Periodic Review Report

Presented by SUNY Empire State College
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President

Most Recent Decennial Evaluation Team's Visit:
November 1-4 2009

Periodic Review Report

Contents

Executive Summary

Certification Statement: Compliance with MSCHE Requirements of Affiliation and Related Entities Policy (For SUNY State-Operated Institutions)

Certification Statement: Compliance with Federal Title IV Requirements (for SUNY State-Operated Institutions)

Institutional Response to Self-Study

Major Challenges and Opportunities for the Institution

Enrollment and Finance Trends and Projections

Assessment of Institutional Effectiveness and Student Learning

Linked Institutional Planning and Budgeting Processes

Appendices

A. Vision 2015 Strategic Plan
B. Academic Plan 2011
C. Information Technology Services 2015 Interim Report to the College
D. Learning Contract Rubric
E. Annual Credits by Center and Program 2010-11 to 2013-14
F. Annual Student Headcount by Center, Program and Unit 2010-11 to 2013-14
G. Four Year Headcount Trend 2010-11 to 2013-14
H. IPEDS Financial Survey F1B 2011-12
I. IPEDS Financial Survey F1B 2012-13
J. IPEDS Financial Survey F1B 2013-14
K. Revenue Projections 2013-14
L. Revenue Projections 2014-2015
M. Revenue Projections 2015-16
N. Institutional Learning Outcomes Assessment: Comprehensive Review of Methodologies and Results 2006-2012
O. 2014 Academic Assessment Plan
P. 2014 Academic Assessment Plan Supplement

Executive Summary

Overview of the Institution

Empire State College was established in 1971 as a distinctive statewide State University of New York (SUNY) institution focused on innovative teaching and learning, where college faculty mentors guide learners through design of individualized degree programs. Accredited by the Middle States Commission on Higher Education, the college serves mostly working adults pursuing associate, bachelor's, and master's degrees onsite at 35 locations in New York State and abroad, as well as online.

The Board of Trustees of the State University of New York is the college's governing body. Like all SUNY institutions, the college has a College Council appointed by the governor and charged with advising the college's president and administration. The New York State Education Department has final authority on the approval and registration of the college's degree programs.

The college has a coordinating center in Saratoga Springs where administrative offices are housed. Also located in Saratoga Springs are the Center for Distance Learning, the School for Graduate Studies, the School of Nursing and the Office of International Programs. Regional centers are located in Buffalo, Rochester, Syracuse, Albany, Hartsdale, New York City and Old Westbury; each of these centers has two or more satellite units within its region. The Harry Van Arsdale Jr. Center for Labor Studies is located in Manhattan.

The undergraduate degree programs are currently structured around 12 areas of study. Students work closely with a faculty mentor and, using area of study guidelines and overall degree requirements, plan their degree based on transfer credits (transcript and prior learning credits) and Empire State College courses to meet the goals of their chosen degree area. The areas of study guidelines are similar to competency statements, around which students choose courses and individualized learning contracts to be used within their program to meet the degree requirements. In this way, students are able to customize their studies to meet their personal and professional goals, as well as ensure that their degrees are current for their chosen field.

The minimum residency requirement for students is 31 credits for a 124-credit bachelor's degree and 24 credits for a 64-credit associate degree. The balance of credits may come from transfer (transcripts or prior learning). Students may use different standardized exams, military occupations or training, or community and corporate training and certifications evaluated by the American Council on Education (ACE), National College Credit Recommendation Services (NCCRS), other regionally accredited institutions and by Empire State College. In addition, students can be assessed for learning not previously evaluated by one of the accepted organizations though an individualized portfolio process. Empire State College has engaged in Prior Learning Assessment (PLA) since its beginnings and is considered one of the nation's leaders in the field.

Today, the college has 19,534 students spanning associate, bachelor's and master's degree programs; 18,131 of these students are undergraduates. The college's students represent a diverse

community of learners and tend to be of non-traditional age with work and family commitments that won't accommodate a conventional college experience.

Most of the college's students are between 25 and 49 years old, with a median age of 36, and are in the prime of their working lives. They are employed as professionals, managers or skilled workers. They may be anyone from the CEO of a company to a working performing artist to a veteran transitioning to civilian life. Of this demographic, 59.7 percent study part time and 40.3 percent study full time. Most students are New York state residents with every county in the state represented; those in large metropolitan areas, suburbs, small towns and rural communities. The college also enrolls students from every state in the U.S. and from 50 other countries. Those who are not residents of the state of New York generally enroll through the college's online programs. There is a higher percentage of minorities in the college's student pool than in the overall US population and the racial distribution approximates that of the state of New York with Asians and Hispanics being the only underrepresented portions (Asians: 2.3 percent rather than 8.2 percent; Hispanics 10.7 percent rather than 18.4 percent) of the NY state populace (US Census Bureau, 2015). Overall, 64 percent of students received some form of financial aid in the years 2012-2013 and 2013-2014. Slightly less than 10 percent of the student body are active duty military and veteran students.

The largest percentage, 41 percent, of the college's students, study at one of the college's 35 locations across the state of New York. Approximately 40 percent of the college's undergraduate students, state residents and nonresidents, enroll in online programs. Another 19 percent enroll through other centers and programs, such as the college's Harry Van Arsdale Jr. Center for Labor Studies or the Office of International Programs. Every ESC student receives personal, one-to-one guidance from faculty mentors or advisers, whether enrolling in a regional location or studying at a distance.

Approach to Preparation of Periodic Review Report

Early preparations for the PRR began in spring 2010, when a summary of self-study action items, the team's single recommendation and the team's suggestions were posted on the college website as a link to the Vision 2015 strategic plan. The summary was shared and discussed with governance and administrative groups. Implementation of self-study action items began immediately. The Academic Planning Task Force was appointed in 2010. During the 2010-2011 academic year, the task force consulted widely in the college, drafted a plan, gained approval from the governance body and president and published the final academic plan in 2011.The function of strategic planning was strengthened with the hiring of a director of strategic planning in 2010. In 2011, a guide to strategic planning was published and the director offered training in groups and with individuals as each office and academic center developed objectives, action plans and measures aligned with the college's 2010-2015 strategic plan.

A new president came to the college in summer 2013. Toward the end of her first year, she outlined an approach to restructuring the college, known as ESC 2.0, that was designed to assure that human resources, facilities and technology were organized to strengthen service to students in a distributed environment. Comments were invited from the college community to inform further development of the plan. In fall 2014, three teams were appointed to facilitate

collegewide discussions called "prototyping conversations" to review core features of the college's academic approach: educational planning, mentoring and academic program review. The discussions, which yielded significant and broadly based input, were robust. Participants from across the college, including faculty, staff, professional employees, staff, administrators, students and alumni, appreciated the opportunity to join these sustained conversations and contributed thoughtfully and creatively.

The prototyping conversations were summarized in a report published in February 2015. The report presented various models for improving and diversifying the college's approaches to the three core areas that were the focus of the conversations. In the coming year, the proposed models will be explored through pilot projects. The prototyping conversations identified potential paths for reinvigorating the college's distinctive academic approaches. They also provided a rich source of information for the PRR.

The provost provided updates on the PRR in his reports to the college senate during the current academic year. A draft report was posted to the college community on the internal website in May with a general invitation for comment. Requests for comment also went directly to the college senate and the president's council. The final version of the report incorporates the feedback received.

Summary of Major Institutional Changes Relevant to Accreditation Standards

The college had made major investments in support of strategic planning and assessment to enhance these functions and align more fully with MSCHE standards. The college also has plans for changes that will require substantive change approval from MSCHE. Two proposals for doctoral programs have been developed: Doctor of Management (DM) in organizational leadership and Doctor of Education (Ed.D) in educational leadership. These practitioner-oriented degrees will be the college's first degrees at the doctoral, so the college will seek substantive change approval as the proposals move through required SUNY and New York State Education Department reviews.

The college will open a new building in Rochester in early 2016. Another building is planned for Suffolk County on Long Island and will go out to bid in August 2015. These new buildings will replace two of our leased facilities with state-of-the-art facilities designed to serve adult learners with on-site instruction and services and support for videoconferencing and other technology-mediated instruction. The college is considering new additional locations in Jamaica, Queens, and in Nassau County on Long Island. Leases in Cheektowaga/Buffalo and Staten Island are nearing their end and these locations may be moved. With over 35 locations throughout New York, we have substantive change requests at least once every two years and often more frequently. The procedure for requesting substantive change approval is a regular part of our processes for adding or moving locations and we will make requests at the appropriate time for each of these moves or additions.

The college is developing a bachelor's degree program in information technology that follows a limited direct assessment model. The program would include three competency-based courses. We understand that this type of competency-based program does not currently require MSCHE

approval, but we also recognize that regulations in this area are in flux and we monitor them carefully to maintain compliance.

Highlights of the Report

The single recommendation from the 2009 evaluation team, which was directed to the SUNY system as well as to the college, called for a more equitable allocation of resources to Empire State College. The college is pleased to report that significant progress in this area has been achieved through collaboration with the SUNY system senior administration. The team's others responses to the self-study were in the form of suggestions. As the suggestions were closely aligned with action items presented in the college's self-study report, the college chose to include them in this report.

The college went into a period of declining enrollment and revenue shortly after the last decennial review. The enrollment and financial analyses in this report describe how these issues were addressed and, to a large extent, reversed.

The report describes a deeply engaged faculty, staff and administration on the brink of transformative change. A new administrative structure will strengthen academic programs, student services, and enrollment management. Three broadly participative college conversations, on the core college features of mentoring and advising, educational planning and academic program have generated a set of new models that will be explored in the coming year. A further conversation on student success and retention is ongoing at the time of this report and it will produce recommendations in fall 2015. For the first time in its history, the college will own two buildings outside its administrative headquarters in Saratoga Springs; previously all sites outside Saratoga Springs were leased. These buildings, in Rochester and Suffolk County, Long Island, will offer state of the art facilities designed for 21st-century adult students.

The college completed a strategic plan in 2010 and expanded support for planning through the hiring of a director of strategic planning and the implementation of a planning and assessment management system. The college plan was the starting point for related academic, facilities and information technology plans. In the area of student learning outcomes assessment, a comprehensive review of existing methodologies and results was completed in 2013. An academic assessment plan building on this analysis was completed in 2014. Numerous improvements to the processes for student learning outcomes assessment have been introduced and an academic assessment plan implementation committee is examining further changes.

The assessment of institutional effectiveness has been less centrally coordinated than assessment of student learning. The planning and assessment management system has assisted deans of academic centers and directors of functional offices and services to record and track their objectives and action plans. The college sent two president's council level administrators to a MSCHE workshop on assessing institutional effectiveness and planning for a more coordinated collegewide approach has begun.

With the implementation of a new administrative structure over the next two years and new approaches to mentoring and advising, educational planning, academic program development

and review and student success and retention unfolding in the same time frame, the next self-study, set to begin in 2017, will offer an excellent opportunity to reflect on and assess these institutional changes.

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Certification Statement:
Compliance with MSCHE Requirements of Affiliation and Related Entities Policy
*(For SUNY State-Operated Institutions Effective October 1, 2009)*

An institution seeking **initial accreditation** or **reaffirmation of accreditation** must affirm that it meets or continues to meet established MSCHE requirements of affiliation and "Related Entities" policy.

This signed statement should be attached to the executive summary of the institution's self-study report.

_____Empire State College_____
(Name of Institution)

The State University of New York represents that this institution operates within the program of the SUNY System. The undersigned hereby certify that SUNY recognizes the Commission's compliance requirements for this institution and will uphold State University's policies pertaining to MSCHE standards and requirements of affiliation.

_____   5/20/15
(Campus President)   (Date)
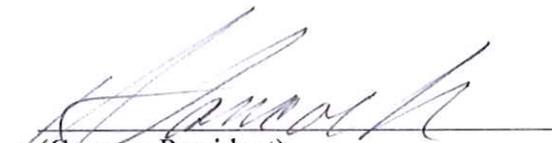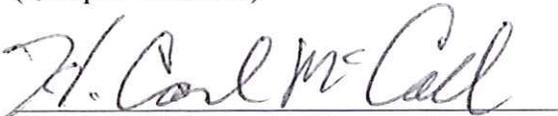
_____   6/1/15
(Chair, SUNY Board of Trustees)   (Date)

Institutional Response to Self-Study

In preparation for the decennial review for reaccreditation in 2009-2010, the college conducted a broad participatory self-study over a two-year period beginning in fall, 2007. The final self-study report was published in August 2009, and the evaluation team visit took place in November 2009. In March 2010 the commission reaffirmed the college's accreditation for a full 10-year term and commended the institution for the quality of the self-study process and report. No interim reports were required.

The evaluation team made one recommendation and also offered 15 collegial suggestions. The self-study report identified 30 action items and the evaluation team suggestions were closely aligned with the action items coming out of the institutional self-study. This section summarizes the institution's response to the single recommendation from the team and addresses the action items arising from its self-study and team suggestions. The self-study grouped the 14 accreditation standards into six groups with a set of action items associated with each group of standards. The summary of institutional responses to the action items is organized in the same way.

Mission, Planning and Resources (Standards 1-3)

> *Team Recommendation*
> *The Team recommends that SUNY continue to explore a more equitable way to allocate resources to Empire State College that acknowledges its unique mission.*

Response

In FY 2010-2011 the vice president for administration began working with a newly formed SUNY Resource Allocation Team charged with the development of a new resource allocation methodology. There were several subcommittees established as part of the process focusing on enrollment, research, peer institutions and geographic cost differential, to name a few. The college's vice president for administration served on the SUNY Research Allocation Subcommittee that was charged with suggestions for a new model for allocating state support that rewards campus research outcomes, encourages campus engagement in research, and contributes to the goals and objectives of SUNY's strategic plan. Over a period of several months the various subcommittees convened and discussed several tracks in developing a new allocation methodology. A draft model was presented to senior SUNY administration that would have resulted in a more equitable allocation for the institution, but the proposed model was not adopted given political considerations of adding to or reducing specific campus allocations. The college's senior administrators continue to work with SUNY to achieve greater equity and some progress has been made in the past year.

In the fall of 2011 the SUNY Board of Trustees passed a resolution approving a five year tuition plan for the University. The resolution was the culmination of intense negotiations between SUNY, the Governor and the State Legislature. The agreed upon "rational tuition plan" was called for modest but predictable tuition increases each year that promoted planning for both

students and campuses. This resolution also came with the promise of "maintenance of effort" of State support which was ultimately interpreted by the state as keeping constant the direct state support for the SUNY system in terms of absolute dollars appropriated over the five year period. Empire State College's share of the direct state support over the first four years of the plan remained almost flat ranging from $8.7 million to $9 million while campus share appropriation of tuition revenues increased from $42.7 million to approximately $61 million. The increase campus share in spending authority was driven by two components: the first component consistent with the tuition rate increases, and the other component recognizing a larger portion of campus enrollments previously not recognized in the funding formula by SUNY. The latter component is an important one in that it more closely recognizes the college's full enrollment rather than a historical funded enrollment that seldom increased as enrollments grew at the college. Discussions continue with SUNY and it is expected the final year of the rational tuition plan will bring Empire State College even closer to having funding to cover all enrollments. Overall, the college was able to grow its operating budget from both the tuition rate increases and growth in recognized enrollment.

During the same time period the college was successful in increasing its capital appropriation from SUNY and/or the state, starting with an effort to update the college's facilities master plan. After several months of delay the college, working with State University Construction Fund, was able complete a land acquisition and architectural design changes necessary to begin the formal bid process for a new learning center in the Rochester area. The funding for the project was made available and ground was broken on the Rochester center in the summer of 2014. The college was also successful in getting approval to exercise a lease option to purchase a building previously leased from the Empire State College Foundation, allowing for approximately $1.1 million in rental expense savings. Most recently the college was successful in identifying land for the second planned learning center location in Long Island. These projects will set the stage for the reconfiguration associated with ESC 2.0, the realignment of administrative and academic services and the future plans for a student services center.

The college has also been successful in obtaining several grants from SUNY and private foundations. The college plans to continue its efforts to explore new ways to enhance resources, including capital funding, grant opportunities, enrollment recognition and the possibility of new online rates in support of our online programs.

> *Self-Study Action Item*
> *Enhance institutional capacity in planning and assessment of institutional effectiveness to ensure more coherence and relevance for all of the college's annual and long-term planning and to more effectively measure and record the effectiveness of all aspects of the college's work.*
>
> *Related Team Suggestion*
> *The team suggests that ESC take an integrated approach to strategic planning across important functions such as budget, enrollment, academics, staffing and workload, facilities and technology.*

Response

In the last five years, the college has produced a strategic plan, an academic plan, and an academic assessment plan. A facilities master plan and a strategic information technology plan were developed in the same period, and the technology plan is currently under revision. To support the implementation and tracking of operational plans, the college hired a director of strategic planning to formulate a planning and assessment process, starting with operational units of the coordinating center and, later, extending to academic centers across the state. To manage the collegewide process, the college adopted an assessment management system, WEAVE, to support and advance outcomes articulation, alignment of operational and academic units to the key goals and strategies in Vision and MSCHE *Characteristics of Excellence* and annual planning, assessment and reflection to "close the loop" in advance of new planning.

While the college has conducted assessment of student learning outcomes in academic programs and general education courses, the processes for assessing effectiveness in non-academic areas has been more dispersed and less coordinated with assessment responsibilities delegated to directors of functional offices and services. Empire State College is in the process of building a formal institutional effectiveness plan to guide and document "an organized, sustained assessment process covering all major administrative units, student support services and academic programs."

> *Self-Study Action Item*
> *Increase systematic consultation and information-sharing about budget development beyond President's Council and PPBC.*

Response
The Office of Administration provides budget narratives by division to the entire college community by annually publishing this information on the college's internal website. This practice was adopted in 2010. In addition to budget report presentations outlined in the original self-study we also provide quarterly budget and facilities updates to the College Council, periodic budget updates to local chapter union leadership and their members, as well as budget and facilities updates at the various college-wide town hall meetings held during the year. The President and vice president of administration also provided a college-wide budget update and State of the College address at our annual All College event held in Saratoga Springs in March 2015.

> *Self-Study Action Item*
> *Develop improved metrics for assessing budget performance and the effect of new investments.*

Response
While the College has metrics on the cost per credit by locations of academic offering and by faculty resources, we continue to develop measures and metrics as a way to assess the allocation of finite resources. We have migrated away from a prior resourcing model that focused on total enrollment credits to one that focuses more on direct instructional credit in an effort to eliminate redundant funding of instructional resources and prioritize new or expanded areas of funding. A new resourcing model has defined the number of credits of instruction expected of faculty and the number of enrolled mentees with whom each faculty should be engaged. The transition to

this direct instruction/mentoring model has been incrementally implemented to comply with collective bargaining agreement terms. A new academic administrative structure organized around academic areas will allow us to monitor our progress while allocating resources efficiently and where most.

> *Self-Study Action Item*
> *Create a participatory process for developing a strategic plan.*

Response
A new president, Alan Davis, came to the college in 2008, about halfway through the 2006-2010 strategic plan. In May 2009, six months before the evaluation team visit, the president developed a process for broad consultation in the development of the college's next strategic plan. The process was endorsed by the college senate at the June 2009 governance retreat. The consultation process was initiated in September 2009, between the publication of the self-study report in August and the evaluation team visit in November.

Consultation on the new strategic plan began in fall 2009, with open forums held in regions throughout the state for college faculty, staff and students. Updates on the process were made at each meeting of the College Senate, College Council, Empire State College Foundation Board, and the Alumni Federation Board of Governors. A draft plan was presented to the College Senate, College Council, President's Council and the State University of New York System Administration in January and February 2010. The president presented the plan in his report at the plenary session of annual All College Conference in March 2010 and the final version, Vision 2015, was published in May 2010, and submitted to the SUNY Chancellor. (See Appendix A)

After President Merodie Hancock came to the college in 2013, she decided to extend the Vision 2015 strategic plan through 2016. She asked the director of strategic planning to lead a representative college group in identifying and analyzing models for strategic planning and to engage the president's cabinet in the evaluation of these models. The rubric developed to evaluate these plans includes the kind of consultation built into each planning model.

While the development of a new strategic plan has been deferred for a year, the college community is extensively engaged in conversations about core features of the college that will have implications for a new strategic plan. Three prototyping teams presented models developed from collegewide conversations on mentoring, educational planning and academic program review. Another team is currently gathering ideas about enhancing support for student success. ESC 2.0 is an initiative to assure optimal use of our resources through an administrative restructuring that will differentiate academic program management and enrollment management and provide greater coordination of distributed student services.

These conversations have been supported with technology in a variety of ways. In addition, the president has provided collegewide updates and invited comment through "Town Hall meetings" held via videoconference and webcasting three times since September 2014. A similar combination of face to face and technology-mediated consultation will inform the development of the college's next strategic plan.

Enhance institutional capacity in planning and assessment of institutional effectiveness to ensure more coherence and relevance for all the college's annual and long-term planning and to more effectively measure and record the effectiveness of all aspects of the college's work.

Response
Specific to non-academic areas, most of our progress towards institutional effectiveness has been basic and broad, but effective. In 2010-2011 many of the non-academic or functional areas joined the rest of the college in the implementation of a new strategic planning tool, WEAVE. With the creation of Vision 2015 strategic planning started to expand its presence into other areas and WEAVE served as a tool for reporting and measuring our progress in this area. The college started taking the steps necessary to break beyond operational silos and having enhanced conversation about planning, assessment and capacity building. WEAVE allowed the various functional areas to set goals in concert with the Vision 2015 strategic plan and annually review and assess the status of those goals. For many departments this was an approach to planning that had not been done before and allowed non-functional areas to make a measurable contribution to the planning process of the college. Many of the goals for the non-academic areas centered around enhancing service to both students and college employees and also involved planning for new revenues to support the college. The next action steps will incorporate planning for the realignment associated with ESC 2.0, the college's planned administrative restructuring.

Leadership, Governance, Administration and Integrity (Standards 4-6)

The evaluation team offered no suggestions in relation to this standard but the self-study yielded five action items that have been the basis for changes in the institution.

Self-Study Action Item
Examine and address concerns about the impact of governance on institutional decision-making.

Response
The 2009 self-study report described concerns about the efficacy of shared governance at the college. The 2008 HERI Faculty Survey found four areas in which college faculty were less satisfied than their peers at other institutions: relationship between faculty and administration, administration's consideration of faculty concerns in making policy, administrative openness about policies and faculty involvement in campus decision-making. The self-study attributed this dissatisfaction to changes in the academic calendar, the introduction of online registration and changes to the admissions policy that had occurred in the preceding two years. The next two administrations of this survey, in 2010 and 2012, found that ratings by college faculty were similar to or more positive than ratings by faculty at peer institutions.

Opportunities for governance participation have increased since the college conducted its self-study. A new governance committee, the Governance Operations and Review Committee was approved through bylaws revisions in spring 2009 and began its work in the 2009-2010 governance year. While governance representation at the college has always included all faculty and professional staff, the college assembly, the overarching governance body of the college, acted in 2011 to include classified staff working in administrative support positions. The Support Staff Committee consists of representative elected by and from the support of the college; the chair of the Support Staff Committee is a voting member of the college staff. While opportunities for participation have expanded, funding for this purpose has not increased, although technology-supported meetings have been helpful.

While opportunities for faculty and staff participation in governance have increased since the last self-study and there are some indications that attitudes about the efficacy of governance grew more favorable in the three years following the self-study, concerns are re-emerging as the college moves forward with major institution-wide change in areas that affect academic programs and faculty work. The college is now working through the implications of a major administrative restructuring that was announced in broad outline by the college president in May 2014. This has become known as "ESC 2.0: Re-imagining, Re-structuring, Re-Emerging." In fall 2014, the president invited collegewide participation in local discussions and collegewide discussions through the Mahara platform on three topics: educational planning, mentoring and academic program review. An additional group on student success was established in spring 2015. The section on major challenges and opportunities for the institution provides further detail about the restructuring. The governance-related concerns have to do with communication and with assuring that administrative changes follow the college's existing governance and related policy processes. Governance leaders have been active in bringing forward concerns about communication, transparency and morale to the president in governance bodies such as the College Senate and the Program Planning and Budget Committee and through other avenues of communication. Some governance leaders have volunteered to work with the Office of Communication and Governance Relations to advise on communication about these major institutional changes.

The college is also making changes in its academic programs and publications. Undergraduate faculty have been asked to develop proposals for new academic programs that are more specifically titled and structured than our current individualized undergraduate programs. The college, however, will also preserve its existing individualized degrees, which offer students flexibility and the capacity to accelerate degree completion through the application of prior college study and experiential learning to meet degree requirements. Additional program registrations that offer a more explicitly structured path to a degree are intended to broaden degree options for adults seeking to complete bachelor's degrees.

The college is moving from a highly decentralized system of course development, approval, numbering and publication to a single electronic catalog. These changes are intended to provide consistent information to students about academic offerings, improve consistency of learning outcomes in courses/learning contracts carrying the same title, and yield improved information for academic planning. As this report is written, a number of issues surrounding these changes are the subject of deliberations in the college senate and other bodies. Concerns center on

communication, faculty and staff involvement, faculty autonomy and the need to align changes with current policies and procedures or to create new ones. A committee of academic administrators, governance leaders and other faculty are working together to address these concerns.

The final chapter on these issues won't be written at the time when this periodic review report must be submitted, but the self-study in preparation for the 2019-2020 decennial review will consider the efficacy of governance in the implementation of institutional changes that will unfold in the next two to three years.

> *Self-Study Action Item*
> *Reduce the travel burdens associated with governance participation by supporting technology-facilitated meetings.*

Response
This item has been achieved. The standing committees of the College Senate conduct much of their business in technology-facilitated meetings. Since 2009, the college invested in video conference technology that supports virtual face-to-face meetings through video conference equipment available at seven regional locations throughout the state and the college's coordinating center. This equipment is connected to the Telepresence Management System, which also is accessible for desktop Web-conferencing via Cisco Jabber Video using a computer with webcam, laptop or iPad.

The video conferencing capability has made meetings of the college senate accessible to all college employees through video streaming. It also has been used to facilitate academic conferences by making sessions available to remote participants and speakers.

Technology-mediated meetings of the standing committees of the college senate are conducted primarily through online Web-conferencing through Blackboard Collaborate, which offers voice and video capabilities for participants and permits PowerPoint presentations and application sharing. Many of the standing committees conduct all but two or three of their meetings through this system, which greatly reduces time demands and travel costs for governance participation. The college recently adopted Office 365, which has the capability for online meetings and shared documents.

> *Self-Study Action Item*
> *Create opportunities and incentives for student participation in governance.*

Response
The college has made significant progress in this area. The majority of the college's students enroll on a part-time basis and balance their college studies with work and family obligations that limit the time they have available for co-curricular activities. Nevertheless, students respond positively whenever new opportunities for involvement in the college open up. The college has created more opportunities for students to participate in governance both in the college's formal

governance structure of college senate and standing committees and also in other college and SUNY committees.

The membership of one of the college senate's standing committees, the Student Affairs Committee (SAC), is evenly divided between student and faculty/staff representatives. The college's bylaws were recently revised to provide for an alternate for each student representative. This action increases the number of students present at any SAC meeting and doubles the number of students who are regularly informed of the business of the committee. Participation on SAC subcommittees is now open to all students, not only those chosen as SAC members, and this change has increased the number of students involved in governance. To offer an incentive for student participation on SAC, students selected for this committee now have the opportunity to apply for a scholarship that equals one undergraduate or graduate course.

The College Council, an advisory body to the president and college administration, includes a student representative who serves a two-year term. Selection of the student representative rotates across the academic centers of the college.

The Integrated Technology Committee (ITC) now includes a student representative recruited to participate in the committee and serve as a liaison to SAC. Empire State College students now attend all meetings of the State University Student Assembly and report back to SAC. This participation is open to all students, not only SAC members. Students also sit on the recently created Collegewide Health Committee and Collegewide Safety Committee.

> *Self-Study Action Item*
> *Conduct regular reviews of managerial performance with appropriate consultation.*

Response
In 2009, the college adopted a policy for performance appraisal of management-confidential administrators that updated and consolidated processes for the evaluation of these employees. The policy was developed in the context of the policies of the SUNY Board of Trustees, which specify that these employees serve at the pleasure of the president. It was intended to develop a consistent and meaningful process to identify a particular set of skills demonstrated by the leadership team. Procedures for these reviews were developed in the 2009-2010 academic year and implemented in spring 2010. The procedures provided for an annual performance plan and appraisal and a triennial developmental review that included a 360 survey. The college's bylaws charge the Governance and Operations Committee with advising the president on the developmental review.

These procedures and a survey instrument for the triennial review have been in place for five years now and are now under review. The current, locally-developed survey instrument will be replaced with one from an external source that focuses on competencies and professional development in categories including interpersonal, communication, people orientation, customer orientation, and team orientation. Feedback results will be used to contribute to a positive impact in managerial and professional effectiveness. The college is awaiting approval of a vendor contract and a pilot of the new instrument will be conducted later in the year.

> *Self-Study Action Item*
> *Ensure realignment of senior administrative positions with the priorities of the college.*

Response
There has been ongoing review and adjustment of senior administrative positions. The current and former presidents have made adjustments to the portfolios of some cabinet-level administrators since 2009. Outcomes assessment and institutional research functions had been the responsibility of an assistant vice president reporting to the provost. These functions were expanded to include support for strategic planning and the position of vice president for planning and institutional effectiveness was created. When the position of vice president for enrollment management was vacated, the responsibilities were combined with planning and institutional effectiveness with the intention of strengthening the data analytic capacity of enrollment management. As the college has struggled with slipping enrollments, a decision was made in 2014 to move back to two separate vice presidential positions. A search for a vice president for enrollment management is ongoing at the time of writing of this report.

More extensive restructuring within the academic affairs division of the college is being planned as part of ESC 2.0. The current model of regional deans and associate deans responsible for academic administration, enrollment management and operations management will be replaced by a dean of undergraduate studies, associate deans responsible for academic programs and other managers responsible for enrollment management and regional operations. The new model also introduces the positions of dean of student services and dean of academic support.

Students (Standards 8-9)

> *Self-Study Action Item*
> *In addition to graduation rates already published, the results of our institution-wide assessments should be made accessible to prospective students.*

Response
The college publishes these results in its annual Fact Book but this publication is not currently available on the public website. There has been a concerted effort to improve communication and discussion of the results of outcomes assessment over the past five years, but the focus has been on communication within the faculty. These efforts are described in the section below on responses to action items related to standards 7 and 14.

> *Self-Study Action Item*
> *Existing statements of expected learning outcomes in general education and the concentration should be augmented with a statement about overarching expectations for all graduates.*

Response:
College-level learning goals were defined for all programs and approved through the governance process. All academic programs have incorporated these goals into their guidelines or curriculum.

Self-Study Action Item
Electronic databases for complaint/grievance data should be established in all academic centers to gather data on patterns of issues. These data can then be used to address and improve these areas and support quality assurance of our programs.

Response
The president's office keeps an electronic record of all complaints received in that office. For each case, the following is recorded: student's name, location or program, description of problem, assignment of responsibility for resolution, working resolution and final resolution.

The Office of Collegewide Student Services keeps a similar record but separates the files into service grievances, conduct, academic appeals and miscellaneous. These records are created for issues that come in from the president's office, the provost's office or a center or functional office that was unable to resolve the issue at that level.

The Center for Distance Learning has a robust tracking system in which all issues are tracked in a database, entered by support staff and classified by situation. Comprehensive reports can be culled from this database. Since about half of our students are enrolled in this center, the database provides a good indication of issues, particularly for online students, and an analysis of the data is done regularly to improve services.

The college has had inconsistent support for and consequently inconsistent usage of Starfish, an online retention management system, which would be used for a variety of reasons including tracking student situations. The college is currently looking at a CRM system that would address this issue.

Self-Study Action Item
Data regarding all student services should be compiled and our service to students assessed and evaluated on a regular basis as we continue to grow and implement improvements.

Response
The chief barrier to data gathering and analysis has been the lack of integrated technology systems. The college is well on the way to resolving this issue. The new vice president for integrated technology developed a new organizational structure that deploys staff and resources to assure a robust set of services to the college. Key initiatives include a Constituent Relationship Management (CRM) system, a new college website and intranet and a new enterprise resource planning (ERP) system. Other initiatives supportive of better student information include the creation of a collegewide data dictionary and development of a data warehouse.

The Office of Decision Support has done extensive analyses of predictors of student success both for course completion and for retention and graduation. A "retention data mart" became available to deans four years ago to enable them to examine patterns within their regions.

An advisory group of 19 faculty, staff and administrators convened this spring to conduct an extensive review of student services studies and initiatives over the past nine years. The group

proposed a plan for a Student Engagement Ecosystem (SEE) that has been widely supported in the college. SEE is designed to increase the integration and consistency of the services that support students from admission through graduation.

> *Self-Study Action Item*
> *The college should begin looking more critically at staffing models and the effectiveness of distributed services (student services, academic review, academic support), taking into account center/program/unit scale, size, student demographics and student population.*

Response

At the time of the last evaluation team visit, professional staff responsible for various services in regional centers reported locally to the dean or associate dean, while having a dotted line relationship to staff in the same functional area in the college's administrative headquarters in Saratoga Springs. Over the past three years, the reporting relationships have shifted so that distributed staff report to a central office while delivering services locally. Recruiters now report to the assistant vice president for enrollment management. While they remain responsive to local needs, their work is more coordinated and they are now charged with representing the college as a whole, not just the programs available locally. In the IT area, technical support specialists and educational technologists now report to staff in the Office of Information Technology Services to assure coordination of these services across the college.

The reconfiguration envisioned in ESC 2.0 will include new positions of dean of student services and dean of academic support that will be responsible for coordinating distributed services in these areas.

> *Team Suggestions*
> *The need for advancements in technology that make important enrollment information available to the centers' and units' student services staff is being planned and will likely be implemented in the next three to five years. The team suggests that the student information system be capable of providing mentors, student supports staff, and other offices serving students access to student enrollment information. The system should also provide much needed direction for admissions personnel regarding the selections of students who can succeed at ESC. This vital communication link will enable all offices to better meet student needs regardless of location.*
>
> *The Team suggests that the Vice President for Enrollment Management and Student Affairs be positioned in the organization such that he or she will have a strong voice representing all students, student services and enrollment needs. This will be an asset to the operation of the campus, the organization of student services, and the planning process. This critical senior leadership position will be the reminder that students and their learning needs come first as the mission statement clearly states.*

Response

Empire State College provides weekly enrollment management reports to the college community, which include information about applications, student head count and credits

generated, broken down by each college location both at the center and unit levels. The college has been engaged in a rigorous and strategic process of selecting a new Customer Relationship Management (CRM) system which will be enterprise-wide. The system requirements for this new software include better reporting capabilities, so that leads can be tracked more readily through the college's processes.

Admissions personnel currently make use of an admissions essay to determine the ability to benefit from an Empire State College education. In collaboration with decision support staff, the effectiveness of this essay was analyzed recently by the admissions office. The results suggest that the admissions essay rubric used by the college is effective in determining who is likely to be successful at the college as opposed to those prospective students in need of remediation.

In a time of employee turnover at a senior level, the vice president for planning and institutional effectiveness was asked to serve as the interim vice president for enrollment management. This cost saving arrangement was extended over a three year period, while the college moved from deficit budgets into surplus territory. Recognizing the need for separate leadership in these respective areas, President Hancock reinstated the Vice President for Enrollment Management position, and a search for that position is currently underway, assisted by a search consultant firm. This position has been configured to reflect the restructuring at the college.

