposal later in the process, program proposers should solicit additional feedback at that point. Consult with Dean to determine if this is required.

5. Departmental or program faculty members submit the proposal and impact statements to the SOEPS - Academic Affairs Committee (AAC) for review and recommendation.

6. Following review, the Chair of SOEPS - AAC sends the proposal and the committee recommendation to the Dean of SOEPS for review and approval.

7. Dean reviews all materials, impact statements and recommendations.

8. If approved, the Dean of SOEPS forwards the proposal and impact statements to the Chair of the Faculty Senate for campus action.

9. Chair forwards the proposal and impact statements to the appropriate curricular committee chair (Academic Programs and Curriculum Committee for Undergraduate or Graduate Affairs Committee for Graduate) as well as the Business Affairs Committee Chair.

10. Following review by the appropriate curriculum committee, the proposal and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

11. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

12. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
    - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

13. At scheduled Faculty Senate meeting, the appropriate curricular committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on

14. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal to the President of the College with the recommendation of the Faculty.

15. Once approved by the President, program faculty meet with Assistant Provost to prepare proposal for submission to SUNY and NYSED.

16. In conjunction with the Assistant Provost, the proposal will now go through SUNY approval procedures. These procedures include (but are not limited to):
    - Submission of a formal Program Announcement to SUNY Provost and to other SUNY campuses for review
    - 30 day waiting period in which they may submit comments and/or concerns about the proposed program
    - Proposal review by SUNY approved external reviewers
    - Proposal revisions to address comments/concerns of other campuses and/or the external reviewers
    - Submission of complete proposal and supporting materials to SUNY for approval

17. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and registration.

18. Once approval and program registration is received from NYSED, proposers should complete a BearDen Program Change Form and submit to Associate Dean of SOEPS for review and school records.

19. Associate Dean will submit BearDen form to the Registrar's Office for catalog and BearDen updates.

20. Then the program may be advertised and students may be recruited.

School of Arts and Sciences (A&S)
Undergraduate Program[1]
Revision Procedures

Questions about this process should be forwarded to the Associate Dean.

1. Departmental or program faculty members meet with the Assistant Provost to determine if the revision will require submission to SUNY/NYSED as well as which state forms are required.

2. Some revisions need only follow school procedures. Any change to an existing program that is considered a "Substantial Change" will also be required to go through Faculty Senate procedures and Presidential approval.
   - For campus-wide procedures, Substantial Change is defined as change in program focus, location (i.e. where program offered), format (i.e. day to evening), program title change, change in award (i.e. B.S. to B.A.), and/or a cumulative change to 15 or more credits for undergraduate programs or 9 or more credits for graduate programs.

3. Departmental or program faculty members complete the required state forms in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the relevant Deans or Associate Deans.
   - Use of state forms is required whether or not current revision needs to be submitted to SUNY/NYSED. This will put required information on file for when cumulative changes require state level submission. Consult with Assistant Provost as needed for assistance.
   - Proposers must also consider requirements and regulations of appropriate accreditation agencies. Consult with Dean as needed for assistance.

4. Meet with Dean to determine if a Business Plan is required and, if so, to develop it. Business Plan must be approved by the Dean in conjunction with the Provost.

5. The Dean determines if campus impact statements are necessary for these revisions and, if so, sends the proposal and supporting materials to all other Deans, the Director of Libraries, and if applicable the Director of Academic Transfer Services and the Chair of General Education for impact statements.
   - Please assume that impact statements for program revisions will take a minimum of 2 weeks to complete. If many new courses are added, the library impact statement may take longer.
   - Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.
   - If there are significant changes to the proposal later in the process, program proposers should solicit additional feedback at that point. Consult with Dean to determine if this is required.

6. If a change will impact a registered Education program, consult with the School of Education and Professional Studies Associate Dean immediately. If unsure, please consult with the SOEPS Associate Dean to clarify.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

7. Departmental or program faculty members submit the proposal and supporting materials to the Chair of the A&S Curriculum Committee.

8. After the A&S Curriculum Committee reviews the proposal, the Chair forwards the proposal and supporting materials to the Dean with recommendation and signature.

9. If Dean feels the proposal is ready, he presents the proposal to the Arts & Sciences Council for their recommendation.

