**STEPS IN THE REVIEW OF DOCTORAL PROGRAM PROPOSALS[[1]](#footnote-1)**

1. **Development of Proposal**
2. Guidelines for the development of doctoral program proposals begin on page 3. Early in the proposal development process, institutions should contact the [Office of College and University Evaluation](http://www.highered.nysed.gov/ocue/) (“OCUE”—518 474-1551). It is important that proposals be complete and provide all requested information, including the following elements:
* a one-page abstract
* proposal narrative and supporting materials
* graduate school catalog
* a site visit report prepared by at least two nationally recognized field experts, typically from outside New York State, selected by the institution in consultation with OCUE
* institution’s response to the site visit report, including how it addressed the site visitors’ concerns (suggestion: the institution may wish to return to the site visitors to solicit their comments on the adequacy of any revised program elements)
1. If the institution is proposing its first doctoral program or entering a new [major-mission category](http://www.highered.nysed.gov/ocue/aipr/guidance/gpr19.html), suggest the names of 10 out-of-state field experts (other than those who served as site visitors) for consideration as potential evaluators of the proposed program for the State Education Department. OCUE will typically require a readiness review following its assessment of the institution’s proposal, as described in part (a) above. If an institution is proposing its first doctoral program, the site visit team will need to be expanded to include peer reviewers who can address issues of general institutional readiness to [move to the new degree level](http://www.highered.nysed.gov/ocue/aipr/newlevel.html).
2. **Site Visit**

To ensure that the site visit report provides sufficiently detailed and objective information for the Department to make an informed decision about program registration, the site visitors should be directed to use the [Instructions and Report Form for Evaluation of Doctoral Program Proposals](#evalinstruct) (included in this document) to evaluate the quality and viability of the proposed program in terms of governance, curriculum, faculty, students, facilities, and other resources. [Additional questions](#addlquest) are included for first doctoral program proposals. Institutions may supplement the Report Form with their own additional questions. A single team report is preferred. The report should include the name, title, institutional affiliation, address, and telephone number for each team member. Reviewers should sign the “Conflict of Interest Guidelines” included in the “[Instructions](#evalinstruct)” document. A signed copy of this form should be retained by the institution.

1. The institution's Chief Executive Officer or a designated official should **submit two copies of the proposal** to the Deputy Commissioner for the Office Higher Education with a cover letter and Doctoral Proposal Cover Page.
2. **Preliminary Review by the Department**

When the proposal is submitted, it is reviewed by OCUE to determine the need for any additional information or further evaluation by outside reviewers. For institutions proposing first doctoral programs, an overall assessment will be made of the institution's master plan, the status of its existing undergraduate and graduate programs, and general financial health and availability of support resources and facilities. In this case, the Department typically requires a readiness review (as described in item 1).

Should additional information be needed, OCUE will contact either the institution or, with the institution's approval, the site visitors. If the completed materials provide sufficient evidence that the proposed program has the potential for meeting requirements of high quality and need, and if [master plan amendment](http://www.highered.nysed.gov/ocue/aipr/guidance/gpr2.html) is required, the Office will begin a Statewide planning review. If master plan amendment is not required, the Office will register the program and notify the institution accordingly.

1. **Peer Review and Site Visit**

In certain circumstances the Office will call for another independent review of the proposal by eminent peers in the field. This may be a paper review or, in some cases, another visit could be required (e.g., if the site visit report submitted with the proposal does not appear to provide a full and impartial evaluation, or if the proposal raises concerns about the institution's academic or financial health). When another review is necessary, the institution will participate in the selection of reviewers and have an opportunity to review peer reviewer reports and respond factually and substantively as part of the review process.

1. **Statewide Planning Review**

A planning review is necessary for proposed programs requiring [master plan amendment](http://www.highered.nysed.gov/ocue/aipr/guidance/gpr2.html). The proposal and related materials are considered in terms of implications for Statewide planning. This involves an assessment of 1) the need for the program, 2) its potential effect on the institution, and 3) its potential effect on other institutions. The Office will conduct a canvass of all doctoral degree-granting institutions in the State and colleges and universities in the institution’s [Regents Region](http://www.highered.nysed.gov/ocue/aipr/guidance/gpr7.html). The one-page abstract will be used for this purpose. Also, Section 137 of Chapter 82 of the Laws of 1995 requires the Regents to hold a public hearing in the region where the proposed program would be offered, if such a request is made by an affected institution. If the Office's academic and planning reviews support a favorable recommendation, a petition for master plan amendment approval is prepared for consideration by the Commissioner and action by the Board of Regents.

In addition to obtaining Regents approval, master plan amendments for CUNY and SUNY must be approved by the Governor. When the petition for master plan amendment has been approved, registration of the program is authorized and the institution is notified accordingly.

**Please Note:** the proposed doctoral degree program may not be advertised or admit students until approval has been granted and formal authorization has been received.