Although student services functions had been associated with enrollment management at the time of the last evaluation team visit, most of those functions were returned to the Office of Academic Affairs four years ago. The new administrative structure envisioned for academic affairs includes new positions of dean of student services and dean of academic support.

Faculty (Standard 10)

The evaluation team had no suggestions in relation to this standard, but the self-study report identified six areas where actions were proposed.

> *Self-Study Action Item*
> *Address the recommendations of the Next Generation Task Force Report and climate issues that surfaced in the HERI survey.*

> *Self-Study Action Item*
> *Conduct a study of faculty climate.*

Response
The Next Generation Faculty Task Force published its report just as the college's 2009 self-study was coming to a close. A major recommendation addressed the college climate and the report presents a compelling case that this issue needed to be examined further and addressed. The college senate, in consultation with the president, appointed a committee on campus climate. The Center for Planning and Institutional Effectiveness developed climate surveys for both faculty and staff. The surveys have been administered three times, in 2010, 2012 and 2014. With each version, surveys have been modified to capture more complete data to yield better information

about areas of concern. Ultimately, the surveys have helped to identify areas for intervention and improvement. Results from the 2014 administration of the survey suggested an increase in concerns that may in part reflect the fact that the survey was done very shortly after an initial announcement about restructuring in the college.

The campus climate committee has continuously offered a variety of forms of training and other support. These activities include an initial training program on civility in the workplace, workshops at collegewide events, a web page with resources and, in response to results of the most recent survey, a report to the president with a variety of suggestions for future actions, including the establishment of a neutral ombudsman position at the college.

The Next Generation Faculty Task Force report also made a number of recommendations about the nature of faculty appointments and professional development support at the college. At the time of the report, there was interest in changing faculty appointments from the current calendar year (12-month) appointment to an academic-year (10-month) appointment. There was mixed support for this, as a 10-month appointment would give a clear break that is not available with a 12-month teaching appointment in an academic calendar of five overlapping terms. On the negative side, a reduced appointment would mean a lower annual salary. The direct instruction/mentoring model described more fully below provided the potential for a full-time faculty member's teaching assignments to be focused in fewer than five terms, so that a term could be set aside for scholarship or other professional activity. We have recently resumed this discussion and will continue to evaluate enhanced flexibility in how faculty meet their professional obligation.

There were several recommendations about faculty development. One was to increase the number of sabbaticals and professional reassignments (release time from teaching) available. While the college has been financially challenged in recent years, the number of sabbaticals was increased from seven to eight. There was also an interest in having the options for faculty in terms of teaching, scholarship and service made more transparent. The follow-up activity arising from the prototype conversations will involve some experimentation with different mixes of teaching, mentoring and other faculty professional activity.

The report also called for strengthening the collective academic leadership of the faculty and there has been progress in this regard. The faculty initiated a new leadership group, the Faculty Conference Advisory Committee and an *ad hoc* committee of mentoring and teaching faculty is under consideration. The academic restructuring that will organize faculty in clusters of areas of study and academic fields will contribute toward this end. The college is also introducing a collegewide curricular process that will bring a collective voice into the approval of learning contracts and courses; approval of these offerings currently is decentralized.

The report noted the need for more information about our faculty. The college is now in the third year of a contract with Digital Measures that enables us to use Activity Insight, a database that can record faculty professional activity and generate reports. Newly hired faculty are oriented to the use of this produce during the orientation program provided by the Center for Mentoring and Learning. Information about faculty teaching activity is uploaded by the Center for Decision Support. But information about faculty scholarship and service has to be provided by faculty.

There is an investment of time required to get the initial information entered, although updating annually becomes routine. As a result, the number of faculty who have created a comprehensive record is very small. The Office of Academic Affairs and the Office for Decision Support will look at ways to facilitate faculty participation.

> *Self-Study Action Item*
> *Through the Task Force of the Faculty Professional Obligation in Mentoring and Teaching, continue to develop fair and equitable methods of defining faculty expectations and obligations in order to ensure academic quality, service to students, and an environment conducive to the ongoing professional development of the faculty.*

Response
In response to the task force report, the Office of Academic Affairs developed a revised model for defining teaching load. This model, called the direct instruction and mentoring model, was intended to reduce a variety of inequities built into an earlier model that did not clearly differentiate teaching from mentoring and advising responsibilities. Over the three years since the introduction of the new model, there are fewer faculty at the extremes of credit loads and number of mentees. The management of the faculty professional obligation is the responsibility of deans, but there is no common system for providing deans with data for monitoring faculty teaching and mentoring loads throughout the year; for the most part, they rely on local reporting. The Office of Administration now has a method for informing deans of the credit loads carried by their faculty, but this currently provides retrospective data summarizing activity over an academic year. Establishing a consistent and on-demand system of reporting on current teaching activity of faculty is a goal for the data warehouse.

Individually and collectively, faculty report that their teaching responsibilities are very heavy. While, in a calculation of credit hours of instruction per faculty line, the teaching loads of Empire State College faculty might not look very different from those at another comprehensive college, the typical instructional modes at the college can be labor-intensive. Many faculty work extensively in individual learning contracts with students on a one-to-one basis. The college's commitment to individualization is reflected in the common faculty practice of developing learning contracts that are tailored to the individual student. About half of the college's instruction is delivered in online courses that are structured to promote student engagement and consequently require faculty to be very active in the online "classroom" throughout every week of the term. The college is engaged in a set of related conversations about core aspects of the college's academic programs, mentoring and educational planning. Economically, the college will not be able to address this concern by increasing the number of faculty while student enrollment remains level or declines, but the ongoing conversations in the college have the potential to identify options for teaching and mentoring so that a faculty member can have a teaching load commensurate with the resources available in the college but that can also be professionally and personally sustainable.

> *Self-Study Action Item*
> *Review the proportions of full-time and part-time faculty in each academic center and the proportions of instructional credit offered by each group. To achieve more appropriate*

balance and to distribute instructional loads, committee work and other service activities more widely, it is likely that additional full-time faculty members will need to be hired.

Response
The number of full-time faculty at the college remains virtually unchanged, with 199 full-time faculty in 2009-2010 and 200 full-time faculty in 2013-2014. During the same period, enrollment declined 3 percent. The college continued to fill full-time faculty lines, although at a lower rate than during the previous period, when enrollment was growing. There has been a reduction in the assignment of part-time and adjunct faculty. The question of the right mix of full-time, part-time and adjunct faculty will need to be revisited as the college's enrollment decline is reversed.

> *Self-Study Action Item*
> *Build on existing center practices to develop collegewide procedures for orientation, professional development and evaluation of the various categories of adjunct faculty members appropriate to their instructional settings.*

Response
The Center for Mentoring and Learning (CML) worked with a team of faculty and associate deans from across the college to create a college-wide resource guide for adjunct faculty. A resource page developed specifically for adjuncts is available on the CML website. The Center for Distance Learning (CDL), which employs the largest number of adjunct faculty in the college, has a portal for their adjunct faculty that brings together all the resources needed for effective teaching. A professional staff member in CDL offers regular meetings via computer conference on professional development topics for adjunct faculty.

> *Self-Study Action Item*
> *Strengthen existing procedures for initiating and managing shared appointments, to enable individual faculty members to take on new and interesting work, centers to provide quality services to our students, and the college as a whole to plan effectively.*

Response
Under the current academic structure, a faculty member is assigned to a particular geographic center, the undergraduate Center for Distance Learning, the School for Graduate Studies, or programs in nursing and labor studies. Outside the nursing and labor studies programs, there is no single organizational structure that brings together all of the faculty in a particular academic field. So faculty members might be assigned their teaching loads to serve students at a particular geographic center. Then faculty interest, need for that faculty member's expertise at another location or a drop in enrollment in the faculty member's assigned location might generate a request for the faculty member to teach outside the geographic center. The reverse can also happen, with a faculty member in the online program sought for a teaching assignment at a geographic center. Balancing the needs of the local center and its students with needs at other locations has proven challenging in the current organizational structure.

The projected academic restructuring will bring undergraduate faculty into administrative units based on academic field rather than location. Under such a structure, any request or need for teaching in a particular area would go to the same administrative unit. While this arrangement is

expected to reduce the problems of coordination across the geographic centers and the online program, some challenges will remain. The School for Graduate Studies will continue to have its own faculty. Both needs in the graduate programs and interest among undergraduate faculty in having the opportunity to teach at the graduate level will continue to present both challenges and opportunities in managing these split assignments.

Academic Programs (Standards 11-13)

> *Self-Study Action Item*
> *Examine and possibly redefine or restructure areas of study, which provide the frameworks for the college's individually-designed undergraduate degree programs.*

Response
The college describes its broad, individualized undergraduate degree programs as areas of study. An area of study comprises three to five undergraduate degrees that have been approved by the State University of New York and registered by the New York State Department of Education. Business, Management and Economics, for example, is an area of study that includes five degrees: Bachelor of Arts, Bachelor of Science, Bachelor of Professional Studies, Associate in Arts and Associate in Science. Students work with faculty mentors to develop individualized concentrations within the area that conform to faculty-approved curricular guidelines but have considerable latitude for students to pursue personal and professionals interests and to incorporate transfer credit and other prior college-level learning.

The college's areas of study remained essentially unchanged for its first 40 years. A bachelor's degree in nursing was introduced in 2008, but that program had a set curriculum. At the same time, faculty developed a new area of study to offer a program explicitly designed for students seeking professional advancement in protective services and public service/administration fields. The new area of study, named Public Affairs, received college, system and state approval in 2011.

As an immediate follow-up to the 2009-2010 self-study and decennial review process, the provost appointed an academic planning task force in fall 2010. The college's first academic plan (see Appendix B), published in 2011, presented a framework for academic program development and criteria for selecting new areas for program development.

A thoroughgoing conversation about areas of study began when the provost appointed an Areas of Study Futures Team that began its work in early 2013 and produced a report in 2014. The team recognized and affirmed the multiple functions of areas of study and recommended clarification of the area of study convener role and provision of more resource support to the areas of study.

The academic reorganization of the college is intended to give greater coherence to the undergraduate programs by administratively grouping programs and faculty in clusters of areas of study. While for many years faculty have interacted in area of study groups and conducted important academic business, such as reviewing and updating curricular guidelines, there was no clear set of resources allocated to support these functions.

The president and provost have asked faculty to develop new undergraduate degrees programs that are more specifically titled and have a predesigned curriculum. These would offer alternatives to the individually-designed degrees typical of all the college's undergraduate programs except nursing. The intention is to broaden the program options available to adult students seeking to complete a degree. Areas of study have had a key role in the development of these program proposals, many of which are still under development or undergoing internal college review. For many areas of study, their menu of offerings will expand, with more structured programs added to the current individually designed degrees.

> *Self-Study Action Item*
> *Establish structures to assure that the results of outcomes assessments are systematically used to foster improvement. Better articulate student learning outcomes for undergraduate areas of study.*

> *Related Team Suggestion*
> *Move forward with initiatives to identify course- and program-level learning goals, objectives, and outcomes and to incorporate these systematically into course materials in a way that fits within ESC's individualized model.*

> *Evaluation Team Suggestion*
> *Complete the review of graduate course descriptions to ensure they accurately reflect high quality and clear communication of graduate-level expectations.*

Response

Since the last self-study, the college has made significant progress in building processes that support "closing the loop" by bringing faculty together to review the results of outcomes assessment for purposes of improvements in programs, courses and teaching. These efforts are more fully described in the section on assessment of institutional effectiveness and student learning.

Each area of study has revised its curricular guidelines so that they are framed in terms of outcomes rather than inputs. The policy on undergraduate learning contracts has been revised to require that each learning contract state expected learning outcomes for the study. The template for writing learning contracts has been revised to include a section on learning outcomes.

The e-catalog project is designed to create a single catalog for the college, with a single course listing for courses that are similar in purpose and substance. The School for Graduate Studies and the School of Nursing already have catalogs with singular course listings and have review processes internal to each school. These catalogs will be integrated into the unified e-catalog and review and approval processes for graduate and nursing courses will be consistent with those for courses in other programs.

For undergraduate programs other than nursing, faculty across the various locations of the

college and in the online program will work together to identify clusters of courses that can be represented as a single listing and to develop a description and learning outcomes for each listing. While the unified college catalog will assure consistent information about courses that have common content and objectives, it will also provide for experimental course offerings and individualized studies. The new e-catalog will be available in fall 2017.

> *Evaluation Team Suggestion*
> *Revise and simplify the degree plan guide and make as many of the components of the approval process as possible available online.*

Response
The Student Planning Guide for Degree Programs and Portfolios is now available online in PDF and Flipping Books^{TM} formats. The Web page for student degree planning also offers an extensive array of resources both for undergraduate and graduate students.

> *Evaluation Team Suggestions*
> *Invest in a strong technology infrastructure, including a robust student information system, shared access to the resources of the online learning platform, Web-based meeting software such as Elluminate, and various voice solutions to improve sharing of information across locations.*
>
> *Related to item #3, invest in the training needed to ensure effective use of technologies to improve to the quality of services to internal and external customers.*

Response
As noted above, the college is investing in a new CRM, and a new enterprise system. The plan for technology development includes the adoption of Microsoft 365, which offers communication through the LMS; the Academic Research Network, a technology platform for development, instruction and research; collaboration spaces; a content delivery network, which provides a repository for academic content, including digital learning objects; a virtual student center pilot and other new services. The Information Technology Services 2015 Interim Report to the College, February 2015 (see Appendix C) provides the rationale, time frames and organizational context for these developments.

> *Evaluation Team Suggestion*
> *Move forward with writing and math skills assessment, support and development. Systematically use the data from the GEAR assessments to evaluate the curriculum; consider optimal course sequencing; analyze implications for retention; incorporate attention to core learning outcomes throughout programs of study; inform the content and focus of new student orientations, study group meetings and residencies; and allocate funds for additional student support initiatives and resources.*

Response
The directors of academic support have developed and are now expanding course-embedded academic support options for writing and math skills development. These efforts include

supplemental instruction in high risk studies, statistics labs to support students with limited math skills, required academic skills workshops in courses and learning contracts, course assistants in high risk studies, and online academic support resources.

Directors of academic support and admissions staff collaborated on an evaluation of the admissions essay and rubric that had been in use since 2009 and are working with the undergraduate academic policies committee to develop revisions to the college's admissions policy based on this review.

The planning to implement a single e-catalog for the college will include consideration of scheduling and sequencing of courses.

GEAR assessments and program-level learning outcomes are discussed in the section on assessment.

Student services professionals have conducted an analysis of orientation practices and identified key elements that should be common in all orientation workshops. Centers have revised orientation programs in light of these recommendations. A cross-college team is examining the student life cycle. Among the actions being explored are ways to assure student success in during the first term of enrollment. An expanded orientation that would span the first term is under consideration. A related effort in the Office of Decision Support is to identify early warning signs for students at risk.

Since 2009, the college has created a student health and wellness program and an office of career services. The number of student clubs, both online and face to face, has increased. Some programs are directed to particular groups, such as the Black Male Initiative at the college's location in New York City.

Assessment (Standards 7 and 14)

> *Self-Study Action Item*
> *Establish a data warehouse and appropriate analytic tools.*
>
> *Related Evaluation Team Suggestion*
> *The team suggests that ESC continue to purposefully and deliberately support the development of a streamlined data warehouse and more user-friendly, powerful business intelligence tools.*

Response

In January 2010, the provost signed a data warehouse/business intelligence charter with the primary goal to deliver reporting and analytic capabilities through a centrally maintained, enterprise-wide reporting environment and data warehouse enabling various stakeholders with a flexible self-guided intuitive reporting tool with information that is consistent and available. In general, although the resources devoted to this initiative have been modest, the initiative has been able to build capacity for data-informed decision-making to help inform interventions, and

create a culture of evidence through use of data to strengthen institutional change and support student success efforts.

Despite the modest level of resources available for this effort, significant progress has been made. Establishing effective data governance is key to delivering trusted, reliable business intelligence in any organization. In the fall of 2014, college leadership supported the creation of a data governance team with the following vision: *"Information is treated as an enterprise-wide strategic asset and is readily available to support evidence-based decision-making and informed action."* The Data Cookbook has been adopted to support data governance through common agreed upon data definitions as well as report specifications. Cognos and Microsoft SQL Server Analysis Services have been adopted for report and cube (OLAP) development, standard and *adhoc* reporting, and analytics in a self-service capacity. Microsoft SQL Server 2012 serves as the backbone of the infrastructure (DBMS) while Python and Wherescape RED provide extremely rich integrated development of the data warehouse and analysis-ready data sets. A Data Vault methodology is in place to support disparate data integration in one enterprise model while the *defacto* standard Kimball methodology serves as the reporting data layer. An ODS serves as a real-time layer for supporting transactional reporting from Cognos. R and SPSS software provide predictive analytics capabilities supporting risk assessment as well as enrollment planning. Notable business areas include: enrollment, learning analytics and admissions.

> *Self-Study Action Items*
> *A comprehensive review of the learning contract and contract evaluation should be undertaken, with broad input from all college constituencies. A redesign to improve student learning should be the goal.*
>
> *The CUSP subcommittee should consider how learning contracts can take into consideration the faculty developed rubrics, which outline specific expectations for student proficiency in learning objectives.*
>
> *Related Evaluation Team Suggestion*
> *Support a comprehensive review of learning contracts and contract evaluations such that consistent and clear statements regarding student learning outcomes in all areas of study, especially those that are less formally structured, can be developed.*

Response
The college approved major changes to two core academic policies in 2011. The previous policy on the evaluation of student work and the award of credit called for the evaluation of student performance in each undergraduate learning contract or course to be conveyed through a narrative learning contract evaluation that became part of the student's permanent academic record and transcript. The policy on undergraduate evaluation and grading was revised to eliminate the narrative learning contract evaluation as the method to assess student work and determine the award of credit. In the new policy, the final evaluation of a student's performance in a learning contract or course is communicated through a letter grade only.

The change in the method of evaluating student work had implications for the design of learning contracts, so the policy on undergraduate learning contracts was revised at the same time. When the elimination of narrative learning contracts was under discussion, there was considerable concern about assuring that students received developmental feedback and not just a letter grade. The revision to the learning contract policy was predicated on the proposition that evaluation and feedback to a student about performance in a learning contract or course should happen throughout the term and not just at the end. The revised learning contract policy required that each contract present a plan for formative feedback about a student's work throughout the term.

The previous template for learning contracts did not clearly state an expectation that specific learning outcomes be articulated. The policy referred to purposes and objectives of a study and, in practice, the interpretation of these terms varied considerably.

For some faculty, the revision to the learning contract and attendant changes to the template for writing learning contracts required a change in their practice. Associate deans collaborated with the Center for Mentoring and Learning (CML) to assemble resources on writing learning outcomes and planning formative assessment. Professional development workshops on these topics were planned and delivered in the summer before the implementation of the new policy. These workshops were delivered by associate deans and faculty at dispersed regional sites but the presenters worked from a common outline and set of objectives. The CML website makes available resources and sample learning contracts that illustrate best practice in articulating expectations for learning outcomes, developing learning activities keyed to outcomes, and providing effective formative assessment.

Several of the regional centers undertook local projects to improve the design of learning contracts.

The review of learning contracts has been an element of the area of study review (AOSR) procedure (a review comparable to what is more commonly called academic program review). The instruments used in the AOSR include a rubric for evaluating learning contracts (see Appendix D), but the review is at a general level. Reviewers are asked to rate the overall quality of learning contracts in student files rather than evaluating each contract individually. Associate deans have a draft version of a rubric for a finer-grained analysis of learning contracts, with the intent of conducting the comprehensive review advised by both the college's self-study and the evaluation team. Planning for such a study is at a preliminary stage at this point.

> *Evaluation Team Suggestion*
> *Improve the ability to see and use existing data and information about student learning outcomes by implementing the use of electronic portfolios (perhaps through ANGEL platform) that can provide an archive of student work useful for when students seek admission to graduate school or when they seek employment, as well as outcomes data useful for both GEAR and assessment-in-the-major efforts.*
>
> *Self-Study Action Item*
> *Move toward the use of electronic portfolios for the collection of student work.*

<u>Response</u>
An ePortfolio steering committee has been meeting since 2010. This group has fostered experimentation with uses of ePortfolios in several centers and academic programs in the college. In 2014, the group proposed a policy on the use of ePortfolios that is under consideration in the undergraduate and graduate governance committees.

The group experimented with Moodlerooms as the platform for ePortfolios. The limitations of that platform presented challenges that prevented the group from going beyond the initial stages of implementation. The steering committee continues to explore more appropriate solutions to making a robust ePortfolio system available to students and faculty. The college will be exploring alternative course management systems, which may offer an opportunity to adopt an ePortfolio system that integrates with college systems.

> *<u>Self-Study Action Item</u>*
> *Develop a website for all faculty, including adjuncts, to share a best practice and to post papers, assignments and questions that elicit students' critical thinking and other higher order responses.*
>
> *<u>Related Team Suggestion</u>*
> *Promote efforts to use assessment information to identify "best practices" that advance student learning. Making information readily available through multiple channels such as associate deans, area conveners, the Center for Mentoring and Learning, and CUSP-PA, would also promote involvement in outcomes assessment activities by illustrating the formative value of assessment efforts that should, after all, be the primary focus of assessment activities.*

<u>Response</u>
The CML website is open to all faculty, full-time, part-time and adjunct. The resources on this site include materials on working effectively with adult learners, bibliographies on innovative practices, guidance on the development of learning contracts, best practice in formative assessment, rubrics for the evaluation of student learning, and blended and online learning. The academic assessment plan gave attention to assessment at the learning contract/course level as well as at programmatic and college levels.

CUSP-PA was a subcommittee of the undergraduate policies committee that focused on program assessment, including outcomes assessment. At the time of the 2009 self-study, CUSP members recognized that the agenda for this committee included not only policy development and approval but review and approval of academic program proposals. As the college worked to improve the connection between outcomes assessment and program improvement, CUSP seemed the logical collegewide body at the undergraduate level, but the further expansion of the charge of the committee was daunting. There was a proposal to create a separate standing governance committee that would be charged with review and approval of academic program proposals and with "CTL 3" – the college-level review of outcomes assessment results for policy implications and process improvement. The proposal was not approved by the College Assembly, the plenary body that recommends college bylaws changes to the president.

In the following year, the college developed an academic assessment plan that recommended the creation of an Academic Assessment Plan Implementation Committee that currently fulfills the functions envisioned for the successor group to CUSP-PA. In addition, the planned academic restructuring, which will be based on academic fields, may provide more natural avenues for a feedback loop in discipline-specific assessments.

> *Self Study Action Item*
> *Create incentives for area of study conveners to assure peer leadership in the application of outcomes assessment findings to academic programs and practice.*

Response
In the past several years, the demands on area of study conveners has increased as they have been asked to work with their faculty to reframe curricular guidelines as statements of expected learning outcomes and to engage in closing the loop activities with their faculty groups in collaboration with the director of outcomes assessment. In 2014-2015, a modest stipend was provided to each convener or co-convener on a pilot basis and the pilot will continue into 2015-2016. The projected academic restructuring will create new faculty leadership roles that include elements of the current convener role, making peer leadership in academic programs a part of the administrative structure of the college.

> *Team Suggestion*
> *Account for barriers to sharing and using assessment information arising from the unique aspects of ESC, recognizing the tremendous workload involved with individualized instruction efforts. Consider increasing investments in improved technology to mitigate problems imposed by these barriers and others imposed by the need for collaboration and discussion across centers and units located away from Saratoga Springs.*

Response
The outcomes assessment effort has drawn on the expanding videoconference capabilities of the college to make the participation of dispersed faculty in outcomes assessment activities more feasible and less costly in time and travel. The process of participation and analysis has also been streamlined with the use of technology to expedite recording of faculty assessments. The Center for Decision Support posts a quarterly update on outcomes assessment activities and the website of that office has reports of all outcomes assessment activities. While availability of information about outcomes assessment has increased, the level of attention given to this information by faculty and staff lags behind, particularly at a time when structural and programmatic changes are the focus of attention in the college community.

Major Challenges and Opportunities for the Institution

The college has encountered challenges arising from both external and internal sources. Some of those challenges have been resolved and others have been converted to opportunities. At this point, five years after the last decennial review by MSCHE, the college has emerged as a stronger partner in SUNY system initiatives. Its academic programs have grown in variety and become more responsive to workforce needs and the interests of adult students. Partnerships with corporations, associations, unions and government agencies have increased. The college is moving toward a new administrative structure to ensure optimal use of its resources and to strengthen both academic programs and enrollment management functions. New approaches to support student success through the student life cycle and effective interventions for at-risk students are under development. Widely participatory college conversations have addressed core features of the college: mentoring and advising, educational planning and academic program development and review. The college is poised for growth and committed to ongoing improvement in academic programs and student services. Major changes are anticipated over the next two to three years and the college looks forward to the next self-study and decennial review as opportunities to assess the effect of the planned changes.

Challenges

Empire State College has faced challenges in revenue and enrollment since the last self-study. Since 2007, when the college began its preparations for the 2009 evaluation team visit, the percentage of ESC's annual budget funded by direct state support dropped from 22 percent to 9 percent. This decline reflects a decrease of $6.8M in annual revenue. The impact of the funding decrease was mitigated through successful negotiations between the college and the system that resulted in a higher proportion of the college's enrollment being recognized in the system's funding formula. The increased recognition of enrollment together with a tuition increase led to a modest increase in the college's operating budget. The college also secured a significant increase in capital funding, which will support the construction of university-owned buildings in two regional sites, which ultimately will decrease the burden of lease costs.

The college has also experienced an enrollment decline over the past five years. The decline paralleled trends in institutions of higher education. Specific to the college, a sizable increase in tuition for online students living outside the state of New York led to a drop in enrollment from this segment of the student population. The college was able to make realistic enrollment projections to anticipate the decline and align expenditures with reduced revenue. At this point, the enrollment decline appears to be leveling off and the fiscal picture for the college is stable and improving.

Keeping up with technology is a pervasive challenge in higher education. For many years, the college relied on homegrown systems to support its individualized academic programs, extensive prior learning assessment opportunities and a geographically dispersed structure for delivery of academic programs. Commercially available products did not readily fit these features of the college, but the reliance on locally developed solutions was not sustainable. The college's 2010-15 strategic plan for integrated technology recognized that these systems are no longer adequate. The college is investing in new systems, including a new CRM that will be implemented in 2015 and a new enterprise system that will implemented in 2016.

Opportunities

Empire State College plans to take advantage of opportunities in the areas of program and partnership development, innovative educational delivery, strengthened information technology systems and data analytics. A number of related initiatives in support of retention and student success build on the college's history of student-center education, mentoring and enabling students to build in their prior learning and develop personalized degree programs that meet both their individual goals and the college's academic standards. Since the time of the last self-study, the college has become a major player in SUNY initiatives and increasingly is seen as a key part of the system's response to the national degree completion agenda.

After its initial undergraduate degree programs were registered by the New York State Department of Education (NYSED), no new programs at the level were introduced until a bachelor's degree in nursing was opened in 2008. A new bachelor's degree program in public affairs was approved in 2011. Graduate programs remained similarly stable, with three master's degrees approved in the early 1980s and an MBA degree added in the 1990s. The pace of program development has accelerated significantly at both undergraduate and graduate degree levels in the past three years. At the undergraduate level, 10 new undergraduate program proposals are in the internal pipeline. Unlike the college's original broad umbrella programs, within which each student develops an individually-designed concentration, the new programs under development offer a predesigned curriculum and a more specific title, such as accounting or psychology. These new programs offer the opportunity for the college to serve graduates of SUNY's community colleges by offering bachelor's degrees that are clearly linked by title to associate degree programs. These new programs will also more closely match transfer pathways identified by SUNY in support of its student mobility and transfer initiative.

Five new combined bachelor's/master's degree programs were approved by NYSED in the past year. These programs offer working adult students an accelerated path to a master's degree and enable the college to create a clear path to graduate study for its students.

Program development at the graduate level has been even more vigorous than undergraduate efforts. Since 2010, the college has initiated 21 advanced certificates that are graduate-level and articulate into master's degree programs. Five new advanced certificates are under development. These certificates, typically four courses for 12 credits, offer adult learners an opportunity to explore graduate study by taking courses in an area of personal interest or professional relevance. The advanced certificate can be a steppingstone into a master's program.

There has been extensive degree program development at the master's level since the last self-study. Since 2010, the college has developed two new MBA programs, in global leadership and health care administration, a Master of Science program in nursing, and Master of Arts programs in adult learning and learning and educational technology. These new programs give the college the opportunity to serve a growing market for master's degrees among working adults.

The college recognizes opportunities for doctoral programs for adult learners seeking practitioner-oriented degrees at this level. The college has developed proposals for an Ed.D. in educational leadership and a Doctor of Management (D.M.) in organizational leadership. Letters

of intent have been submitted to the SUNY provost's office; this is the first step in approval of new degrees. As these degrees would be the first two at the doctoral level, the college is cognizant of the need to gain MSCHE approval through the substantive change process.

The college sees partnerships with other organizations as a productive way to build enrollment and to assist employers in building the educational preparation of their employees. The college has a professional learning evaluation (PLE) process for evaluating noncollegiate learning for equivalence to college credit. The college's process follows the same standards as those used by national organization such as ACE that offer similar services. PLEs have served as the basis for a partnership with the employing organization or association that delivers the training. Evaluations of training for police and correctional officers led to a memorandum of understanding (MOU) concluded in 2014; the organizations that deliver the training made a commitment to refer students to us for degree programs that incorporate the evaluated training. Similar efforts are under way with a high-tech employer in the capital region, a union, and the New York City Department of Education.

While the college has had international programs since it was founded in 1971, these programs have been small and isolated from the mainstream academic programs of the college. Currently the college has partnerships with institutions in Albania, the Czech Republic, the Dominican Republic, Greece and Lebanon to deliver dual degrees or bachelor's degree programs to students of the partner institution. The programs are delivered in classrooms, online or in a blended format. Enrollment in these programs has been static or declining. The college is currently searching for an executive director of international programs who can bring a comprehensive knowledge of international education to the college, assess current partnerships, identify new partners, develop study abroad opportunities, expand opportunities for faculty teaching and research in international settings and work with faculty on internationalizing the curriculum. A reinvigorated international education function at the college aligns with the global education priority in the SUNY strategic plan.

Improved recruitment and retention are top priorities for the college. Cross-college groups are remapping the student experience throughout all aspects of the college to ensure that the right services are provided at the right time to drive student success in the college's geographically dispersed structure. Key supports surround this effort: development of a data warehouse, a strengthened decision support function, new technology solutions and administrative restructuring to coordinate more centrally services that are made available at numerous sites.

The student services function at the college has expanded dramatically since 2010. There is a well-staffed student wellness program, a new office of career services and internships and student clubs at local sites or as online communities. These expanded activities support retention by enhancing student engagement and improve students' opportunities for employment after graduation.

The college is making major investments in technology to support academic program initiatives and enhanced support of student retention and success. Working from the ground up, the college is creating integrated information technology solutions that will bring its geographically

distributed environment into one virtual commons with enhanced business intelligence, automated services and learning analytics.

The college is constructing two new buildings, one in Rochester and one on Long Island. These facilities will provide state of the art video conference hubs to link learning opportunities across the state and beyond. Students from various sites in New York and international locations will be able to participate in synchronous virtual classrooms and collaborate on projects.

The college is building its resource base through increased grants activities. Grants from the Gates and Lumina foundations and other funders have supported enhancement of prior learning assessment (PLA) processes and the development of new pathways for student success such as competency-based options in degree programs. The college's leadership role in grants related to PLA have placed it in a leadership position in a network of SUNY colleges seeking to bring PLA opportunities to their students. As a result of an earlier grant, ACE invited the college to work with a network of institutions developing PLA programs with ACE support.

The college proposed an Open SUNY initiative to the SUNY chancellor in 2011 and it was adopted as a university-wide project with a lead role for the college. Open SUNY offers the college opportunities to develop or expand accelerated degree programs, dual admissions and transfer programs, PLA and competency-based programs. Open SUNY has been particularly helpful in expanding collaboration with community colleges in the system.

The college is engaged in several conversations that offer the opportunity to rethink core approaches and to identify effective models that work across the various programs and locations of the college. Three "prototyping conversations" were initiated in the fall on the topics of mentoring and advising, academic program review and educational planning. These groups issued a report in February 2015 and follow-up activities are being planned for the coming academic year. A fourth college-conversation on the topic of student success was initiated in the spring and will report in the fall. All these conversations have offered broad opportunities for input, using discussion spaces in the Mahara portfolio function of the LMS Moodlerooms and the Blackboard Collaborate computer conference system. These four conversations are ongoing and there are no specific outcomes to report. They do, nevertheless, provide a significant opportunity for the college to reflect on its mission, values and commitments and to consider how newer programs, services and processes relate to core aspects of the college. With the college on the brink of dramatic change, it faces questions about how to sustain distinctive and valued practices such as mentoring and individualization while making room for a range of academic structures, student supports and faculty/staff roles that meet the needs of an evolving student population.

Enrollment and Finance Trends and Projections

Enrollment Trends and Projections

Enrollments at Empire State College have declined slightly over the past four years, following national trends in our sector. The college's tuition and fees have increased during this time period, in part as a result of SUNY's rational tuition policy, which established a five-year tuition plan for the period 2011-12 through 2015-16. The plan establishes the maximum increases for each year, with the trustees revisiting the plan each November to determine the tuition adjustments necessary, based on the existing fiscal climate.

While the modest general tuition increase may have had some impact, a change in tuition for students in online courses was followed by a significant drop in online-course enrollments. Beginning with the September 2012 term, all nonresident students (with the exception of military students and some spouses) were charged SUNY out-of-state rates. Previously, the college's online students paid the in-state rate. To mitigate the impact of the increase in online tuition, an Empire State College grant is given to all nonresident students that results in a net tuition cost of 1.4 times the resident rate. That steep increase in tuition significantly impacted the number of out-of-state students enrolling in online courses. There was a sharp decline in new applications from out-of-state students as a result. Out-of-state enrollments dropped from 2,467 students in 2011-12 to 1,970 students in 2013-14, a decrease of about 500 students.

Enrollment trends are reported in Appendices E, F and G. Our enrollment reports do not use the typical metrics of full-time-equivalent (FTE) enrollment and fall student headcount. Instead, the college uses unduplicated annual headcount and counts enrollment by credits, rather than FTE, because of our large body of part-time students, who enroll throughout the year. A fall-term headcount underrepresents the total number of students served across the year. New students may enroll for the first time in any one of five terms and returning students follow enrollment patterns typical of part-time, working adult students. While our students typically enroll in two or three terms per year, they do not necessarily enroll in the September term. Because of enrollment counting decisions made by SUNY, its calculation of FTE enrollment accounts for less than half of the students we serve annually. The college is working with SUNY to have more of our enrollment recognized, so that reports from SUNY more accurately reflect the course credits delivered and the actual size of the student body served.

To reverse recent enrollment trends, the college is making significant investments in infrastructure. A new constituent relationship management (CRM) system will be implemented before the end of the calendar year to replace the current system. The CRM will provide more comprehensive and integrated support for critical aspects of enrollment management, including prospect recruitment, admissions, student success services, events management, marketing, analysis and reporting. A vendor will be hired to rebuild the college's website and a new vice president for enrollment management will be hired before the end of the year.