10. Arts & Sciences Council reviews and submits their recommendation to the Dean.

11. Dean reviews all materials, impact statements and recommendations.

12. If approved, the Dean sends the proposal, supporting materials, and impact statements to one of two places:
    - If the proposal <u>does not</u> need Faculty Senate, SUNY, and NYSED approval, the Dean sends all documents to the Assistant Provost for program history records.
      - ➢ Additionally, the proposal is forwarded and deposited with the Associate Dean, who completes a BearDen Program Change Form and submit to the Registrar's Office for catalog and BearDen updates.
    - If the proposal <u>does</u> need Faculty Senate, SUNY, and NYSED approval, the Dean sends all documents to the Chair of Faculty Senate for campus action.

<u>IF FACULTY SENATE, SUNY, and NYSED APPROVAL IS REQUIRED:</u>
13. Chair of Faculty Senate forwards the proposal and impact statements to the chair of the Academic Programs and Curriculum Committee as well as the Business Affairs Committee Chair.

14. Following review by the Academic Programs and Curriculum Committee, the proposal and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

15. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

16. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
    - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

17. At scheduled Faculty Senate meeting, Academic Programs and Curriculum Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

18. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal and supporting materials to the President of the College with the recommendation of the Faculty.

19. Once approved by the President, meet with Assistant Provost to refine proposal before SUNY/NYSED submission and, if applicable, with the Dean of Arts & Sciences to prepare proposal for submission to the appropriate accreditation agency.

20. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and registration.

21. Once approval and program registration is received from NYSED and, if applicable, the appropriate accreditation agency, the proposal is forwarded and deposited with the Associate Dean, who completes a BearDen Program Change Form and submit to the Registrar's Office for catalog and BearDen updates.

22. Then the program may be advertised and students may be enrolled in revised program.

School of Arts and Sciences (A&S)
Graduate Program[1]
Revision Procedures

Questions about this process should be forwarded to the Associate Dean.

1. Departmental or program faculty members meet with the Assistant Provost to determine if the revision will require submission to SUNY/NYSED as well as which state forms are required.

2. Some revisions need only follow school procedures. Any change to an existing program that is considered a "Substantial Change" will also be required to go through Faculty Senate procedures and Presidential approval.
   - For campus-wide procedures, Substantial Change is defined as change in program focus, location (i.e. where program offered), format (i.e. day to evening), program title change, change in award (i.e. B.S. to B.A.), and/or a cumulative change to 15 or more credits for undergraduate programs or 9 or more credits for graduate programs.

3. Departmental or program faculty members complete the required state forms in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the relevant Deans or Associate Deans.
   - Use of state forms is required whether or not current revision needs to be submitted to SUNY/NYSED. This will put required information on file for when cumulative changes require state level submission. Consult with Assistant Provost as needed for assistance.
   - Proposers must also consider requirements and regulations of appropriate accreditation agencies. Consult with Dean as needed for assistance.

4. Meet with Dean of Arts & Sciences to determine if a Business Plan is required and, if so, to develop it. Business Plan must be approved by the Dean in conjunction with the Dean of Graduate Studies and the Provost.

5. The Dean determines if campus impact statements are necessary for these revisions and, if so, sends the proposal and supporting materials to all other Deans and the Director of Libraries for impact statements.
   - Please assume that impact statements for program revisions will take a minimum of 2 weeks to complete. If many new courses are added, the library impact statement may take longer.
   - Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.
   - If there are significant changes to the proposal later in the process, program proposers should solicit additional feedback at that point. Consult with Dean to determine if this is required.

6. If a change will impact a registered Education program, consult with the School of Education and Professional Studies Associate Dean immediately. If unsure, please consult with the SOEPS Associate Dean to clarify.

7. Departmental or program faculty members submit the proposal and supporting materials to the Chair of the A&S Curriculum Committee.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

8. After the A&S Curriculum Committee reviews the proposal, the Chair forwards the proposal and supporting materials to the Dean with recommendation and signature.

9. If Dean feels the proposal is ready, he presents the proposal to the Arts & Sciences Council for their recommendation.

10. Arts & Sciences Council reviews and submits their recommendation to the Dean.

11. Dean of Arts & Sciences reviews all materials, impact statements and recommendations.

12. If approved, the Dean sends the proposal, supporting materials, and impact statements to the Dean of Graduate Studies.