 **GUIDELINES FOR THE DEVELOPMENT OF DOCTORAL PROGRAM PROPOSALS**

**A. ACADEMIC REVIEW**

1. **Program Data**

 State the title of the proposed doctoral program and the degree to be awarded. Suggest a [HEGIS](http://www.highered.nysed.gov/ocue/aipr/guidance/gpr19.html) minor-mission (4-digit) code number for the program. List other programs currently offered in the same HEGIS category, if any.

2. **Purpose, Goals, and Objectives**

 Describe the purpose, goals, and objectives of the proposed program, highlighting important or unique aspects. Indicate how the program relates to the institution's mission and its existing programs. If the proposed program will be supported substantially by existing resources, explain how its implementation will not strain institutional resources, either financial or academic.

3. **Academic Governance**

 Indicate the systems established for governance and oversight of the proposed program, including administrative mechanisms and criteria for selection; workload which accommodate increased faculty time and support for research and development, dissertation guidance activities; promotion; and tenure of faculty who will be responsible for the proposed program.

1. **Financial Resources**

Provide evidence that the institution has sufficient fiscal, physical and human resources to support the changes proposed and to do so without diminishing the quality of existing programs. If there are to be changes made to existing programs to support the proposed program, describe them and provide the rationale and plan. Using **Tables 6** and **7**, prepare a five-year estimate of expenditures, including costs for items such as faculty salaries, financial support for students, administrative staff, support staff, facilities, equipment, library, supplies, and any other expenditures connected with the program. Specify a budgetary commitment that ensures that students will have the opportunity to complete the program. Coordinate information supplied in these tables with data provided in **Tables 3** (staffing)and **5** (enrollments).

Using **Table 8**, prepare a five-year estimate of revenues to support the proposed program including tuition income, governmental appropriations (Federal, State, and local), foundation support, and any other sources of income. If the proposed program will be wholly or partially funded by outside sources, explain how the costs of the program will be covered if such funds cease to be available. If the proposed program is to be offered jointly with another institution, provide the financial agreements between the institutions.

1. **Facilities, Equipment, and Library**

List the computer facilities, classrooms, research equipment and laboratories currently available which will be used to support the program and the facilities and equipment which will have to be acquired each year for the next five years. Note any use of leased facilities and equipment and the provisions of any lease agreements.

Describe briefly the total library collection for the institution as a whole. Indicate the current library collection and the expansion of the collection in support of the proposed program. Indicate the annual financial allocations for additions to the collection which will be used specifically to support the proposed program for a five-year period. If the proposed program will rely on external library resources, specify how such resources will be used and explain the nature of any agreements between the proposing institution and external libraries.

6. **Faculty**

Specify staffing for the proposed program on the attached **Tables 1-3**, including administrative and support staff in Table 3. Submit current curricula vitae for all faculty, indicating highest degrees, area of specialization, educational experience, previous experience in doctoral education, research, publication, research grant support, and special recognition or awards. *The faculty who will provide leadership and direction for the proposed program must be active and recognized in their fields (as evidenced by scholarly publication, research, etc.) and be in place before a program is submitted for approval.* *These faculty should also demonstrate experience with directing doctoral dissertations.* Discuss future plans and commitments for faculty to support program development and growth.

7. **Curriculum**

Describe the essential elements of the curriculum, including modes of graduate instruction, including any online instruction, and research training appropriate for doctoral study, e.g., seminars, diverse and sophisticated research methodologies. Demonstrate the degree of emphasis on research independent study, experimentation, and demonstration of professional performance, in existing graduate programs and/or the proposed doctoral program.

 Include the total number of required credits; the number of required and elective courses; the distribution of courses by academic year; thesis/dissertation requirements; field/internship requirements; the utilization of existing courses; the addition of new courses, indicating which faculty are likely to teach each course; and syllabi for any new courses. Describe provisions for a full-time residency experience for students or an equivalent concentrated period of study or research. Provide sample student programs of study.

8. **Students**

 Describe the student body to be served and complete **Table 4**. Discuss differentiation of standards and requirements for program admission, selection procedures; plans for the recruitment, retention, and graduation of students including students from historically underrepresented groups; and provisions for students' academic supervision and counseling during their affiliation with the institution.

 Project full- and part-time enrollment for the first five years of the program in **Table 5** and discuss the assumptions upon which the enrollment projection is based. Indicate the ultimate enrollment goal for the proposed program. Assess the effect of the proposed program on the institution's total enrollment and on faculty load. Compare the projected enrollment with enrollments in other programs at the institution and enrollments in similar programs at similar institutions.

9. **Evaluation**

 Describe the institution's provisions for periodic peer review of the quality and effectiveness of its academic programs, including evidence of student achievement, accomplishments of graduates, faculty performance, etc.