Since its founding, the college has owned buildings only in Saratoga Springs. Its dispersed regional centers and satellite offices have been in leased premises. Several years ago, the college received capital funding for learning centers in Rochester and Long Island that will provide permanent locations in the western and downstate areas of New York. These locations are expected to serve as service and administrative hubs, as well as instructional sites, and to improve the college's visibility in these regions. Compared to current sites, the new buildings will be enhanced with the latest videoconferencing and instructional technology.

In the academic area, the college is adding new undergraduate and graduate degree programs in high-demand areas to its current offerings. An administrative restructuring of the college, described more fully in the prior section, will more clearly differentiate academic programs and services from outreach and enrollment management functions, as the college is poised for growth.

We anticipate that beginning in 2015-16, with the opening of our new facility in Rochester, the college will reverse its negative enrollment trend and start to grow overall again, with an increase in enrollment in both programs offered at physical locations and those offered online.

Projected Enrollment through 2018-2018

	13-14	14-15	15-16	16-17	17-18	18-19
Total Headcount	19,534	19,143	19,526	20,502	21,733	23,254
Online only	8,155	7,992	8,152	8,559	9,073	9,708
Annual Credits	271,475	264,524	269,814	283,305	300,304	321,325

Finance Data Trends and Projections

<u>Operating</u>
The college is in the final months of the 2014-2015 fiscal year. Actual enrollments for the current year are down 1.9 percent, based on enrollment reports through April 29, 2015. The current year financial plan included revenue projections that incorporated a 2 percent decline in overall enrollment for 2014-2015 and the budget was planned according to those projections. Related revenues are steady and on target. Cash balances are at the low end of SUNY's prescribed range for acceptable cash reserves (10 - 25 percent of the annual operating budget). Overall, the college's cash position has seen steady improvement over the last two fiscal years. The college continually monitors the budget using the all-funds summary reports and those reports, through May 6, 2015, show that with 85 percent of the fiscal year complete, we are just under 74 percent committed. Despite a decline in enrollment, the college's expenditures have remained relatively constant over the last several fiscal years.

Expenditures and Credits

Expenditures
Enrollment

2014-15 is projected. FB & NR grant not included.
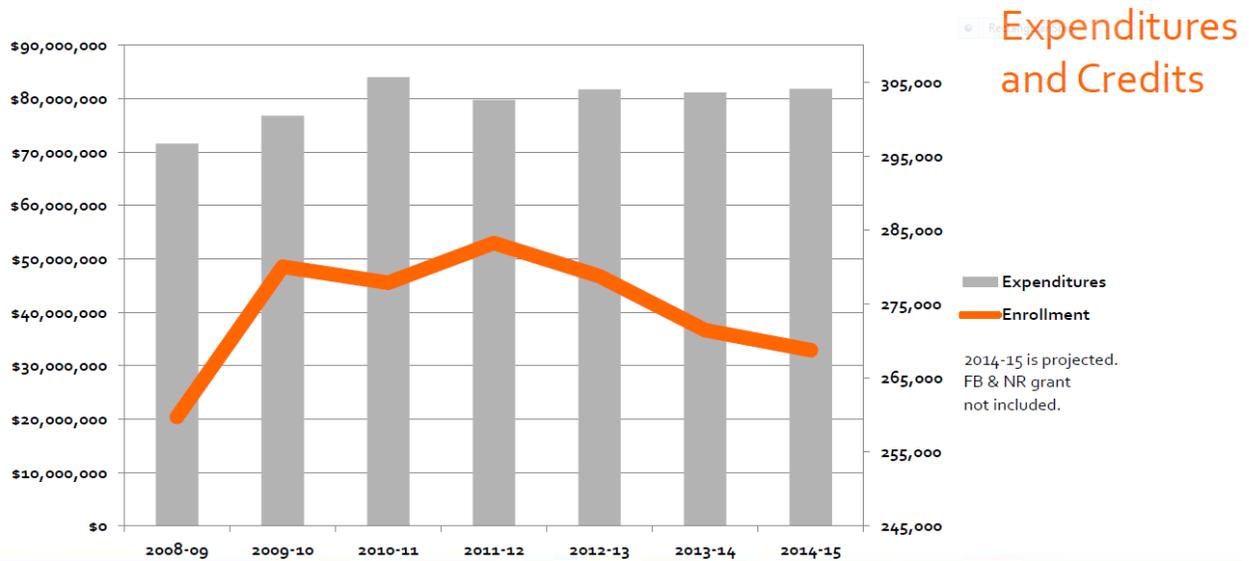
The State of the College address delivered by the president at our 2015 All College Conference announced that we anticipate ending the fiscal year in the black for the second consecutive year. In 2013-2014, the college ended the year with net revenues of $4,166,000, and the most recent projections for the current year estimate net revenues of $5,151,000.

Net Revenue

$2,172
($9,537)
($9,536)
($3,218)
($3,473)
$4,166
$5,151
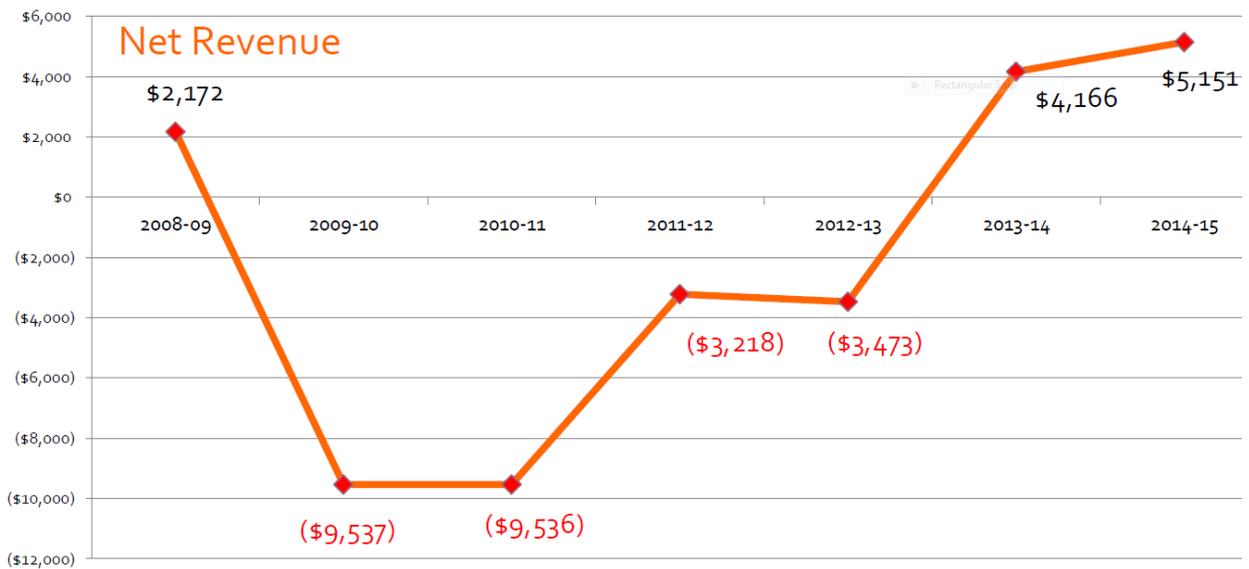
The overall financial condition of the college has improved significantly over the last two years. We eliminated prior year losses and were also able to restore our cash position to the point where we are within the acceptable range per SUNY's cash reserve policy. Also, as a result of both increases in enrollments recognized in the resource allocation process and the cumulative impact

of a five-year rational tuition plan, we saw some growth in operating revenues supporting the college's core budget.

7 Year Budget Summary (in thousands)

	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
State	$13,997	$11,466	$10,258	$8,672	$8,759	$8,759	$8,999
Campus Rev	$36,492	$39,686	$40,041	$42,686	$44,127	$55,013	$60,981
IFR/Sutra	$20,413	$31,908	$42,710	$35,904	$38,052	$30,167	$22,034
ESCF/RF	$2,851	$3,828	$2,500	$2,000	$2,728	$2,480	$3,584
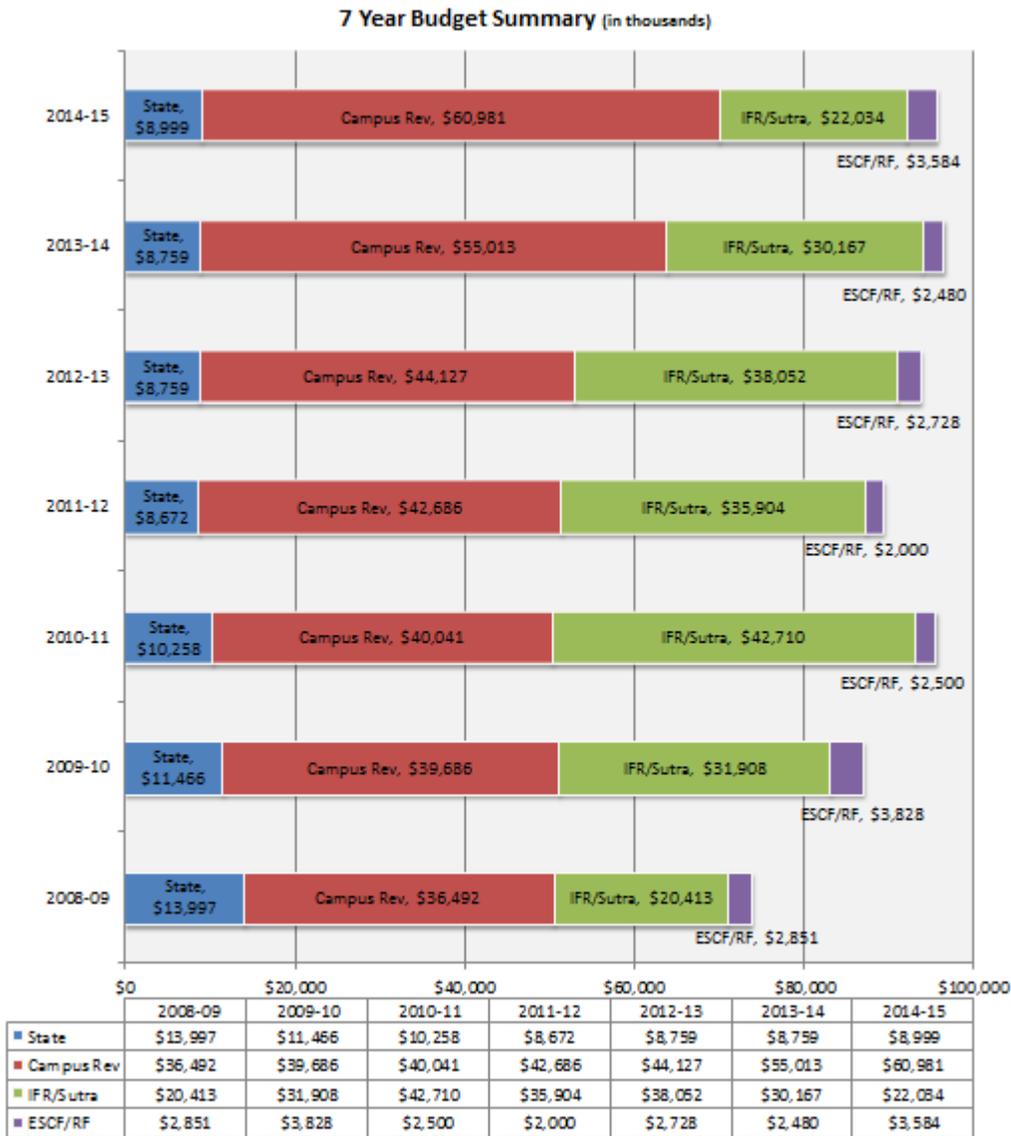
Capital
The structural steel is up at the new center in Monroe County; however, the SUNY Construction Fund has indicated that the project may be lagging behind a few months from the originally scheduled completion of February 2016. The project for a new center in Suffolk County is currently undergoing some architectural redesign work and is expected to go out to bid in August 2015. The contract for the purchase of land for the Suffolk County site is with the Office of the State Comptroller for approval.

We are considering a proposal for a new unit in Jamaica, Queens, and a new unit in Nassau County is also under consideration. Significant leases currently under review for renewal include

Cheektowaga and Staten Island. Our goal is to provide the broadest possible location footprint to meet the needs of our diverse student body.

Office moves have started taking place at the Coordinating Center in Saratoga Springs as part of the reconfiguration with ESC 2.0. We anticipate the majority of office moves will be completed during the 2015-2016 fiscal year.

Resource Allocation Process for 2015-2016
We are nearing completion of the resource-allocation process for FY 2015-2016. As noted in our original self-study, the budget and planning process is very much an annual event that only focuses on the next 12-month period in concert with the state's annual process. This process starts in December with the SUNY budget request. In January, the governor's executive budget is released, followed by a month of budget hearings, which include SUNY's budget as a component of the state's aggregate budget, and then another month of negotiations to ultimately have a state budget by April 1. ESC's internal budget process starts in January and is tentatively scheduled to conclude in June, once final appropriations and allocations are released by SUNY.
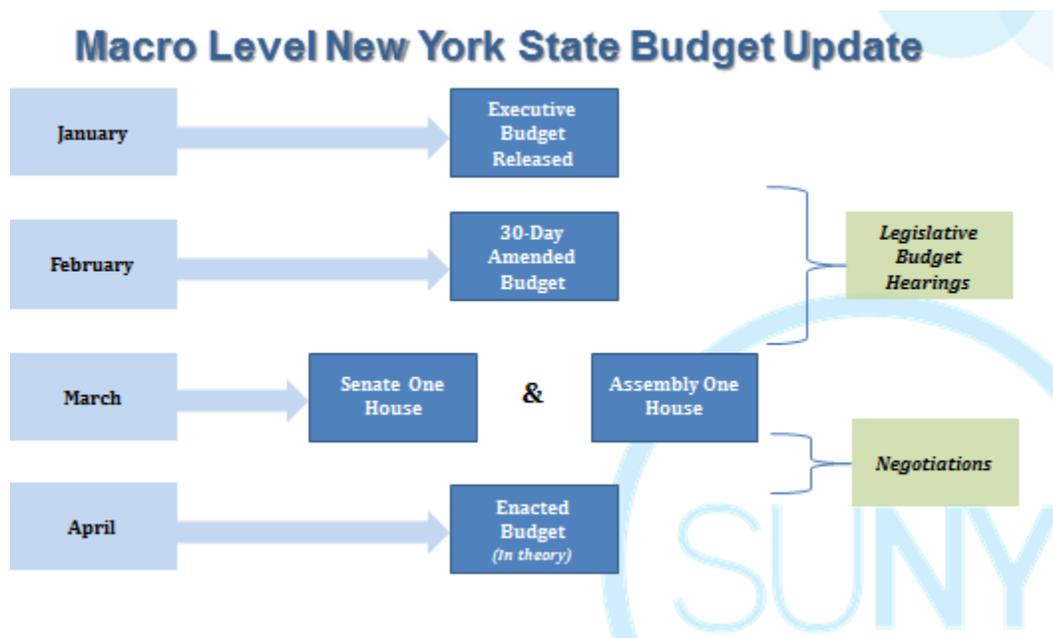
New to ESC's internal budget process this year was the consolidation of all academic centers into the Office of Academic Affairs' budget submission. Previously, the dean of each center presented a separate budget proposal for the academic center. In the current year, deans made their budget presentations to the provost and vice provosts. Budget requests were evaluated and prioritized by the senior academic affairs administration and a comprehensive academic affairs budget was presented to the president and vice president for administration. The new approach has allowed a more integrated and efficient approach to the allocation of instructional and academic support services resources. By 2016-17, in conjunction with our realignment from geographically aligned academic centers to a more student-centric alignment, we are laying the foundation for a planning process that will have an area of study or discipline-based focus. All other divisions under the various vice presidents underwent a similar budget process, as with past

practice. With all of the budget submissions and related testimony completed, the process of summarizing the requests, prioritizing those requests by major initiatives and goals and preparing for the decision-making process is moving forward. In conjunction with the decision-making process, preliminary enrollment targets have been proposed and the related revenue projections for 2015-2016 have been prepared. The Office of Administration will make the budget proposals and initial 2015-2016 budget available to the college community early in June, just prior to the start of the July 1, 2015 fiscal year.

Enrollment and Revenue Projections (including assumptions)
The college works with the various deans to develop enrollment goals. The Office of Administration, working with the Office of Enrollment Management and Marketing, projects the enrollment needed in conjunction with the anticipated level of approved-expenditure plan. Each May, SUNY requests the campuses to provide revenue projections in conjunction with the system's resource-allocation process. SUNY provides appropriation based on the projection of tuition and fees provided by the campus. SUNY monitors these projections throughout the fiscal year, requesting updates in both spring and fall. The revenue projections submitted to SUNY and used for ESC's planning purposes start with the current-year enrollment from the spring update, which incorporates the most recent enrollment figures from the Office of Decision Support. The 2015-2016 revenue projections assumed enrollment to be flat and included the anticipated new tuition rates to be approved by the SUNY board of trustees, which was included in the enacted budget for 2015-2016. It is projected that this will provide $3.7 million in new tuition revenues to support ESC's budget. For budget purposes, enrollment projections are both conservative and attainable, and in sync with the overall SUNY financial plan.

Draft 2015-2016 budget

Enrollment (estimates for budget purposes)

Unduplicated Headcount	19,526
Credit Hours	269,814

Revenue and Expense Summary

State Appropriation	$ 8,999,100
Tuition and Fees	$72,879,900
IFR Revenues	$12,875,700
Total	$94,754,700
Expenditures (w/fringe)	$96,500,000
Net Revenue	($1,745,300)

****Estimated**** Funding details not yet made available by SUNY.
              Numbers not final
              Planned reserve spending estimated at $1.2m-$1.8m

The appendices to this document include financial information submitted to the IPEDS Financial Survey F1B reports for 2011-12 (Appendix H), 2012-13 (Appendix I), and 2013-14 (Appendix J). Revenue projections for 2013-14 (Appendix K), 2014-15 (Appendix L) and 2015-16 (Appendix M) are also attached.

Assessment of Institutional Effectiveness and Student Learning

<u>Assessment of Student Learning Outcomes</u>
The college has invested significantly in strengthening the assessment of student learning outcomes since the last self-study. The college has had a system for the assessment of learning outcomes at the program level and in general education that draws on samples of student work. These assessments have been in place for over ten years. The last self-study identified a need for more attention to the use of findings from outcomes assessment studies for improvements in programs, policies and teaching practice. Gaining participation from faculty had been challenging.

In the past two years, the college has piloted new processes to support outcomes assessment, and it continues to improve. An overview of recent and planned developments include the following:

Closing the Loop

The college defined three stages of closing the loop:

Closing the Loop I (formative/summative integration)
Mentors from individual GEAR and AOS groups identify issues, concerns and themes arising from their summative reviews in order to identify improvements (formative) that could contribute to higher quality degree programs and portfolios. These findings are included within final assessment reports submitted to GEAR and AOS groups for their longer-term review and reflection.

Closing the Loop II (action for improvement)
The Office of Academic Affairs supports further reflection and action in the intervening years between GEAR, AITM and AOS reviews. These 2-year or 5-year periods between assessments allows GEAR and AOS groups to establish and carry through action plans for identified program and portfolio improvements.

Closing the Loop III (college wide reflection on results and methodologies, evaluation of the assessment process)
The Academic Assessment Plan Implementation Team is working on this process.

The Office of Academic Affairs (OAA) and Decision Support (formerly CPIE) are integrating "closing the loop" processes. DS is developing CTL I (reflection-in-action during the assessment process) and OAA is developing CTL II (reflection-toward-action for the purposes of improvement). The goal is to support areas of study and other faculty groups as they review results and decide to act on areas for improvement in the new cycles.

Translating AOS Guidelines into Student Learning Outcomes

The Academic Assessment Plan includes an ongoing initiative to reframe AOS and concentration guidelines as learning outcomes statements. OAA and DS representatives have oriented faculty to this initiative at a variety of meetings, including the 2013 All College Conference. In May

2014, the two offices led a well-received "Areas of Study Guidelines Retreat," which was attended by members of most areas of study. This was a working conference. The results were brought back to the Areas of Study, the Committee on Undergraduate Study and Policies (CUSP) and OAA for approval in accordance with normal governance procedures. The purpose of this initiative was to improve the clarity and transparency of guidelines for students and mentors, and to improve the assessment of outcomes.

Aligning Student Learning Outcomes

The assessment of learning outcomes asks whether and to what extent an institution enables students to meet its learning goals and what institutional improvements intentionally enhance those that result. Learning outcomes are articulated at the institutional level (college learning goals), for each academic program (undergraduate areas of study and graduate and professional programs), for general education and for individual learning contracts and courses. Ideally, goals at every level are aligned with one another. The *Academic Assessment Plan* encourages alignment of outcomes across these levels. OAA and DS have been orienting faculty to this issue in a variety of ways.

Adoption of College Learning Goals

In December 2011, after a lengthy college wide discussion led by the Committee on Undergraduate Study and Policies (CUSP), the College Senate and president approved a new statement of college learning goals. As area of study faculty work to reframe guidelines as learning outcomes, they also are considering their alignment with the college learning goals.

Basic Communication GEAR Sampling Pilot

In 2013-2014, the Office of Academic Affairs and DS piloted a new approach for sampling student work in preparation for the Basic Communication GEAR. The project team revised the rubric to improve transparency for both students and faculty. At the start of the September 2013 term, CPIE/DS distributed the rubric to faculty who were teaching selected college writing studies in the Center for Distance Learning (CDL) and other academic centers. Instructors identified relevant assignment(s) in their studies, and student work was archived in the college learning platform (Moodle) for review by a collegewide assessment team. The purpose was to gather a balanced and representative sample of student work from all of our undergraduate centers (not only CDL) and to improve confidence in GEAR results.

Area of Study Cluster Sampling Pilot

In the spring of 2013, CPIE explored a new cluster sampling methodology with AOS assessment teams and conveners. Teams of AOS faculty reviewed clusters of degree program portfolios in successive stages until themes for further consideration and continuous improvement emerged. CPIE proposed the new methodology to make reviews more interactive and meaningful for participating faculty, while also ensuring reliable reviews that provide a sound basis for improving academic programs. Faculty endorsed the pilot, which ran in 2013-2014 with good success and, again, in 2014-2015.

Revision of Area of Study Review Instrument and Review Documents

For 2013-2014, the area of study review rating (AOSR) instrument was revised to reflect current academic policies and to invite reflection and conversation regarding strengths and concerns. In addition, the degree program portfolio materials were streamlined to include only elements that are relevant to the AOSR instrument, and exclude extraneous material.

Science, Math and Technology AOS-Specific Review Instrument

In spring 2012, during the regularly scheduled AOSR in the Science, Math and Technology (SMT) area of study, faculty rated student degree program portfolios using both the regular college AOS Review instrument and, in addition, one developed with SMT-specific questions and information. Following the onsite rating process in Saratoga Springs, CPIE and SMT each conducted an independent analysis of results gathered by their respective instruments. CPIE then shared its results from the college instrument with SMT.

Investments in Learning Outcomes Assessment

In 2013, the college increased its investment in student learning outcomes assessment establishing the new position of faculty associate/director of outcomes Assessment in CPIE. This position succeeds and carries forward the work of the interim director of outcomes assessment and former institutional research specialist. In 2013-14 CPIE anticipated operating funds to support assessment activities; however, support remains an ongoing challenge for the college (i.e., staff/secretarial support and an ongoing budget).

Faculty Workshops and Orientations

Since 2010, in collaboration with area of study conveners and faculty assessment teams, CPIE has offered a number of assessment workshops and orientations for faculty who participate in the GEAR, AITM and AOSR assessments. These include (a) an overview of collegewide assessments, offered during the Fall Academic Conference and/or via distance technologies; (b) staged workshops during the rating process on norming, rating and discrepancy resolution; and (c) closing the loop I discussions that bring each assessment to a close. CPIE also has provided presentations and workshops at collegewide meetings and at academic centers across the state. From 2010-2013, this was the work of the director of strategic planning who supported two offices of assessment at the college.

Assessment at a distance

From 2011-2013, CPIE successfully piloted a process for learning outcomes assessment at a distance as a way to relieve budget constraints while encouraging mentor participation. In 2013-2014, CPIE returned to a primarily face-to-face format, and still accommodated faculty who needed to participate from a distance. The goal always has been to return to a format that invites faculty to work together on assessment, reflection and closing the loop processes.

Next Steps in Outcomes Assessment

In 2013, the Center for Planning and Institutional Effectiveness issued the report Institutional Outcomes Assessment: Comprehensive Review of Methodologies and Results 2006-2012. (See Appendix N) This report informed the work of the Academic Assessment Plan Task Force, which published an updated plan for assessment of student learning, the 2014 Academic Assessment Plan (Appendix O) and the 2014 Academic Assessment Plan Supplement (Appendix P), which presented recommendations for the implementation of the plan. Beginning in January 2014, the Academic Assessment Plan Implementation Committee began its work. This group will presentation an implementation plan to the college senate and the standing committees on undergraduate and graduate policies and programs.

Institutional Effectiveness

The college is in a gradual transition from "activity oriented" to "performance oriented" planning and assessment. To date, measures of institutional effectiveness represent a mixture of completion targets, qualitative measures (such as governance approvals and rubric achievement levels) and a few quantitative metrics (e.g., numbers, ratios, percentage increase or decrease). The director of strategic planning provides small group workshops, individualized consultations and hands-on practical work in WEAVE, the planning and assessment management system that the college uses, to support the individual learning and aspirations of offices or centers within their plans or assessments. A cross-functional group of 19 entity administrators (local WEAVE experts in offices and centers) has grown to assist office heads and academic deans in the completion of annual planning and assessment work. To date, however, resources are stretched thin and the college will be reviewing its approach to strategic planning and assessment, including the systems used to support these functions.

The college's assessment management system makes available to heads of academic and functional offices reports of ongoing operational work. The annual planning and assessment process encourages and supports an end-of-year review of assessment results with functional office and academic teams. The provost for academic affairs and vice presidents within functional offices produce annual strategic updates that consolidate results in their areas of responsibility and report progress and intended direction for each planning cycle. With tools, processes, timelines and supports in place, the college is positioned to continue its transition toward enhanced planning and performance measurement, and more systematic monitoring and reporting.

Planning happens by function and not consistently across all offices and centers. From 2010 to 2015, the college used WEAVE to support planning and assessment activities at the operational level aligned with the institutional strategic plan. Operating in parallel with this has been the annual planning/budgeting process managed separately by the Office of Administration (OA).

At Empire State College, WEAVE helps users think through and align their short-term annual plans with long-term institutional direction. In 2010, this began with institutional priorities (Vision 2015 and President) and academic priorities (Academic Plan and Provost) communicated to mid-level offices and then individual employees. This has continued annually during the

lifespan of the strategic plan. WEAVE leads users from broadly-worded goals to more refined outcomes and objectives, making the selection of measures and annual targets easier to determine. Annual findings or results help the college track institutional progress.

Currently, approximately 50 percent of offices and 66 percent of academic centers register their plans and assessment findings in WEAVE, and at any time, users with access can view the work of the college collectively (communicated by reports) or individually (reading across the work of a particular office or center, from year to year). While collective reports identify areas of the strategic plan that have been achieved—and where gaps remain—individual review of unit work conveys the continuity of improvement over time.

In addition, bearing in mind the higher expectation of Middle States for integrated planning and assessment processes, the individual DS offices of outcomes assessment, strategic planning, institutional research, business intelligence and accreditation have begun conversations with functional integration in mind. These conversations aim in two directions: to reintegrate college wide functions that become less integrated as individual employees are hired to perform the discrete tasks of an office and to create a learning website for college wide continuous improvement and capacity building modeled after the IUPUI institutional effectiveness "best practices" website.   This is an intentional design project aimed at alignment, functional integration, and learning and engagement for the communication of meaningful assessment information. One of the first steps toward integration has been the regular publication and distribution of a series of assessment *Updates* to the college. Currently, the *Outcomes Assessment Update and Strategic Planning/Management Update* are shared on a thrice yearly basis in September, January and May. And whenever possible, the *Updates* for institutional research and business intelligence (analytics, data warehouse) are linked.

College wide institutional effectiveness reporting is a joint venture of the Office of Decision Support (formerly Center for Planning and Institutional Effectiveness), the Office of Academic Affairs, functional offices of the coordinating center and cademic centers across the state. The overall direction for improvement of processes, from 2010-2015, has been led by the director of strategic planning (within CPIE/DS) who registers that direction and result annually in WEAVE.

Institutional assessment and learning outcomes assessment are comprised of eventually integrating but continuously improving elements. In the past 5 years, Empire State College has systematically worked to improve both of its assessment obligations – Standard 7 and Standard 14 – though it recognizes a need for improvement in the areas of participation, resources, institutional capacity, alignment, integration of assessment with planning and budgeting, institutional performance management, use of results, institutional reporting, evaluation of assessment processes and a collegewide institutional effectiveness plan.

Linked Institutional Planning and Budgeting Processes

As described in the section on enrollment and financial analyses, the budget process begins with proposals presented by deans and vice presidents. At the start of the annual budget cycle, the Office of Administration provides the most recent personnel roster information, enrollment templates, and budget request templates that are updated with information and requests for the coming year. Each budget proposal must include a narrative document detailing the highlights of the budget request for the year with a focus on how requests align with the college's strategic plan.

Budget requests are evaluated in terms of their relevance to priorities in the strategic plan. Requests to add new faculty lines or to fill vacant lines, for example, must be justified in relation to Key Goal 2 in the strategic plan, which calls for the development of new academic programs that meet the needs of learners and the communities that the college serves.

Under new leadership the college has held a series of town hall style meetings to discuss the future of Empire State College and the plans to re-image, re-structure and re-emerge via an initiative known as ESC 2.0. As the College navigates through the changes incorporated in ESC 2.0, the Vision 2015 strategic plan (Appendix A) will continue through the 2015-2016 fiscal year. The budget and planning process will continue to embrace Vision 2015 and the resources needed for ESC 2.0.

The linkage between planning and budget needs to be strengthened. The new president decided to consider alternative approaches to planning. She appointed a Strategic Planning Group that was convened by the director of strategic planning in fall 2014. After reviewing several alternative approaches for college wide strategic planning, the group recommended a balanced strategy approach to the president for further consideration. The proposal is under consideration in the president's cabinet.

The balanced strategy is a strategic planning and management approach used to align related activities to the vision and strategy of the college, improve internal and external communications, and monitor performance (measure it) against strategic goals. This balancing framework includes both financial and non-financial performance measures (i.e., quality and satisfaction, efficiency, learning and innovation) to provide a more balanced view of strategic performance. While the final choice of strategic planning method has not been made, a key criterion will be the capacity of the approach to improve the linkage of planning, budget and performance.

Given that the current strategic plan is about to enter its final year, the president will work with key college personnel to establish the next cycle of planning. The planning process and the resulting plan will be performance oriented and tied both to budget and the assessment of institutional effectiveness.

Vision 2015

Strategic Plan for 2010 - 2015

May 2010

STATE UNIVERSITY OF NEW YORK
EMPIRE STATE COLLEGE
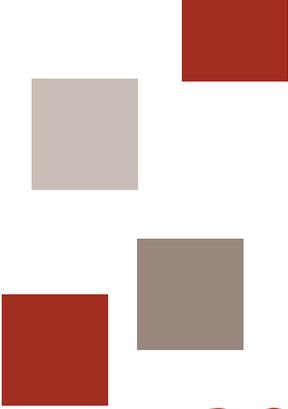
2010 - 2015 Strategic Plan

Introduction

Following a broadly based, highly participatory process that produced a vision for the college in 2015 as well as renewed mission and commitment statements, SUNY Empire State College has identified three themes that will guide our progress during the next five years.

In a parallel process, the State University of New York has developed a compelling vision for the system, and our college's unique mandate ensures that we will play a key role in achieving SUNY's goals (see page 11).

Our Mandate

SUNY Empire State College was created in 1971 to reconceptualize and recreate higher education in ways that provide opportunities for students across the state of New York and throughout the world to engage in high-quality learning and to pursue a degree. The college is responsive to the individual needs of our students and committed to the communities we serve. Today, SUNY Empire State College enrolls nearly 20,000 students annually and has more than 60,000 alumni.

The Mission of SUNY Empire State College

SUNY Empire State College's dedicated faculty and staff use innovative, alternative and flexible approaches to higher education that transform people and communities by providing rigorous programs that connect individuals' unique and diverse lives to their personal learning goals.

Our Commitments

As a community of learners at a public institution, we are committed to:

- Critical reflective inquiry that encourages active engagement in the local and the global community.

- Promoting social justice and a sustainable world through responsiveness to human and social circumstances.

- Ensuring a healthy democracy that recognizes and respects diversity in all its forms.

- Supporting the individual goals of our students in a collaborative mentoring environment.

- Acknowledging multiple avenues of learning and prior college-level learning through rigorous evaluation.

- Developing, implementing and assessing new approaches to learning that recognize and adapt to the diverse needs of our learners.

- Fostering respectful, creative and vibrant learning environments for students, faculty and staff.

- Supporting the scholarly, creative and professional goals of the college community.

- Serving students and the public with a high level of courtesy and effectiveness.

- Advocating at the regional, state and national levels for the needs of our students and of higher education.

- Expanding access to affordable, high-quality educational opportunities through partnerships with employers, unions, government agencies, the armed forces, community organizations and other educational institutions.
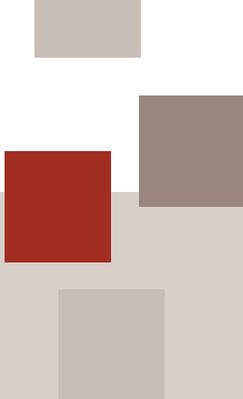
Our Core Values

The core values of SUNY Empire State College reflect the commitments of a dynamic, participatory and experimenting institution accessible and dedicated to the needs of a richly diverse adult student body. These values are woven into the decisions we make about what we choose to do, how we carry out our work in all parts of the institution, and how we judge the outcome of our individual and collective efforts. More than a claim about what we have already attained, the core values support our continuing inquiry about what learning means and how it occurs.

We value learning-mentoring goals that:
- respond to the academic, professional and personal needs of each student;
- identify and build upon students' existing knowledge and skills;
- sustain lifelong curiosity and critical inquiry;
- provide students with skills, insights and competencies that support successful college study.

We value learning-mentoring processes that:
- emphasize dialogue and collaborative approaches to study;
- support critical exploration of knowledge and experience;
- provide opportunities for active, reflective and creative academic engagement.

We value learning-mentoring modes that:
- respond to a wide array of student styles, levels, interests and circumstances;
- foster self-direction, independence and reflective inquiry;
- provide opportunities for ongoing questioning and revising;
- reflect innovation and research.

We value a learning-mentoring community that:
- defines each member as a learner, encouraging and appreciating his/her distinctive contributions;
- recognizes that learning occurs in multiple communities, environments and relationships as well as in formal academic settings;
- attracts, respects and is enriched by a wide range of people, ideas, perspectives and experiences.

We value a learning-mentoring organization and culture that:
- invites collaboration in the multiple contexts of our work;
- fosters innovation and experimentation;
- develops structures and policies that encourage active participation of all constituents in decision-making processes;
- advocates for the interests of learners in a variety of academic and civic forums.

The Vision for 2015

In 2015, SUNY Empire State College is widely recognized as a pioneering and innovative public institution of higher education. It provides high-quality and affordable liberal, interdisciplinary and professional education to motivated and engaged lifelong learners everywhere in New York state and beyond.