13. If approved, the Dean of Graduate Studies sends the proposal, supporting materials, and impact statements to one of two places:
    - If the proposal <u>does not</u> need Faculty Senate, SUNY, and NYSED approval, the Dean sends all documents to the Assistant Provost for program history records.
        - ➤ Additionally, the proposal is forwarded and deposited with the Associate Dean, who completes a ==BearDen Program Change Form== and submit to the Registrar's Office for catalog and BearDen updates.
    - If the proposal <u>does</u> need Faculty Senate, SUNY, and NYSED approval, the Dean sends all documents to the Chair of Faculty Senate for campus action.

<u>IF FACULTY SENATE, SUNY, and NYSED APPROVAL IS REQUIRED:</u>
14. Chair of Faculty Senate forwards the proposal and impact statements to the chair of the Graduate Affairs Committee as well as the Business Affairs Committee Chair.

15. Following review by the Graduate Affairs Committee, the proposal and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

16. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

17. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
    - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

18. At scheduled Faculty Senate meeting, Graduate Affairs Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

19. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal and supporting materials to the President of the College with the recommendation of the Faculty.

20. Once approved by the President, meet with Assistant Provost to refine proposal before SUNY/NYSED submission and, if applicable, with the Dean of Arts & Sciences to prepare proposal for submission to the appropriate accreditation agency.

21. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and registration.

22. Once approval and program registration is received from NYSED and, if applicable, the appropriate accreditation agency, the proposal is forwarded and deposited with the Associate Dean, who completes a BearDen Program Change Form and submit to the Registrar's Office for catalog and BearDen updates.

23. Then the program may be advertised and students may be enrolled in revised program.

Crane School of Music
Undergraduate Program[1]
Revision Procedures

Questions about this process should be forwarded to the Dean of the Crane School of Music.

1. Departmental or program faculty members meet with the Assistant Provost to determine if the revision will require submission to SUNY/NYSED as well as which state forms are required.

2. Some revisions need only follow school procedures. Any change to an existing program that is considered a "Substantial Change" will also be required to go through Faculty Senate procedures and Presidential approval.
   - For campus-wide procedures, Substantial Change is defined as change in program focus, location (i.e. where program offered), format (i.e. day to evening), program title change, change in award (i.e. B.S. to B.A.), and/or a cumulative change to 15 or more credits for undergraduate programs or 9 or more credits for graduate programs.

3. Departmental or program faculty members complete the required state forms in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the relevant Deans or Associate Deans.
   - Use of state forms is required whether or not current revision needs to be submitted to SUNY/NYSED. This will put required information on file for when cumulative changes require state level submission. Consult with Assistant Provost as needed for assistance.
   - Proposers must also take NASM guidelines and requirements into consideration. Consult with the Dean of the Crane School of Music as needed for assistance.

4. Proposal must be supported by Area committee(s), if applicable.

5. Departmental requirements vary based on the following:
   - If the revisions do not have load impact on the degree (i.e. no change in required credit hours and/or contact hours, e.g., a course substitution), then the proposal must only be reviewed by the Department Chair.
   - If the revisions do have load impact on the degree (i.e. necessitates a change in credit hours and/or contact hours), then the proposal must be reviewed by Department and Department Chair.

6. Meet with Dean to determine NASM submission requirements as well as if a Business Plan is required and, if so, to develop it. Business Plan must be approved by the Dean in conjunction with the Provost.

7. The Dean determines if campus impact statements are necessary for these revisions and, if so, sends the proposal and supporting materials to all other Deans, the Director of Libraries, the Director of Academic Transfer Services and the Chair of General Education for impact statements.
   - Please assume that impact statements for program revisions will take a minimum of 2 weeks to complete. If many new courses are added, the library impact statement may take longer.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

- Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.
- If there are significant changes to the proposal later in the process, program proposers should solicit additional feedback at that point. Consult with Dean to determine if this is required.

8. If a change will impact a registered Education program, consult with the School of Education and Professional Studies Associate Dean immediately. If unsure, please consult with the SOEPS Associate Dean to clarify.

9. Submit proposal and supporting materials to the Crane Undergraduate Program Committee for review.

10. UPC solicits the following prior to proposal review.
- Impact Statements (programmatic, not fiscal) from all Crane Departments
- Comments from the entire Crane faculty via e-mail

11. Following review by the Undergraduate Program Committee, the Chair forwards the proposal, supporting materials and committee recommendation to the Crane Faculty Association.

12. Following review by the Crane Faculty Association, the Chair of CFA forwards the proposal, supporting materials and faculty recommendation to the Dean for review and approval.

