



**National Council for
State Authorization
Reciprocity Agreements**

MHEC • NEBHE • SREB • WICHE

Institution Name _____

Institution State _____

Initial Application _____

Renewal Application _____

Application and Approval Form for Institution Participation in SARA¹

An institution applying to operate under the State Authorization Reciprocity Agreements (SARA) must submit **this form to its Home State's SARA Portal Entity**.

The chief executive officer (CEO) or chief academic officer (CAO) of the institution affirms each section, signs, and submits the application including any [State fees](#) and commits to any special requirements of the SARA [State Portal Entity](#) permitted by SARA per the *SARA Policy Manual* Section 3.7(b)(2).

When the State Portal Entity enters “yes” on this form, the State affirms that the applicant institution has followed proper procedures and provided necessary documents to operate under SARA.

Section 1 - Verification of Requirements for Institution Participation in SARA

To review the application process, visit the [Application and Process](#) page on the NC-SARA website.

An institution seeking approval to operate under the policies of SARA must meet the following requirements:

	Requirements for Institution Participation in SARA	INSTITUTION CEO or CAO Initial each line	SARA State Portal Entity confirms the institution meets the requirement
	Core Requirement		
1.	In a SARA member state, the main campus or central administrative unit is domiciled in a state, territory or district that has joined the State Authorization Reciprocity Agreements (SARA) initiative and is authorized to operate in that state ² . Only distance education content originating in the United States, a U.S. territory, or district and provided from within a SARA state is eligible to be offered under SARA. ³ (Attach documentation.)		Yes or No ☐ ☐
	Consumer Protection		
2.	Accreditation The institution is a U.S. degree-granting institution that is accredited by an accrediting body recognized by the U.S. Secretary of Education and whose scope of authority, as specified by the Department, includes distance education. (Attach documentation of accreditation verification). Name of Accrediting Agency: _____		Yes or No ☐ ☐

¹ “NC-SARA” refers to the organization, whereas “SARA” refers to the agreement.

² For institutions with campuses in more than one state, in the event that an institution disagrees with a SARA member state’s determination of its home state, if the states under consideration are in the same region, the regional compact will make the final determination. If the states in question are in different regional compacts and the Compacts disagree on the home state assignment, NC-SARA will make a final determination in consultation with the affected regional compacts.

³ Ownership or governance by a U.S. institution of an institution located outside the United States or its territories does not qualify the out-of-country-institution to operate under SARA

	Requirements for Institution Participation in SARA	INSTITUTION CEO or CAO Initial each line	SARA State Portal Entity confirms the institution meets the requirement
3.	Accreditation status The institution agrees to notify its home state's SARA Portal Entity of any negative changes to its accreditation status.		Yes or No ☐ ☐
4.	Federal Financial Responsibility Composite Score For independent institutions, the state accepts an institutional federal financial responsibility composite score of 1.5 or higher as indicative of sufficient minimum financial stability to qualify for participation in SARA. For institutions owned or controlled by another entity (i.e., a parent entity), the relevant score will be the composite score of the parent entity as identified by the state portal entity. An institution's financial status must be evaluated using a score based on the most recent fiscal year for which a composite score is available. Acceptable composite scores shall be calculated by either the responsible federal agency, the state, or by a certified, independent accountant acceptable to the state. If a calculated composite score is not available for the most recent fiscal year for which financial statements are available, the state may calculate, or require an institution to have calculated by a certified, independent accountant acceptable to the state, a composite score based on the institution's most recent audited financial statements. Composite Score: _____ For Fiscal Year End: _____ Calculated By: _____ Note: Public institutions leave this blank.		Yes or No ☐ ☐
5.	Abide by C-RAC Guidelines The institution agrees to abide by the <i>Interregional Guidelines for the Evaluation of Distance Education</i> and provisions of the <i>SARA Policy Manual</i> .		Yes or No ☐ ☐
6.	Does not enforce Arbitration Agreements SARA participating institutions are not permitted to enforce arbitration agreements on students enrolled under SARA provisions, and such agreements must not be applied. Institutions that utilize mandatory arbitration agreements for the resolution of non-SARA complaints or disputes shall provide a disclosure that such agreements must not be applied towards a complaint or dispute that falls within the scope of the <i>SARA Policy Manual</i> .		Yes or No ☐ ☐
7.	Responsible for institution activities The institution agrees to follow the <i>SARA Policy Manual</i> Section 5.5 regarding third-party provider contracts.		Yes or No ☐ ☐
8.	Will resolve complaints The institution agrees to work with its Home State's SARA Portal Entity to resolve any complaints arising in SARA states, and to abide by the decisions of that entity regarding resolution of such complaints. ⁴		Yes or No ☐ ☐

⁴ Complaints against an institution operating under SARA policies go first through the institution's own procedures for resolution of grievances. Complaints regarding student grades or student conduct violations are governed entirely by institutional policy and the laws of the SARA institution's home state.