The college, as the premier institution for adult learning within SUNY and across the nation:

- supports learners as active partners in their education;
- transcends the boundaries of time, place and ways of learning;
- integrates and engages learners with their past, present and future creative and intellectual lives;
- creates and supports cooperative initiatives among all segments of the population to foster respect, civility and a welcoming environment;
- supports the social, cultural and economic development and sustainability of both its learners and their communities.

With clear expectations of its learners and of those who serve them, not only does the college continue to rank first in SUNY surveys of student satisfaction, it also has improved in all of its own unique indicators of quality.

This attention to quality, plus the introduction of new offerings – both in person and online – has led to steady annual growth in the size of the college in terms of learners, graduates and the number of faculty and staff.

SUNY Empire State College's profile and reputation is enhanced, especially through its strategic partnerships, and as a result of more focused attention to profiling the college's accomplishments in its:

- innovative and unique modes of networked mentoring and learning;
- research and scholarship;
- advocacy for nontraditional learners; and
- organizational effectiveness.

Overview of the Plan

An external assessment of trends and issues and an assessment of the college's strengths and challenges provide the **context** for this 2010 - 2015 Strategic Plan. These can be found in the appendices.

The **overarching themes** around which the 2010 - 2015 Strategic Plan is organized are:

A. *The college as an innovative, learning organization*

B. *Sustaining and managing growth*

C. *Telling our story*

These themes are explicated in terms of one or more measurable **key goals**. Within each key goal, a set of **strategies** for achieving the goal is listed.

Multiyear and annual planning among academic centers and coordinating center divisions will be linked to and guided by this strategic plan, and the results of the Middles States Commission on Higher Education reaccreditation process (see appendices).

Implicit in this strategic plan are the following **assumptions**, which will merit regular attention as the plan is developed and executed.

- We will build and sustain human and programmatic diversity in the college.

- We will use integrated technologies to aid us in delivering services and studies to our learners.

- We will gather evidence to inform decision making, and regularly fold the results of assessment back into service delivery, program improvement and institutional effectiveness.

- We will annually track and assess progress towards each key goal and communicate the results to the college and its constituents.

- This will be a living plan. It will be Web-based and interactive, and will reflect "strategic agility" as the college responds to certain change as challenges and opportunities while preserving its core values.

Theme A

The College as an Innovative, Learning Organization

A learning organization is an institution that continuously reflects upon its operations and effectiveness and evolves accordingly in innovative ways in order to better achieve its mission.

A.1 Doing better by our learners: learner success

Key Goal 1

To improve retention by 10 percent by 2015, and to improve student satisfaction as measured by internally developed measures of satisfaction.

Strategies:

A.1.1   Present the college to learners in a way that helps them to understand how the college can help them meet their goals.

A.1.2   Establish service standards.

A.1.3   Ensure consistency and equity of academic opportunity across centers and delivery modes.

A.1.4   Ensure academic quality by closing the loop between outcomes assessment, program review and accreditation, and student learning.

A.1.5   Expand and improve student and academic services.

A.1.6   Establish an advisory committee on retention. Undertake research on students who do not complete their studies, and establish pilot retention programs based on the research.

A.1.7   Develop a retention strategy that identifies groups of students at risk, sets retention targets, and supports and ensures diversity.

A.1.8   Develop tracking systems to enable faculty and staff to communicate on a timely basis with students, and to monitor students' progress towards their degree completion.

A.1.9   Develop creative, innovative, systematic and sustainable ways of delivering educational planning.

Key Goal 2

To ensure that our offerings clearly reflect the changing needs of learners and society.

Strategies

A.1.10   Listen to our learners, alumni/ae, their employers and sponsors, and our partners regarding learner, societal and workplace needs and goals.

A.1.11   Assess, revise and improve our areas of study on a cyclical basis.

A.1.12   Evolve mentoring and learning practice to meet individual learners' needs and goals.

A.2 Doing better by each other: institutional effectiveness

Key Goal 3

To enhance institutional effectiveness as measured by productivity measures, self-reported behavior and other key indicators.

Strategies

A.2.1   Identify and remove barriers that prohibit or impede effectiveness and use integrated technologies to reduce barriers.

A.2.2   Develop a culture of teamwork and collaboration in a networked environment.

A.2.3   Develop a coherent, collegewide approach to the effective use of resources.

A.2.4   Review policies and procedures for clarity and coherence, moving beyond our internal language.

A.2.5   Ensure consistency across the college while accommodating learners' needs.

A.2.6   Address issues related to the recruitment and retention of all categories of employees, and improve the quality of work/life to support the evolution of the college as a learning organization.

A.2.7   Create a comprehensive and integrated approach to ensuring employee diversity.

A.2.8   Implement a collegewide plan to improve the environmental sustainability of the college.

A.2.9   Build a data warehouse to enhance the college's institutional intelligence.

A.3 Developing a culture of innovation, reflection and continuous improvement

Key Goal 4

To increase, each year, the creation and dissemination of new knowledge as measured by internally developed measures.

Strategies:

A.3.1   Build and sustain a comprehensive, coherent approach to the scholarship of mentoring and learning, other mission-related research and disciplinary research; and to ways of sharing and disseminating the results.

A.3.2   Actuate innovation in the development and delivery of our offerings and services, and foster risk-taking so that we can learn from our successes and failures.

A.3.3   Support relevant and timely professional development and training across the organization.

A.3.4   Create a culture of shared ownership of knowledge.

Sustaining and Managing Growth

SUNY Empire State College has experienced substantial growth in recent years and expects to continue this trend through 2015. During this period of anticipated growth, the college will enhance its ability to support students in their learning, and employees in their work.

B.1 Resourcing our growth

Key Goal 5

To improve, each year, staff climate indicators of work/life quality, and indicators of the quality of student learning.

Strategies

B.1.1 Clarify and establish appropriate levels of professional obligation.

B.1.2 Determine and establish appropriate ratios of full-time, part-time and adjunct faculty in academic centers and units.

B.1.3 Determine and establish appropriate professional and support staff levels in academic centers and units and in functional offices.

B.1.4 Set aside sufficient resources for training and development of all employees.

B.1.5 Establish scalable models for funding facilities, technology and other infrastructure to support growth.

B.1.6 Develop a budgetary model based on these resource strategies and on achieving the strategic plan's goals.

B.2 Developing learner recruitment

Key Goal 6

To increase the number of credits delivered by 5 percent per year.

Strategies:

B.2.1 Develop a marketing and recruitment strategy that identifies potential sources of new students, sets enrollment targets to ensure diversity, and creates enrollment plans that reflect the needs and opportunities at each academic center, including the impact of retention strategies.

B.2.2 Develop an academic plan that provides a conceptual and research-based framework for developing and staffing new programs and expanding existing offerings.

B.2.3 Expand partnerships with community colleges, businesses and community agencies.

B.2.4 Expand international offerings using blended, online and onsite delivery modes, where financially viable and where academic quality can be ensured.

Theme C

Telling Our Story

The college will take significant steps, within the context of a strategic communication plan, to enhance its reputation with prospective learners, key constituents and influencers, and with the general public.

C.1 Enhancing the profile and reputation of the college

Key Goal 7

To improve, each year, the college's recognition and reputation in higher education across the state, nationally and internationally.

Strategies

C1.1   Update and refresh our brand and image.

C.1.2   Reposition the college within SUNY and the state in order to reflect its unique role in public higher education.

C.1.3   Identify the messages and stories that we want to tell to each of our audiences.

C.1.4   Develop ways to share the stories generated by our students, alumni and employees across 34 locations in New York state, nationally and globally.

C 1.5   Be explicit about how the college contributes to economic/social/cultural development.

C.1.6   Enhance the college's relations with the media statewide and beyond.

C.1.7   Promote our many partnerships using specific communications strategies.

C.2 Leveraging our reputation and uniqueness

Key Goal 8

To secure the funding needed to support the attainment of the Vision 2015.

Strategies

C.2.1   Map all connections with legislators and influencers.

C.2.2   Leverage our presence in 34 New York locations, all 50 states, and internationally through the connections of our employees, alumni and students.

C.2.3   Develop advocacy plans for key issues.

C.2.4   Raise awareness around themes that are unique to the college.

C.2.5   Provide support and incentives to generate alternative sources of new revenue.

APPENDICES

A. Vision 2015

Vision-2015-Final.pdf 911.57 KB

http://www.esc.edu/VisionReport2015

B. External Assessment

The higher education landscape is changing in response to changes in:

- the economy – the recession and plans for recovery
- state funding levels
- the demands of the job market
- the demographics of who is being served by higher education
- the impact of globalization
- competition, especially with the introduction of for-profit universities
- the professoriate
- technology

Link to External Assessment:

For a detailed analysis of the trends discussed in this section, please refer to the following document:

External Scan Lit Review – 12-15-2009.doc 72KB

http://www.esc.edu/ExternalScanLitReview

C. Assessment of Strengths and Challenges

Strengths

a) SUNY Empire State College's founding vision, articulated by Ernest Boyer, remains unique in New York state.

b) Our reputation as an institution that provides high-quality education to lifelong learners in communities throughout New York state is well known and respected among similar providers of education.

c) SUNY Empire State College consistently ranks first in student satisfaction on surveys of SUNY students.

d) The college's leadership team, faculty, and professional and support staff are highly dedicated to students and to the institution's mission.

e) The college has the potential to become a national leader in defining, promoting, and training others in mentoring and the scholarship of mentoring.

f) The college is recognized as a leader in the provision of online and distance education, serving learners in all 50 states and in 50 countries worldwide.

g) Innovation was originally a hallmark of SUNY Empire State College.

h) Faculty and professional staff members are highly involved in college governance.

i) Students typically are highly motivated to pursue studies, and confident in becoming independent learners.

j) The college's new strategic planning model links planning and budgeting, and will tie resource allocation to the achievement of annual strategic objectives.

k) Assessment tools that track student and institutional progress will allow the college to devote resources to areas that need support.

l) The college's flexible academic model enables us to market individually designed programs to meet the external demand for customized education.

m) The changing nature of jobs and learners in the 21st century is one to which the college can respond with timely and innovative curricula.

Challenges

a) The practice of mentoring is labor intensive, and the college must ensure that an adequate number of full-time faculty are available to provide primary mentoring.

b) A better balance between full and part-time faculty is a priority.

c) The individualized nature of the student/mentor interaction can produce inconsistent academic practices, e.g., complexity of the degree program, work required for introductory vs. advanced-level credit, learning outcomes.

d) The decentralized nature of the college contributes to an employee experience of constant change, fragmented communications, and lack of transparency. These tensions need to be resolved.

e) The role of the areas of study in mentoring new faculty, collaborating on curriculum development, identifying gaps in disciplinary specializations, etc., is limited and under-resourced.

f) The practice of prior learning assessment varies throughout the college and is not well understood by the public.

g) The college's image needs to be improved and its unique features, e.g., philosophy of education, modes of study, individualized degree programs, better conveyed to external audiences.

h) Planning efforts across job functions need to be better coordinated between the regional centers and Saratoga Springs.

i) A culture of assessment needs to take root in the college, from the level of individual learning objectives through the collection, dissemination and use of collegewide assessment data.

j) Growth in the number of nonprofit and for-profit institutions offering online degree programs has contributed to brand erosion.

k) The college must continue to build and resource a comprehensive, robust technology infrastructure.

l) The college has a limited track record in securing other revenues through grants.

m) Scholarship of mentoring and learning is fragmented, uncoordinated and under-resourced.

n) The language we use to describe what we do for internal and external audiences is complex and turgid; more clarity and plain English are needed.

D. Middle States Reaccreditation 2010: Action Items

http://www.esc.edu/MiddleStatesActionPlan

The Power of SUNY:
The Strategic Plan for 2010 and Beyond

In a knowledge economy, SUNY will be pivotal in generating growth and revitalizing our communities. SUNY is powerful, large and diverse, but can do more if its disparate parts work together.

SUNY's mission is:

- **To learn: We are first and foremost, a community of teachers and learners.**

- **To search: We find and create meaning in our universe.**

- **To serve: We are concerned and involved citizens.**

SUNY's core values focus on student centeredness, community engagement, diversity, integrity and collaboration.

SUNY's six big ideas and related objectives intersect in many ways with Empire State College's own strengths and ambitions:

- **SUNY and the Entrepreneurial Century:** The role of Empire State College within this idea relates directly to SUNY STARTUP and the development of entrepreneurship.

- **SUNY and the Seamless Education Pipeline:** In relation to the urban/rural teacher corps and SUNYWORKS, Empire State College can and does provide the connection between learning and the workplace.

- **SUNY and a Healthier New York:** Empire State College will become a partner in the SUNY Wellness Network and play a role in providing the right health professional in the right place.

- **SUNY and an Energy-Smart New York:** By being part of two important initiatives – New York as a green incubator and the Living Smart Exchange Program – Empire State College will help reduce carbon footprints in each of its 34 locations in the state.

- **SUNY and the Vibrant Community:** The Center for Citizen SUNY and the Community Exchange Program will be greatly enhanced by the civic engagement of Empire State College students across the state of New York.

- **SUNY and the World:** Given our unique model for international programs and our ability to eliminate the barriers of geography and time in the delivery of learning using robust online instruction, Empire State College is positioned to play a pivotal role in a global SUNY.

You can view The Power of SUNY online at

www.suny.edu/powerofsuny/.

the Power of SUNY

SUNY EMPIRE STATE COLLEGE

ACROSS NEW YORK STATE

PLATTSBURGH

FORT DRUM
WATERTOWN

QUEENSBURY
(Adirondack)

SYRACUSE   UTICA   JOHNSTOWN   ✪ SARATOGA
                                               SPRINGS
LOCKPORT   SCHENECTADY

ROCHESTER   ✪

AUBURN   ALBANY

✪ BUFFALO   BATAVIA   EMPIRE
                                         STATE
CANANDAIGUA   PLAZA

ITHACA

FREDONIA

ALFRED
CORNING
JAMESTOWN   OLEAN   BINGHAMTON

METROPOLITAN
CENTER
and
THE HARRY
VAN ARSDALE JR.
CENTER FOR   ✪
LABOR STUDIES

STATEN   ✪
ISLAND   BROOKLYN

NEWBURGH

NANUET

HARTSDALE
✪   RIVERHEAD

HAUPPAUGE
✪

OLD WESTBURY

STATE UNIVERSITY OF NEW YORK
EMPIRE STATE COLLEGE

www.esc.edu

2011 - 2015
Academic Plan

STATE UNIVERSITY OF NEW YORK
EMPIRE STATE COLLEGE

Respectfully submitted by the Academic Planning Task Force (2010 - 2011):

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Table of Contents

SUNY Empire State College: Academic Plan 2011 - 2015

Preface

Following a process of consultation with faculty and staff throughout the college, the Academic Planning Task Force (2010 - 2011) is pleased to present SUNY Empire State College's first academic plan. This plan is the result of many long hours of outreach, discussion, deliberation, and creative thinking by the members of the Academic Planning Task Force and the broader college community. We believe this plan can energize and inspire our academic community to approach the future with clarity, collegiality, and pride. We see this plan as an important step in helping to define and achieve aspirations for the college and for our students. In that spirit, we envision the academic plan to be a living, evolving document, revisited and revised regularly to ensure its resilience and ongoing relevance.

The overarching purpose of the plan is to organize and clarify an academic direction for the college. The task force was dedicated to developing a plan that is shaped by the input of faculty and staff; reaffirms the college's commitments, values and traditions; facilitates the advancement of important college and SUNY initiatives; and positions the college to thrive as it adapts to changes in the world around us. These factors are linked by a commitment to serve our students' educational interests and professional objectives, and this commitment, ultimately, is the plan's cornerstone. The plan enables the college to communicate its principles and educational emphases to external communities, including prospective students, and provides increased coherence and structure for decision making regarding future program support. Moreover, the academic plan is intended to constitute a framework for achieving a more robust interdisciplinary environment, a goal of considerable significance to our academic community.

The plan seeks to clarify linkages between what the college has traditionally valued and the emerging needs of our students. Thus, it represents an opportunity to celebrate the college's history and distinctiveness, while charting a course for our future.

The Academic Planning Task Force wishes to acknowledge three important points. First, this plan cannot – and is not intended to – address all issues and implications related to charting an academic direction for the college. The academic plan can neither accommodate nor anticipate all the academic work performed by the college or all the initiatives we may undertake in the future. Further, as this is the first academic plan developed by the college, it represents a beginning rather than an ending point. Moreover, this plan is not intended to supersede the academic freedom of the faculty, nor constrict the purview of, or replace particular institutional structures, such as areas of study, through which academic standards are developed and maintained. Rather, the purpose of the plan is to provide coherence of direction for the academic future of the college within a specific time frame. In this manner, the plan is best viewed as a guide.

Second, although there is a concerted effort to align the academic plan with major college initiatives currently underway, not all new initiatives could be fully addressed. For example, as the open university concept matures, and as we undertake the process of updating our definition of "student success," the relationship of these initiatives to an academic direction for the college can be considered more fully in subsequent iterations of the plan.

Third, the academic plan in general, and in particular the academic themes identified in the first section of the plan, are not intended to be static or permanent. As environmental conditions and student needs change, so should our academic plan. The Office of Academic Affairs will have principal responsibility for an annual review of the academic plan, in consultation with relevant undergraduate and graduate committees and with faculty and staff throughout the college. By regularly reviewing the plan, and continually striving to ensure that it reflects the best ideas of all who are affiliated with the college, we can be confident of its evolving, yet enduring value as a blueprint for serving our students' needs.

Introduction: Student Centeredness

In developing the college's first academic plan, we sought to identify an organizing principle for our task, that is, an underlying concept that could guide the development and direction of an academic plan. The notion of **student centeredness** emerged to fulfill this need by providing foundational value to the task force's mandate that was congruent with the college's mission, history and current commitments.

Unlike the traditional higher education model which generally requires students to adapt to pre-structured programs, SUNY Empire State College was founded on the premise of engaging the student as an active partner in the shaping of his or her own academic program. The focus on the adult learner, by definition, demands consideration of the unique features of the learner's experience and, by extension, the manner by which such experience may be integrated in academic goal setting and curriculum design for that student. Processes and practices such as degree planning and learning contracts are reflective of the student's central role in mapping the course of his or her education at the college.

Similarly, the college's historically strong liberal arts curriculum has provided students with exposure to a broad range of human endeavor – for example, in culture and the arts, in business and technology, and in social and natural sciences. A core value of respect – for fellow students and citizens, for their ideas and the communities in which they live and work, and for the environment on which we all depend – infuses our academic community with a common, fundamental ethic.

When taken together, these foundational elements – individualized learning arrangements and liberal arts education – prepare the college's adult learners not only for professional and vocational pursuits, but also for citizenship in a broader sense. That is, the invitation to students to serve as partners in their educational planning is characteristic of a paradigm which encourages respect toward others; simply put, it demonstrates that we care about what they think as well as what they already know. But it also establishes for students a responsibility for active and constructive engagement in the charting and governance of their own educational experience.

Respect for others and the exercise of social responsibility are essential pillars of good citizenship. Citizenship is a function of participation in the community. Given the distributive and centrifugal nature of our college and the geographical boundlessness afforded by our online model, the definition of "community" can be quite expansive, a notion that will serve the college well as it moves toward becoming an "open university." Moreover, the academic themes proposed in this document suggest a capacity for serving the needs of students who live and work in diverse and far-reaching communities. Ultimately, therefore, citizenship, with respect to our students, may be considered global.

Faculty throughout the college communicated a determination to preserve the centrality of the students' role in fashioning the course of their education. As the college has evolved and grown, its capacity for advancing this model has increased correspondingly. Building on the student-centered archetype, programs which prepare students to achieve their professional goals fit well with the strategic direction of the college. Indeed, the college's Vision 2015 stipulates that "the college will enhance its ability to support students in their learning, and employees in their work," and programs relating to the latter have been assuming greater institutional significance. Programs which focus on strengthening professional skills complement the liberal arts and adult learner traditions because they allow the college to serve learner interests more comprehensively. Moreover, the professional-based curricula bear the stamp of values that typify the college's liberal arts tradition. For example, emphases on ethics are revealed in the college's commitment to learner goals which foster students' desire to employ their education in the service of sustaining and improving their organizations and communities and to use environmental resources with care and reverence.

Faculty also expressed an appreciation for the distinct benefits to our students if we approach our collection of disciplines as though they are naturally compatible. Consider that students in business programs must learn skills relating to empathy, a trait vital to managerial effectiveness that may be learned from exposure to great works of literature in addition to business textbooks. Artists may learn about how to develop business plans so they can imagine ways of making their craft work for them as a career. Health care practitioners may learn about social policy to become sensitized to the ethical and societal impact of their choices about who should receive health care coverage. In a more interdisciplinary environment, such richness of educational possibility occupies a more dynamic presence in the dialogue about program development and curriculum design. In more traditional higher educational environments, disciplinary boundaries tend to be more fixed; in a student-centered context, learner needs and aspirations occupy a more pronounced role in degree planning.

SUNY Empire State College's regional center model represents both an enormous asset in this academic planning endeavor, as well as a challenge. This model, that organizes the undergraduate program by regional location, constitutes a proud tradition for the college. It has enabled students to bring the perspectives of their communities to the learning environment and, at the same time, has allowed the college to have a presence in communities in which our students work and live. The regional center model, therefore, meets the personal and professional needs of our students, creates unique possibilities in terms of location-based learning, and allows the college to influence and be influenced by the character and culture of our students' communities.

While the distributive nature of the college brings the college out to the wider environment, there is, of course, the risk that it can amplify a sense of division among programs and centers and other structures by which the college is organized to provide academic services. Set against the challenge created by this tendency is the clear call from faculty for a more vigorous interdisciplinary orientation toward program planning and educational delivery. This desire is expressed as deriving from core college values which place the student at the center of the college's work.

In order to abide by these values, it is important to consider that the educational experience most beneficial for a given student may require going outside the confines of the student's geographic location, curricular concentration, or the program in which the student is primarily housed. Or it may mean that creating a smooth path from undergraduate to graduate studies is in the student's

best interest. Strengthening the processes which allow for such mobility has benefits not only to students, but to faculty and to the college as a whole. In such an environment, faculty are afforded enhanced opportunities to develop, share and combine expertise in ways that promote professional and scholarly development. The college benefits by retaining some students for extended periods when undergraduates envision possibilities for advancing their Empire State College education at the graduate level. It also means that graduate faculty will be acquainted more readily with the skills and knowledge of this group of incoming students. A more collaborative environment allows for the planning, development and implementation of blended and accelerated programs. Finally, such an environment can facilitate the achievement of resource efficiencies to which SUNY is committed.

We call, therefore, for faculty to look to the academic plan as a road map for bolstering professional relations across academic lines, and across centers and programs, so that the best interests of all who are part of our extended academic community can be served. In so doing, we believe the academic plan will reinvigorate a sense of unity among all college faculty and staff while advancing the spirit and benefit of our distinctive educational model.

Ultimately, the college's central interest is to help our students achieve success with respect to the purposes which brought them to us. As we seek to chart an academic direction for the college, we need to remain attentive to the broader context, including regulatory constraints, program requirements, organizational culture, a distinguished history, aspirations for growth, and opportunities created by new environmental conditions. A primary purpose, then, of the academic plan is to offer a guiding framework in which faculty, administration, and staff – along with our students – can point toward the academic future of the college with coherence. In so doing, we anticipate this plan will contribute to an atmosphere conducive to active, sustained and meaningful discussion and collaboration across academic areas in the service of helping our students thrive in the college.

Organization of Academic Plan

The plan is organized into three thematic sections which offer separate but inter-related goals and objectives. Each of these sections was drafted by a subgroup of the Academic Planning Task Force. The three themes around which the plan is organized include the following: **Academic Programs; Environments for Mentoring, Teaching, and Learning; and Faculty Planning, Scholarship and Development.**

Theme A: Academic Programs was informed by a mandate to build on core college values and areas of academic and scholarly strength, so as to position the college to continue to be responsive to the educational and professional goals of our students. This section focuses on interdependent tasks as reflected in these goals: (1) create a framework for academic program development, and (2) establish a thematic approach to academic planning by identifying cross-disciplinary and interdisciplinary topics which reflect the educational needs and professional interests of our students, values and traditions of particular importance to the college, and areas of opportunity based on growth or increasing societal importance.

The Task Force recognizes the importance of distinguishing between the following key terms included in the academic plan:

Academic programs are the registered offerings of the college and include undergraduate areas of study, structured undergraduate programs (i.e., nursing), graduate programs and certificates. The term "academic program" does not refer to the degree programs that our students develop, but rather addresses academic programs at an institutional level.

Themes are meant to represent broad interdisciplinary academic areas of student interest and, therefore, areas in which we need to ensure our ability to offer learning opportunities. This may mean new program development – a new AOS, a new graduate program, new certificates (both graduate and undergraduate) – or learning opportunities offered, for example, through independent study, study groups, classes or online courses, or residencies. In some cases, they represent areas in which students increasingly seek to do concentrations or earn advanced degrees. In other cases, they primarily represent a need to be able to provide study offerings. Themes are employed to guide new program development, as well as to complement our existing programmatic offerings, not to replace them.

Theme B: Environments for Mentoring, Teaching and Learning seeks to capture the interrelationships among the three areas under its purview while remaining sensitive to the multidimensional nature of the environment in which our students learn. This section includes four goals: (1) create effective, rich, and flexible learning environments, addressing the range of issues identified across all areas of infrastructure – academic, technological, physical and social – that comprise and support what we have termed "learning environments;" (2) enhance academic assessment, preparation, and support for all students through the early identification of appropriate levels of academic readiness, as well as by providing the appropriate support for those students throughout their educational careers at the college; (3) enhance educational planning for students in relevant programs, focusing on a core value and practice of the college; and (4) improve the prior learning assessment and academic review process.

Theme C: Faculty Planning, Scholarship and Development seeks to identify goals which will support and strengthen our faculty community as a whole. Two goals were constructed: (1) ensure that our faculty have the content and practice expertise necessary to serve the current and future needs of students, and (2) support faculty development in terms of scholarship and practice. The goals and objectives outlined in this section focus on the faculty as a collective and at the institutional level, not on the professional development, career planning or particular work-life balance needs of individual faculty members that are better addressed on an individualized basis.

Theme A: Academic Programs

Introduction

The Academic Plan represents an opportunity to reaffirm the college's relationship with, and obligations to students by defining how our strengths, values and aspirations may serve their needs. Therefore, the overarching purpose of ensuring that the academic plan reflects and is grounded in a commitment to student success will be served by honoring and fortifying foundational elements of the college, including our focus on the adult learner and the tradition of liberal arts education, and adapting these to opportunities which emerge from the evolving needs of learners and society. Additionally, in order to sharpen our appreciation for the college's historical commitment to student-centered values and how these help to inform our judgment about the academic direction of the college, the Academic Plan is based on a careful review of several resources and documents.

- *Research on student inquiry areas – undergraduate*
- *Research on student inquiry areas – graduate*
- *Research on concurred degrees plans for 2009 - 2010*
- Empire State College Educated Person 1970s
- *Empire State College Educated Person 1980s*
- *AAC&U statement on VALUE Rubric purpose and design*
- *Faculty resources by AOS*
- *List of Eduventures research reports*
- *Current program initiatives*

In this section on academic programs, we have identified two primary goals to guide academic planning for the future. The first, to create a framework for academic program development, focuses on clarifying existing processes for academic program development and review, as well as a recommendation for more effective governance in this area. Additionally, this section seeks to establish criteria that will guide future academic program development. The second goal, to establish a thematic approach to academic planning, seeks to define and develop academic themes which reflect and reassert a commitment to the college's core strengths and values, the evolving needs of learners and society, strategic growth opportunities, and interdisciplinary and multidisciplinary approaches to academic planning and delivery.

Goal A1: Create a Framework for Academic Program Development

Objective A1.1: Clarify processes for academic program development and review

Current practice

Empire State College is a progressive institution that seeks to reduce the lengthy and layered curricular review processes prevalent in higher education institutions. The college strives to be responsive and agile to meet emergent student and faculty interests, and avoids traditional disciplinary silos, celebrating multidisciplinary perspectives and collaboration. This section summarizes current practices in order to clarify and affirm them for the college. We also propose a formalized approach for governance for academic program development and review, beyond that of individualized practices at the undergraduate level.

- **Individualized Concentration Development in the Context of Area of Study Guidelines:** The academic plan strongly affirms the college's approach to individualized degrees, particularly at the undergraduate level. The development of these programs is governed by center-based academic degree program review processes formalized by deans and the Office of Collegewide Academic Review (OCAR).

- **Region or Center Emergent Interests:** Broad areas of study allow for contracts and courses to be clustered for particular service to a region or center. Associate deans and deans work with faculty or faculty members to develop and manage study groups, residencies or other learning opportunities to serve a particular region. These forms of academic program development follow normal center-based review processes and generally involve center-based faculty advisory committees.

- **Collegewide Residencies, Faculty Institutes and Other Academic Initiatives:** Groups of faculty around the college also develop residencies for students across the college. College approval for these learning experiences is provided by the Office of Academic Affairs. Faculty also may cluster into affinity groups, or propose other academic initiatives within or across areas of study.

- **Sample Degrees:** Sample degrees formalized in agreements or posted in materials are developed by faculty and approved by deans and OCAR.

- **Center for Distance Learning, The Harry Van Arsdale Jr. Center for Labor Studies, Center for International Programs and School for Graduate Studies:** Some educational centers develop more structured degree programs. There is greater attention to curricular coherence within these offerings, and the responsibility for planning these initiatives lies with faculty committees, associate deans and deans.

- **Areas of Study, New Degrees, Certificates:** The existing subcommittee of the Committee on Undergraduate Studies and Policies (CUSP) responsible for program assessment (CUSP-PA) should become a standing governance committee charged with the review of new undergraduate AOS proposals (or significant revisions), undergraduate certificate proposals and the college's approach to program outcomes assessment at the undergraduate level. Membership should include representatives from each area of study, as well as representatives from the directors of academic review (DAR) and from the directors of academic support (DAS). The Graduate Studies and Policies Committee (GSPC) will continue to serve this purpose at the graduate level. Issues of overlap and joint responsibility should be reviewed and coordinated between these committees where appropriate. The provost/vice president for academic affairs also will seek input on academic program initiatives from deans and faculty chairs, recognizing the value of input from the educational centers of the college. CUSP will retain responsibility for undergraduate academic policies.

New degree certificates, programs and partnerships

Certificates

External scanning indicates that adult learners, particularly in these economic times, may be interested in shorter programs, such as certificates or other milestones on the way to the degree (see Eduventures research, stackable certificates from Massachusetts and Ohio). While recent efforts to advance certificates have predominantly focused on the graduate level, the academic plan endorses the development of academic certificates at the undergraduate level.

Professional doctorates

A specific need at the graduate level relating to the lack of professional doctorates in the state of New York has been identified. Scanning has indicated that many adults in New York state are going out of state or to private institutions to pursue these degrees. The Academic Planning Task Force supports the exploratory work currently underway to pursue collaborative degrees with other institutions with specific identified audiences.

Acceleration and combined undergraduate/graduate education

The academic plan supports efforts within the college to accelerate degree completion, for those students who are identified to have the potential to successfully move from undergraduate to graduate level study. Efforts should focus on formally creating opportunities for identified undergraduate students to take dual-enrollment studies with approval and review by graduate program faculty.

Collaboration with other colleges and sectors

In light of diminishing state support, institutions of higher education must begin to work across boundaries. Where possible, SUNY Empire State College should play a lead role in collaboration. The college has a strong history in collaborating with community colleges, and could build on that history with stronger faculty-to-faculty collaboration and more disciplinary-specific pathways programs. We are experts in adult degree completion, and developments with the Open University could promote greater formal coordination between SUNY and CUNY institutions, with corporate and community partners, as well as international partnerships and foreign language development.

Prior learning assessment

Empire State College, from its long tradition of recognizing that learning can occur from nontraditional sources, is viewed as a leader in the field of prior learning assessment (PLA). While the individual assessment of student learning should remain central and supported by sufficient resources, developing additional generic evaluations in targeted areas such as health care, business, the arts, and human services, would increase visibility and partnerships with professional groups and organizations, and open more opportunities for earlier degree completion. The time and resources required to develop and maintain current generics could offset the time and resources required to replicate the individual evaluation process across individual centers and students. (See also Theme B, Goal Three)

Objective A1.2: Identify criteria for new academic program development

Finally, in order to create a framework for academic program development and support, the academic plan seeks to establish criteria for new academic programs. These criteria are intended to assure transparency and equity in the development of new programs, and are intended to be applied across the college to any new program at any academic level, whether it is at the undergraduate, registered, area-of-study level, the certificate level, or a proposed new graduate program or certificate.

Six criteria are proposed to constitute a framework for support of academic program development. A proposal for academic program development will receive favorable attention to the extent that it:

1. advances or is consistent with the college's mission and core values
2. supports the college's strategic plan and other major college and SUNY initiatives and mandates
3. represents a growth area or economic opportunity
4. integrates effectively with other curricular areas and is conducive to interdisciplinary approaches to program and curriculum development
5. reflects and builds on the expertise of our faculty
6. serves students' needs for increasingly diverse programmatic options

We posit that it is important to consider three issues as these criteria are reviewed. First, the criteria should be viewed as interdependent. For example, enhanced interdisciplinary approaches to program development will, by definition, facilitate increased exposure to learning opportunities for students; at the same time, a more interconnected collegial environment facilitates greater opportunities for faculty professional development. Similarly, as the college focuses on growth areas, our capacity will strengthen for attracting students and preparing them for meaningful transitions to further education or career growth.

Second, it is not expected that every proposal will satisfy all six criteria or satisfy them in the same way or satisfy them equally. Not all six need to be substantially present to sanction or certify an academic area as one which merits support. On the other hand, as it is the intent of the academic plan to chart a strategic direction for the college's academic future, the more a proposed academic area fulfills these criteria, the greater the likelihood it will be endorsed by the college.

Third, the manner in which the six criteria are presented is not intended to be reflective of a hierarchy of importance. Particular criteria may emerge as vital measures of one new program's value while other criteria may serve such a role for another program.

The following section is a discussion of the six proposed criteria.

Criterion 1: Advances or is consistent with the college's mission and core values

In determining how we select specific areas of academic programs on which to focus, we are advised to rededicate ourselves to the core values of our institution. These historic commitments are embedded in every facet of what we do, and help to carry on the tradition of innovation, access and experimentation which has defined the college's mission since its inception. The core values of the college are at the forefront of criteria for the selection of curricular areas that receive attention. This is not simply to retain tradition for tradition's sake, but rather to carry forward into the future that which we most cherish. It is, thus, a retrospective as well as a prospective process, reflecting on who we have been and what we have cared about, how we represent ourselves to the larger academic universe, and imagining how that identity can be preserved and extended through the promotion of particular academic areas.

Examples of criteria we might deploy as a means of realizing our core values include those which:

- Evaluate potential academic programs for their capacity to respond to students' needs to both obtain a degree that offers them marketable skills as well as a strong liberal arts background;
- Allow for collaborative and innovative approaches to learning between students and mentors, as well as student-to-student;
- Recognize that there are a wide variety of learning styles which need to be fostered and supported;
- Understand that learning takes place in a variety of contexts, communities and environments, as well as more traditional academic settings, and offers multiple opportunities to do so; and
- Respond to the needs of a diverse student body and actively encourages that diversity through outreach and recruitment.