13. If approved, the Dean forwards the proposal, supporting materials, and impact statements to one of two places:
- If the proposal <u>does not</u> need Faculty Senate, SUNY, and NYSED approval, the Dean sends all documents to the Assistant Provost for program history records.
  - ➢ Additionally, the proposal is forwarded and deposited with the Associate Dean, who completes a ==BearDen Program Change Form== and submits to the Registrar's Office for catalog and BearDen updates.
- If the proposal <u>does</u> need Faculty Senate, SUNY, and NYSED approval, the Dean sends all documents to the Chair of Faculty Senate for campus action.

<u>IF FACULTY SENATE, SUNY, and NYSED APPROVAL IS REQUIRED:</u>

14. Chair of Faculty Senate forwards the proposal and impact statements to the chair of the Academic Programs and Curriculum Committee as well as the Business Affairs Committee Chair.

15. Following review by the Academic Programs and Curriculum Committee, the proposal and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

16. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

17. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
- Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

18. At scheduled Faculty Senate meeting, Academic Programs and Curriculum Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

19. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal and supporting materials to the President of the College with the recommendation of the Faculty.

20. Once approved by the President, meet with Assistant Provost to refine proposal before SUNY/NYSED submission and meet with Dean to prepare proposal for NASM submission.

21. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and registration.

22. Once approval and program registration is received from NYSED and NASM, proposal is forwarded and deposited with the Associate Dean, who completes a BearDen Program Change Form and submits to the Registrar's Office for catalog and BearDen updates.

23. Then the program may be advertised and students may be enrolled in revised program.

Crane School of Music
Graduate Program[1]
Revision Procedures

Questions about this process should be forwarded to the Dean of the Crane School of Music.

1. Departmental or program faculty members meet with the Assistant Provost to determine if the revision will require submission to SUNY/NYSED as well as which state forms are required.

2. Some revisions need only follow school procedures. Any change to an existing program that is considered a "Substantial Change" will also be required to go through Faculty Senate procedures and Presidential approval.
   - For campus-wide procedures, Substantial Change is defined as change in program focus, location (i.e. where program offered), format (i.e. day to evening), program title change, change in award (i.e. B.S. to B.A.), and/or a cumulative change to 15 or more credits for undergraduate programs or 9 or more credits for graduate programs.

3. Departmental or program faculty members complete the required state forms in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the relevant Deans or Associate Deans.
   - Use of state forms is required whether or not current revision needs to be submitted to SUNY/NYSED. This will put required information on file for when cumulative changes require state level submission. Consult with Assistant Provost as needed for assistance.
   - Proposers must also take NASM guidelines and requirements into consideration. Consult with the Dean of the Crane School of Music as needed for assistance.

4. Proposal must be supported by Area committee(s), if applicable.

5. Departmental requirements vary based on the following:
   - If the revisions do not have load impact on the degree (i.e. no change in required credit hours and/or contact hours, e.g., a course substitution), then the proposal must only be reviewed by the Department Chair.
   - If the revisions do have load impact on the degree (i.e. necessitates a change in credit hours and/or contact hours), then the proposal must be reviewed by Department and Department Chair.

6. Meet with Dean of Crane to determine NASM submission requirements as well as if a Business Plan is required and, if so, to develop it. Business Plan must be approved by the Dean in conjunction with the Dean of Graduate Studies and the Provost.

7. The Dean determines if campus impact statements are necessary for these revisions and, if so, sends the proposal and supporting materials to all other Deans and the Director of Libraries for impact statements.
   - Please assume that impact statements for program revisions will take a minimum of 2 weeks to complete. If many new courses are added, the library impact statement may take longer.
   - Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

- If there are significant changes to the proposal later in the process, program proposers should solicit additional feedback at that point. Consult with Dean to determine if this is required.

8. If a change will impact a registered Education program, consult with the School of Education and Professional Studies Associate Dean immediately. If unsure, please consult with the SOEPS Associate Dean to clarify.

9. Submit proposal and supporting materials to the Crane Graduate Committee for review.

10. GC solicits the following prior to proposal review.
    - Impact Statements (programmatic, not fiscal) from all Crane Departments
    - Comments from the entire Crane faculty via e-mail

11. Following review by the Graduate Committee, the Chair forwards the proposal, supporting materials and committee recommendation to the Crane Faculty Association.

12. Following review by the Crane Faculty Association, the Chair of CFA forwards the proposal, supporting materials and faculty recommendation to the Dean of Crane for review and approval.