**B. STATEWIDE PLANNING REVIEW** - *Complete this Section only if master plan amendment is required. Refer to item 6, page 2.*

1. **Need for the Proposed Program**

 What evidence is there that the proposed program is needed? Establish the need for it as completely as possible, using measurable data, on one or more of the following four grounds:

* **Demand by potential students for the opportunity to study the proposed program at this institution.** How many potential students (e.g., students currently enrolled at this institution, students currently enrolled at other institutions, alumni) have requested the proposed program? Describe and document how such persons were identified (e.g., surveys). How long has the above demand existed and what evidence is there that it will continue? Have enrollments in similar programs been growing locally, regionally, on a statewide basis, on a nationwide basis? Explain why the demand to study this program cannot be accommodated by other doctoral institutions in the State.
* **Demand by employers (or other groups, such as clients or patients) for persons with this education.** For what occupation(s) does this program prepare its graduates? What is the extent of occupational demand for such persons? Explain how that demand was measured. Why aren't existing programs at other institutions able to meet that demand? List potential employers of the graduates. Name any employers who have requested establishment of this program at this institution and provide evidence of the number of employees they will need over the five-year period beginning with the year in which the first students are expected to graduate.
* **Need of the institution to complement existing disciplines it offers or to maintain its competitiveness.** Explain the need of the institution to complement the program(s) it now offers. Describe the relationship of the proposed program to the stated mission of the institution and to those programs it will complement, and explain the ways in which its establishment will result in strengthening those programs. Provide evidence to show that the program does not represent unnecessary duplication of programs. If the proposed program is needed to maintain the institution's competitiveness, explain why.
* **Perceived potential need of society or of the discipline.**  Explain fully the basis for the perception that society, the academic discipline, or both (as appropriate), need this program either now or in the future.

2. **Relationship of the Proposed Program to the Institution's Mission and the Regents Statewide Plan**

 Explain the relationship of the proposed program to the stated mission of the institution as set forth in the institution's master plan. Note whether the proposed program was included in the institution's current master plan. Describe the relationship between the new program and ongoing programs. State anticipated effects on existing programs, describing the extent to which the institution will redirect resources to support the program, as well as the area(s) of the institution from which resources will be withdrawn. Describe the relationship of the proposed program to The Board of Regents Statewide Plan for Higher Education.

3. **Relationship of the Proposed Program to Other Institutions**

 What effect would the proposed program, if approved, have on other institutions in the State? List the other institutions in the State that offer doctoral programs in the same discipline. Describe those elements of the proposed program (e.g., academic focus, intended clientele, method of delivery) that make it distinctive from other programs listed above. If the proposed program requires the use of clinical facilities that are not under the control of the institution (internship or practica sites, etc.), to what extent are such sites already being used by similar programs at other institutions? Name the institutions and the similar programs that currently use the sites and describe the effect of the proposed program on the use of those sites. If the proposed program will draw upon scarce resources (such as faculty in high-demand disciplines), what steps will be taken to ensure that the proposed program will not weaken similar programs in the State by drawing those resources from them?

**C. READINESS REVIEW** - *for institutions proposing their first doctoral degree program, include the following information with the proposal materials*:

1. Undergraduate catalogue, graduate bulletin and graduate program brochures and advertisements.

2. The institution's latest annual report, and the one preceding it by five years.

3. List of institution-wide requirements for undergraduate education, master's-level education, and proposed doctoral education.

4. Student:faculty ratios, by campus, for undergraduate-level and for graduate-level programs. Also, retention and graduation rates, and average time to degree during the past ten-year period, for both undergraduate and graduate programs by campus. (Show formulas for all calculations.) In addition, list the outcome measures used by the institution to assess achievement of educational goals, showing evidence of the institution's effectiveness (two-page maximum).

5. Two-page (maximum) description of the role of graduate education in the institution, graduate administration and governance, recognized areas of strength, and primary interests in graduate research.

1. Summary documents from external institution-wide accreditation or similar reviews conducted in the past five years (e.g., evaluation summary and letter of final determination). Also, summary documents from external graduate program reviews, accreditation reviews, etc., done in the last five years (e.g., reviewers' conclusion of findings and recommendations, accreditation status). Please include ***institutional responses*** to both institutional and individual program reviews.
2. Address the questions raised in the document [Assessing Institutional Readiness to Offer Degrees at a New Level](http://www.highered.nysed.gov/ocue/documents/NewLevelStudy.doc).

**ABSTRACT** - Prepare a one- or two-page summary of the proposal which briefly sets forth:

 1. the title of the proposed doctoral program, the four-digit HEGIS code in which you believe it should be categorized, and the degree, diploma, or certificate to which it leads;

 2. the purpose and goals of the program and its relationship to the stated mission of the institution and to existing offerings of the institution;

 3. the curriculum;

 4. any unique characteristics of the program;

 5. requirements for admission to the program;

 6. the nature of the prospective student body (geographic origin, age, racial/ethnic characteristics, any other pertinent information);

 7. projected (full- and part-time) enrollment in the program's first and fifth year of operation;

 8. faculty, facilities including library, equipment, and other academic resources available, and planned to be acquired, to support the proposed program;

 9. prospects for employment/further education for the program's graduates; and,

10. any additional basis of need for the program.