These examples are not exhaustive but are meant to be illustrative, and are part of an ongoing conversation about how we might promote those initiatives that could best realize our core values as we move forward as an institution.

Criterion 2: Supports the college's strategic plan and other major college and SUNY initiatives and mandates

Each academic program is enriched to the extent it is informed by and supports the strategic direction of the college and, more broadly, the SUNY system. For example, Vision 2015 articulates a bold agenda of growth and a strengthened commitment to develop our distinction as an innovative learning organization. "The Power of SUNY: Strategic Plan 2010 and Beyond" includes the goals of broadening institutional capabilities relative to online learning and bolstering SUNY's role in the realm of international programs. Such emphases constitute central elements in SUNY Empire State College's ability to fulfill a commitment to become an "open university." We also are uniquely positioned to realize efficiencies within and across the SUNY system, an objective made more achievable by interdisciplinary approaches to program planning, development and implementation.

The direction established by the strategic plans of the college and SUNY present opportunities for expanding on the strengths and assets of the college, and most particularly for enhancing the "networked" nature of the college. As we make progress toward the goal of becoming an open university, we may dedicate ourselves to expanding our network of partnerships with other academic institutions that may join with us in providing educational services to students. The college already has a presence in a multiplicity of communities by serving a geographically diverse student population. Here, too, the network of communities is intended to expand as our student population reflects increasing diversity of academic and professional interests and as the communities they represent are of a progressively global character. Finally, partnerships with a broad array of organizations – including professional, business and civic, and on local, regional, national and international bases – create exceptional opportunities for attracting students and providing them with resources and experiences which boost the comprehensiveness of their education.

Criterion 3: Represents a growth area or economic opportunity

Shifts in, and trends related to the economy, culture, technology, educational delivery systems and formats, business and commerce, international relations, politics, and globalization are creating or enhancing opportunities for academic concentration. Like every academic institution, Empire State College cannot capitalize on every trend. Yet, as the college moves toward fulfilling the imperatives established by Vision 2015, we should be mindful of how our programs may align with particular trends so that we can satisfy our commitment to promoting student success. Have we focused attention on building an academic program which enables a broad complement of our students to move into the next stage of their lives more fully prepared to make a contribution to their organizations, professions, communities and fellow citizens? Curricular areas which correspond to growth trends are important in this regard.

Yet, it should be emphasized that the term "growth" need not be restricted to the favorable economic potential of a given field, but rather to a more comprehensive range of societal activity and thought whose importance – whether for economic, political, cultural, moral, scientific or global reasons –

is growing. Accordingly, not all curricular areas identified for support hold the identical promise for job growth or material prosperity for our graduates. Yet, all represent fields with an expanding range of opportunity.

It is recommended that we remain vigilant in seeking to support curricular proposals which allow the college and our students to make substantive contributions to their fields, especially in fields which have an increasing role in, or influence on society. The eight curricular areas for support were identified, in part, because of their prominence and stature in society, as well as their ability to benefit the economic interests of the college.

Criterion 4: Integrates effectively with other curricular areas and is conducive to interdisciplinary approaches to program and curriculum development

The desire for a more interdisciplinary approach to planning and delivering educational services has been expressed in multiple forums with consistency and enthusiasm. Benefits accrue to students and faculty. Our commitments to students – particularly because of our adult-learner student body – are served more generously to the extent we provide unrestricted access to relevant learning opportunities wherever they occur in the college. In a similar fashion, our commitments to faculty – especially with respect to professional development – are strengthened to the extent we can engage one another more fully in collaborative endeavors.

Therefore, it is proposed that curricular areas which complement or integrate with other areas will receive more favorable attention. The eight themes proposed for academic emphasis share the potential for mutually influencing one another. The educational cachet of each academic area is enriched to the degree it is informed by the other areas. Consider these examples:

- The range of possibilities for managing in a health care environment is broadened when students become aware of health care policies and practices in globally diverse settings, as well as understand how emerging information system technologies affect patients' ease of obtaining care across a spectrum of health care organizations.
- Sustainability constitutes both an area of study as well as a theme with relevance to all other curricular areas.
- The impact on labor of shifts in the world economy, emerging technologies and modifications of consumer needs is quite considerable. The distribution of labor on a global basis and its relationship to business as the 21st century progresses relate well to the interconnectedness of the proposed areas of curricular emphasis.

Criterion 5: Reflects and builds on the expertise of our faculty

Empire State College has a rich and diverse scholarly community, comprising faculty who often have prior experiences as practitioners in their respective fields and now are engaged actively in teaching and scholarship. In choosing which academic areas to focus on, it is, therefore, desirable to draw upon the expertise of the current faculty who are accomplished already in their fields, and who are poised to make further contributions in their given areas. At the same time, it is useful to view this criterion as a vehicle by which to identify where investments should be made to further develop the faculty, as well as to guide future hiring decisions, based on the need to augment certain areas. One of the guiding principles in adopting this criterion is that it implicitly endorses the idea that Empire State College is one college. The expertise of the faculty is, thus, a shared resource, and can be drawn upon by various

parts of the college. In addition to being a collective resource, this criterion also reflects on the ways in which these resources can be supplemented further by combining and pooling resources with other curricular areas. Thus, this criterion also supports the idea of sharing among, as well as within, specific curricular areas. Finally, this criterion also assumes that while it is important to build on the strengths the college already possesses, new curricular areas might be identified as potential sites of growth and student need. Thus, this criterion should be viewed as an invitation to consolidate the expertise of the faculty in the service of the whole college, while, at the same time, to map out where that expertise might reasonably be built further, based on curricular concentrations that have been identified as potential growth areas for the college. (See also Section 3, Faculty Planning and Development.)

Criterion 6: Serves students' needs for increasingly diverse programmatic options

The majority of students enrolled in higher educational institutions participate in traditional degree programs, including associates, bachelor's, master's, and doctoral. However, colleges and universities across the country – indeed across the globe – more and more have been offering additional options for students who seek a college experience but for whom this traditional format is not suited maximally to their educational needs. Accordingly, less traditional formats as dual degree programs, accelerated programs and certificate programs are gaining a stronger foothold in the menu of degree options. Colleges and universities benefit from taking a more flexible approach in constructing such opportunities for students; it allows for program customization and affords students more flexibility to link their educational experiences to other aspects of their lives, including family and work. Such flexibility is particularly important to adult learners whose lives are more layered and established than students who make relatively immediate transitions from high school into higher education.

Particular attributes of the college, along with emerging needs of students, would encourage us to consider how less traditional degree options could benefit our students. First, our students do not gather as a community but, for the most part, remain in their communities and seek to adapt their educational experience to their existing work and family life structures. Second, our educational delivery system, with its emphasis on technology, permits flexibility in educational design and how we interact with students. Third, the history and practice of degree planning enables us to approach the student as an individual, with distinct needs and goals, and fosters an atmosphere of individualization and customization. Fourth, our curricula are expanding in directions appropriate for less traditional degree options, from certificates to accelerated, joint undergraduate/graduate programs. Surely, there are important issues to consider as the college evaluates the development and implementation of less traditional degree options. For example, one risk is that such options can encroach on other, more standard degree programs. If done effectively, the opposite should occur. For example, students who enter the college for a certificate may be guided to consider enrollment in a more advanced degree program. A second risk relates to the ease with which particular options can be developed, particularly certificates. Such relative ease may generate a temptation to introduce them without proper consideration of the resources necessary to execute curriculum development and instruction with quality and sensitivity to workload. A third example is that since certain options may have less rigorous application and acceptance criteria, there is the risk of bringing in students who, if integrated with students in traditional degree programs, could dilute the academic standards vital to the educational experience of our student body.

Goal A2: Establish a Thematic Approach to Academic Planning

Objective A2.1: Create a framework for guiding the academic direction of the college

In constructing a framework for an academic direction for the college, the academic plan seeks to preserve the integrity of the college's existing programmatic structure while guiding the college toward the achievement of important new goals. Traditional academic disciplines assume definition and character from an accumulation of knowledge, meaning and perspectives in a context of environmental and societal conditions and trends. Disciplines also influence, and are influenced by, other disciplines with which they align, whether circumstantially or fundamentally. The academic plan acknowledges these principles of academic life and seeks to build on them.

The college's academic plan envisions a future rooted in the premise that the effectiveness of the college rests on maximizing the complementariness of disciplines – that is, the extent to which we discover common ground among our disciplines and areas of study when collaboration is necessary to meet the evolving needs of our students. The proposed themes are not meant to eliminate or supplant the college's existing areas of study. Rather, a thematic approach is meant to complement our current areas of study and provide creative new perspectives to enhance academic planning for the future.

Thus, the academic plan proposes a ***thematic*** approach to academic planning. Themes encompass and interweave among disciplinary, programmatic, center and area of study domains and may be defined as ***cross-disciplinary and interdisciplinary topics which reflect the educational needs and professional interests of our students, which emanate from growth sectors of the economy or trends of societal importance, and which allow the college to capitalize on faculty expertise and preserve core college values.***

The eight themes identified by the task force may constitute or influence the subject matter of college studies and courses, promote cross-disciplinary initiatives, serve as the basis of program development, enable the college to promote areas of distinction, encourage research initiatives, and provide guidance on organizing the future composition of college faculty. They are intended to build upon and strengthen the outstanding work performed by our college faculty and staff. The themes include:

- Initiatives in Human Services
- Globalization
- Environmental Sustainability
- Communication, Media and The Arts
- Business in the 21st Century
- Initiatives in Health Care
- Technology, Information and Society
- Adult Learning and Education

For ease of review, abbreviated descriptions of each theme follow. The complete discussion of each theme, including the rationale for the theme's inclusion in this plan as well as programs and initiatives associated with the theme, appears in Appendix A.

Initiatives in Human Services

Initiatives in Human Services continues the college's dedication to promote and sustain safe and healthy environments, enhance and support the physical, social and emotional well-being of individuals and families, promote an understanding and appreciation for diversity, and advance issues of social justice and equality. Initiatives in Human Services prepares students for a wide range of careers at the professional and paraprofessional levels within private and public sectors, including fields of practice such as community service, criminal justice, mental health, addictions, emergency and disaster management, health, disabilities and educational services. These fields impact every age and developmental stage, from pre-natal to the elderly. Depending on particular interests and goals, students are prepared to engage in professional roles, including direct practice, administration/ management, program/organizational development, community development, social action, advocacy and/or policy development.

Globalization

A leading commitment of the college is to foster critical reflective inquiry that encourages active engagement in the local and the global community. The Globalization refers to academic endeavors which encourage the participation in and contributions of students and faculty to a global civil society and to a global economy, to impact positive social change. This thematic thread moves throughout the college, from increasing global awareness in individual studies, through concentration and programmatic directions, and through specialized residencies, international travel, specialized international programs and international faculty collaboration. Globalization could have several key dimensions: globalization and faculty/professional interests; globalization and our academic programs; globalization and our student population; and globalization and a connected community. Globalization involves a collegewide commitment to treat global issues with balance and sensitivity.

Environmental Sustainability

Environmental Sustainability is the study of one or a combination of the many factors contributing to environmental deterioration or to environmental improvement. This theme fits with the college's mission, whether as a focus for a student-designed concentration or as a topic of study which strengthens such a concentration. Environmental Sustainability includes a vast range of critical issues, from energy policy to food consumption, recycling to transportation, individual choices to the global economy, and, as such, possibilities for academic studies are myriad. For example, degree programs in science, mathematics and technology might include a study of global climate change, demonstrating the broader context in which science and technology operate. Additionally, related policy studies can play a significant role in political science, public policy, science and business programs. Environmental sustainability is already an important component of many degree programs in business and labor studies, and is recognized increasingly as a necessary component of strategic planning, economic analysis and product development. Also, environmental justice is one of several avenues through which human services programs examine this theme.

Communication, Media and The Arts

Communication, Media and The Arts draws largely on the liberal arts, fine arts and humanities traditions of the college. It explores the role of the arts and media in helping human beings understand and communicate their life experiences. Encompassing other areas as well – including the human and natural sciences and business – this theme allows students to explore how human beings experience

media and the arts, and how changes in media and the arts create new forms of communication processes between individuals, groups and societies. Students who pursue this theme might, by way of example, study such problems as the ways in which globalization has had an impact on ethnic and cultural minorities; how the media communicates the challenges posed by globalization; and what the influence of cultural products from the first world is on the third world. Development of this theme would allow students to strengthen their employment potential by providing them with learning opportunities and skill acquisition experiences which support professional development in fields such as media production, journalism, public relations and advertising, broadcast media, digital media, graphic design and digital performance.

Business in the 21st Century

Business in the 21st Century reaffirms the college's commitment to prepare students for professional capacities of leadership, management and relevant support roles in a wide assortment of industries and organizations in an increasingly global environment. Business continues to be a vital academic area at the college, and a broad array of concentrations is represented in undergraduate and graduate offerings. As such, students have the opportunity to learn and strengthen competencies for their development across an expansive landscape of business professions. These include, but are not limited to, accounting, business administration, business policy, economics, health care management, human resources management, employee relations, international business, labor studies, management, nonprofit administration, operations management, marketing, social policy, supply chain management and telecommunications. The breadth of concentrations, coupled with the varied degree options for students interested in studying business, attest to the college's capacity for preparing students to enter or advance in diverse areas in the world of business.

Initiatives in Health Care

Initiatives in Health Care refers to the collection of the college's programs, courses and other educational services – both current and proposed – designed to prepare students for careers and/or professional development in various segments of the health care industry. Multiple career tracks are represented by the college's programs which span clinical, administrative/management, health science, policy development and public health directions. Given the comprehensiveness of the college's health care education initiatives, students at Empire State College are prepared to contribute to this vast and expanding industry in diverse and important ways.

Technology, Information and Society

A critical area of study in today's ever-growing world, Technology, Information and Society supports the college's obligation to be innovative and on the cutting edge of technological change. This academic theme encompasses the technological, as well as social, cultural, historic and economic contexts of computing and information. Concentrations include computer science, information systems, information technology, informatics and information science, but also can include more individualized and creative concentrations such as human-computer interaction and the information society. This theme also would address relationships between relevant technological change and society, such as those associated with the explosive Internet-driven availability of information in today's world.

Adult Learning and Education

Adult Learning and Education reflects the college's traditional area of strength in serving the needs of adult learners, and valuing their personal and professional experiences as part of their academic journey. It also encompasses the more recent ways in which the college is preparing educators who work with students across the lifespan, in both formal and informal settings, and private and public institutions. By offering a range of undergraduate and graduate degree program options which are flexible in terms of content and delivery mode, this goal can be realized. This approach underscores our commitment to being an "innovative learning organization" with "offerings that clearly reflect the changing needs of learners and society." A concentration in educational studies supplements several other areas of study which provide the content specialization required for those interested in continuing with graduate K-12 teacher certification programs.

Objective A2.2: Create an institute for liberal arts and sciences (ILAS)

In honor of the college's longstanding commitment to, and excellence in the interdisciplinary liberal arts and sciences, as well as the college's commitment to individualized learning, the academic plan supports the creation of an institute that would help to organize the college's efforts to continue to foster excellence, creativity and innovation in the interdisciplinary liberal arts and sciences. This institute would be responsible for initiatives that provide unique, creative opportunities for students to engage with mentors in the design of learning opportunities and highly individualized programs in the interdisciplinary liberal arts. It also would sponsor professional development in the liberal arts, including – but not limited to – reassignments and professional development opportunities for faculty to create open educational resources (OERs); opportunities for faculty to pursue their own professional interdisciplinary development; and the ability to host SUNY-wide or international conferences on relevant topics. The institute also would pursue external funding in support of these and other opportunities identified within the academic plan. In short, the institute's mission would be to foster the forms of interdisciplinary critical thinking that form the foundation of both professional opportunities in an information/learning economy and the habits of lifelong inquiry and learning. The activities of the institute would be hosted by an open learning environment, and would make full and creative use of emergent technologies.

Theme B: Environments for Mentoring, Teaching and Learning

Introduction

As a college, we seek to practice and discover new and diverse modes of teaching and learning that will serve the interests and needs of both students and faculty. Thus the academic plan seeks to encourage innovation, creativity and assessment-based teaching practices in a variety of modes or settings. Towards that end, this section of the academic plan focuses on ways to enrich the mentoring, teaching and learning environments for all, emphasizing collaborative partnerships (between students and faculty, between students and staff, between faculty and staff, and among faculty), both across centers and across graduate and undergraduate programs. Additionally, the academic plan supports the use of creative and effective assessment methodologies to enhance this work. In this section, we define "learning environments" as the total academic, technological, physical and social infrastructure necessary to support profound experiences of mentoring, teaching and learning.

There are four primary goals focusing on enriching the environments within which we learn, teach and mentor. The first goal, to create effective, rich and flexible learning environments, addresses the range of issues identified across all areas of infrastructure – academic, technological, physical and social – that comprise and support what we have termed "learning environments." The second goal, to enhance academic assessment, preparation and support, focuses on ensuring the academic success of all students – both undergraduate and graduate – through the early identification of appropriate levels of academic readiness, and then providing the appropriate support for those students throughout their educational careers at the college. The third goal, to enhance educational planning for students in relevant programs, focuses on a core value and practice of the college. The fourth goal, to improve the prior learning assessment and academic review process, is related clearly to the third focusing on educational planning. However, as prior learning assessment is such a critically important area of academic expertise and process for the college, we sought to highlight its importance as a unique goal.

Goal B1: Create Effective, Rich and Flexible Learning Environments

Objective B1.1: Integrate outcomes assessment and data analysis at the individual, course and programmatic level

As the Middle States Report urges us, our work must not be done in a vacuum, and we must seek to "close the loop" through assessment and data analysis. This connects to Vision 2015's strategies of ensuring "academic quality by closing the loop between outcomes, assessment, program review and accreditation, and student learning" (A.1.4) and "assess, revise and improve our areas of study on a cyclical basis" (A.1.11).

The academic plan calls for a thorough review, analysis and assessment of the current undergraduate areas of study as a means to understand how and if they continue to benefit our students and faculty. While visionary in the years that they were created – when disciplinary silos were the standard in higher education – interdisciplinary and multi-disciplinary work is recognized more now and even institutionalized within higher education. Additionally, the work of various groups across the college in the past two years, including that of the Academic Conference and All Areas of Study, has highlighted a desire on the part of the faculty for this review and analysis of our current areas of study.

Secondly we endorse the Middle States call for linking student learning outcomes to assessment and program review. We must recognize that done properly, assessment requires resources. In order to be effective and efficient, this work requires data collection at multiple levels and the availability of tools to do the analysis. It also requires time for the parties involved to assess the outcomes and evaluate the findings, and then to synthesize this new knowledge into further refinements. This work is necessary to close the loop and support the foundation of current and future planning. Toward this end, the academic plan supports the work of CUSP-PA, and calls for its institutionalization as a standing governance committee (see also Academic Program section). We also seek to support the work of the Center for Planning and Institutional Effectiveness (CPIE) to implement assessment at multiple levels, including the General Education Assessment Review (GEAR), assessment in the major and of the AOS. We also endorse the development of ePortfolios as a tool to support integrative student learning, as well as forming the basis of effective assessment of learning.

Indeed, the 2011 June Academic Conference initiated this work with a discussion of what our students need to know to be prepared for life in the 21st century. This discussion of an "educated person" will lead to the identification of institutional-level learning goals for our students, and this, in turn, will help faculty and academic professionals transition to a subsequent discussion of program-level learning outcomes by areas of study, even as deans and associate deans lead faculty discussions on learning design and learning outcomes at the course – and course ¬– activity level. In this way, the college seeks to develop a first iteration of an integrated outcomes assessment framework by 2013, to be revised and improved in subsequent years.

Objective B1.2: Enhance the use of technologies to support mentoring, teaching and learning

The overall purpose of this objective is to have the mentor and learner supported in a constructive educational environment that promotes robust, effective interactions. Critical issues include integration and access to educational technologies; technology training and support for students and faculty; and the fostering of innovation through continuing experimentation with, and adoption of new technologies. In short, the Plan calls for a collegewide focus on enhancing students' and mentors' effective access to, and use of various academic technologies, including the library, instructional design support and open learning objects and repositories.

There are critically important issues of technology integration, access, functionality, user education and training, and usability, as elaborated in the Blue Ribbon Task Force report in 2010. We seek to improve systemwide design and cross-design among the college's Learning Management System (LMS), its library, open resources, local resources, etc. These are all important concerns for the development and use of the learning environments we are describing. Specifically, though, we must point out that to create and use these environments requires instructional design support to develop and maintain the resource. It also requires training for all faculty involved with using these resources, including training for adjuncts. Students also must be provided with the training necessary to access these resources.

The college needs to enhance and support open and blended learning, because we expect it to promote and enrich opportunities for students' learning, addressing both access and quality. Critically important activities include those that support information literacy and/or technological literacy through increased exposure and enriched experiences for students. Additionally, we believe that an emphasis on open and blended learning will help manage faculty workload by providing options for

more structured teaching and learning environments where appropriate. In addition to fully online modes of learning, open and blended modes will create and enrich face-to-face learning experiences by enhancing the resources provided to all of our students.

We also propose developing a system that would allocate limited and specialized faculty expertise more efficiently to learners who would benefit most. For example, how might we better coordinate the work of faculty with math expertise to meet the needs of students at the introductory and most advanced levels, both regionally and online? (See Faculty Planning and Development, Assess the State of the Faculty section).

Finally, in terms of undergraduate educational planning, Notes DP, DP Planner and PLA Planner are currently separate applications that need to be linked with single sign-on and improved consistency. In addition, there is no technology application to house the rationale essay. The academic plan calls for the development of a degree audit system that should be implemented collegewide and utilized at the earliest point in a student's educational experience. Additionally, the college will benefit from the use of ePortfolio tools to enhance students' degree planning experience abd facilitate the assessment of student learning outcomes in an efficient and effective way.

Objective B1.3: Create welcoming environments

To create effective, rich and flexible learning environments, academic environments must be welcoming to all students, faculty and staff. As an institution of higher education, we seek to foster an academic and workplace climate that exhibits the following characteristics: the practice of free and open speech, particularly with regard to academic matters; a will to resolve knotty issues by inclusive and respectful debate; time to resolve these issues; and, finally, respect for all members of the college community, including faculty, professional employees, support staff, students and alumni.

At the most basic level, the college as an organization must constantly strive to foster civility, and the Senate's Ad Hoc Committee on Civility has initiated this important work by providing introductory level training on civility awareness for college employees. The academic plan supports the development of additional training programs on advanced issues of civility, including the effective management of meetings, and tools for helping college members address incivility when it happens to them or others in their immediate surroundings. Finally, the academic plan seeks the institutionalization of this training for all employees and the extension of it to students.

Beyond institutionalizing a climate that is both respectful and civil, a welcoming environment is one that also celebrates and honors differences within and between various groups. The academic plan seeks to honor the diversity of our various communities by supporting the following initiatives: recruiting and retaining members of diverse groups to the college, including both students and employees; enhancing diversity in academic instruction and planning; and creating supports for student and alumni activities that celebrate difference.

Objective B1.4: Implement improved planning and design of physical locations

The overall objective is for the Office of Academic Affairs and the Office of Administration to collaborate to create sets of standards, best practices, and teaching, learning and service objectives that incorporate new design models systematically deployed across the college. Procedures for consultation at all levels of users need to be built in. Units, as well as centers, need to be considered. The planning and design of new or renovated college locations – including floor plans, furniture and infrastructure – must create the highest quality environment. The physical environment should support student learning and faculty and student collaboration. The infrastructure should include current technology for administrative and educational uses – such as high speed Internet access, wireless and presentation equipment –installed before occupancy or systematically during renovation, rather than retro-fitted. As the college is aware, attention must be paid to accommodating disabilities in the design of the physical environment.

The academic plan endorses the concept of developing regional hubs among the regional centers. These "hubs" would include faculty and staff from the Center for Distance Learning, the School for Graduate Studies, The Harry Van Arsdale Jr. Center for Labor Studies, and the regional center to better recruit, serve and retain students, while creating a culture of collaboration among faculty and staff.

Finally, the Academic Plan proposes incorporating – but also extending beyond – current models of mentor-student interaction and the concurrent development of physical spaces that support multiple modes of interaction. Thus, planning must consider needs of one mentor, working with a single student, but also the development of more collective and collaboratively-oriented learning environments. This has happened at certain new locations and needs to be institutionalized and implemented systematically collegewide adjusting for local conditions. Examples of new ideas include collaborative spaces of various sizes with various equipment for face-to-face and distance conferencing (Center for Distance Learning, 113 West Ave.); one-stop student service and support areas (model for Genesee Valley Center); and modular online learning environments – such as a wireless laboratory environment with moveable furniture that can be configured for individuals, one-to-one academic coaching and study group learning on demand. The plan also endorses "signature rooms" that can serve as art galleries, small-scale performance spaces and can accommodate orientations and special events, as well as instructional needs.

Goal B2: Enhance Academic Assessment, Preparation and Support for Students from Admission to Graduation

Empire State College has embraced a mission to serve people with a wide range of academic skills and preparedness. At both graduate and undergraduate levels, we recruit, admit and serve people who have experienced diverse educational trajectories, and who are trying to achieve diverse personal and professional goals. Because Empire State College has embraced an educational model that is unique in ways that create challenges as well as opportunities for students, we must embrace some responsibilities in terms of admissions, orientation, skills assessment and developmental learner support. That is, we must determine what our students need to prosper academically, and then we must plan to provide what they need. In short, the academic plan calls for enhanced academic assessment, preparation and support for all students from admission to graduation.

Objective B2.1: Build better admission policies and procedures

For undergraduate students, little is done to ensure that each admitted student has adequate reading and writing skills to meet the demands of our dispersed and flexible environment. We are nearly open-access, requiring only a high school diploma or GED and a small writing sample for admission. This policy of nearly-but-not-quite-fully open admission, combined with insufficient resources to determine and meet students' needs, can only have adverse effects on student experience, student retention and faculty and staff work load. It also creates a concomitant ethical concern about admitting students who might not be able to benefit from our educational programs.

As the college grows, it will become even more necessary to determine at the point of admission which prospective undergraduate students can succeed without academic support, which can succeed with it, and which cannot succeed. We need reliable admissions standards that are appropriately indexed to our degree offerings. Transfer students for whom only advanced-level studies or courses will move them toward completion must be able to write at an advanced level, for example. This point only emphasizes the need for careful, data-driven assessments of our current admissions practices in order to build something better for our future. The level(s) of our admissions standards will govern the degree to which we will have to develop programmatic developmental supports, as well as the resources that will have to be devoted to such supports, both in development and in deployment.

The environment that suits all shareholders best, including faculty, students and staff, is one with an optimal balance of recruitment with retention of students to graduation. This balance may be achieved in many ways, but certainly in part by admitting students who are, or who can be, prepared for work in this open and flexible environment. This aspect of the plan must be developed in coming years, as the Committee on Undergraduate Studies (CUSP) undertakes its review of the current undergraduate admissions policy. Once any new admissions policies have been ratified, then developments in academic assessments and support can be developed in meaningful ways.

Objective B2.2: Assess the academic skills of undergraduate and graduate students in the pre-enrollment period

Historically, the college has served the needs of people who may have been unserved or underserved by other colleges during their educational career. As at every college, at the undergraduate level, some percentage of students arrives with moderate to severe deficits in any of a number of skills areas. These may include but are not limited to reading, writing, computer skills, information literacy skills, critical thinking and math. Although admission to graduate programs is more selective, graduate faculty have raised concerns about the readiness of admitted students to succeed, particularly in terms of reading, writing and conducting research at the graduate level as well. It remains true at any level that without skills assessment, the first studies or courses taken by students become de facto assessments of their readiness for their programs. In terms of their academic persistence and development, this does not serve students well.

Even students who come in with relatively strong skills might look to improve their skills in meaningful ways. Depending on decisions regarding the current admissions policies, process and criteria, we propose that a set of skills assessment tools be adopted for college use. These tools should be made available to undergraduate students subsequent to admission, to be used in consultation with college staff – notably mentors and directors of academic support or their designees – as the core of rigorous developmental planning.

To date, directors of academic support, who are professionally responsible for assessing the skills and meeting the developmental needs of undergraduate students, have been hired at the seven regional centers, The Harry Van Arsdale Jr. Center for Labor Studies and the Center for Distance Learning. Some of these directors also serve graduate students if the situation arises and resources permit it, but others do not. This situation violates desired codes of consistency across the college.

One initial and necessary task is, thus, to survey the needs of the graduate students. Evidence, (including a report issued by the graduate faculty), suggests that there are gaps between the skills of some incoming graduate students and the requirements of their programs. We must determine how to deploy services to meet these needs. For instance, one way of serving graduate students might be to widen the purview of the current directors, while providing more resources and learning coaches to continue to meet the needs of undergraduate students. Another option might be to hire a collegewide director of graduate academic support and provide substantial "cloud" resources to that person to meet the needs of graduate students.

Objective B2.3: Make orientation make a difference

The college's virtue –meeting the needs of students who are not well served by other institutions – also creates a responsibility to introduce new students meaningfully to this highly unusual educational environment. We cannot expect students to understand this place when they arrive here, as their understanding and expectations will be predicated on experiences at other types of schools and/or hearsay – or, with luck, by attendance at an information session.

Orientation, which is an important function at every college, is even more important for students new to Empire State College. For this reason, a number of groups – including the student services professionals and the directors of academic support, as well as faculty – have been studying how to convert orientation from a single event into an ongoing process. Our goal is to find ways to scaffold the information delivery in order to prepare students step-by-step to become fully functioning independent learners.

During 2010 - 2011, the student services professionals (SSPs) have compiled and analyzed data from orientations across the college at the undergraduate level. This project recently culminated in a report that has been submitted to the deans for consideration. As they become available, recommendations stemming from this project should be incorporated into this academic plan and its iterations.

In addition to the SSPs' plans for orientation, and dovetailing neatly with the college's plan to create a culture of assessment, students from the point of first contact may be encouraged and supported as part of an extended orientation process to assess and periodically reassess their own academic skills through the work of the directors of academic support. As discussed elsewhere, this will help them to determine their specific strengths and challenges before beginning their studies and then as they continue, thus enhancing their academic self-development during their time at the college.

Objective B2.4: Support students academically

Student success may be defined in various ways. On the one hand, we might look at measures of student engagement, persistence and satisfaction with their academic programs. Studies completed at other colleges suggest that students who access a wide range of available services are more apt to persist than those who access fewer services. Accepting this, the directors of academic support at Empire State College recommend the following strategies which are endorsed by this academic plan:

- Increase student access to, and utilization of, academic support resources by following the lead of our librarians, for example, who have created and marketed the Library Skills Workshops and have worked to increase their accessibility to all students using technology.
- Through partnership with faculty, embed skill development/academic support "across the curriculum" and develop academic support resources for targeted studies, including introductory, advanced-level and AOS-specific studies.
- Provide from accessible and creative supports in addition to faculty support, to rich and rigorous studies that may benefit students at all developmental levels and in all programs. CDL's new peer tutoring program is one model of such a support. Similar programs might be developed in other centers, and students across the college should be encouraged to participate, either as users or producers of the services.

Additionally, the academic plan endorses the work of the Student Success and Retention Task Force 2011. The charge to the group is to conduct a systematic review and empirical analysis of critical student service touch-points, potential barriers to success and successful interventions across the range of the Empire State College experience, and to make recommendations for enhancing student success and retention. The task force's report was completed in Fall 2011 and includes: a review of current college practice and college research; an external literature review; new research design and analysis, including student and faculty/staff input across a wide constituency of the college; and data-driven recommendations for optimizing key services and structures. The Academic Planning Task Force supports the implementation of the anticipated recommendations.

Goal B3: Enhance Educational Planning for Relevant Undergraduate and Graduate Programs

An important component of the academic plan is to enhance educational planning to support undergraduate student success and degree completion. Educational planning is both the study and the process through which students create an individualized degree plan. Most of the undergraduates at the college, including those at the Center for Distance Learning and the seven regional centers, take part in individualized degree planning. We recognize that The Harry Van Arsdale Jr. Center for Labor Studies offers a structured associate degree program for electrical worker apprentices and individualized bachelor's degrees, and that the School for Graduate Studies primarily offers structured degrees and certificates. The HVACLS and SGS faculty, while not directly involved in educational planning with their students, share the college's core values of recognizing the experiential learning that students bring to their formal learning, and cultivating students as independent lifelong learners, both essential components of educational planning.

Indeed, educational planning, both in terms of the process of individualized degree program planning for students and in terms of the study itself, remains a foundational value of the college, even as educational planning practices raise issues and concerns that must be addressed in an academic plan. The Academic Planning Task Force recognizes and applauds the ongoing work by the Office of Collegewide Academic Review, directors of academic review, the directors of academic support working group and the Center for Mentoring and Learning, aimed at strengthening and improving educational planning for undergraduates. In recognition of these various and important initiatives, the academic plan calls for enhancing educational planning for those centers and programs that require educational planning of their students.

Objective B3.1: Analyze the impact of enrollment growth on effective educational planning through data-driven analysis

There are broad concerns across the college as enrollment growth has created pressures on faculty, professional and support staff as they strive to meet the needs of their students. Discussions across the college have raised concerns that this growth has impacted the provision of educational planning to our students. An analysis of institutional data is needed to determine whether, for example, students' completion rates in educational planning studies have been affected. Also, research is needed to determine whether, and if so how, enrollment growth has affected mentors' practice with regards to educational planning. The goal of these analyses is to inform a review and strengthening of educational planning policy, a task that will be undertaken by the Committee on Undergraduate Studies and Policies within the timeframe of this plan.

Objective B3.2: Work toward consistency and transparency to enhance academic quality

Enhancing students' ability to understand and engage with the process of educational planning – such that it adds value rather than becoming a barrier – is a desirable outcome. Effective and timely achievement of the educational planning sequence (from completion of the study to completion of the portfolio and its submission, evaluation of PLA requests, faculty review and concurred degree programs) are all critically important outcomes. There are proposals to review current models and begin to identify best practices across centers, by mentors as well as directors of academic review. The Center for Mentoring and Learning and the Office of Collegewide Academic Review will provide leadership for this effort.

Objective B3.3: Explore and disseminate diverse models of delivery of educational planning

Multiple ways of delivering educational planning exist and should continue to exist across the college, but in a more planned and shared environment. In particular, the college will benefit from an exploration of the complete range of educational planning practice, including individualized, semi-structured and almost fully structured degree plans. Again, the Center for Mentoring and Learning will provide leadership in the effort to identify which models of delivery meet the criteria of supporting core values, supporting student academic success and utilizing innovative approaches. An extended orientation that transitions to educational planning falls within these efforts, and, as noted in other sections of this plan, ePortfolios are effective tools for both delivering educational planning and assessing student learning and college practice.

Goal B4: Improve the Prior Learning Assessment and Academic Review Processes

SUNY Empire State College is an acknowledged leader in the assessment of learning acquired outside of the academy; we have 40 years of experience helping students identify what they know and what they need to know. As higher education increasingly recognizes the validity and promise of PLA, Empire State College will remain a leader in the field, and PLA will remain central to our mission. Moreover, the college's approach to PLA supports the college's core value of individualization. It provides students with the opportunity to utilize knowledge gained from nontraditional sources in their degree plans, allowing them to focus on new areas of learning and facilitating earlier degree completion.