13. If approved, the Dean of Crane forwards the proposal, supporting materials, and impact statements to the Dean of Graduate Studies for review and approval.

14. If approved, the Dean of Graduate Studies forwards the proposal, supporting materials, and impact statements to one of two places:
    - If the proposal <u>does not</u> need Faculty Senate, SUNY, and NYSED approval, the Dean sends all documents to the Assistant Provost for program history records.
      - ➢ Additionally, proposal is forwarded and deposited with the Associate Dean, who completes a BearDen Program Change Form and submits to the Registrar's Office for catalog and BearDen updates.
    - If the proposal <u>does</u> need Faculty Senate, SUNY, and NYSED approval, the Dean sends all documents to the Chair of Faculty Senate for campus action.

<u>IF FACULTY SENATE, SUNY, and NYSED APPROVAL IS REQUIRED:</u>
15. Chair of Faculty Senate forwards the proposal and impact statements to the chair of the Graduate Affairs Committee as well as the Business Affairs Committee Chair.

16. Following review by the Graduate Affairs Committee, the proposal and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

17. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

18. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
    - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

19. At scheduled Faculty Senate meeting, Graduate Affairs Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

20. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal and supporting materials to the President of the College with the recommendation of the Faculty.

21. Once approved by the President, meet with Assistant Provost to refine proposal before SUNY/NYSED submission and meet with Dean to prepare proposal for NASM submission.

22. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and registration.

23. Once approval and program registration is received from NYSED and NASM, proposal is forwarded and deposited with the Associate Dean, who completes a BearDen Program Change Form and submits to the Registrar's Office for catalog and BearDen updates.

24. Then the program may be advertised and students may be enrolled in revised program.

School of Education and Professional Studies (SOEPS)
Undergraduate and Graduate Program[1]
Revision Procedures

Questions about this process should be forwarded to the Associate Dean.

1. Departmental or program faculty members meet with the Assistant Provost to determine if the revision will require submission to SUNY/NYSED as well as which state forms are required.

2. Some revisions need only follow school procedures. Any change to an existing program that is considered a "Substantial Change" will also be required to go through Faculty Senate procedures and Presidential approval.
   - For campus-wide procedures, Substantial Change is defined as change in program focus, location (i.e. where program offered), format (i.e. day to evening), program title change, change in award (i.e. B.S. to B.A.), and/or a cumulative change to 15 or more credits for undergraduate programs or 9 or more credits for graduate programs.

3. Departmental or program faculty members complete the required state forms in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the relevant Deans or Associate Deans.
   - Use of state forms is required whether or not current revision needs to be submitted to SUNY/NYSED. This will put required information on file for when cumulative changes require state level submission. Consult with Assistant Provost as needed for assistance.
   - FOR EDUCATION PROGRAMS: NYSED regulations have changed. We are no longer required to submit every change. Please see the NYSED Application for Revisions to Existing Teacher Ed Program for new policies and consult with the Associate Dean of SOEPS as needed for assistance.

4. Meet with Dean to determine if a Business Plan is required and, if so, to develop it. Business Plan must be approved by the Dean in conjunction with the Provost.

5. The Dean determines if campus impact statements are necessary for these revisions and, if so, sends the proposal and supporting materials to all other Deans, the Director of Libraries, and if applicable the Director of Academic Transfer Services and the Chair of General Education for impact statements.
   - Please assume that impact statements for program revisions will take a minimum of 2 weeks to complete. If many new courses are added, the library impact statement may take longer.
   - Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.
   - If there are significant changes to the proposal later in the process, program proposers should solicit additional feedback at that point. Consult with Dean to determine if this is required.

6. Submit proposal, supporting materials, and impact statements to the SOEPS - Academic Affairs Committee (AAC) for review.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

7. Following review by the committee, the Chair of the SOEPS - AAC submits the proposal, supporting materials and committee recommendation to the Dean of SOEPS for review and approval.

8. If approved, the Dean sends the proposal, supporting materials, and impact statements to one of two places:
   - If the proposal <u>does not</u> need Faculty Senate, SUNY, and NYSED approval, the Dean sends all documents to the Assistant Provost for program history records.
     - ➤ Additionally, proposers should complete a ==BearDen Program Change Form== and submit to the Associate Dean of SOEPS for review and school records. Associate Dean will submit BearDen form to Registrar's Office for catalog and BearDen updates.
   - If the proposal <u>does</u> need Faculty Senate, SUNY, and NYSED approval, the Dean sends all documents to the Chair of Faculty Senate for campus action.