 *For programs requiring master plan amendment, this abstract will be sent to other New York public, independent, and proprietary degree-granting institutions as the basis for their comments and advice on the need and demand for the proposed program and its potential effect on other institutions.*

**PROGRAM TABLES**

 Table 1 - Data on Faculty Members Directly Associated with the Proposed Doctoral Program

 Table 2 - Data on Other Faculty Associated with the Proposed Doctoral Program (e.g., collaborative programs, master's programs)

 Table 3 - Projected Staff for the Proposed Program

 Table 4 - Student Characteristics

 Table 5 - Projected Enrollment in the Proposed Program

 Table 6 - Projected Expenditures for the Proposed Program

 Table 7 - Projected Expenditures for the Proposed Program in Other Departments

 Table 8 - Projected Revenue Related to the Proposed Program

THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, NY 12234

Office of Higher Education

Office of College and University Evaluation

Doctoral Proposal Cover Page

|  |  |
| --- | --- |
| A. Name of institution: |  |
|  Specify campus where program will be offered, if other than the main campus: |
| 1. CEO or designee
 |  |
|  Name and title: |  |
|  Signature and date: |  |
| The signature of the institutional representative indicates the institution's commitment to support the proposed program. |
| 1. Contact person, if different
 |
|  Name and title: |  |
|  Telephone : |  |
|  Fax: |  |
|  E-mail: |  |
| 1. Proposed doctoral program title
 |  |
| 1. Proposed degree or other award:
 |  |
| 1. Proposed HEGIS code
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| 1. Total program credits:
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| 1. Program Format: Full-time or Part-time:
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| 1. If the program will be offered jointly with another institution, name and address of the institution/branch below:
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| If the other institution is degree-granting, attach a contract or letter of agreement signed by that institution's CEO. If it is non-degree-granting, refer to Memorandum to Chief Executive Officers No. 94-04. contact this office if you would like to receive a copy. |

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| Institution |  | Date |  |
| Program |  | Degree |  |

**TABLE 1**

**DATA ON FACULTY MEMBERS DIRECTLY ASSOCIATED WITH THE PROPOSED DOCTORAL PROGRAM**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Name****(Use “D” to Specify Program Director and “C” to Specify Core Faculty)** | **FT/PT** | **Dept** | **Sex****M/F** | **R/E1** | **Articles in Refereed Journals in the past 5 yrs** | **External Research Support in Current AY**2 | **Dissertation Load Current AY**2 | **Any Dissertation Load in the previous 5 yrs.** | **# of Advisees Current AY**2 | **# of Classes Taught Current AY**2 | **% FTE Time to Proposed Program** |
| **Com** | **Chr** | **Com** | **Chr** | **Doc** | **Mstrs** | **GR** | **UG** |
| Full Professor |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Associate Professor |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Assistant Professor |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Other |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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1 Racial/Ethnic Groups - Black (B), White (W), Hispanic (H), Native American Indian/Alaskan Native (N), Asian/Pacific Islander (A), Foreign (F)

2 Specify the academic year.

|  |  |  |  |
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| Institution |  | Date |  |
| Program |  | Degree |  |

**TABLE 2—DATA ON OTHER FACULTY ASSOCIATED WITH THE PROPOSED DOCTORAL PROGRAM**

**(e.g., collaborative programs, master's programs)**

|  |  |  |  |  |  |  |  |  |  |  |  |
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| **Name** | **FT/PT** | **Dept** | **Sex****M/F** | **R/E1** | **Articles in Refereed Journals in the past 5 yrs** | **External Research Support in Current AY**2 | **Dissertation Load Current AY**2 | **Any Dissertation Load in the previous 5 yrs.** | **# of Advisees Current AY**2 | **# of Classes Taught Current AY**2 | **% FTE Time to Proposed Program** |
| **Com** | **Chr** | **Com** | **Chr** | **Doc** | **Mstrs** | **GR** | **UG** |
| Full Professor |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Associate Professor |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Assistant Professor |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Other |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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1Racial/Ethnic Groups - Black (B), White (W), Hispanic (H), Native American Indian/Alaskan Native (N), Asian/Pacific Islander (A), Foreign (F)

2 Specify the academic year.

|  |  |  |  |
| --- | --- | --- | --- |
| Institution |  | Date |  |
| Program |  | Degree |  |