The Council on Adult Experiential Learning (CAEL) has found positive relationships between student degree retention and completion and the use of PLA. The college's PLA program includes learning that has been pre-evaluated by accepted external sources (ACE and NPONSI) and specific sources of learning that the college itself has evaluated (generics). Students also may choose to seek individual evaluation of learning that is applicable to their degree programs but has not been pre-evaluated by the college or external sources. The majority of students using PLA do so through this individualized assessment process.

The Office of Collegewide Academic Review (OCAR) and the Center Offices of Academic Review (COARs) have been active at both the local and institutional level in maintaining and strengthening this process through activities that include, but are not limited to, the development of local evaluator training, developing an online collegewide training format, engaging in research around evaluation, developing a collegewide evaluator data base, and offering student workshops and supporting materials.

While there are many strengths in the college's PLA model, there also are some concerns about consistency and equity of practice across the college, and how to best ensure the quality of the outcomes. The academic plan seeks to ensure our historic institutional commitment for PLA and address those issues and concerns that impact academic quality.

Objective B4.1: Understand current practice

We need to systematically study our PLA practices as an institution in order to facilitate clearer and more academically sound practices. Many of our processes are grounded in historical practices rather than a true understanding of their current effectiveness. The college needs a better picture of which practices are presently in place across centers and their overall effectiveness in terms of degree program planning and student success. The development of PLA requests has been criticized for being too cumbersome, as well as difficult for students to complete; further exploration needs to take place to determine more effective ways for students to develop their requests, such as the use of ePortfolios.

As part of understanding our practices, a clearer appraisal of the mentoring process for PLA needs to occur. Currently, very little is known about the ways in which faculty mentor students through the PLA process and how this facilitates PLA request completion. In addition, little is known about the actual evaluation process itself. Research is needed to better understand the impact of the assessment process on student success.

Objective B4.2: Reinforce the central role of mentors through professional development

Currently, each center's Office of Academic Review offers orientation and training to new mentors on PLA, and the Center for Mentoring and Learning offers workshops across the college. In addition, institutional development for new mentors and ongoing faculty development should have a sufficient focus on PLA. There is a concern that new mentors may not have the tools to help their students identify and develop PLA requests outside of their area of expertise. Also, faculty assessing PLA requests do so in addition to their current workload assignments, which means some faculty have less time to commit to evaluating PLA requests.

There is a general sense that workload issues may be impacting the effectiveness of the assessment process. High demand areas for PLA evaluation have created an inequitable distribution of work for faculty mentors, and alternative strategies need to be developed to ensure these areas are covered without an undue burden on particular faculty. Faculty development opportunities and workload assignments need to place PLA request development and assessment as valued components of faculty professional obligation.

Finally, the college always will need to turn to external evaluators in particular areas of expertise; therefore, further evaluator training needs to be in place from a collegewide perspective. In addition, for certain high request areas, the college might consider training a cohort of evaluators to ensure expertise in assessing specific topics. The area of studies could play a more central role in developing guidelines and assessment information for some topic areas that are in high demand.

Objective B4.3: Communicate more clearly with students about the value and place of PLA

The college also needs to determine realistic evaluation strategies and expectations from the student perspective. The college needs to explore ways to sustain PLA practices without compromising its integrity and to make sure that students understand these practices. Most degree program publications and web-based materials focus on the specifics of the degree program planning process, and very little is available to students to communicate collegewide expectations and guidance related to preparing a PLA request and engaging in the assessment interview. In some cases, individual faculty have developed materials to support this process, but little has been done to collect these valuable resources to share with other faculty. Collegewide, web-based materials need to be developed to support the PLA process more effectively.

Objective B4.4: Address fiscal implications for PLA

The fees associated with the PLA process have not been reviewed in many years, and initial assessments indicate that the fee structure no longer adequately supports the work on prior learning assessment that is completed by the college as a service to students. The college needs to examine the fee structure for the individual evaluation of prior learning (IEF) and payment levels for external evaluators. It is critically important to ensure that our process is cost effective for students, but also that our fees generate the revenue to support the process itself. We also support the effort to establish consistent and equitable payments to external evaluators at a level that is fiscally feasible and a fair compensation to attract and retain quality external evaluators.

Objective B4.5: Support the development of Empire State College generics

The college needs to provide sufficient resources to maintain the currency of existing generic evaluations and to develop additional "generics" (specific sources of learning that the college itself has evaluated). As we develop more partnerships and outreach to companies and organizations, there is an increased need for the college to expand its own inventory of generic evaluations. Generics, if they can be maintained for currency, offer students a more direct path to incorporate PLA within their degree programs. The college also needs to expand its partnerships with other colleges and organizations which also evaluate learning to provide access to other pre-evaluated learning possibilities. Pre-evaluated learning provides effective means to assess student learning in areas that are consistently in demand and provides a recruitment tool targeting students employed in certain industries and occupations.

Objective B4.6: Enhance degree program review and approval

In 2008, the college adopted its current Policy and Procedures for Degree Program and Portfolio Review and Approval, which applies to students' individual degree program proposals and portfolios. The goals of this policy are to promote quality and consistency with college policy in student degree programs and portfolios; ensure timely approval of student degree programs and portfolios; and clarify the process for students, faculty and staff. The policy was crafted in such a way as to support center-specific conventions, as the center assessment committee reviews and approves the degree program proposal and portfolio at the center level, on behalf of the college faculty as a whole. Approval by the committee is required before a degree program proposal and portfolio can be forwarded to the Office of Collegewide Academic Review. The expectation is that committee decisions strive for objectivity, within the context of the student's academic and professional goals, college policy and AOS guidelines. The center director of academic review's role, as a standing member on all center review committees, is to promote continuity and consistency in center judgments in relation to college policy. OCAR is responsible for ensuring compliance with college policy and approves the portfolio, at which point the degree program plan is concurred and becomes official. Some individual centers also have developed various quality review strategies. The degree program also is reviewed at the point of graduation recommendation to ensure that the student has met all college academic requirements. Since development and review of an individualized degree program is central to the college's mission, the college needs to develop ways to assess the extent to which center-specific practices do or do not support quality, consistency and timely review.

Additionally, there are a range of issues that the college needs to consider at an institutional level in order to enhance the degree program review process. Each area of study has developed its own style of guidelines, and some are more open-ended than others. There is continued debate on how to interpret these guidelines and whether they are to be interpreted as requirements, guides or suggestions. The lack of clarity around the purpose and varying interpretation of the guidelines leads to confusion among students, faculty, the center assessment committees and assessment professionals. The individual and center-based interpretations vary across the college. Additionally, interpretation of the guidelines raises challenges for students and primary mentors in developing degree programs and writing the degree program rationale, even as committees struggle with understanding and interpreting guidelines, particularly if the student's area of study falls outside of committee member's area of study. In short, the college needs to examine the different practices across the college and determine the best way to present and actualize the guidelines to ensure equity and consistency for

all students. In addition, AOSs need to examine their guidelines from the perspective of the student, and seek input from students, mentors and assessment professionals to identify issues that arise in interpretation during the development of the degree program and review.

Faculty development for the degree planning process is addressed by the college in a number of ways. At a center level, the center office of academic review often plays a primary role in orienting new mentors to program review and their roles as center assessment committee members. The CML offers additional orientation to new mentors (which includes degree planning and PLA requests) and offers collegewide workshops on educational planning and PLA. However, little has been done to provide professional development for the center assessment committees at a collegewide level. In addition, the committees operate in a vacuum from each other, depending solely on the directors of academic review to ensure consistency across committees within a particular center, and there are no mechanisms in place to ensure consistency across centers. Thus, overall center assessment committee practices need to be explored and strategies for improvement shared.

Timeliness of the degree program development and review is another important factor that impacts student success and satisfaction. When programs are submitted and reviewed during the students' last or near last enrollment, there is very little time to make changes to the students' degree program, especially when they think they have completed all of their requirements and will be graduating. Students become frustrated when they discover that they still have requirements to fulfill. Committees can feel caught in a bind and may approve programs that would not have been approved or would have received conditional approval, if submitted earlier. Recent data analysis indicates an increase in degree programs concurred within the last 16 credits instead of a decrease. Technologies have not been developed to provide accurate, up-to-date information regarding student progress, which would help faculty and center academic review offices appropriately advise students on their status. The college needs to examine practices to determine why there is an increase in untimely concurrences and develop strategies to help students establish their programs earlier in their tenure.

With student enrollments increasing, all centers are experiencing an increase in degree programs submitted for approval. For example, overall the college experienced a 10 percent increase in concurred degrees in 2010 – 2011, as compared to 2009 - 2010. The college needs to examine the sustainability of current practices and seek new ways to effectively handle the volume of degree program reviews while maintaining quality and timeliness. In addition, there is a dearth of information regarding students who never complete the degree program submission, review and approval process. Further exploration into established practices and student persistence needs to take place in order to determine how to improve degree program review and approval.

Objective B4.7: Enhance graduation review processes and develop a degree audit system

All centers are charged with developing a process by which a student's degree program is reconciled with completed Empire State College studies, determining if the completed program meets college policy, and if the changes in Empire State College studies continue to fall within the parameters of what the committee has determined to be an approved program. In addition, the Office of the Registrar is responsible for the final academic technical graduation review. The way in which centers address graduation review processes varies in terms of who is responsible for graduation review, the role that they play in the process, and what kinds of resources, if any, are available to them. Some

centers also have instituted a pre-graduation review completed at a predetermined credit level, in order to identify changes that will impact degree completion. This gives students time to make necessary changes.

Currently, there are no technological systems in place to monitor student progress or to identify a student for graduation or pregraduation review. As a result, much of the graduation review processes are done manually or through work-around procedures. An analysis of center practices would help identify ways in which technology could support the degree completion and review processes, but perhaps, most importantly, the college needs to implement an effective degree audit system to support the monitoring of students' academic progress.

Theme C: Faculty Planning and Development

Introduction

The practice of mentoring serves as both a historical hallmark and a philosophical touchstone of the college. While faculty do play diverse roles across the college as mentors, in relation to specific programs and modes of study, the ability to plan for a faculty body that both engages effectively and expertly in the practice of mentoring and brings the academic expertise to build and sustain excellence in academic programs is critical. Thus, this section of the academic plan focuses on the need for collective planning to shape the faculty body, and the ways the college needs to address the ongoing support and professional development of faculty mentors.

Goal C1: Ensure that Our Faculty Have the Content and Practice Expertise Necessary to Serve the Current and Future Needs of Students

The first section of the academic plan proposes academic themes for future program development and criteria for deciding which programs will be developed. The second section focuses on the environments within which our faculty mentor, teach and learn. The purpose of this section is to set out the questions and processes necessary to ensure that the college will have the faculty expertise required to support current as well as future learners in their academic endeavors.

Objective C1.1: Ascertain the current state of the faculty

Faculty expertise at Empire State College is complex; while faculty at all institutions must have mastery of subject matter and engage in scholarly activity, faculty at Empire State College have a broader mandate. Our faculty must engage in scholarly activity, but also develop expertise in a number of areas: working with adult learners in the practice of mentoring and in the design of undergraduate degree programs; and developing knowledge of the specific program(s) in which they work, and in the evaluation of experiential learning. Finally, the faculty must have expertise in a range of modes of learning that utilize various forms of educational technology.

First, it makes sense to consider the faculty of the college as the faculty of the whole college. More specifically, if we are to plan for the academic future of the college, we will need to understand the current composition of our faculty, and what areas of expertise or interest they hold.

Faculty expertise

What subject matter expertise do we have in terms of teaching and learning? On the one hand, our present area of study (AOS) may be too broad to describe faculty knowledge areas accurately; on the other hand, many faculty are working in multidisciplinary fields which cross AOS boundaries. More specifically, we need to document the areas where faculty are engaged in scholarship. As an example, one theme mentioned earlier in this document is Adult Learning and Education. We should be able to identify easily who among the faculty is engaged in scholarly work in this area. We need to identify our areas of distinction in scholarship.

Distribution of faculty among programs

We need to document the distribution of faculty among programs, including formal shared appointments and informal cross-center and program mentoring. For example, it is important to know how many faculty are doing a significant amount of work with students outside of their own location or program and whether or how it might be recognized. While another task force is working to develop new models for distributing faculty expertise across the college, answers to these questions should inform that work.

Faculty expertise in practice-based knowledge and how we identify "experts"

We need to determine who has "expertise" in individual degree planning at the undergraduate level among the faculty and who has "expertise" in working with Master of Arts in Liberal Studies (MALS) students in the design of programs. Again, we need to develop a process to determine expertise or other specialized practice-based knowledge that is determined to be critical.

Faculty evaluation of experiential learning

There is a need to determine the proportion of full-time faculty, part-time faculty and outside evaluators who are engaged in developing and assessing prior learning. Moreover, the distribution of prior learning assessment (PLA) requests across subject expertise is critical to determining where additional resources might be needed. It also would be useful to know who is helping learners develop their experiential learning requests, including full-time faculty, part-time faculty and/or outside evaluators.

Objective C1.2: Analyze and recommend optimal configurations to meet the current and proposed needs of the college

Once the current state of the faculty is known, there are two basic questions: how well does the current faculty serve the needs of current students, and how can the future faculty serve the needs of future students?

Current faculty serving current students

We need to determine whether we currently are meeting the needs of our students by subject area, in terms of whether there are gaps in service delivery. The college's plan for faculty hiring needs to be evaluated in terms of whether to continue to utilize the model of having at least one full-time subject matter specialist per AOS in each regional center, or to consider developing a new and different model for hiring. It is critical to determine an effective means of identifying an optimal configuration of current faculty across all subject areas or identified trends in student interests. Critical consideration needs to be given to the role of full- and part-time faculty, as well as adjuncts and professional employees.

Future faculty serving future students

Anticipated student needs should be considered in faculty planning at the college. In addition, it is critical to ensure that the current faculty complement is sufficient to meet the workload needs of the college. Strategic planning needs to play a role in how that faculty complement can or should change as the anticipated growth unfolds over the next five years. It is critical

to address in a strategic manner the optimal configuration of faculty across all subject areas based on anticipated trends in enrollment over the next five years. It also is critical to determine the needs and roles of full-time faculty, or line-appointed part-time faculty, adjuncts and academic professionals.

Objective C1.3: Develop and resource a five-year plan for faculty hiring

Developing a plan to hire faculty clearly must wait until the data have been analyzed, gaps identified, and opportunities for further growth evaluated. In addition, there are processes that must be addressed in order to ensure that appropriate stakeholders have a voice in recruitment and hiring decisions. For example, search procedures should be revised to make sure that search committees for faculty positions which serve more than one program include appropriate members from the various programs. Procedures also need to be developed to support newly hired faculty in negotiating the competing demands of multiple programs, since learner success will depend on faculty success.

Objective C1.4: Develop guidelines to integrate faculty planning into new academic program development

Programs that are proposed at any level of the college need to be vetted in light of faculty areas of expertise, needs across the college, anticipated and unanticipated workload requirements, and the faculty hiring plan detailed previously. While the criteria for new program development include faculty strengths, this section also recommends looking at a new program in the context of all of the competing roles and responsibilities of those faculty.

A governance consultation process should be implemented to ensure that deans, executives, or anyone with an immediate need to act on a program opportunity presents his or her proposal to an appropriate academic body before extensive preparation moves forward. This group should be charged with ensuring adherence to the goals and plan identified previously, taking into account optimal faculty configurations, funding, effects on existing faculty and professional structures of shifting resources to new programs, optimal ways of carrying out mentoring/instruction, and related issues, as well as developing a set of guidelines to integrate faculty planning into new academic program development.

Goal C2: Support Faculty Development in Terms of Scholarship and Practice

In this section, we outline how the college might maintain and sustain faculty in developing the subject matter (both disciplinary and interdisciplinary) and practice expertise necessary to support existing and future academic programs in a variety of modes of learning.

The challenge for faculty at our institution is that they must work to develop not only subject matter expertise, but also expertise in adult learning; in practice-based knowledge (particularly in the primary mentoring role, that is, supporting students in the design of their own degree programs); knowledge of the specific program(s) in which they work; and in the evaluation of experiential learning. Faculty must have sufficient facility with multiple technologies to support their work with students in a range of modes of learning. Some of this knowledge can be gained only through work in one's program; other knowledge can be supported and shared more widely. The Center for Mentoring and Learning

(CML) is the college office responsible for faculty orientation and development in terms of the practice of mentoring, and the college professor for adult learning and mentoring also works to support and promote faculty achievement in the area of adult learning.

Objective C2.1: Promote scholarly activity as an integral part of mastery of subject matter and teaching effectiveness

Scholarly engagement is beneficial to faculty, students, the institution and to society. As faculty engage in scholarly pursuits, they bring their new learning to their interactions with students. At the same time, as new knowledge is created, the broader community benefits. Finally, scholarly activity sustains faculty in their own lives.

We recognize the importance of the link between scholarly activity and teaching/mentoring. We need to promote scholarly activity as an integral part of mastery of subject matter and teaching effectiveness. Faculty development through scholarship contributes to the ways in which mentors fulfill their roles. We need systematic approaches to promote and publicize faculty innovation in teaching and mentoring, viewed as a dimension of scholarship. In addition, it is important to understand the link between faculty development activities (conferences, workshops, presentations, publications and training) and how knowledge gained from these activities is used in mentoring/teaching. The Open University model offers an opportunity to combine the mentor model, statewide presence and the ability to go national and international, using multiple technologies.

In addition to enhancing faculty work with students, scholarship is valued for its contribution to the growth of societal knowledge. As faculty develop increasing expertise in their own subject matter, they must share that knowledge with others in their field in order for the broader community to benefit.

The Center for Mentoring and Learning and the Office of the CPALM have identified a gap in support of faculty's disciplinary/interdisciplinary scholarship and recommend explicit consideration of where and how the institutional support for faculty's scholarship in their fields of study should occur.

Objective C2.2: Encourage and support collaboration

While collaboration in mentoring and learning are supported through collegewide residencies and other endeavors, these connections should be further enhanced. The more faculty work with others, the less isolated they are in their discipline. In addition, part-time or adjunct faculty should be supported in terms of collaborative scholarly activity.

Objective C2.3: Identify and optimize the resources for faculty development

Resources for faculty development at the college and beyond the college must be sufficient for faculty success in terms of teaching, mentoring and scholarship. This includes sufficient support from the grants office, faculty development funding, internal seed or starter grants and reassignments/ sabbaticals. In addition, funding opportunities need to be transparent, well advertised and equally distributed across the college.

Faculty development funds need to be sufficient to support both domestic and international travel for faculty to engage in innovative approaches to teaching and mentoring, and related scholarship.

In short, we need to use the most effective ways to provide faculty with up-to-date information on both internal and external funding possibilities, as well as the support to apply for these funding/ release sources. We need to ensure that the timeline/calendar for applications for funding meet the needs of the majority of faculty. Overall, we need to ensure that the current system of providing faculty development funds is sufficient, and that there is a clear understanding of the types of activities such funds can be used for. The system of fund distribution, approval criteria and process for requesting funding for faculty development should be understood clearly by all faculty.

Objective C2.4: Develop a plan and timeline to analyze and address faculty obligation in a sustainable and comprehensive sense.

The Blue Ribbon Panel recommended changes to create manageable and transparent instructional schedules to promote faculty satisfaction and to enhance opportunities for reflective mentoring and scholarly work. Faculty must be able to balance scholarly activities, teaching and mentoring, and university service successfully within the present resources of the college.

Institutional service is a particular issue at Empire State College, where innovation requires active engagement on the part of faculty in academic policy and where the number of full-time faculty may be insufficient for the task. Service is a task that requires time for reflection and articulation. It is critical that the need for faculty service be supported by the college in terms of how faculty balance service with their work with students or scholarly engagement. It also is critical to consider whether the allocation of time among the roles of the mentor should vary over the academic lifecycle to help ensure a better balance and more resources.

Objective C2.5: Examine faculty retention and reappointment success

The provost's Blue Ribbon Task Force recommendation – that Empire State College and college faculty undertake research to identify issues and problems related to recruitment and retention of high quality mentors who are prepared to engage with all of the college's multiple modes of teaching and learning – should be implemented. There is a belief among faculty that criteria for reappointment, tenure and promotion, while explained in the faculty handbook, are not clear or consistently applied. This might be alleviated by valid and transparent measures of effectiveness in teaching, service and scholarship for both full and part time faculty.

Objective C2.6: Provide ongoing support for all faculty and academic professional employees in terms of their ongoing learning, development and renewal

The college is relatively generous in its support of professional development, although that support is threatened in difficult budgetary times. We urge the college leadership to continue supporting professional development to the widest extent possible.

Objective C2.7: Leadership in adult learning

It is vital that we strengthen SUNY Empire State College's leadership and recognition in adult and higher education, which would include highlighting our flexible, progressive and technology-enhanced approaches to learning. This includes the need to support research, presentations, publication and grant writing as related to mentoring, teaching and learning, as well as supporting the work of the

CPALM in relation to research and publication. As stated in Vision 2015, the college's goal is to "build and sustain a comprehensive, coherent approach to the scholarship of mentoring and learning, other mission-related research; and to ways of sharing and disseminating the results."

Objective C2.8: continue to support "new" mentor orientation

Newly hired, full-time mentors participate in a series of workshops and conversations designed to introduce them to the college's philosophies of mentoring, to various parts of the college, and to each other. It is becoming clear that one year of "new mentor" training may not be sufficient. The college should follow up with mentors after their first year to ascertain their need for ongoing faculty development in terms of mentoring. Additionally, we support CML's plans to extend training to part-time and adjunct faculty.

Objective C2.9: Explore "continuing" mentor training

The Center for Mentoring and Learning (CML) provides workshops for continuing mentor training in areas that the college has considered critical: educational planning (undergraduate), prior learning assessment (PLA), academic skill development and blended learning. CML plans to increase its offerings to other areas of mentoring, as well. It is critical that there is an increased participation of both new and experienced mentors in activities coordinated by the Center for Mentoring and Learning to both pass on what is known and to challenge current practice with new ideas.

APPENDIX A: THEMES

Initiatives in Human Services

Description and Scope

Initiatives in Human Services as a programmatic focus prepares students for a wide range of careers at the professional and paraprofessional levels within private and public sectors. Human services cuts across a wide range of fields of practice such as community service, criminal justice, mental health, addictions, emergency and disaster management, health, disabilities and educational services. These fields of practice intersect every age and developmental stage from pre-natal to the elderly. Students, depending on particular interests and goals, prepare to engage in professional roles including direct practice, administration/management, program/organizational development, community development, social action, advocacy and/or policy development. From a thematic perspective, Initiatives in Human Services seeks: to promote and sustain safe and healthy environments; to enhance and support the physical, social and emotional well-being of individuals and families; to promote an understanding and appreciation for diversity; and to advance issues of social justice and equality.

Rationale

The goals of Human services support and advance the college's mission to "actively engage in sustaining and seeking to improve a challenging, diverse and problematic world." Students at Empire State College are prepared to address the complex and changing social issues facing society and its members. As an institution, Empire State College is committed to providing "the education they (learners) need to thrive as individuals, as members of communities, as active citizens and as agents of change." Many students come to the college already employed within some area of the human services field. They are rooted to the communities they live and work in. The knowledge, values and skill sets they gain contribute not only to their own professional advancement and economic lives, but enhance the organizations and communities where they work and live.

Human services represents the second largest area of study for students seeking degrees at Empire State College. The college has demonstrated its support to the educational needs of human service professionals by offering educational options of the A.A./A.S. and B.A./B.S. within a structured, registered area of study. The college has made the commitment to this theme through hiring of full-time and part-time faculty that are not only academic experts but often bring a strong practice base of experience to their mentoring role. Human services intersects both at the program level and thematically with other areas of study such as Social Theory, Social Structure and Change, and Human Development. A solid foundation in the liberal arts offered by the college is essential preparation. Students interested in managerial/administrative roles engage in studies within business, and, in turn, business students interested in the nonprofit sector incorporate various studies in human services within their program design.

From a growth perspective, the employment of social and human services professionals and assistants is expected to grow faster than the average for all occupations, in large part due to the aging population and increased demand in the fields of mental health, substance abuse treatment, correctional services and emergency and disaster management.

Programs and Initiatives

Human services extends across undergraduate curricula preparing students at professional level (bachelor's) and paraprofessional level (associate) through individually planned concentrations, a collection of studies offered through individualized study, and weekend/thematic residencies. Most students prepare concentrations that are professional, thematic or problem oriented. The identification of curricular themes can support a more deliberate focus on interdisciplinary preparation that weaves through themes of globalization, sustainability, health care and business.

A number of potential initiatives within this theme could be explored for their feasibility and fit within the mission of the college, resource availability, growth potential and community needs. These initiatives might include, but are not limited to:

- A planned transitional path for students interested in policy to our graduate program in Social Policy
- Students interested in graduate work, who now have to turn to external institutions. Based on student interest and occupational growth trends, the college might explore paths to graduate programs in such areas as human services, social work, gerontology, public health and mental health. Both an online model and/or a blended model would be very appealing to working adults. Current programs and proposed graduate initiatives in business and health care could provide an opportunity for combined graduate degrees, for example an MSW/MBA or Master's in Human Services/MBA.
- Selective certificate programs that offer another path of access for students to increase their knowledge and skill level within a particular area; open additional employment opportunities; and support community organizations in upgrading employees' professional skills. Planned certificates can serve as a pathway for students into higher education or transition from the associate degree to a bachelor's degree or graduate education.
- Examination of the present AOS in Community and Human Services to determine how best to address the challenges to professional/occupational identity, and degree program development and review – presented by the increased number of concentrations in environmental health and safety, public safety, emergency management, homeland security and law enforcement. For example, in response to these challenges, discussion is under way for a new AOS in Public Affairs.

Globalization

Description and Scope

A leading commitment of the college is to foster critical reflective inquiry that encourages active engagement in the local and the global community. The function of the college education includes programs that encourage the participation and contributions of students and faculty to a global civil society and to a global economy to impact positive social change. This thematic thread moves throughout the college, from increasing global awareness in individual studies, through concentration and programmatic directions, through specialized residencies, international travel, specialized international programs and international faculty collaboration. The globalization theme could have several key dimensions: globalization and faculty/professional interests; globalization and our academic programs; globalization and our student population; and globalization and a connected community.

We aspire to create a broadly well-informed and sensitive portfolio aimed at serving many constituencies. This must involve a collegewide commitment to treating global issues with balance and sensitivity. Emergent directions could include more deliberate seeking of external resources to expand international and global directions. Examples of individual faculty work abound, from cross location instruction in Panama and Lebanon, or training of faculty in Belarus in online education, or faculty work with international residencies, and through our international partnerships. NYC as a world destination learning center and our work with immigrant populations around the state could be expanded. These and other projects could be focused for a more deliberate and larger focus. Interested faculty might develop and promote a special Empire State College perspective on this topic through an Empire State College planned academic Institute of Globalization Studies. Empire State College could contribute and provide a leadership role by engaging in discussions of the divergent perspectives related to the changing globalized world.

There also may be opportunities to develop studies (blended and online) to deliver Empire State College studies in the Spanish language, particularly in high need areas such as business, human services and health care. While the college currently does not have much expertise, there are partnership opportunities with other institutions for development, and grant resources are available. Resources are available through businesses and foundations for work in BRIC countries (Brazil, Russia, India and China.) With limited resources, Empire State College needs to focus on a select number of opportunities where we have interested faculty who want to play a leadership role in development. Empire State College's approach to prior learning assessment and degree planning has a natural fit with international planning. The lack of structured curricula allows us to be more creative in working with learners or collaborators from other parts of the world, to recognize and be responsive with open minds.

Rationale

The strategic plan points to changing economic and societal trends and the need for understanding global perspectives, and possibly creating employment opportunities for graduates. It also reaffirms the commitment of the college to foster critical reflective inquiry that encourages active engagement in the local and the global community. One of SUNY's six big ideas is dedicated to SUNY and the World, focusing on the removal of barriers of geography and time, identifying Empire State College as positioned to play a pivotal role in a global SUNY. With BME as the largest area of study by both graduate and undergraduate students, the inclusion of concentrations, certificates, residencies and other opportunities are of greater interest. Faculty in many other areas of interest also have developed or are interested in developing studies beyond the borders of the United States, generally in partnership with learners and faculty in other countries.

Programs and Initiatives

Global perspectives are addressed in most undergraduate areas of study, and are emphasized in most graduate programs. From general education, to areas of study, to concentration guidelines, interdisciplinary and disciplinary perspectives stress the need for increased global perspectives.

The college also has particular programs that emphasize global perspectives. For example, International Programs has offered blended programs in Europe, the Middle East and Central America. These programs have been designed for students who have not had access to flexible bachelor's degree programs in their own countries, and who possibly lack the resources to travel to another country

where higher education is more available. As a result, the program has been particularly suitable for women students who may have been denied opportunities. The International Programs faculty and staff have proposed expansion in Central and South America. There also are opportunities to partner with other SUNY schools for completion of a two-year degree in the home country, one year at a distance with Empire State College and one year in residence at another SUNY campus. The School for Graduate Studies has several emergent programs with a strong global perspective. Increased concentrations and residencies integrating global and international perspectives are an opportunity to expanding the career interests of our students. Empire State College also may be suited ideally to blending opportunities where students work or volunteer internationally, and complete degrees at a distance.

Environmental Sustainability

Description

Environmental sustainability as an academic theme is the study of any one or a combination of some of the many factors that contribute to environmental deterioration or to environmental improvement. Factors that impact sustainability range from energy policy to food consumption, from recycling to transportation, from individual choices to the global economy. Clearly we could name more factors, but the point is obvious: the study of environmental sustainability includes a vast range of critical issues.

Scope

The possibilities for academic studies that focus on environmental sustainability are almost numberless. In fact, the theme easily fits into all of Empire State College's areas of study, whether as a focus for a student-designed concentration or as a topic of study that strengthens such a concentration. Some instances are obvious: For degree programs in Science, Mathematics and Technology, for example, a study of global climate change demonstrates the broader context in which science and technology operate. And to stay with that same topic, policy studies related to it can play a significant role in political science, public policy, science and business programs. In business and labor studies, environmental sustainability is already an important component of many degree programs, and it is recognized increasingly as a necessary component of strategic planning, economic analysis and product development. Environmental justice is one of several avenues through which human services programs examine this theme.

Other instances, though perhaps less obvious, are nevertheless significant. Arts degree programs can examine the relationship between how art is conceived, planned, designed, delivered and supported from an environmental perspective, and the environment can be an artistic theme itself. Literature programs can examine how nature and environmental degradation are presented in literature and/ or analyze nature literature. History, philosophy, education, social sciences, human development – all these general areas have important environmental sustainability dimensions.

The college already promotes this theme in its academic program: We have a long standing and successful Environmental Studies Residency, with a new Urban Environmental Studies Residency making its debut this year. There are still other ideas among faculty for residencies that focus on sustainability itself. Looking to the future, the Environmental Sustainability Committee plans to develop workshops to support and encourage faculty in designing sustainability-related courses and course modules. In addition, the college can (should) include environmental sustainability

in its description of its educational objectives ("an educated person" – see the following for more). Finally, an even more definitive indication that the college takes this theme seriously would be if each set of undergraduate Area of Study Guidelines included the expectation that each student include a study of it in their concentration.

Rationale

The college should make environmental sustainability one of the central themes of its academic program, for several interrelated reasons:

First, it is generally agreed that the world faces unprecedented environmental problems. Whatever side one wishes to take on the many debates about those problems, they still pose challenges to the world that will require the thought and action of all citizens – but especially of educated citizens – who need to have at least a basic understanding of those issues in order to participate in the formulation of action plans.

Second, as David Orr has pointed out in his writings, when education and educators communicate subject matter, it says as much about the importance of what is left out as it does about what is included. At present, by saying little beyond what ecology courses and a small number of other courses contain, most college programs say to their students that environmental problems are unimportant. Most disciplines present themselves as if the wider natural world has nothing to do with their subject matter, yet that is very far from true. (See previous Scope section.)

Third, this college advocates lifelong learning and celebrates the connections our students make between their studies and the larger world. Yet in the face of massive environmental challenges, we do not ask them to begin, or continue, creating a foundation of knowledge of these vital aspects of 21st century existence, or to connect their other studies with sustainability issues.

Fourth, these are issues that pervade every aspect of existence. If we humans do not attend to environmental issues in a committed, serious way, all of society and nature are threatened, thereby threatening the very contexts in which to address those other issues. For confirmation, one need only look at the moderate – as opposed to the radical – projections about the effects of global climate change to see how the world will change. A related point is that almost all social issues connect directly to environmental ones. For example, it will be the disadvantaged and disenfranchised who will suffer first – and likely the most – from environmental disaster; so justice issues are included very definitely in what we mean by environmental issues. Even if one disagrees with this scenario, it remains necessary for our students to become informed about its multiple facets in order to enter the debates – whether global or local – in an informed manner.

Finally, the college is a member of the Association for the Advancement of Sustainability in Higher Education (AASHE), and President Davis is a signatory of the American College and University Presidents' Climate Commitment (ACUPCC). Both of those memberships commit the college not only to reducing the environmental impact of its far-flung operations, but also to increasing its academic environmental sustainability offerings.

Communication, Media and The Arts

Description and Scope

Communication, Media and The Arts, broadly understood, explores the role of the arts and media in helping human beings understand and communicate their lived experiences. Drawing largely on the liberal arts, fine arts and humanities traditions of the college – as well as encompassing other areas, including the human and natural sciences and business – this theme allows students to explore how human beings experience media and the arts, and how changes in media and the arts create new forms of communication processes between individuals, groups and societies.

At the same time, this theme takes seriously the college's mission and core value that students should learn about and understand their communities through studying the culture that is produced and disseminated by their immediate environments. Themes that draw on communication and culture, therefore, allow students to make sense of their lived experiences, and, at the same time, help translate and enrich those experiences for others in their communities.

While promoting an understanding of their civic duty and their place in the global community, this theme also supports the college's strategic plan to foster student engagement in research that is global in its scope, as a way to honor our commitment to be concerned and involved world citizens. Students who pursue this theme might, therefore, study such problems as the ways in which globalization has had an impact on ethnic and cultural minorities; how the media communicates the challenges posed by globalization; what the influence of cultural products from the first world is on the third world, and so on.

Another direction of the college, and articulated in the SUNY strategic plan, is to engage students in online learning opportunities to help establish a link between SUNY and international programs. This reflects Empire State College's unique model of open learning and its capacity to eliminate the barriers of time and space through delivering learning in an online environment. This theme could be deployed effectively in the service of this objective, both in terms of exploring the theoretical and practical issues involved in designing online learning environments, as well as in thinking about the ways in which the new media technologies have created a different social landscape for learning at the college level.

Students have been able to draw on the rich array of faculty expertise that already exists in the college in such distinct areas as the arts, the humanities and social sciences – as well as more professional fields such as journalism and business – to pursue concentrations that fall within the scope of this theme. For example, the college has ample faculty in such areas as creative writing and poetry, ethnomusicology and music business arts management, as well as such areas as stage movement and theatre, including acting, directing and theatre tech. There also are faculty who have worked with students in oral history, documentary photography and fine arts photography. The college possesses, finally, unique resources in understanding the psychodynamic, social justice and rehabilitative uses of theatre, visual art practices and performance.