<u>IF FACULTY SENATE, SUNY, and NYSED APPROVAL IS REQUIRED:</u>
9. Chair of Faculty Senate forwards the proposal and impact statements to the appropriate curricular committee chair (Academic Programs and Curriculum Committee for Undergraduate or Graduate Affairs Committee for Graduate) as well as the Business Affairs Committee Chair.

10. Following review by the appropriate Faculty Senate committee, the proposal, supporting materials and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

11. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

12. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
    - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

13. At scheduled Faculty Senate meeting, Academic Programs and Curriculum Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

14. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal and supporting materials to the President of the College with the recommendation of the Faculty.

15. Once approved by the President, meet with Assistant Provost and Associate Dean to refine proposal before SUNY/NYSED submission.

16. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and registration.

17. Once approval and program registration is received from NYSED, proposers should complete a ==BearDen Program Change Form== and submit to Associate Dean of SOEPS for review and school records.

18. Associate Dean will submit BearDen form to the Registrar's Office for catalog and BearDen updates.

19. Then the program may be advertised and students may be enrolled in revised program.

School of Arts and Sciences (A&S)
Undergraduate Program[1]
Discontinuance (Deletion) Procedures

Questions about this process should be forwarded to the Associate Dean.

Please note: The President of SUNY Potsdam has the power to discontinue programs at his discretion at any time. These procedures are for faculty instigated program discontinuance.

1. Departmental or program faculty members complete the <mark>Proposal for Discontinuance</mark> in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the relevant Deans and/or Associate Deans.
    *   Proposers must consider requirements and regulations of appropriate accreditation agencies. Consult with Dean as needed for assistance.

2. The Dean sends the proposal and supporting materials to all other Deans, the Director of Libraries, the Director of Academic Transfer Services, and the Chair of General Education for impact statements.
    *   Please assume that impact statements for program deletion will take a minimum of 2 weeks to complete.
    *   Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.

3. Departmental or program faculty members submit the proposal and supporting materials to the Chair of the Arts & Sciences Curriculum Committee.

4. After the A&S Curriculum Committee reviews the proposal, the Chair forwards the proposal to the Dean with recommendation and signature.

5. If Dean feels the proposal is ready, he presents the proposal and supporting materials to the Arts and Science Council for their recommendation.

6. Arts & Sciences Council reviews and submits their recommendation to the Dean.

7. Dean reviews all materials, impact statements and recommendations.

8. If approved, the Dean sends the proposal, supporting materials, and impact statements to the Chair of Faculty Senate for campus action.

9. Chair forwards the proposal and impact statements to chair of the Academic Programs and Curriculum Committee as well as the Business Affairs Committee Chair.

10. Following review by the Academic Programs and Curriculum Committee, the proposal, supporting materials and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

11. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

12. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
    - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

13. At scheduled Faculty Senate meeting, Academic Programs and Curriculum Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

14. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal and supporting materials to the President of the College with the recommendation of the Faculty.

15. Once approved by the President, send to Assistant Provost for submission to SUNY and NYSED.
    - Assistant Provost will copy Registrar's Office on SUNY/NYSED submission.

16. Meet with Dean to prepare materials for submission to applicable accrediting agencies

17. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and deletion.

18. Once approval is received from NYSED and, if applicable, the appropriate accreditation agency, then the program may be deleted from our materials.

School of Arts and Sciences (A&S)
Graduate Program[1]
Discontinuance (Deletion) Procedures

Questions about this process should be forwarded to the Associate Dean.

Please note: The President of SUNY Potsdam has the power to discontinue programs at his discretion at any time. These procedures are for faculty instigated program discontinuance.

1. Departmental or program faculty members complete the <mark>Proposal for Discontinuance</mark> in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the relevant Deans and/or Associate Deans.
    *   Proposers must consider requirements and regulations of appropriate accreditation agencies. Consult with Dean as needed for assistance.

2. The Dean sends the proposal and supporting materials to all other Deans and the Director of Libraries for impact statements.
    *   Please assume that impact statements for program deletion will take a minimum of 2 weeks to complete.
    *   Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.

3. Departmental or program faculty members submit the proposal and supporting materials to the Chair of the Arts & Sciences Curriculum Committee.

4. After the A&S Curriculum Committee reviews the proposal, the Chair forwards the proposal to the Dean with recommendation and signature.