**TABLE 3**

**PROJECTED STAFF FOR THE PROPOSED PROGRAM**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Faculty/Staff** | **1st Year****Academic Year** **1** | **2nd Year****Academic Year** **1** | **3rd Year****Academic Year** **1** | **4th Year****Academic Year** **1** | **5th Year****Academic Year** **1** |
| *Faculty*01. Full-Time 202. Existing 303. New 4 |   |  |  |  |  |
| *Faculty*04. Part-Time 205. Existing 3 06. New 4 |  |  |  |  |  |
| *Faculty*07. Full-Time Equivalents (FTE) 508. Existing FTE 309. New FTE 4 |  |  |  |  |  |
| *Administrative Staff*10. Full-Time11. Part-Time12. Full-Time Equivalent (FTE) 513. Existing FTE 314. New FTE 4 |  |  |  |  |  |
| *Support Staff*15. Full-Time16. Part-Time17. Full-Time Equivalent (FTE) 518. Existing FTE 319. New FTE 4 |  |  |  |  |  |

1 Specify the academic year.

2 This line must equal the total of Existing faculty plus New faculty.

3 Existing means faculty and/or staff in the proposed program that would have existed at the institution even if the proposed program were not approved.

4 New means staff that will be employed specifically as a consequence of the proposed program. New FTE staff should be carried over to the following year as existing FTE staff, if a continuing staff need.

5 Describe the method used to compute Full-Time Equivalent faculty, administrative staff, and support staff. This number must equal the total of Existing plus New.

|  |  |  |  |
| --- | --- | --- | --- |
| Institution |  | Date |  |
| Program |  | Degree |  |

**TABLE 4**

**STUDENT CHARACTERISTICS**

**A. Anticipated Geographic Origin of Students in the Proposed Program**

 Indicate the percent from: Full-Time Part-Time

 01. County in which the program will be offered

 02. Remainder of Regents Post-secondary Region

 in which the program will be offered

 03. Remainder of New York State

 04. Other State

 05. Foreign \_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

 **06. Total**  **100%** **100%**

**B. Anticipated Racial/Ethnic Characteristics of Full-Time and Part-Time Students (Headcount)**

 **in the Proposed Program**

 Percent

 07. Non-resident Alien

 08. Black Non-Hispanic

 09. American Indian or Alaskan Native

 10. Asian or Pacific Islander

 11. Hispanic

 12. White, Non-Hispanic

  **\_\_\_\_\_\_\_**

 **13. Total 100%**

|  |  |  |  |
| --- | --- | --- | --- |
| Institution |  | Date |  |
| Program |  | Degree |  |

**TABLE 5**

**PROJECTED ENROLLMENT IN THE PROPOSED PROGRAM**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Enrollment** | **1st Year****Academic Year** **1** | **2nd Year****Academic Year** **1** | **3rd Year****Academic Year** **1** | **4th Year****Academic Year** **1** | **5th Year****Academic Year** **1** |
| 01. Full-Time Students02. Part-Time Students03. Total 204. Full-Time Equivalent (FTE) 3 405. Existing FTE 506. New FTE 6 |  |  |  |  |  |

1 Specify the academic year; state whether enrollment is for the fall term or the average for the academic year.

2 Describe how you arrived at the projected enrollment.

3 Describe the method used to compute full-time equivalent enrollment.

4 Must equal total of lines 05 and 06.

5 Existing FTE enrollment means the FTE enrollment that would have existed at the institution even if the proposed program were not approved.

6 New FTE Enrollment means the FTE enrollment that will be engendered specifically by the proposed program. New FTE enrollment from the previous year

 should be carried over to the following year as new FTE enrollment, with adjustments for attrition and completions.

|  |  |  |  |
| --- | --- | --- | --- |
| Institution |  | Date |  |
| Program |  | Degree |  |

**TABLE 6—PROJECTED EXPENDITURES FOR THE PROPOSED PROGRAM**

|  |  |  |
| --- | --- | --- |
| **Expenditures1** | **Actual** | **Projected** |
| **Specify Previous****Academic Year2** | **Specify Current****Academic Year2** | **Specify** **Academic Year2** | **Specify** **Academic Year2** | **Specify** **Academic Year2** |
| **Personnel Expenditures** | **Existing**3 | **New**4 | **Existing**3 | **New**4 | **Existing**3 | **New**4 | **Existing**3 | **New**4 | **Existing**3 | **New**4 |
| *Faculty* 01. Existing Faculty02. New Faculty |  |  |  |  |  |  |  |  |  |  |
| 03. Total Faculty |  |  |  |  |  |
| *Administrative Staff*04. Existing Administrative Staff05. New Administrative Staff |  |  |  |  |  |  |  |  |  |  |
| 06. Total Administrative Staff |  |  |  |  |  |
| *Clerical Staff*07. Existing Clerical Staff08. New Clerical Staff |  |  |  |  |  |  |  |  |  |  |
| 09. Total Clerical Staff |  |  |  |  |  |  |  |  |  |  |
| **10. Total Personnel Expenditures** |  |  |  |  |  |
| *Non-Personnel Expenditures*11. Conference Travel12. Professional Development13. Instructional Materials14. Supplies15. Equipment16. Proposal Development17. Computer Equipment18. Library Acquisitions |  |  |  |  |  |  |  |  |  |  |
| **19. TotalNon-Personnel Expenditures** |  |  |  |  |  |
| *Aid to Students*620. Existing Aid to Students421. New Aid to Students 5 |  |  |  |  |  |  |  |  |  |  |
| **22. Total Aid To Students** |  |  |  |  |  |
| *Facilities Renovations/Additions*723.  |  |  |  |  |  |  |  |  |  |  |
| **24. Total Facilities Renovations/Additions** |  |  |  |  |  |