In addition to the college's strengths in the arts, we also have faculty who have expertise in the traditional humanities – including philosophy and literature, as well as the social sciences, including psychology and sociology, to more professional fields such as communications or journalism. Students have been able to pursue concentrations that draw on this theme, finally, in more interdisciplinary areas such as American studies, ethnicity and global studies. The theme of communication, media and

the arts allows for a broad investigation of theoretical debates, as well as contemporary scholarship in media studies, communications, public history and the arts and related fields. Finally, this theme can help to provide a multidisciplinary approach to explore the implications of a changing media landscape and how this translates into communicating ideas in an increasingly complex society.

Rationale

We are living in a period of rapid globalization, in which individual human interactions, markets and cultural values are increasingly mediated by new tools that facilitate communication and the flow of information. Yet, information itself does not constitute either knowledge or wisdom. The variety and ubiquity of media prompt us to consider its influence on our lives. As an institution of higher learning, it is, therefore, critical that we take the lead in facilitating a better understanding of how societies represent themselves, with the goal of improving how we communicate ideas across global, temporal and geographical divides. In so doing, this theme also can help enhance the college's reputation for research and scholarship, as well as honor its commitment to promoting social justice through articulating the historical and social circumstances in which power and identity are transmitted and communicated to larger audiences.

Another critical aspect of the college's mission is that we should be able to respond to students' needs for a degree that can offer them marketable skills, as well as a strong liberal arts background. As an institution, Empire State College has demonstrated its ongoing commitment to support the economic and cultural development of our students and the communities in which they reside through providing them with access to affordable and high-quality educational opportunities. The theme of communication, media and the arts fulfills these goals by allowing students to pursue an intellectually challenging academic program that provides them with the theoretical skills to understand complex media environments, while at the same time helping them to apply these skills to everyday life.

In practice, many of the students who come to Empire State College would like to become producers of media, including learning the skills to be journalists, public relations or advertising professionals, broadcasters, digital media specialists, etc. They also may be practicing graphic studio or digital performing artists. Development of this theme would allow these students to realize their professional interests by offering them course work and learning experiences that provide them with up-to-date skills that will help them find gainful employment in these fields. This assumes that the college also will create more learning opportunities in this area, drawing on the expertise of the faculty, as well as hiring more faculty in these fields, as part of an overall commitment to supporting learners as active partners in their education within a collaborative mentoring environment.

Finally, the demand overall for degrees in cultural studies – the arts, as well as fields like history and interdisciplinary studies – continues to grow. For example, at the undergraduate level, the amount of bachelor's degrees awarded in Cultural Studies in 2009 - 2010 was 7.5 percent of the total degrees awarded; 5.4 percent of the degrees were in The Arts; Historical Studies accounted for 3.9 percent; and Interdisciplinary Studies accounted for 6.0 percent. At the graduate level, the Master of Arts in Liberal Studies accounted for 7 percent of the total degrees. These numbers suggest that there is a strong amount of interest in pursuing degrees that potentially could focus on this theme, especially when it is understood as being part of a cross-disciplinary pursuit that, combined with some of the other themes outlined in the academic plan, provides an opportunity to realize fully the academic and professional interests of our students.

Program Initiatives

There are a number of existing and proposed programs that draw on the theme of media, communication and the arts and reflect the ways in which it can be articulated for a variety of students, at both the undergraduate, as well as graduate level. There is presently a lot of work going on in community and relational art, for example, as well as in new media forms. This has allowed students to develop their competencies in these areas, as they match their interests with faculty expertise.

One specific recent initiative at the undergraduate level is a proposed Interdisciplinary Arts Residency. This will be a blended residency designed to include all areas of study and embrace the interdisciplinary nature of the arts. This residency is particularly illustrative of the kinds of interdisciplinary perspectives that the academic plan is trying to support, in that it will engage students in conversations, research and creative expression in the arts, as well as across subject areas such as business, science, history, literature, education and more.

Another recent initiative at the undergraduate level includes the development of a new track in digital performance which brings together both writing (cultural studies) students, computer science students and others who create performative work with highly digitized and multimedia technologies. It is a step on from the "performance art" world, which mixed performance and visual artists or other collaborations. This can include any media, material, oral history or other content, along with high-end multimedia-rich content integrated into a performative event.

At the graduate level, there also are proposals in various stages of development. Some of these include the plan to continue to develop interdisciplinary certificate programs that serve and support students in the MALS Program, as well as other graduate programs.

One recent certificate initiative that draws on this theme is the graduate certificate in Public History, which explores how information about the past has been collected, disseminated and preserved for the general public. The certificate draws on a wide array of studies at Empire State College to help a variety of students from different disciplines. Business students, for example, can learn about how business documents have been archived and how corporations have branded themselves through the exhibition of logos. For those who are interested in nonprofit management, in addition, there is the opportunity to learn about the not-for-profit world of museums. Students primarily interested in the public arts and how to secure funding, finally, can learn about how to design projects that combine artistic and historical goals.

Other initiatives at the graduate level include the ongoing development of relationships with the major arts communities, particularly in the Buffalo and the Metropolitan NYC areas. This also will help to foster the college's goal of becoming an "open university," by allowing students to connect with artists and practitioners outside of the college.

Business in the 21st Century

Description and Scope

Business in the 21st century reaffirms the college's commitment to prepare students for professional capacities of leadership, management and relevant support roles in a wide assortment of industries and organizations in an increasingly global environment. In so doing, this theme seeks to uphold the

college's intent to build on its core values and history, as it looks to shape a curriculum sensitive and responsive to political, social, economic, environmental and global trends – forces our students must understand as they acquire the skills and knowledge necessary for successful careers in business.

Business has been, and continues to be, a vital academic area at Empire State College. A broad array of concentrations is represented in undergraduate and graduate offerings and, as such, students have the opportunity to learn and strengthen competencies for their development across an expansive landscape of business professions. These include, but are not limited to, accounting, business administration, business policy, economics, health care management, human resources management, employee relations, international business, labor studies, management, nonprofit administration, operations management, marketing, social policy, supply chain management and telecommunications. The breadth of concentrations, coupled with the varied degree options for students interested in studying business, attest to the college's capacity for preparing students to enter or advance in diverse areas in the world of business.

Rationale

In 2005, the first edition of The World is Flat, by Thomas Friedman, was released. Friedman sought to demonstrate that the convergence of technology, economic development, information management and increasingly ambitious aspirations of countries around the world was becoming responsible for nullifying the influence of geographical boundaries as they relate to commerce and business development. The implications for business have been profound, influencing, among other things, the culture and character of organizations; the means by which production occurs; the division and composition of labor across international lines; commerce and trade; trends toward globalization; definitions of and the relationship between leadership and management; the emergence of new markets and the dissipation of old ones; and the relationship of the worker to the organization.

The demand for business education at Empire State College has been strong traditionally and is growing, a phenomenon not surprising in light of the college's reputation in the area of business education and the need for business professionals to maintain currency of skill and knowledge in a rapidly changing business climate. The largest area of study at Empire State College is business, with approximately 40 percent of all students affiliated with Business, Management and Economics. MBA growth has occurred at double-digit levels for many of the past several years. In recognition of the importance of the study of business to society, the college has determined that sensitivity to workplace needs and goals remains a vital element of its strategic direction. Given the challenges faced by those in business professions, growth trends in business education are going to continue. For example, according to the Graduate Management Admissions Council, "more than 60 percent of master-level programs in accounting, finance and management reported increases in the number of applications in 2010, with average application numbers exceeding last year's benchmarks by 20 percent." The theme of Business in the 21st century aligns well with the strategic plan of the college by:

- helping the college serve its commitment to developing strategic alliances with members of the business community, other institutions of higher learning and government institutions
- contributing to the economic development of communities in which students live and work, as well as to New York state, by preparing students with pertinent knowledge and skills

- attracting students from diverse geographical settings and, therefore, helping to reduce cultural barriers and build a climate of understanding and cooperation
- educating students in areas of relevance to SUNY initiatives, such as how to achieve organizational efficiencies
- preparing students to think and act innovatively to improve their organizations and their communities and to undertake entrepreneurial initiatives
- assisting the college in achieving its goal of becoming an "open university" by enabling students of diverse backgrounds and locations to participate and by offering multiple degree and study options

Programs and Initiatives

A range of initiatives are in various stages of proposal and development. These reflect emphases across a continuum of global/international business to domestic/local, as well as a growing range of degree options.

- Assessment of the major in BME is in progress.
- The MBA program is scheduled for an accreditation review by the International Assembly for Collegiate Business Education (IACBE).
- An MBA in Global Leadership is in advanced approval stages at the college.
- Advanced graduate certificates in health care management, project management, human resources management, and nonprofit management were implemented in the Fall 2010 semester. Additional certificates are in various stages of conceptual and programmatic development: leadership and crisis management, financial management and analysis, information technology management, global brand marketing, information system security, and technology transfer.
- The concept for a doctorate in management (DM), a joint program with SUNYIT, has been developed.
- The reactivation of the M.A. in Business Policy Studies is under review.
- An MBA in Health care Leadership is in proposal development.
- Additional initiatives with longer-term concept development and program implementation timeframes, e.g., an MBA for J.D.s, point to a continued effort to maintain the robust nature of business offerings at the college.

The growth of the business curriculum at the college represents an exciting and opportune trend for the college. Discussion among faculty and administration is vibrant, with respect to considering ways of engaging in partnerships to develop programs that support a comprehensive range of business activity, from entrepreneurial and small business development to multinational organization leadership and management. Partnerships with chambers of commerce and organizations such as the Small Business Administration create opportunities to support students interested in advancing entrepreneurial interests and small business development. To serve the needs of students who face the challenges associated with an increasingly complex and global business environment, the college is exploring and evaluating partnerships with other degree-granting institutions – both domestic and international – which offer complementary educational opportunities, as well as dual diploma and exchange programs with offshore universities.

Growth and increasing program diversification intensify the challenge of achieving an integrated and interdisciplinary approach to program development and delivery. Of course, students benefit to the extent they have unfettered exposure to a range of curricular options. Therefore, the challenge before the college involves discovering ways for creating a climate in which learning opportunities for students are maximized, a goal best achieved in an interdisciplinary environment. Seamless transitions from undergraduate to graduate studies and certificates, as well as among areas of professional specialization, will add to the college's ability to have an important voice in discussions about the role and value of business education in the 21st century.

Initiatives in Health Care

Description and Scope

Initiatives in Health Care refers to the collection of SUNY Empire State College programs, courses and other educational services, both current and proposed, designed to prepare students for careers and/or professional development in various segments of the health care industry. Multiple career tracks are represented by the college's programs which span clinical, administrative/management, health science and public health directions. Given the comprehensiveness of the college's health care education initiatives, students at SUNY Empire State College are prepared to contribute to this vast and expanding industry in diverse and important ways.

Rationale

In 2010, approximately $2.5 trillion (17 percent of GDP) was spent on health care in the United States. According to the Bureau of Labor Statistics, there are approximately 600,000 health care organizations in the United States, and over 14 million Americans are employed in the industry, statistics which, incidentally, do not account for the full range of industry employees, such as self-employed practitioners and small business owners. Half of the 20 fastest growing occupations are health care related. It is expected that over three million jobs in health care will be created by 2018, resulting principally from the labor needs associated with the aging population and the reform legislation passed in 2010.

Higher education bears an enormous responsibility for preparing people to enter and progress in the health care workforce. Empire State College has established a strong base in health care education and is enlarging its role as a provider of education in this area. Such a direction is consistent with the history and values of the college, as well as the direction articulated in Vision 2015. The college has a proud tradition of serving the educational needs and professional interests of adult learners, and of encouraging students to contribute to the betterment of the communities in which they live and work. Looking forward, the college is dedicated to expanding its academic program into segments of society in which growth is planned or likely to occur. An emphasis on health care provides the college with an opportunity to link its history and future in a way that strongly serves the needs of a large number of students, as well as society.

Programs and Initiatives

Existing and proposed programs extend across undergraduate and graduate curricula and address the multi-faceted nature of health care education:

- Degree programs offered to prepare individuals for careers in the clinical realm, include a B.S. in Nursing, a proposed MSN, and supplemental educational activities for radiology technicians.
- Undergraduate programs leading to a B.S. in Community and Human Services or a B.S. in Business, Management and Economics offer concentrations in health services and health care management and administration.
- Undergraduate and graduate courses in health policy, economics and management, which are expanding in number and scope, prepare students to play a more informed and skilled role in leading their organizations and influencing the direction of health care policy.
- A proposed Masters of Public Health (MPH) adds a public health focus to the college's offerings.
- An MBA in health care leadership, designed to prepare individuals for directing health care organizations, is in proposal development stage.
- An Advanced Graduate Certificate in health care management has been recently introduced.

The college is demonstrating its flexibility to address and satisfy the growing array of educational needs of health care professionals by offering multiple program options and structures (B.A./B.S., M.A./M.S./MBA, and advanced graduate certificates). In keeping with the notion of "initiatives," it is recommended that the college engage in a continuous examination of how students' needs may be met as they seek professional development in health care. Accelerated programs which allow for fluid transitions from undergraduate to graduate education, more focused and specialized certificates, and ensuring that students benefit from a community-oriented, interdisciplinary approach to health care education constitute a few ways in which the spirit of this initiative may be fulfilled.

Technology, Information and Society

Description

This academic theme encompasses the technological as well as social, cultural, historic and economic contexts of computing and information. Computer science generally focuses on computer organization, software, and mathematics. Information systems and information technology focuses on the use of computers to solve problems. Informatics deals with the intersection of computing and another domain (such as business, the fine arts or health care) and often includes a focus on social and behavioral aspects of information and technology. Information science is an interdisciplinary field that examines information systems in their social, cultural, economic, historical, legal and political contexts.

Scope

Concentrations would include computer science, information systems, information technology, informatics, and information science, but obviously can go well outside of these to include more individualized and creative concentrations such as human-computer interaction and the information society. This theme also would cover studies that address the relationships between relevant technological change and society, such as those associated with the explosive Internet-driven availability of information in today's world.

Rationale

First of all, technological literacy and information management abilities are essential skills required to successfully navigate the 21st century world, and, thus, information management is an infused competency in the SUNY general education requirements. Second, there is ever-increasing workplace demand for professionals in the computing and information fields, and the number of students doing

degree plans in these areas are growing (accounting for about 6 percent of all concurred degrees in 2009 - 2010 – the highest percentage after BME and CHS degrees). Furthermore, in all area of studies and in all industries, the need for advanced computer skills and understanding of information analysis, design and management are crucial. The Association for Computing Machinery (ACM) and Association for Information Systems (AIS) in their 2010 Curriculum Guidelines for Undergraduate Degree Programs in Information Systems indicate that:

The use of information technology is pervasive in society. The requirement of the workforce to use this technology is increasing. Users of information technology are now expected to take personal responsibility for much of what has been handled in the past by a centralized computing services unit. While many organizations provide some user training in information technology, graduates who have an in-depth understanding of the opportunities IT capabilities can provide to their organization are in a stronger position compared to their peers without this understanding. A strong, capable Information Systems program can benefit all students in a school and provide special benefits to non-majors who desire more competence in information technology and its application to their areas of interest" (p. 3).

Program Initiatives

A group of faculty is writing a concept paper for a new AOS (tentatively titled something like Computing and Information). Related development efforts in the graduate programs include a distance learning track in the M.A. in Adult Learning program, the proposed M.A. in Emerging Technologies for Teaching and Learning, and a possible certificate in I.T. Management in the MBA program.

Adult Learning and Education

Description and Scope

The theme of Adult Learning and Education reflects the college's traditional area of strength in serving the needs of adult learners, and valuing their personal and professional experiences as part of their academic journey. It also encompasses the more recent ways in which the college is preparing educators who work with students across the lifespan, in both formal and informal settings, and private and public institutions. The college accomplishes this by offering a range of undergraduate and graduate degree program options that are flexible in terms of content and delivery mode. This approach underscores our commitment to being an "innovative learning organization" with "offerings that clearly reflect the changing needs of learners and society."

At the undergraduate level, a concentration in Educational Studies serves the needs of adult educators, industry trainers, private school teachers and early childhood educators. It supplements several other areas of study that provide the content specialization required for those interested in continuing with graduate K-12 teacher certification programs. The School for Graduate Studies offers several degrees to meet the needs of educators working with students across the lifespan, in both formal and informal settings, and private and public institutions. The Master of Arts in Teaching (MAT) offers middle and high school teacher certification in several content areas, and the Master of Education (M.Ed.) is a research-focused option for those in the field with additional responsibilities to teaching. The interdisciplinary program design of the Master of Arts in Liberal Studies (MALS) suits many practicing public and private school teachers, and community educators in the humanities and visual and performing arts. The Master of Arts in Adult Learning (MAAL) meets the diverse needs in the higher and

adult education sector, in state, national and international contexts. The Master of Arts in Emerging Technologies and Learning (MAETAL) provides a special focus on how the learning process, regardless of level or content, can be enhanced with new, digital technologies.

Rationale

The role of education is central to the growth and prosperity of our communities and our nation. Yet, the nature of learning and knowledge creation is changing ever more rapidly with the acceleration of globalization and technological advancements across fields. This presses us to adapt to changing dynamics that impact our lives in a myriad of ways. Learning through the lifespan sustains us, and helps us thrive across generations on several levels: personal, economic, social and cultural.

The U.S. Department of Labor estimates 10 - 23 percent job growth rates through 2018 in professions in education, including K-12 teachers, post-secondary and vocational teachers, and adult literacy instructors.[1] In addition, a private report recently commissioned by Empire State College indicates an increasing demand in the adult learning market, particularly in the northeast and New York state.[2] The decision to continue to support blended and online delivery modes for all programs is supported by the Sloan Consortium's determination that higher education online enrollments are growing at a rate of 17 percent per year (compared to 1.2 percent for the rest of higher education). The college is, thus, modeling the sort of experiences that an increasing number of professional organizations call 21st century learning.

Program Initiatives

In addition to the existing undergraduate and graduate offerings, there are several programs in development phases:

- Scheduled for launch in the fall term 2011 are: the Master of Arts in Adult Learning and a residency-based version of the Master of Arts in Teaching.
- Scheduled for launch in the fall term 2012 are: the Master of Arts in Emerging Technologies and Learning, and the Master of Education degree programs.
- Additional initiatives include developing certificates in areas such as teaching and technology.
- Longer term plans include developing doctoral programs in adult learning, and interdisciplinary studies.

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[1] U.S. Dept of Labor, Bureau of Labor Statistics (2010). Occupational Outlook Handbook 2010 - 2011. Accessed Nov. 15, 2010 http://www.bls.gov/oco/oco1002.htm#education

[2] Eduventures Online Higher Education Learning Collaborative (2009). Masters in Adult Learning Market Assessment: Supply and Demand. Private report commissioned by SUNY Empire State College.

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The Mission of SUNY Empire State College

SUNY Empire State College's dedicated faculty and staff use innovative, alternative and flexible approaches to open, higher education that transform people and communities by providing rigorous programs that connect individuals' unique and diverse lives to their personal learning goals.

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2015 Interim Report to the College

Samuel S. Conn, Ph.D.

Vice President for Integrated Technologies and Chief Information Officer

February 2015

Executive Summary

This Interim Report covers the period from July 2014 through January 2015 and provides updates, analyses, and reporting on activities, initiatives, and services related to Information Technology at SUNY Empire State College. Foci for this time period included: (i) initial discovery and assessment of the state and condition of technology at the College, (ii) risk mitigation, (iii) strategic planning, and (iv) launch of initiatives in preparation for achievement of three-year goals and objectives. The initial state of hardware and software infrastructure at the College was found to be legacy, generally unsecure, and struggling to enable the administrative and academic computing needs of institutional stakeholders. Physical environments, such as College data centers in 2 Union Avenue and 3 Union Avenue generate substantial risk with respect to application availability, data assurance, and security; in sum, considerably inadequate to support the enterprise computing needs of the College.

An audit report by Data Blue Corporation, delivered on September 16, 2014, indicated numerous structural, security, and process liabilities with how College data was accessed and stored. Moreover, the College network lacked adequate protection from outside threats. As a result, the decision to move away from local Saratoga Springs infrastructure through a partnership with the University of Albany was made to support the College's advancement to a modern (hybrid cloud) computing paradigm. Further risk mitigation in response to audit findings and internal assessments included an initiative to consolidate directory (access) structures, begin work on standard security classes for access to data, and implement network identity management.

Working in close collaboration with the co-chairs of the College's Integrated Technology Committee (ITC), strategic planning began in preparation for a three-year agenda of goals and enabling objectives in support of ESC 2.0. Internal organization restructuring, guided by stakeholder needs and strategic planning, resulted in a *matrixed* Information Technology organization capable of sustaining a robust catalog of services to the College. As well, internal process changes are now guided by best practices via instantiation of the Information Technology Infrastructure Library (ITIL) service management framework. ITIL is defined by an integrated set of best-practice processes for delivering Information Technology services to customers. The primary objective involves maximizing value to students, faculty, and staff by aligning Information Technology resources with business needs. At ITIL's core is the basic idea that value is provided in the form of business-aligned Information Technology Services. In support of this service management framework, the College's Service Desk will take on new vitality and responsiveness through new software and physical space. The first floor of 3 Union Avenue was remodeled to accommodate a robust Service Desk operation, supported by two Client Services personnel and technical support specialists across the state.

Resources are being applied as appropriate to support the College's movement into active Business Intelligence (BI.) Christopher Jackson and Cindy He are now working on a decision-center concept, using the IBM Cognos tool, to support data-driven decision making. In the proposed model, decision-centers would support functional areas of the College such as Undergraduate, Graduate, Nursing, Alumni and Advancement, and Student Services. The Cognos tool brings self-service reporting capabilities to the desktop, thus avoiding extended wait time in the creation of ad-hoc reports. The College would maintain centrally a standard set of operational reports while timely, functional ad-hoc reporting would be available at each decision-center. Plans include application of resources to support what is anticipated to be a growing institutional consumerism of data reporting and analytics.

Return on investment does not support additional developmental work of the College's legacy systems and infrastructure, namely the Lotus/Domino platform and the Datatel Colleague student information system (essentially the College's enterprise resource planning, or ERP, system.) New application development on existing legacy systems is frozen in light of future plans for new enterprise system investment. One essential success imperative in the modernization of the College's systems and infrastructure involves decoupling the current patchwork of systems in favor of a unified architecture for all enterprise applications. The strategy to obviate current platforms that are now at end-of-life involves discontinuation of any plans for further related application development. Time and attention will be given to support and maintenance of current systems while "sunsetting" of legacy applications occurs.

Information Technology priorities in the Roadmap will be based on the College's need to protect and sustain its resources and data, provide systems that function effectively, and enable the College to compete in a global environment. Risk mitigation is a top priority and supports decisions related to the College's data center, network, and computing environments. Moreover, changes in how the College's network and data maintain security through unified authentication schemes and central identity management will mitigate risk. The security fabric that supports the College's information systems involves coordination between network security, data security, and application security. Additionally, physical security of the computing environment is included in a risk mitigation strategy. A secondary priority involves well-designed enterprise information system architecture (EISA) that maintains integrity and efficacy through enforcement of integrative, interoperable, and homogenous technology stacks. Finally, a third priority involves competitive advantage and the College's ability to work with technologies that provide increasing levels of support to our students.

Multiple initiatives are now underway in various stages of project planning; updates on key initiatives are noted in this report. Key initiatives include a move to Microsoft Office 365 cloud solutions, a Constituent Relationship Management (CRM) system, a new Empire State College website and intranet, and a new electronic catalog. In preparation for future migration to a new enterprise resource planning (ERP) system, three College-wide task forces are working to: (i) develop a College-wide data dictionary; (ii) develop and implement appropriate data security classes and role-based permission structures; and (iii) develop and implement a College-wide e-catalog with course naming and numbering convention. Moreover, in preparation for construction of a CRM-driven College website, three College-wide teams are meeting to reach consensus regarding: (i) information architecture and new creative; (ii) content management strategy; and (iii) technical integrations.

The Preliminary Draft of a Three-year Strategic Roadmap includes five goals and 35 supporting objectives. The goals and objectives are organized by functional areas of responsibility. The Three-year Strategic Roadmap will be completed as it moves through College review involving the Information Technology Advisory Committee, the President's Council, and the Cabinet. A collaborative shared governance retreat is planned for March 5-6, 2015 for ITC in Saratoga Springs to work on the Three-year Strategic Roadmap. A final draft of the Roadmap is anticipated no later than July 1, 2015. Following publication of the final draft, Interim Reports of progress toward Roadmap goals and objectives will be published to the College each winter, with an Annual Report of progress published each summer.

Finally, as a basis for strategic planning, new mission, vision, and value statements for the Information Technology organization have been developed in concert with all members of the Information Technology organization and with advice and input from the ITC. A clearly stated mission and vision that supports ESC 2.0, along with value statements for how we collaborate and work together, create a solid foundation for the

work ahead. The following narrative introduces the newly aligned Information Technology organization; articulates its mission, vision, and values; analyzes the organizational strategy and structure; and reports on key initiatives now underway in support of a Three-year Strategic Roadmap.

Introduction

The dedicated professionals who work with Information Technologies are excited to play an important role in ESC 2.0 and the future of Empire State College. In support of the College mission and vision, the Information Technology organization has made significant progress in building a new organization focused on service, quality, and innovation. In the 21st century, Empire State College is challenged to compete globally for students and provide learning opportunities to students in multiple new modes of access and delivery, while maintaining and enhancing its mentoring model, a foundation concept for the College. Empire State College, as a distributed institution specializing in non-traditional education, requires robust technologies that enable and support convergent modalities of learning. In concert with ESC 2.0, the Information Technology organization has repositioned itself to provide improved service levels, enable the College for sustainable growth, build competitive advantage, support a continuum of life-long learning, and serve as a catalyst for innovation that supports the re-emergence of non-traditional students.

Recognition of and appreciation for outstanding employee performance constitutes a major part of who we are as an Information Technology service provider. At the quarterly [OIT] Division Meeting held Tuesday, December 9, four Information Technology professionals were recognized with outstanding service awards. **Kay Watkins** was honored for outstanding work in the area of Project Management. Her tireless work and expertise in managing multiple critical initiatives is widely recognized. **Kevin Carroll** was honored for his dedication and perseverance in resolving several critical issues related to aging hardware and poor operating environments for critical applications. His efforts were widely recognized and appreciated by his management and peers. **Jim Stoner** was honored for his expertise, collaborative work ethic, and willingness to lend a helping hand to all who ask. As well, **Ruffin Pauszek** was honored for his work in technical support and training, working long hours to ensure adequate service desk coverage for the College. Congratulations and a big "thank you" to all honorees.

As one reads this Interim Report to the College, he or she will note progression of themes toward the Three-year Strategic Roadmap. This Interim Report, in addition to an Annual Report, will report regularly on progress toward specific goals and associated objectives as will be stated in the final Roadmap document that will serve to guide the College's Information Technology organization and initiatives. Currently in preliminary draft form, the Information Technology Three-year Strategic Roadmap (2015-2018) is in working distribution with the Information Technology directors and assistant directors, and the co-chairs of the College's Information Technology Advisory Committee (ITC.) Each year a new theme will emerge to build on the prior year's theme, resulting in a three-year guide that delivers on the spirit and requirements of ESC 2.0.

Year 1 of the Roadmap involves "rebuilding and restructuring." The most important technology assets we possess are people; as such, the Information Technology organization has re-organized for improved performance. As well, repurposed positions involving new skillsets and position descriptions are part of restructuring. Rebuilding initiatives are focused on mitigating liabilities with infrastructure and data by partnering with SUNY University of Albany on a new data center facility in support of new hybrid cloud computing capabilities. A secondary data center facility in Buffalo (to begin construction in 3rd Quarter 2015)

will provide for disaster recovery and continuity of operations, as well as host the College's *virtualized* data warehouse.

Year 2 of the Roadmap will involve "re-imagining." The College will benefit from new applications, computing models such as cloud computing, virtual Internet Protocol (IP) learning spaces, and bring-your-own-device (BYOD), as well as new technologies based on modeled and re-engineered business processes. Moreover, the College will benefit from partnerships within SUNY that support new enterprise resource planning (ERP) applications, data analysis, and academic research. As a result, Empire State College will be better positioned to thrive in educating 21st century learners and respond to our mission of access by making technology as available and useable to as many people as possible. Additionally, re-engineering of the College's wireline and wifi networks will be a priority in support of state-wide (and potentially world-wide) synchronous learning delivery modes.

Year 3 of the Roadmap will involve 're-emerging." As Empire State College re-emerges as an innovative leader in higher education, it will be prepared to meet the challenge of growing demand for new and more innovative ways to learn efficiently and complete a degree. Based on objectives that re-build the technology infrastructure, re-engineer business processes for efficiency, modernize enterprise applications, and ensure return-on-investment of technology spend, the final year of the Roadmap will yield a secure, available, scalable, reliable, and robust enterprise architecture and service organization that meets the current and future technology needs of students, faculty, and staff.

Moreover, movement toward an enterprise view of the College with respect to technology services will be an on-going focus. Synergistically, the technology whole of the College is much greater than the sum of its parts. As a result, enterprise thinking, technology planning, and services must include our International Programs, Military and Veterans Program, Alumni Relations, and Advancement. Examples of this enterprise thinking will be seen herein in initiatives such as the SUNY Empire State College Website Initiative and the Constituent Relationship Management (CRM) Initiative. International Programs will sponsor the pilot program and roll-out of Empire State College's Virtual Student Center, Alumni Relations and Academic Affairs will benefit from the new CRM software, and Advancement will work closely with Information Technology to ensure web-based opportunities for giving to the College.

To ensure consistent levels of service across the College, the Technical Support Specialists (TSSs) were aligned with the Information Technology Services organization. With TSSs working in concert with the ITIL process, the College's Service Desk and the new incident (trouble ticket) system, improved communication, resolution, or escalation of technical issues is now possible. TSSs, no longer geographically restricted, but able to work with technology across the College can now load balance to ensure faster time to resolution of technical problems. TSSs will be continuously trained to use remote access technologies for troubleshooting, learn to work within the ITIL framework, and participate in team learning activities that improve our technical support capabilities. In similar fashion, the Faculty Instructional Technologists (FITs), now termed Educational Technologist, were aligned to provide better support to and communication with students, faculty, and instructional designers. Working in concert with (faculty) subject matter experts and instructional designers, the new Educational Technologist role will provide support for course development, enterprise educational technologies, learning space design, and emerging technologies.

Division Designation: Adding "Service" to our Name

The College's Information Technology organization is generally referred to as the Office of Integrated Technologies, or simply OIT. As a service bureau, the organization is tasked with providing College-wide support through services. Technology organizations generally should focus on the service aspect as related to stakeholders in the organization, in this case our students, faculty, and staff. An attitude of service should be inherent in the College's Information Technology organization, as well as a name that reflects a core attitude of service. In concert with this focus, the reference to the College's Information Technology organization as Information Technology Services will serve to impart internal and external recognition of the organization for its primary role as a service provider. The Information Technology Service Catalog will be refined, developed, and made available in the new College-wide service desk application known as ServiceNow®. Moving forward, references to the College's Information Technology support organization will be Information Technology Services, or simply ITS.

Mission, Vision, and Values Statements
Mission Statement

Information Technology Services serves to provide support, coordination, management, and leadership to the administrative and academic computing initiatives and activities of SUNY Empire State College. Functioning as a service organization, Information Technology Services works collaboratively across the College community to:

- enable and consistently improve SUNY Empire State College's administrative technologies to deliver quality education services and outcomes based on data-driven decisions;
- provide innovative, connected, and sustainable technology environments and services where teaching and learning can occur anytime and anyplace;
- digitally connect SUNY Empire State College's stakeholders together locally and globally through information and communication technologies;
- collaboratively research and explore new and advanced modes of teaching and learning via emerging technologies and tools related to 21st century higher education in support of SUNY Empire State College's mission, vision, and goals.

Vision Statement

SUNY Empire State College Information Technology Services will function in a unified manner in the delivery and maintenance of academic, administrative, and general campus information and communication technology services. Appropriate standards, processes, and procedures for technology service management and delivery will be followed to meet the priorities of the College, while keeping College information assets secure and available. Information Technology Services will be responsive to the needs of its constituencies; provide technology leadership, solutions, and quality services; and be strategically aligned with the mission and direction of the College.

Values Statement

SUNY Empire State College Information Technology Services affirms the following core values:

- An environment of integrity, mutual trust, transparency, and open communication

- An ideal of excellence, fostered by a belief in quality, teamwork, and service
- An esprit de corps personified by a positive attitude toward our work
- A spirit of courage and risk-taking that nurtures technological creativity, innovation, and leadership
- An appreciation and mutual respect for diverse backgrounds and opinions

Organizational Development Strategy

Shifts in business perspective from Information Technology as a cost to that of investment have impacted higher education in multiple ways. Technology should enable and support the majority of business processes and workflows that allow the College to function efficiently and effectively in a globally competitive environment. Moreover, technology platforms facilitate learning and instruction at an increasing rate and in new modalities. As such, technology plays a strategic role in the future of the College and should strive to achieve an acceptable return-on-investment, given the amount of capital expenditures (capex) and operating expenditures (opex.) Many capex strategies are now migrating to opex strategies, as seen in BYOD, cloud computing, and virtual network designs. In response, the College's Information Technology organization achieved realignment during Summer and Fall 2014 to provide for tighter coupling of education and technology, new technology skill sets, a focus on service, development of an enterprise architecture, and ability to leverage the College's state-wide network.

Establishment of a technology group to focus on educational and emerging technologies was a major milestone toward tighter coupling between education and technology. Consolidation of the Faculty Instructional Technologists, and renaming of the title to Educational Technologist, serves to provide an aligned and enabled resource to all students and faculty with respect to enterprise educational technologies. Educational technologies include not only learning management systems (LMSs), but also hosted systems that support digital content, provide for student interactions and engagement, allow for research, testing, and development, and otherwise support the mentoring and learning process. Emerging technologies involve movement of the College to the horizon of new applications that ensure innovation in education. As nascent technologies arrive, educational technologists are now available to enable and support students and faculty in their experimentation and use. Educational technologists also play a role in the new science of learning space design. Tight coupling between education and technology in this context involves development of "use cases" that build physical and virtual learning spaces based on faculty requirements elicited from use cases, or in other words, how technology, space, and pedagogy intersect. Faculty driven use cases are essential to the process.

Organizational development strategies also include opportunities for new and enhanced skill sets. The need for expertise in cloud computing services, analytic data environments, security via next generation firewalls, mobile computing, integrated communications, digital content management and delivery, business process modeling, and information system architecture is represented in organizational changes as can be noted in this report's section on New Organizational Structure. New organizational structures were put in-place to accommodate the College's movement away from local data center management to a hosted hybrid cloud computing model in preparation for more scalable and reliable delivery of applications, integration at a data level, and a structured approach and methodology to enterprise computing.

Essentially, the College's (hardware and software) technology infrastructure is in need of simplification, modernization, and architected enterprise system thinking. As a result, the Information Technology

organization has been restructured and aligned to support these goals, while at the same time transforming itself into a service management organization that optimizes return-on-investment. The overarching taxonomy for the new organizational structure involves decomposition of ITS into functional groups, and decomposition of functional groups into teams.

New Organizational Structure

SUNY Empire State College Information Technology Services (ITS) serves to provide technology infrastructure and systems, administrative and academic computing applications, and technical support services to the College's students, faculty, and staff. Organizationally, the division is composed of five groups: Enterprise Systems and Infrastructure (ESI), Enterprise Architecture and Applications (EAA), User Technical Support Service (UTSS), Educational and Emerging Technologies (EET), and Project Management (PM). These five groups compose a service organization that reports to the Office of the Vice President for Integrated Technologies and Chief Information Officer (Appendix A.)