5. If Dean feels the proposal is ready, he presents the proposal and supporting materials to the Arts and Science Council for their recommendation.

6. Arts & Sciences Council reviews and submits their recommendation to the Dean of Arts & Sciences.

7. Dean reviews all materials, impact statements and recommendations.

8. If approved, the Dean of Arts & Sciences sends the proposal, supporting materials, and impact statements to the Dean of Graduate Studies.

9. If approved, the Dean of Graduate Studies sends the proposal, supporting materials, and impact statements to the Chair of Faculty Senate for campus action.

10. Chair forwards the proposal and impact statements to the chair of the Graduate Affairs Committee as well as the Business Affairs Committee Chair.

11. Following review by the Graduate Affairs Committee, the proposal and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

12. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

13. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
    - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

14. At scheduled Faculty Senate meeting, Graduate Affairs Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

15. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal and supporting materials to the President of the College with the recommendation of the Faculty.

16. Once approved by the President, send to Assistant Provost for submission to SUNY and NYSED.
    - Assistant Provost will copy Registrar's Office on SUNY/NYSED submission.

17. Meet with Dean to prepare materials for submission to applicable accrediting agencies.

18. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and deletion.

19. Once approval is received from NYSED and, if applicable, the appropriate accreditation agency, then the program may be deleted from our materials.

20.

Crane School of Music
Undergraduate Program[1]
Discontinuance (Deletion) Procedures

Questions about this process should be forwarded to the Dean of the Crane School of Music.

Please note: The President of SUNY Potsdam has the power to discontinue programs at his discretion at any time. These procedures are for faculty instigated program discontinuance.

1. Departmental or program faculty members complete the <mark>Proposal for Discontinuance</mark> in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the relevant Deans and/or Associate Deans.
   - Proposers must consider requirements and regulations of appropriate accreditation agencies. Consult with Dean as needed for assistance.

2. The Dean sends the proposal and supporting materials to all other Deans, the Director of Libraries, the Director of Academic Transfer Services, and the Chair of General Education for impact statements.
   - Please assume that impact statements for program deletion will take a minimum of 2 weeks to complete.
   - Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.

3. Proposal must be reviewed by Area committee(s), if applicable.

4. Proposal must be reviewed by appropriate Department.

5. Departmental or program faculty members submit the proposal and supporting materials to the Crane Undergraduate Program Committee for review.

6. After the Undergraduate Program Committee reviews the proposal, the Chair forwards the proposal and committee recommendation to the chair of the Crane Faculty Association.

7. After the Crane Faculty Association reviews the proposal, the Chair of CFA submits the proposal and faculty recommendation to the Dean for review and approval.

8. Dean reviews all materials, impact statements and recommendations.

9. If approved, the Dean sends the proposal, supporting materials, and impact statements to the Chair of Faculty Senate for campus action.

10. Chair forwards the proposal and impact statements to chair of the Academic Programs and Curriculum Committee as well as the Business Affairs Committee Chair.

11. Following review by the Academic Programs and Curriculum Committee, the proposal, supporting materials, and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

12. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

13. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
    - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

14. At scheduled Faculty Senate meeting, Academic Programs and Curriculum Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

15. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal and supporting materials to the President of the College with the recommendation of the Faculty.

16. Once approved by the President, send to Assistant Provost for submission to SUNY and NYSED.
    - Assistant Provost will copy Registrar's Office on SUNY/NYSED submission.

17. Meet with Dean to prepare materials for submission to NASM.

18. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and deletion.

19. Once approval is received from NYSED and NASM, then the program may be deleted from our materials.

20.

Crane School of Music
Graduate Program[1]
Discontinuance (Deletion) Procedures

Questions about this process should be forwarded to the Dean of the Crane School of Music.

Please note: The President of SUNY Potsdam has the power to discontinue programs at his discretion at any time. These procedures are for faculty instigated program discontinuance.

1. Departmental or program faculty members complete the ==Proposal for Discontinuance== in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the relevant Deans and/or Associate Deans.

2. The Dean sends the proposal and supporting materials to all other Deans, the Director of Libraries, the Director of Academic Transfer Services, and the Chair of General Education for impact statements.
    - Please assume that impact statements for program deletion will take a minimum of 2 weeks to complete.
    - Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.

3. Proposal must be reviewed by Area committee(s), if applicable.

4. Proposal must be reviewed by appropriate Department.

5. Departmental or program faculty members submit the proposal and supporting materials to the Crane Graduate Committee for review.