1 Specify inflation rate used for projections.

2 Specify the academic year.

3 Existing resources means expenditures pertaining to the proposed program that the institution would have or would receive even if the proposed program were not approved.

5 New resources means expenditures engendered specifically by the proposed program. The expenditures for new resources from the previous year should be carried over to the following year as expenditures for new resources with adjustments for inflation, if a continuing cost.

5 Continuing FTE enrollment means the FTE enrollment that was enrolled in the previous academic year.

6 List number, type, source and dollar amounts of financial awards under the control of the institution.

7 Include here minor renovations not considered capital expenditures.

|  |  |  |  |
| --- | --- | --- | --- |
| Institution |  | Date |  |
| Program |  | Degree |  |

**TABLE 7**

**PROJECTED1 EXPENDITURES FOR THE PROPOSED PROGRAM**

**IN OTHER DEPARTMENTS**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Expenditures** | **1st Year****Academic Year** **2** | **2nd Year****Academic Year** **2** | **3rd Year****Academic Year** **2** | **4th Year****Academic Year** **2** | **5th Year****Academic Year** **2** |
| Faculty 3 New Resources 4 |  |  |  |  |  |
| Equipment 5 New Resources 4 |  |  |  |  |  |
| Other 6 New Resources 4 |  |  |  |  |  |
|  Total (Other Departments) New Resources4 |  |  |  |  |  |

 1 Specify inflation rate used for projections.

 2 Specify academic year.

 3 Include fringe benefits.

 4 New resources means resources ***in other Departments*** engendered by the proposed program (e.g., additional faculty teach support courses). The new resources from the previous year should be carried over to the following year as new resources with adjustments for inflation, if it is a continuing cost.

 5 Include here equipment which is not a capital expenditure.

 6 Specify what is included in "other" category, (e.g., library staff and additional acquisitions, student services staff).

|  |  |  |  |
| --- | --- | --- | --- |
| Institution |  | Date |  |
| Program |  | Degree |  |

**TABLE 8**

**PROJECTED1 REVENUE RELATED TO THE PROPOSED PROGRAM**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Revenues** | **1st Year****Academic Year** **2** | **2nd Year****Academic Year** **2** | **3rd Year****Academic Year** **2** | **4th Year****Academic Year** **2** | **5th Year****Academic Year** **2** |
| *Tuition Revenue* 301. From Existing Sources 402. From New Sources 503. Total |  |  |  |  |  |
| *State Revenue* 604. From Existing Sources 405. From New Sources 506. Total |  |  |  |  |  |
| *Other Revenue* 707. From Existing Sources 408. From New Sources 509. Total |  |  |  |  |  |
| *Grand Total* 810. From Existing Sources 4 11. From New Sources 5TOTAL |  |  |  |  |  |

 1 Specify inflation rate used for projections.

 2 Specify the academic year.

 3 Please explain how tuition revenue was calculated.

 4 Existing sources means revenue that would have been received by the institution even if the proposed program were not approved.

 5 New sources means revenue engendered by the proposed program. The revenues from new sources from the previous year should be carried over to the following year as revenues from new sources with adjustments for inflation, if a continuing source of revenue.

 6 Include here regular State appropriations applied to the program.

 7 Specify what is included in "other" category.

 8 Enter total of Tuition, State and Other Revenue, from Existing or New Sources.

New York State Education Department

Office of Higher Education

Office of College and University Evaluation

# Instructions for Evaluation of Doctoral Program Proposals

**Background**

The State Education Department’s Office of College and University Evaluation (OCUE) is responsible for New York State’s degree-granting institutions and for registration of the academic programs they offer. OCUE oversees over 270 institutions and more than 27,000 programs. The Office uses a system of staff and peer review for the evaluation of programs. The purpose of this peer review system is to encourage academic excellence and to ensure high quality doctoral programs in New York State.

In considering new doctoral programs for registration, the New York State Board of Regents focuses on high quality and need. Only proposed programs with clear potential for achieving high quality and meeting the needs of the discipline and the public will be granted registration.

**The Evaluator's Task**

 The proposal evaluation report is an important component of the Department’s review. The task of the proposal evaluator is to examine the program proposal and related materials, make a site visit, respond to the questions posed in the “Evaluation Report Form for Doctoral Program Proposals” (and supplemental “readiness” questions for first doctoral programs, if applicable), and submit a report that speaks to the quality of and need for the program. Your report along with the institution’s response and final proposal application will serve as the basis for the Department to make a determination on program registration.