	Requirements for Institution Participation in SARA	INSTITUTION CEO or CAO Initial each line	SARA State Portal Entity confirms the institution meets the requirement
9.	Application signed by CEO or CAO The institution agrees to apply to its Home State's Portal Entity. The application will be submitted with the signature of the institution's chief executive officer or chief academic officer.		Yes or No ☐ ☐
10.	Disclosure Requirements – Adverse Actions Institutions shall disclose to their home state any adverse action against the institution and any investigation by an oversight entity related to the institution's academic quality, financial stability, student consumer protection policies or practices, or compliance with any state or federal requirements within 30 days of the institution's first knowledge of the action or investigation and provide the disclosure in accordance with the <i>SARA Policy Manual</i> Section 3.9(a).		Yes or No ☐ ☐
11.	Disclosure Requirements – Changes in Institution Operations Institutions shall disclose to their home state any changes in the institution's operations that are inconsistent with the requirements contained in the <i>SARA Policy Manual</i> or that may impair the institution's ability to satisfy any requirement of the <i>SARA Policy Manual</i> within 30 days of the institution's first knowledge of the change and provide the disclosure in accordance with the <i>SARA Policy Manual</i> Section 3.9(b).		Yes or No ☐ ☐
12.	Agree to professional licensure disclosures The institution agrees to provide notifications to students related to professional licensure. Any institution approved to participate in SARA that offers courses or programs designed to lead to professional licensure or certification or advertised as leading to licensure must satisfy all federal requirements for disclosures regarding such professional licensure programs. For SARA purposes, these requirements will also apply to non-Title IV institutions and programs.		Yes or No ☐ ☐
13.	Agree to provide complaint resolution policies Institutions shall provide their and SARA's complaint resolution policies and procedures to all students taking courses under SARA policies on the institution's website and in the institution's catalog or equivalent information provided either in print or electronically to students when they enroll.		Yes or No ☐ ☐
14.	Instruction The institution agrees that in cases where the institution cannot fully deliver the instruction for which a student has contracted, to provide a reasonable alternative for delivering the instruction or reasonable financial compensation for the education the student did not receive. This may include tuition assurance funds, surety bonds, irrevocable letter of credit, assistance with transfer, teach-out provisions or other practices deemed sufficient to protect consumers.		Yes or No ☐ ☐

	Requirements for Institution Participation in SARA	INSTITUTION CEO or CAO Initial each line	SARA State Portal Entity confirms the institution meets the requirement
15.	Catastrophic events The institution agrees that it has well-documented policies and practices for addressing catastrophic events. The institution agrees to provide the catastrophic event policy and disaster recovery procedures to the State Portal Entity, if/when requested. Impacted students will receive the services for which they have paid or reasonable financial compensation for those not received. This may include tuition assurance funds, surety bonds, irrevocable letter of credit, assistance with transfer, teach-out provisions or other practices deemed sufficient to protect consumers. The institution agrees that it and/or its home state has adequate measures to protect student records in the event of closure.		Yes or No ☐ ☐
16.	Agree to Provisional status The institution agrees to abide by conditions of provisional approval, if applicable.		Yes or No ☐ ☐
	Fees		
17.	Agree to pay SARA State fees The institution agrees to pay to its Home State any State fees for SARA participation required by the Home State for administering SARA.		Yes or No ☐ ☐
18.	Agree to pay NC-SARA fees The institution agrees to pay its annual SARA participation fee to the National Council for State Authorization Reciprocity Agreements (NC-SARA).		Yes or No ☐ ☐
	Data		
19.	Agrees to share data The institution agrees to provide data necessary to monitor SARA activities, including annual reporting of exclusively distance education enrollments and out-of-state learning placements by state, in accordance with the NC-SARA Data Sharing Agreement and relevant reporting handbooks.		Yes or No ☐ ☐

Section 2 - Institutional Designation and Action and Information

I, the undersigned representative of (institution name) _____
having the authority to commit the institution to operate under the SARA interstate agreement, hereby
certify that this institution meets all of the policies stated herein required for operation by the *SARA Policy
Manual*.

Main Campus _____

Mailing address of the institution: _____

City, State, Zip: _____

Type of Institution

Public institution	☐	Independent for-profit institution	☐
Independent not-for-profit institution	☐	Tribal institution	☐

Is the institution owned by another entity? Yes ☐ No ☐

If yes, list official name of corporate parent: _____

If yes, official address of corporate parent: _____

Does the institution participate in Title IV? Yes ☐ No ☐

Institution OPEID number: _____

IPEDS Related Information

Institution IPEDS identification number: _____

Institution FTE (latest IPEDS): _____ Year reporting _____

Check one of the boxes below:

- ☐ Institution with fewer than 2,500 FTE students
- ☐ Institution with between 2,500 and 9,999 FTE students
- ☐ Institution with between 10,000 and 29,999 FTE students
- ☐ Institutions with 30,000 or more FTE students

Institution link to SARA student complaint process:

Optional additional link for website if necessary:

Institution link to Professional Licensure disclosures:

Institution Contact Information for SARA

Using the chart below, please assign each of the following roles based upon what communication they should receive. You can also use the chart to indicate if any individual should be assigned to multiple roles.