6. After the Graduate Committee reviews the proposal, the Chair forwards the proposal and committee recommendation to the chair of the Crane Faculty Association.

7. After the Crane Faculty Association reviews the proposal, the Chair of CFA submits the proposal and faculty recommendation to the Dean of Crane for review and approval.

8. Dean reviews all materials, impact statements and recommendations.

9. If approved, the Dean of Crane sends the proposal, supporting materials, and impact statements to the Dean of Graduate Studies.

10. If approved, the Dean of Graduate Studies sends the proposal, supporting materials, and impact statements to the Chair of Faculty Senate for campus action

11. Chair forwards the proposal and impact statements to chair of the Graduate Affairs Committee as well as the Business Affairs Committee Chair.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

12. Following review by the Graduate Affairs Committee, the proposal, supporting materials, and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

13. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

14. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.
    - Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

15. At scheduled Faculty Senate meeting, Graduate Affairs Committee presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

16. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal and supporting materials to the President of the College with the recommendation of the Faculty.

17. Once approved by the President, send to Assistant Provost for submission to SUNY and NYSED.
    - Assistant Provost will copy Registrar's Office on SUNY/NYSED submission.

18. Meet with Dean to prepare materials for submission to NASM.

19. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and deletion.

20. Once approval is received from NYSED and NASM, then the program may be deleted from our materials.

21.

School of Education and Professional Studies (SOEPS)
Undergraduate and Graduate Program[1]
Discontinuance (Deletion) Procedures

Questions about this process should be forwarded to the Associate Dean.

Please note: The President of SUNY Potsdam has the power to discontinue programs at his discretion at any time. These procedures are for faculty instigated program discontinuance.

1. Departmental or program faculty members complete the Proposal for Discontinuance in consultation with other faculty (e.g., those in other departments providing service or cognate courses to the program) and with the relevant Deans and/or Associate Deans.

2. The Dean sends the proposal and supporting materials to all other Deans, the Director of Libraries, and if applicable the Director of Academic Transfer Services, the Chair of General Education for impact statements.
    - Please assume that impact statements for program deletion will take a minimum of 2 weeks to complete.
    - Impact statements must be received before the Dean's review and submission of the proposal for campus action. In-school procedures can proceed concurrently while waiting on impact statements.

3. Departmental or program faculty members submit the proposal and supporting materials to the SOEPS - Academic Affairs Committee (AAC) for review.

4. After the SOEPS – AAC reviews the proposal, the Chair forward the proposal, supporting materials, and committee recommendation to the Dean of SOEPS for review and approval.

5. If approved, the Dean sends the proposal, supporting materials, and impact statements to the Chair of Faculty Senate for campus action.

6. Chair forwards the proposal and impact statements to the appropriate curricular committee chair (Academic Programs and Curriculum Committee for Undergraduate or Graduate Affairs Committee for Graduate) as well as the Business Affairs Committee Chair.

7. Following review by the appropriate Faculty Senate committee, the proposal, supporting materials, and committee recommendation are returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

8. Following review, the Business Affairs Committee impact report is returned to the Chair of Faculty Senate for presentation to the Executive Committee of the Faculty Senate.

9. Executive Committee of the Faculty Senate reviews the proposal and, if complete (including the impact report from the Business Affairs Committee), the proposal is scheduled for the next meeting of the Faculty Senate or Full Faculty.

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[1] "Program" may include degree, major, minor, emphasis, track, concentration, or certification.

- Please note: The Faculty Senate agenda has to be set 2 weeks in advance of each meeting in order to follow bylaw specifications for publication of the agenda. Proposals that are not reviewed by the executive committee before that deadline will be pushed to the next faculty senate meeting.

10. At scheduled Faculty Senate meeting, the appropriate curricular committee (Academic Programs and Curriculum Committee for Undergraduate or Graduate Affairs Committee for Graduate) presents recommendation and Business Affairs Committee presents impact report before proposal is discussed and voted on.

11. After discussion and vote in Faculty Senate meeting, the Senate Secretary forwards the proposal and supporting materials to the President of the College with the recommendation of the Faculty.

12. Once approved by the President, send to Assistant Provost for submission to SUNY and NYSED.
- Assistant Provost will copy Registrar's Office on SUNY/NYSED submission.

13. Once approval is received from SUNY, the proposal is forwarded to NYSED for approval and deletion.

14. Once approval is received from NYSED, then the program may be deleted from our materials.