**The Evaluation Report**

The report should focus on the qualities of the program, faculty, students, and resources, as described in the provided report form. In addition, there are general items to allow comment on overall program quality. When identifying strengths and weaknesses of the program, please be specific and use examples wherever possible. It is also helpful to the institution if you provide recommendations to remedy weaknesses. Once completed, the report should be submitted to the team chair or institutional liaison as appropriate. The complete evaluation report should be forwarded to the institution for review and comment.

The report and the institution's response to it must be transmitted to the State Education Department with the institution's request for program registration. It is, therefore, important that the report be complete, accurate, and objective. The report should include your name, title, institutional affiliation, address, telephone number and curriculum vitae for each evaluator.

**Conflict of Interest**

 Each peer reviewer must sign the “Conflict of Interest Guidelines.” The institution must keep a signed copy in their files.

New York State Education Department

Office of Higher Education

Office of College and University Evaluation

# Conflict of Interest Guidelines for Peer Reviewers of Doctoral Programs

# Conflict of Interest

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

 (1) is a present or former employee, student, member of the governing board, owner or shareholder of, or consultant to the institution where the program is under review;

 (2) is a spouse, parent, child, or sibling of an individual or persons listed in (1) above;

 (3) has expressed an opinion for or against the proposed program under review;

 (4) is seeking or being sought for employment or other relationship of any kind with the institution where the program is under review;

 (5) has a personal or professional relationship with the program or institution where the program is under review that might compromise objectivity; and/or

 (6) has a competitive relationship with the institution that might compromise objectivity.

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

I have reviewed the Conflict of Interest Guidelines. To the best of my knowledge, I do not have a conflict of interest or the appearance of a conflict of interest with:

Print name of institution:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Printed name of Peer Reviewer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

New York State Education Department

Office of Higher Education

Office of College and University Evaluation

REPORT FORM FOR EVALUATION OF DOCTORAL PROGRAM PROPOSALS

|  |  |
| --- | --- |
| Institution: |  |
| Program Title |  |
| Date(s) of Evaluation: |  |
| Evaluator(s): |  |

I. Program

 1. Assess program purpose, structure, and requirements as well as formal mechanisms for program administration and monitoring.

 2. Comment on the special focus of this program as it relates to the discipline. What are plans and expectations for continuing program development and self-assessment including ongoing external reviews?

 3. Assess the **breadth** and **depth** of coverage in terms of faculty availability and expertise, regular course offerings and directed study, and available support from related programs. What evidence is there of program **flexibility** and **innovation**?

 4. Discuss the relationship of this program to undergraduate, master's and other doctoral programs of the institution. Consider interdisciplinary programs, service function, joint research projects, support programs, etc.

 5. What evidence is there of **need** and **demand** for the program locally, in the State, and in the field at large? What is the extent of occupational demand for graduates? What evidence is there that it will continue?

II. Faculty

 1. What is the **caliber of the full-time and part-time faculty**, individually and collectively, in regard to education, college teaching experience, experience in doctoral education including dissertation supervision, research and publication, professional service, and national recognition in the field?

 2. What are the faculty members' primary areas of **interest** and **expertise**? How important to the field is the work being done? Discuss any **critical gaps**.

 3. Assess the composition of faculty in terms of **diversity** (race, gender, seniority).

 4. Evaluate faculty activity in generating **funds** for research, training, facilities, equipment, etc.

 5. Assess the faculty in terms of **size** and **qualification** for the areas of specialization which are to be offered. Evaluate faculty workload, taking into consideration responsibility for undergraduate, master's, and other doctoral programs. What are plans for future staffing?

 6. Discuss credentials and involvement of **adjunct** and **support faculty**.

III. Students

 1. Comment on the student clientele which the program seeks to serve, and assess plans and projections for student **recruitment** and **enrollment**.

 2. What are the prospects that recruitment efforts and **admissions criteria** will supply a sufficient pool of highly qualified applicants and enrollees?

 3. Comment on provisions for encouraging participation of persons from underrepresented groups. Is there adequate attention to the needs of **part-time**, **minority**, or **disadvantaged** students?

 4. Assess the system for monitoring students' **progress** and **performance** and for advising students regarding academic and career matters.

 5. Discuss prospects for **placement** or job advancement.

IV. Resources

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

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

 V. Comments

 1. Summarize the **major strengths and weaknesses** of the program as proposed with particular attention to feasibility of implementation and appropriateness of objectives for the degree offered.

 2. In what ways will this program make a **unique contribution** to the field?

 3. Include any further observations important to the evaluation of this doctoral program proposal and provide any recommendations for the proposed program.