*The first **four roles** are required to be assigned. Contact role needs will vary by institution, and not all roles may need to be assigned. Please contact your SPE with any questions.

***1. Primary SARA Contact** - Receives all email communications to the institution, i.e., invoices, payment reminders, payment confirmations, renewal application notices, data reporting notices, reminders

***2. Primary Billing Contact** - Receives only invoices, payment reminders, payment confirmations

***3. CEO/CAO** - Receives only SARA participation related emails (CEO/CAO signs the institution application and affirms compliance with SARA policy per the *SARA Policy Manual* Section 3.7(b)(2))

***4. Authorized Signatory Contact** - Signs and receives all SARA administrative forms (extensions, etc.)

5. Additional Billing Contact - Receives only invoice related emails and SARA participation related emails

6. Additional SARA Contact - Receives all email communications to the institution that the Primary SARA Contact receives as an additional contact, i.e., invoices, payment reminders, payment confirmations, renewal application notices, data reporting notices, reminders

7. Data Reporting Contact - Receives only data reporting related emails

*Primary SARA Contact	Role(s)
Name: _____ Email: _____ Title: _____ Phone: _____	☐ *CEO / CAO ☐ Additional Billing Contact ☐ *Authorized Signatory Contact ☐ Data Reporting Contact
*Primary Billing Contact	Role(s)
Name: _____ Email: _____ Title: _____ Phone: _____	☐ *CEO / CAO ☐ *Authorized Signatory Contact ☐ Additional SARA Contact ☐ Data Reporting Contact

Contact	Role(s)
Name: _____ Email: _____ Title: _____ Phone: _____	☐ *CEO / CAO ☐ Additional Billing Contact ☐ *Authorized Signatory Contact ☐ Additional SARA Contact ☐ Data Reporting Contact
Contact	Role(s)
Name: _____ Email: _____ Title: _____ Phone: _____	☐ *CEO / CAO ☐ Additional Billing Contact ☐ *Authorized Signatory Contact ☐ Additional SARA Contact ☐ Data Reporting Contact
Contact	Role(s)
Name: _____ Email: _____ Title: _____ Phone: _____	☐ *CEO / CAO ☐ Additional Billing Contact ☐ *Authorized Signatory Contact ☐ Additional SARA Contact ☐ Data Reporting Contact

Branch campus¹ information:

List all out-of-state branch campuses, as defined by SARA policy, with distance education activity covered by SARA policies.

Institution Name: _____

Address: _____

City, State Zip: _____

Institution Name: _____

Address: _____

City, State Zip: _____

Institution Name: _____

Address: _____

City, State Zip: _____

Institution Name: _____

Address: _____

City, State Zip: _____

Institution Name: _____

Address: _____

City, State Zip: _____

Use additional paper if necessary.

¹ *SARA Policy Manual*, Section. 1 Definitions, “Branch Campus” means: a campus or site of an educational institution that is not temporary, is located in a community beyond a reasonable commuting distance from its parent institution, and offers full programs of study, not just courses⁴. (Integrated Postsecondary Education Data System (IPEDS)). For SARA purposes, a branch campus that operates under the accreditation of a main campus is not considered a separate institution for purposes of SARA (see section 3.1(h)(2)).

Institution Application 1.1.26

Institution Signature

The chief executive officer (CEO) or chief academic officer (CAO) of the institution signs the institution application and affirms compliance with SARA policy per the *SARA Policy Manual* Section 3.7(b)(2).

Typed name: _____

Signature: Melanie E. Rie _____ Date: _____

Chief executive officer (CEO) ☐

Chief academic officer (CAO) ☐

Email: _____

Phone: _____

Section 3 - SARA State Supplemental Sheet for Institutions

SARA provides a degree of flexibility for States as they implement policy. Information about State-specific provisions may be added on this page for items such as [fees](#) (if any) to be charged to in-state institutions, criteria for consideration of appeals of institutions having financial responsibility composite scores between 1.0 and 1.49, etc. Institutions are reminded to check with their SARA State Portal Entity for additional Home State requirements and State Fees.

State fee (if any):

State bonding requirement of institution (if any):

Financial responsibility criteria for federal financial composite score ratings 1.0-1.49:

Section 4 - SARA State Portal Entity Action and Information

Institution application

- ☐ Approved
- ☐ Provisionally Approved
- ☐ Returned for Additional Data or Information
- ☐ Denied

Conditions related to Provisional Approval:

Include submission of [AF3 SARA Institution Provisional Participation Form](#)

Typed name of SARA State Portal Entity: _____

Typed name of Primary SARA State Portal Entity contact: _____

Signature _____ Date _____

Title of SARA State Portal Entity contact: _____

SARA State Portal Entity email: _____

SARA State Portal Entity phone: _____

Typed name of Secondary SARA State Portal Entity contact: _____

Title of Secondary SARA State Portal Entity contact: _____

Secondary SARA State Portal Entity email: _____

Secondary SARA State Portal Entity phone: _____