FACTORS TO BE CONSIDERED IN

 EVALUATION OF DOCTORAL PROGRAM PROPOSALS

A. Program Purpose, Design, and Administration

 1. Accuracy and clarity in proposal description and program materials

 2. Program's unique contribution to the field

 3. Appropriateness of program objectives for the degree offered

 4. Appropriateness of requirement for achieving program objectives:

 Course work - core, cognate, specialization, total credit hours

 Residency

 Internship, practicum, field experience

 Examinations

 Statistics/Research tools

 Dissertation

 5. Depth and breadth of coverage

 6. Appropriateness of sites and adequacy of supervision for student internships, practica,

 and field experiences

 7. Integration or cooperation with other programs, divisions, and universities

 8. Program administration and leadership

 9. Self-assessment, planning, and provision for future needs

B. Faculty

 1. Academic preparation and background experience

 2. Research, publication, and recognition in the field

 3. Involvement in problems of practice services

 4. Competency as:

 Teachers

 Research leaders

 Dissertation mentors

 Intern supervisors

 5. Sufficiency in number for program coverage, diversity, and vitality

 6. Distribution of faculty workload and time devoted to proposed doctoral program

 7. Policy on tenure and promotion and ongoing faculty development and assessment

 8. Plans for recruitment of quality faculty and staff development

 9. Involvement and qualifications of adjunct and part-time faculty

C. Students

 1. System for student admissions, advising, and monitoring of progress and performance

 2. Projections for admissions and enrollment; critical mass

 3. Student/faculty ratio

 4. Awareness of the job market; placement/employment of graduates

D. Resources

 1. Institutional commitment

 2. Faculty success in obtaining external grant support

 3. Student financial support

 4. Internal support for faculty professional activities and development

 5. Classroom and office availability and adequacy for academic and advisement purposes

 6. Library facilities and holdings

 7. Computer facilities and services

 8. Laboratory and other special facilities

 9. Clerical and other support services

 10. Resources for future support

New York State Education Department

Office of Higher Education

Office of College and University Evaluation

**Additional Institutional Readiness Questions for First Doctoral Programs Only**

A. To what extent does the institution already possess some of the characteristics of a doctoral institution? Please consider the following points as well any as other significant issues that relate specifically to the institution and its readiness to offer doctoral-level education.

1. Graduate administrative structure and mechanisms for program monitoring and support.

2. Faculty qualifications and prior experience in doctoral education.

3. Involvement of faculty in research, publication, and obtaining research grants.

4. Resources appropriate for doctoral-level study, including library, computers, research equipment and laboratories.

5. Modes of graduate instruction and research training appropriate for doctoral study, e.g., seminars rather than lectures, diversity and sophistication of research methodologies.

6. Degree of emphasis on research, independent study, experimentation, and demonstration of professional performance, in the existing graduate programs.

B. How successfully does the institution carry out its present academic mission on each of its campuses? Consider the strength of existing undergraduate and graduate programs, faculty availability and workload student retention and completion rates, support resources and facilities, etc. How does the institution measure effectiveness in achieving its goals and objectives, and how does it incorporate findings into institutional priorities?

C. What changes does the institution perceive to be necessary to become a doctoral degree-granting institution? Consider the following issues:

1. Increased faculty time and support for research and development, dissertation guidance, and professional activities.

2. Differentiation of standards and requirements for program admission; completion and modification of plan for student recruitment.

3. Provision for a full-time residency experience for students or an equivalent concentrated period of study or research.

4. Increased financial resources, internal and external, for student support.

5. Faculty hiring and tenure policies, and plans for future growth and program development.

6. Expansion of library holdings, computer facilities and research equipment and laboratories, space for faculty and students.

D. Discuss whether the institution has sufficient fiscal, physical, and human resources to support the changes identified above, and to do so without diminishing the quality of the undergraduate and master’s programs.

E. Address any additional pertinent issues regarding the institution’s readiness for doctoral study.

**The following summarizes key elements we consider in reviewing doctoral proposals:**

1) Faculty quality, as demonstrated by breadth and depth of coverage in the field, standing in the field, research grants funded, current research activity, publications in refereed journals, dissertations chaired, and skill in serving as advisors and research leaders;

2) The availability of resources, e.g., library holdings and online access, the appropriateness of labs and equipment, and financial and other supports for students;

3) The quality of recruits and students;

4) Evidence of the institution's long-term commitment to the program;

5) Support for faculty workload: teaching, research and development, dissertation guidance, and program administration (e.g., presence of support staff);

6) Rigor of curriculum, including instructional content and research training;

7) Ability of program to stand as a national, if not international, leader in the field;

8) Presence of a program evaluation system—periodic, out-of-house, and led by experienced peers—to sustain and renew quality;

9) Relationship to the institution’s mission and other programs; and

10) Program contribution to the field.

1. Additional guidelines for assuring the quality of New York State's Ed.D. and Ph.D. programs in Education are available on request. [↑](#footnote-ref-1)