The Office of the Vice President for Integrated Technologies and Chief Information Officer (CIO) provides leadership, coordination, management, and support for the strategic technology vision of the College. In response to the ITS mission and vision, this Office works to optimize technology resources and advance Empire State College.

The Educational and Emerging Technologies Group (Appendix B) works to build and maintain physical and virtual learning spaces for the College. This Group focuses on campus collaborations with faculty and instructional designers to derive use cases that drive learning space technology design and decision-making. Additionally, this Group serves to facilitate an on-going discussion related to emerging technologies used as teaching or learning tools in today's higher education learning environments. The Group supports all College-wide enterprise educational technology applications, systems, and tools including the Learning Management System, Learning Object Repository, Content Delivery Network, e-Portfolio, and more. Moreover, this Group is involved with support for digital and metaliteracy professional development, including personal learning clouds. Educational and Emerging Technologies works to ensure technologies interoperate in a reliable manner, are robust in functionality, and transparent to faculty and students who use them.

The ITS Enterprise Systems and Infrastructure Group (Appendix C) designs, constructs, and maintains the physical components of the College's wireline and wireless networks, data center, telecommunications, and hybrid cloud computing infrastructure. Working to achieve a reliable, available, sustainable, scalable, and secure hosting and computing environments, this group also is tasked with networked systems security and administration. Additionally, the Group works to improve the use of enterprise information management and business intelligence platforms and tools to enhance decision support and data-driven decisions.

The Project Management Group (Appendix D) provides project intake and life-cycle management of College technology related projects. This Group works with College stakeholders to conduct project planning, build requirements, design solutions, guide development, ensure testing, and manage implementations of strategic projects. The Project Management Group works across and in concert with Enterprise Systems and Infrastructure, Enterprise Applications, User Technical Support, and Educational and Emerging Technologies to accomplish project goals.

The ITS Enterprise Architecture and Applications Group (Appendix E) selects, supports, integrates, and maintains enterprise and departmental level software applications through all phases of the system

development life-cycle process. Working to advance the technology value proposition of data-to-information-to-knowledge, this Group is responsible for the College's Enterprise Resource Planning (ERP) system and ancillary transactional systems. The Enterprise Applications Group is responsible for the implementation of the College's digital ecosystem, integrity of the College's Information Systems Architecture (ISA), and system integration. Moreover, the Group serves to improve the efficiency of College-wide academic and administrative business processes through modeling and automation of workflows.

The User Technical Support Service Group (Appendix F) serves as a single point of contact for technology support needs for students, faculty, and staff. The Group works with all College-wide stakeholders to achieve optimal computing experiences, resolve technical issues, and complete technology service requests. Moreover, this Group provides client services to College stakeholders that strive to consistently improve technical support and the end-user computing experience in the *new normal*: mobile, online education, cloud, and BYOD environments. Technology purchasing and logistics reside as a function of this Group, as well as coordination with College asset and inventory management. Additionally, this Group coordinates and provides training opportunities for students, faculty, and staff as required to support the release of new and existing applications and systems.

Information Technology Services on the Web

In early spring, a new Information Technology Services website (Figure 1) will launch and feature new information regarding Information Technology services, and easy access to the virtual Service Desk. Moreover, College stakeholders will have quick access to technology policies, news, tier 0 (i.e., Knowledge Base) support, the Service Catalog, and contact information for the Service Desk. The new website also will serve as a mechanism to get to know the dedicated technology professionals who work each day to ensure positive and productive computing experiences across the College.
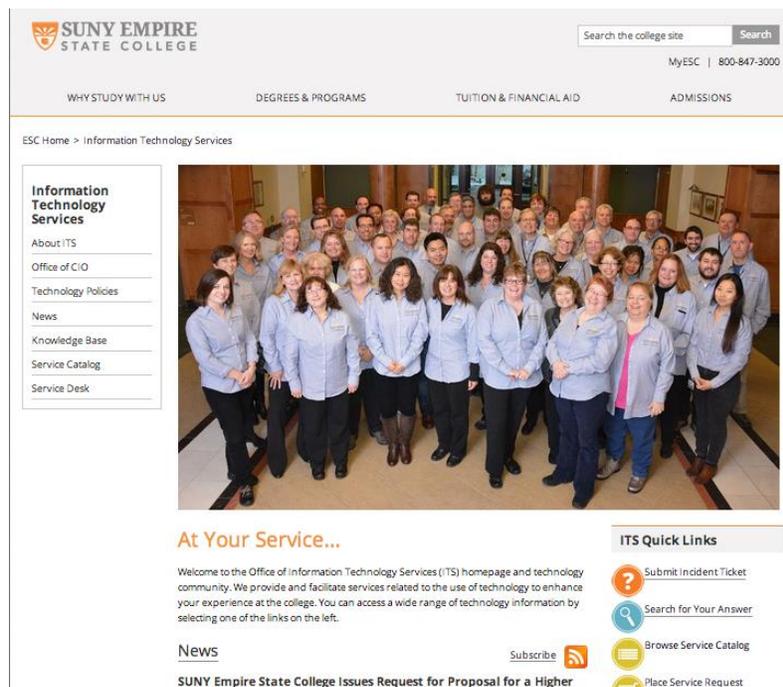
Figure 1: New 2015 ITS Website

Key Initiatives
Constituent Relationship Management (CRM) Software

Project planning for this initiative began in July 2014 with movement through requirements elicitation and analysis over Summer and Fall 2014. CRM software will enable the College to improve recruitment and student retention, automate business processes related to admissions, enrollment, financial aid, and student services, and extend potential and current student satisfaction through enhanced communications and engagement. Walter Lewis serves as the Project Manager for this initiative and works with two internal College groups: (1) a CRM planning and advising group composed of Mark Claverie, Anna Miarka-Grzelak, MaryBeth Litz, Regina Lundy, and Stephanie Thomas; and (2) a CRM selection committee composed of Anna Miraka-Grzelak, Brett Sherman, Cammie Baker-Clancy, Carl Burkart, Christopher Jackson, Christopher Rolley, Desiree Drindak, Donna Carey, Jennifer D'Agostino, Kelly Hermann, Kelly Mollica, Kristina Delbridge, Linda Hamell, Lyndsey Nadeau, Mark Claverie, Maureen Winney, Dr. Mitchell Nesler, Theresa Vamvalis, and Charley Summersell . Working with constituents from across the College (including Admissions, Recruitment, Academic Support, Marketing, Financial Aid, Academic Affairs, Graduate Programs, External Affairs, Deans, C-PIE, Nursing, and the Student Information Center) the CRM selection committee elicited, analyzed, and formally documented requirements on which to evaluate potential CRM software vendor solutions. Moreover, requirements were elicited through a Request for Information (RFI) process over the Fall 2014 time period when three best-of-breed vendors for CRM software (Oracle, TargetX, and Talisma) provided presentations to the CRM selection committee. As a result, a Request for Proposal (RFP) was generated and released publicly on Monday, January 12, 2015. The due date for responses to the RFP was Friday, February 13, 2015.

In preparation for award of contract and initiation of a project plan to move forward with a College CRM system, student recruitment, admissions, and enrollment business processes are being modeled in "as-is" state. Enterprise systems require enterprise thinking and a foundation of uniform business processes on which the technology workflows and dataflows are modeled. Once essential business processes are modeled in current state, senior administrators and the CRM selection committee, along with other governance bodies, will examine the optimal business process to model a future state on which a new CRM-driven website can operate and achieve broad impact. A current, best estimate from Procurement positions contract award and project initiation in the early April timeframe. Next steps after contract award include final selection by the CRM selection committee of the CRM software vendor and instantiation of a project plan to guide construction of a College-wide CRM driven website via a project life-cycle approach. Target date for completion of the project to the implementation phase is nine months from award of contract. The CRM Software RFP is available for review at http://www.esc.edu/integrated-technologies/oit-news/crm-rfp.html .

For additional information, contact Walter Lewis, ESC Director of Project Management [walter.lewis@esc.edu]

SUNY Empire State College Website Initiative

Our College website initiative will serve to optimize use of the Terminal Four (T4) content management system, strengthen our brand, brand promise, value proposition, creative design, information architecture, content strategy, and technology integration with CRM software. The RFI process began in early Fall 2014 with presentations by four leading agencies who work in the higher education space and completed at the end of December 2014. Each group presented to Dr. Hancock, Dr. Ntoko, Dr. Nesler, Dr. Arnold, and MaryCaroline Powers in preparation for construction of a RFP based on requirements related to the College's

need to promote its brand, strengthen its competitive position, and fully leverage web-based technologies. Agencies invited to present as part of the RFI process included mStoner Agency, New City Agency, Navigation Arts, and iFactory Agency.

Walter Lewis serves as the Project Manager for this College-wide initiative and worked with Procurement to finalize the RFP for public release. Public release of the RFP was January 19, 2015. Following this public release, interested parties will have an opportunity to respond to the RFP, with a due date of February 12, 2015. The current, best estimate for ability to award contract is sometime in April 2015, with subsequent project launch in the early May timeframe. The Empire State College website project and the CRM Software project will work in tandem to support the multiple mutual dependencies between the two initiatives. The project is anticipated to span a nine-month timeline from time of contract award. The College website initiative RFP is available for review at http://www.esc.edu/integrated-technologies/oit-news/web-redesign-rfp.html.

In preparation for the Agency project, a College committee, chartered by the President, deconstructed into three teams will convene bi-monthly beginning in late January to discuss and prepare support information related to: (1) website information architecture and creative design; (2) content management; and (3) technology integration. Team membership includes the following:

Team 1 (Website Information Architecture and Creative Design): Christopher Rolley, MaryCaroline Powers, Anna Miarka-Grzelak, Casey Lumbra, Jill Evans, Kay Watkins, Kelly Mollica, Tom Mackey, Kirstie Szlasa, and Rhianna Rogers

Team 2 (Content Management): MaryCaroline Powers, Anna Miarka-Grzelak, Casey Lumbra, Jill Evans, Walter Lewis, Meg Benke, Tom Mackey, and Lisa Johnson.

Team 3 (Technology Integration): Casey Lumbra, AJ LaComba, Kay Watkins, Mark Claverie, Walter Lewis, Lisa Johnson, Katherine Watson, and John Beckem

Michael Mancini and Dr. Mitchell Nesler serve as at-large members on all three teams.

For additional information, contact Walter Lewis, ESC Director of Project Management [walter.lewis@esc.edu]

New Information Technology Service Desk Launch

ServiceNow® software, a cloud-based technology platform, features a robust environment in which information technology organizations can provide enterprise services through a defined catalog of technology-related services. College technical resources, such as technical support specialists, can now be optimized without geographic restrictions via ServiceNow®. The new Information Technology Service Desk (Figure 2) is accessible on the web at www.esc.edu/service-desk. The Service Desk provides multiple methods of contact for technical support, including email. In addition to calling or interacting through an easy-to-use virtual service desk interface, students, faculty, and staff can open incident (problem) tickets or request services via an email to servicedesk@esc.edu.

The new Service Desk launched on Monday, January 12, 2015 and is fully integrated with single-sign-on capabilities for ease of use. Student, faculty, and staff can submit an "*Incident Ticket*" (Ask a technical question or report a technical problem); "*Search for Answers*" (Search for technical self-help information in the Knowledge Base); "*Browse the Service Catalog*" (Review all Information Technology services provided); or "*Place*

a Service Request" (Request a technical service or item, including hardware, software, programming, training, or other.)
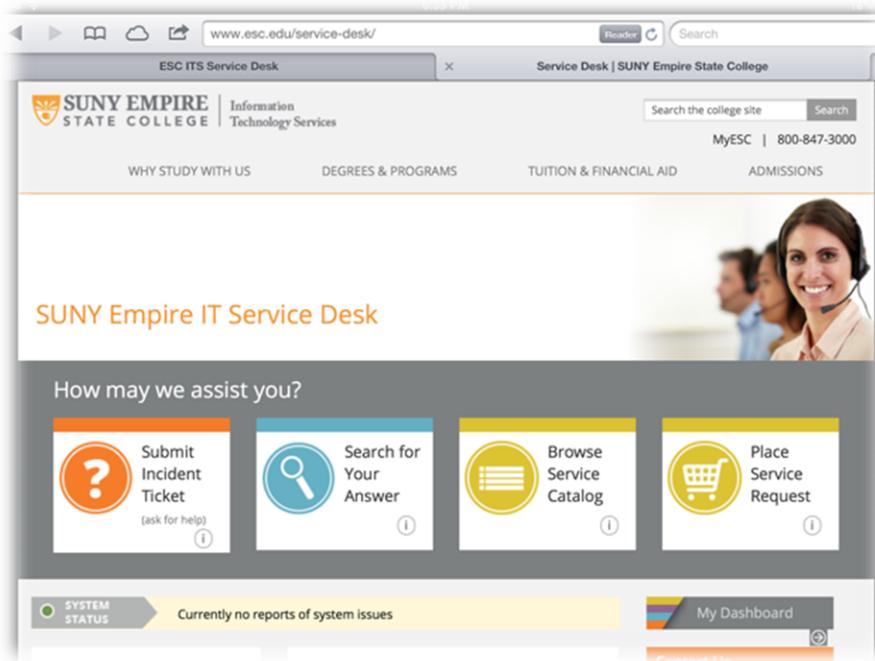
Figure 2: Empire State College's New Institution-wide Service Desk

As well, College students, faculty, and staff can review current technology news, review the status of open incident tickets and service requests, check current system statuses, or receive dial-in numbers and current hours of operation. Hours of operation were **extended** on January 2, 2015 for the following: Sunday 1-9 p.m. EST; Monday-Thursday 9 a.m. – 9 p.m. EST; Friday 9 a.m. – 5 p.m. EST; and Saturday 9 a.m. -1 p.m. EST.

For additional information, contact Paul Ryan, ESC Director of User Technical Support Services [paul.ryan@esc.edu]

Data Center relocation, Hybrid Cloud computing, and Virtualization

The Memorandum of Understanding between Empire State College and the University of Albany with regard to a co-location arrangement in the new University of Albany Data Center has been signed by all parties. Construction of Empire State College's new hybrid cloud infrastructure in the University of Albany Data Center has begun. Initial steps includes cabinet assignments and configurations, purchase of a new storage area network with 36TBs of primary storage, networking components to include a new next-generation firewall, and sufficient compute resources to power hundreds of virtual machines. The new cloud infrastructure will provide a secure, reliable, and available environment in which to host the College's enterprise computing applications. Completion of the new primary cloud computing facility is anticipated for mid-summer 2015 at which time migration of the College's enterprise applications and systems to the new facility will begin.

Following successful migration of all enterprise applications and systems to the new facility, a secondary facility, hosted by ITEC, will come online in the 3rd Quarter of 2015 in Buffalo, NY to provide fail-over capability to primary enterprise systems, and host the primary environment for the College's virtualized data

warehouse. Plans for the secondary facility in Buffalo are currently incomplete, but will be included in the first year of initiatives in the ITS 3-year Strategic Roadmap.

For additional information, contact AJ Lacomba, ESC Director of Enterprise Systems and Infrastructure [aj.lacomba@esc.edu]

Directory Consolidation and Identity Management

Of major concern and importance is the College's ability to securely manage access to data and services. Critical "behind the scene" improvements in how this is accomplished involve consolidation of user directory services from which authentication is driven. During the month of February 2015 and into late March 2015, the College will implement new technology to synchronize its two main directory structures: Active Directory and Lotus. This first step toward robust identity and access management will lay a foundation for implementation of Microsoft Office 365, a cloud-based email, calendar, storage, and application solution. Over a six-week period, information technology staff will work with Technotics, a boutique technology consultancy that specializes in integration of legacy technologies. The backend changes will generally be transparent to the end-user, and notification of any planned system outages will be announced as far in advance as possible. In the near future, all users should anticipate a planned forced password change.

For additional information, contact AJ Lacomba, ESC Director of Enterprise Systems and Infrastructure [aj.lacomba@esc.edu]

Microsoft 365: email, calendaring, and storage

Microsoft Office 365 features a number of products and services, managed and configured through an online portal, to provide students, faculty (including adjuncts), staff, and alumni with essential services and productivity tools. This initiative will work in concert with heavy involvement by our ITC members, who will serve in initial pilots and usability testing during the product release. This major move to a modern, cloud-based integrated system also will enable and empower users to communicate seamlessly through our current learning management system, Moodle. Of importance in our migration to Microsoft 365 is the use of a unified calendaring system for the College. The timeline for this initiative first involves completion of the directory synchronization between the College's "Active Directory" and the "Lotus" directory to achieve a common framework for authentication using one's username and password. Directory synchronization, as described above, is scheduled for completion by the end of March 2015. Continuation of the Office 365 project will commence in April 2015 with testing by core (ITS) accounts; ITC members, technicians, and select faculty and administrative staff accounts; and finally migration of all faculty and staff accounts with creation of student accounts. The migration and co-existence phases of the process are scheduled to conclude at the end of September 2015 with de-commission and retirement of the Lotus email and calendaring system in the 4th Quarter of 2015.

For additional information, contact AJ Lacomba, ESC Director of Enterprise Systems and Infrastructure [aj.lacomba@esc.edu]

Academic Research Network

The purpose of the Academic Research Network (ARN) is to provide an available and flexible technology platform for faculty and student development, testing, experimentation, instruction, and research. Initially funded through the BMI Grant for Competency Based Education in a Bachelor of Science in Information

Technology program, the ARN will serve to initially deliver technology environments and applications used in Information Technology education. Once in-place, the ARN will have the potential to expand to various curricular areas of study that may require a technology environment or application to support learning. Students and faculty will be allowed to self-provision a virtual environment that meets the technology needs of the learning opportunity, and/or enables facilitation of learning through experimentation and research. Faculty use of the ARN involves various grant funded opportunities to research technology related to areas of study.

For additional information, contact Joshua Gaul, ESC Director of Educational and Emerging Technologies [joshua.gaul@esc.edu]

Quality Assurance and Continuous Improvement

In Fall 2014 Empire State College joined the consortium of higher education institutions involved in the Higher Education TechQual+ Project. The TechQual+ core survey was developed through multiple rounds of qualitative and quantitative data collection from the participating institutions and is designed to help institutions understand what end users expect from Information Technology organizations. The survey allows for systematic exploration of Information Technology service outcomes in a way that provides for comparisons across institutions. Last October the survey was open for a two-week period to the College as part of an on-going quality assurance and continuous improvement initiative. This initiative is also supported by data collection through daily follow-up phone interviews regarding closed incident/service tickets. A routine "client service" function involves phone calls and/or digital surveys to a statistically valid, random population of students, faculty, and staff to determine the perception of quality in service. In sum, the data is used to continuously improve service levels, enhance communication, and inform Information Technology directors relative to the performance and expectations in their respective areas of concern.

For additional information, contact Walter Lewis, ESC Director of Project Management [walter.lewis@esc.edu]

Business Process Modeling and Notation

During Fall 2014 three ITS personnel (Michelle Paine, Steve Simon, and Stephanie Thomas) completed formal training in Business Process Modeling and Notation (BPMN) and subsequently have worked with stakeholders to improve, make more efficient (i.e., "lean out" and re-engineer), and document current state of business processes in preparation for modeling of future state enterprise business processes. This initiative and investment in upgraded skills represents the importance of the enterprise business process as a foundation for system integrations and improved workflow capabilities. As a first effort, and in preparation for the College's implementation of an enterprise-wide CRM system, BPMN is working to finalize the College's business process model for recruitment and enrollment management. A CRM implementation success imperative involves alignment of the College's business process, activities, and best practices with the inherent workflow of the CRM system. Leaders from respective areas of marketing, recruitment, enrollment management, admissions, and academic affairs are meeting to re-engineer and finalize a College-wide process in this area with expected results prior to the anticipated start of the College's CRM project in April 2015.

For additional information, contact Mark Claverie, ESC Director of Enterprise Architecture and Applications [mark.claverie@esc.edu]

Sharepoint Intranet/Portal

As the College has certain requirements to protect data and information, but make available to College students, faculty, and staff secure environments in which to stay informed, collaborate, and conduct business, the requirements analysis leading to design and development of a new College intranet/portal is underway. An initiative that will work in harmony with the College's external, public-facing web site, this authenticated portal site using Microsoft Sharepoint technology will serve the authenticated, internal needs of College stakeholders. Leading this initiative under the direction of Mark Claverie will be Kathy Farrell, and Patricia Wheeler. Essentially, the content and functionality currently available in three systems (MyESC, ESCnet, and the Commons) will converge into one platform featured as a secure intranet portal. Work on this project began in January 2015 and will run concurrently with the College web site initiative.

For additional information, contact Mark Claverie, ESC Director of Enterprise Architecture and Applications [mark.claverie@esc.edu]

Thin-client retirement

Thin-clients, as hardware devices, will be retired over the next 12 months and replaced with either low form-factor PCs or laptops. The popularity of the hardware thin-client device reached a zenith a little more than a decade ago when economics drove thin-client decisions. In an era when PCs averaged $2,000 in price (a capex model) and thin-client devices averaged $250 in unit price, the economic margin was intact to justify a move to this computing paradigm. With radical drop in prices to price points where PCs now function in an opex strategy and model, virtual desktop infrastructure (VDI) technology has matured, mobile computing has proliferated, and browser technologies have evolved, the business case and economics for working with a hardware thin-client model is no longer sound. The thin-client computing model, now in software form where the browser serves as the thin-client, is still contemporary and viable and will serve as the basis for delivering custom, secure, and mobile computing environments via VDI technology. As a result of this initiative, end-users will enjoy a robust computing experience through a PC or laptop and also the ability to benefit from virtual computing environments on the same device.

For additional information, contact Paul Ryan, ESC Director of User Technical Support Services [paul.ryan@esc.edu]

Collaboration Spaces, IP Source/Destination learning spaces, and Node Nexus

Working in concert with College Facilities planners, architects, and managers, Information Technology Services is jointly engaging with Academic Affairs to create Technology Enabled Active Learning (TEAL) spaces. Such TEAL spaces currently include Collaboration Spaces that support individual and small group mentoring and learning, as well as IP source and destination learning spaces where student engagement and delivery of instruction can occur synchronously state-wide. Collaboration Spaces allow for seamless discovery and sharing, collaboration, and digital engagement by and between faculty and students. Such spaces also will support advancement of the bring-your-own-device (BYOD) computing model. IP source spaces allow for origination and delivery of mentoring and instruction in a one-to-many (1:M) manner with one or more destination spaces. Prototyping for the IP source and destination learning spaces as a proof-of-concept and to build pedagogical efficacy will launch this spring at the Metro Center and Staten Island Unit. Expansion of this mode of delivery will involve the addition of other locations in the future. To enable expansion planning,

existing facilities can be technologically retrofitted while new facilities (i.e., Rochester and Long Island) will be constructed with the learning space designs.

Our College network is only as secure and available as its weakest link. Inferior wiring and networking infrastructure can radically degrade network performance, availability, and reliability. In many cases, College network infrastructure is dependent on joint-use space with facilities management, other services, or other "space available" locations. As a result, expensive and critical College network components can be subject to unauthorized access, extreme climate conditions, unregulated environments, and less-than-pristine conditions that can adversely affect the operation and performance of network components. Internet Protocol (IP) nodes to support convergence and multi-mode instruction involve tight coupling. Node Nexuses improve critical campus infrastructures and junctures through physical upgrades, secure management, and close proximities. In Rochester with the construction of a new facility, an innovative space known individually as a "node nexus" will be constructed to support improved network security, availability, reliability, scalability, and performance. This space will serve to improve convergence of voice, data, and video IP traffic, and also will serve as a teaching tool in the study of technology infrastructure, thus achieving higher return-on-investment and a balance of form and function.

For additional information, contact Joshua Gaul, ESC Director of Educational and Emerging Technologies [joshua.gaul@esc.edu] or AJ Lacomba, ESC Director of Enterprise Systems and Infrastructure [aj.lacomba@esc.edu]

Content Delivery Network

Enhancement of current and new and innovative modes of learning is widely dependent on digital content. In the 21st century, a repository for academic content (including digital learning objects) is required to support various (converged) modes of instruction. To support faculty needs for delivery of digital content the content delivery network (CDN) acts as a centralized, secure, available, and searchable repository and delivery mechanism that provides the functionality required by teaching faculty, instructional designers, students, and other stakeholders in the academic environment. The CDN serves to: (i) create a permanent host environment for digital academic content; (ii) provide appropriate user interfaces for transcoding, upload, and content management; (iii) provide online search capability of College digital content and learning objects, and (iv) provide for just-in-time knowledge delivery. Working closely with major stakeholders of academic content (i.e., teaching faculty, instructional designers, librarians, students, and course developers), this initiative provides for secure and available hosting and access to both static and dynamic educational content. The current facility for digital content delivery, Ensemble, is inadequate in many respects. For example, the ability to create and manage a structured taxonomy for the objects, integration capability with our LMS, ability to meta-tag for contextual searching, lack of World Wide Web content caching, and so forth. To resolve these issues and provide for a robust delivery of digital content, a move to Kaltura© is planned for Spring 2015 and involves re-hosting of current Ensemble digital content into structured, managed design. A modern and robust CDN will allow advancement of next-generation online course design, searchable content interface for just-in-time knowledge, world-wide streaming capability, and uniform transcoding and meta-tagging of video objects.

For additional information, contact Joshua Gaul, ESC Director of Educational and Emerging Technologies [joshua.gaul@esc.edu]

Flat World (Learning Management Platform)

As a result of the College's participation in the NGLC Breakthrough Models Incubator initiative (funded by the Bill & Melissa Gates Foundation), Flat World's technology was selected as the learning management platform on which to develop and deliver a BS in Information Technology competency-based education (CBE) program. Flat World, an emerging technology company headquartered in Washington DC, provides agile digital solutions that support mobile, personalized learning. The Flat World learning platform represents innovative movement to open systems platform architecture as opposed to the monolithic design of LMSs. The College's Information Technology Services Educational and Emerging Technologies Group is currently working with Flat World to integrate authentication services and provide other educational technology support services to Empire State College students and faculty. Currently, course development in a CBE mode of delivery using Flat World is scheduled to begin in the spring, with Fall 2015 as a target date for a launch of initial course sections. The Flat World platform will integrate as part of the College's hybrid cloud computing architecture.

For additional information, contact Joshua Gaul, ESC Director of Educational and Emerging Technologies [joshua.gaul@esc.edu]

Virtual Student Center Pilot

Working with Empire State College's International Programs, a virtual student center is under design and development with international student piloting scheduled for Summer 2015. The virtual student center will feature social media constructs in which students, alumni, sponsors, and potential employers can meet, interact, and find levels of engagement heretofore impossible. The virtual student center will accommodate specific needs for active military and veterans who are students and alumni of the College, and provide multimedia resources that encourage and enable scholastic success. As with any student center, the Empire State College virtual student center will enable communication, sharing, information, activities, and opportunities for meeting the vast numbers of stakeholders who constitute the College. Working with Uvize, a Boulder, Colorado based company, provides cloud hosted software to enable community and "sense of place" in the College through connecting students, alumni, and other constituents. Although originally developed to support military veterans, Uvize has worked with Empire State College to broaden its application to the College enterprise. Working in partnership with Uvize, Empire State College International Programs will lead the way in piloting our virtual student center, with subsequent plans to involve Empire State College students and alumni in United States domestic locations.

For additional information, contact Joshua Gaul, ESC Director of Educational and Emerging Technologies [joshua.gaul@esc.edu]

Bring-Your-Own-Device (BYOD) Pilot Study

One area where higher education is responding to the new normal and the global shift from the information age to the connected/knowledge age involves personalization of technology. The BYOD concept is rooted in requirements for mobility in computing, personalization in computing, economics of work/life/education balance, Internet ubiquity, and peer/institution connectedness. Moreover, such an institutional shift from a *capex* strategy to an *opex* strategy makes available funds that can be redirected to other innovative forms of enabling technology. Empire State College's BYOD program is currently in planning for a pilot implementation. Working in collaboration with College stakeholders at three sites (Latham, Metro, and

Syracuse) and key stakeholders in financial aid, student accounts, and marketing, the pilot study will involve students funding the purchase of a device of their choosing through financial aid, purchasing the device with other financial resources, using an existing personal device, or receiving a device through an award. In any case, a student would be provided with a "loaner" device if he or she were unable to obtain a device through a preferred method.

A 2013 study conducted by the Educause Center for Analysis and Research notes that 58% of higher education students own **three** or more Internet capable devices. The same report also notes that over 60% of students say that technology makes them feel more connected to the institution, their faculty, and their peers. With an owned personal device, students are able to stay connected to the digital world post-graduation, support life-long learning, and also continue to interact more easily with the College. As the device is owned by the student, he or she can access and work within College sponsored virtual environments, learning platforms, and social media applications in a mobile fashion anywhere and anytime. In the pilot study, the BYOD program will work through refinement of issues associated with student communications, engagement, process, procurement, and service. Students will be provided with guidance on personal device specifications required, and will also have the convenience to purchase a device through an institutional site hosted by Dell Computers.

For additional information, contact Joshua Gaul, ESC Director of Educational and Emerging Technologies [joshua.gaul@esc.edu]

e-Catalog

The e-catalog initiative involves selection of a system that integrates with the College ERP and website to manage and deliver a searchable view of College offerings, and feature flexible workflow management to tightly integrate learning opportunity and course information with the College ERP. Information sessions have been well attended by a cross-section of the College population involving two best-of-breed products: Acalog and CourseLeaf. The project team includes Dr. Tom Mackey, Dr. Shelley Dixon, Dr. Bridget Nettleton, Dr. Tai Arnold, Mary Edinburgh, Mark Claverie, Bob Perilli, Paul Miller, Jessica Lansing, Frank VanderValk, Cathy Leaker, and Pat Ryan.

For additional information, contact Mark Claverie, ESC Director of Enterprise Architecture and Applications [mark.claverie@esc.edu]

Technology Risk Profile
Information Security and Data Assurance

In response to College data security concerns, a Data Governance Group now meets regularly with the goal to create security roles and permissions that protect confidential, sensitive, and FERPA protected data. The Data Governance Group includes Amanda Treadwell, Anna Miarka-Grzelak, Anne Lane, Christopher Jackson, Cindy He, David Henahan, Eileen McDonnell, Jessica McCaffery, John McKenna, Joshua Gaul, Kristin Fitzsimons, Kristina Delbridge, Laura Decker, Linda Frank, Mary Edinburgh, Maureen Winney, Mitchell Nesler, Pamela Malone, Rick Barthelmas, Sandra Billert, Sandra Blackman, Susan Bruce, Suzanne Hayes, Tai Arnold, Vicki Schaake, and Bob Perilli. A field trip for the group to SUNY Oneonta for the purpose of learning how a conventional ERP system (Banner) implements security classes with associated roles and permissions is scheduled for late February; a similar field trip is planned in early March to University of Albany to learn how security classes with associated roles and permissions are created for Peoplesoft. The

College's current risk profile for data breech is high, thus security will be a specific area of concern and focus going forward.

Failing and legacy infrastructure

The College's current hosting environments for computing and data center operations is inadequate and places the College at high risk in unplanned system outages, data losses, and inability to recover in the event of a disaster. Aggressive planning, and support from Paul Tucci, resulted in a successful partnership with University of Albany to co-locate the Empire State College data center operations into their new $23M tier-3 facility. Empire State College is building a modern architected private cloud computing operation that will join various public cloud applications to create a resilient, secure, and reliable hybrid cloud computing environment for the College. During the six-month period between April-September 2015, all College enterprise applications and services will be relocated to the Albany computing facility.

Data Protection and Disaster Preparedness

Based on the external audit and internal discovery, current practice regarding secondary and tertiary backups of data and best practices for off-site storage of back-up data, are not to a satisfactory enterprise standard. Issues with secondary and tertiary backups of data will be remediated through migration to new primary and secondary data centers, and through establishment of best practices with respect to handling of enterprise data. New internal controls have been put in-place while longer-term solutions are designed. The College's risk of data loss remains a concern until new infrastructure is in place to support industry best practices for data protection, disaster preparedness, and continuity of operations.

What's Next?

Empire State College Information Technology Services will continue to work toward achievement of goals and objectives in the Three-Year Strategic Roadmap. Moreover, a culture of change toward improved levels of service, continuous improvement, responsive stakeholder technology solutions, and closer connections between education and technology will continue. Empire State College is rebuilding its technology infrastructure and capabilities to ensure sustainability and efficacy in its business and academic operations. Although multiple challenges exist with legacy infrastructure and systems, dated skill sets, and resources, our future is bright in that through proper planning, advice through shared governance, and dedicated people, the College will build technology services that enable and support the ESC 2.0 vision. Technology is integrated into the fabric of our College and allows us many opportunities to better use technology as an enabler of student success. Next steps involve Empire State College students, faculty, and staff at all levels working collaboratively to consistently innovate and improve how we achieve value from technology. Many thanks for all your support!

Appendices

Appendix A: Information Technology Services Directors

Vice President IT and CIO
Samuel S. Conn, Ph. D.

Secretary 2
Leslie Dussault

Staff Assistant
Deb Snyder

Director for Educational and Emerging Technologies
Josh Gaul

Director for Enterprise Systems and Infrastructure
A. J. Lacomba

Director for Project Management
Walter Lewis

Director for Enterprise Arch and Apps
Mark Claverie

Director for User Support Services
Paul Ryan

Appendix B: Educational and Emerging Technologies Group

```
                    Director for Educational and
                       Emerging Technologies
                           Josh Gaul
```

```
  Assistant Director for        Academic Research        Assistant Director for
  Learning Mgt Systems        Network & Server Systems   Instructional Technologies
      Anne Lane                     Tony Costa                  VACANT
```

```
  Senior Educational                                     Educational
    Technologist                                         Technologist
      VACANT                                                 CNYC
                                                        Sheryl Coleman

  Application Management and                             Educational
    Support Assistant                                    Technologist
   Cynthia Burgher                                           GVC
                                                           VACANT

                                                        Educational
                                                        Technologist
                                                            HVC
                                                        Adam Deyglio

                                                        Educational
                                                        Technologist
                                                            LIC
                                                         Jase Teoh

                                                        Educational
                                                        Technologist
                                                           METRO
                                                        Carolina Kim

                                                        Educational
                                                        Technologist
                                                           METRO
                                                        Ryan Moodie

                                                        Educational
                                                        Technologist
                                                            NEC
                                                      Michael Fortune

                                                        Educational
                                                        Technologist
                                                            NFC
                                                      Nathan Whitley-
                                                           Grassi
```

Appendix C: Enterprise Systems and Infrastructure Group

Director for
Enterprise Systems
and Infrastructure

A. J. Lacomba

Assistant Director for
Cloud Computing

Todd Myles

Assistant Director for
Server Systems

Kevin Carroll

Assistant Director for
Networking

Bill Melvin

Systems Administrator

Adam Cross

Systems Administrator

Ed Davis

Systems Administrator

John Koch

Systems Administrator

Kevin Bane

Server Systems Technician

Keith Johnson

Telecom Facilities and VOIP
Manager

Tim Stewart

Lead Network Engineer

VACANT

Network Engineer

**Robert
Catanzarita**

Network Engineer

Robert Webb

Database Administrator

Cindy He

Appendix D: Project Management Group

```
                    Director for
                 Project Management
                   Walter Lewis
                         |
                         |------------ Project Manager
                         |                 VACANT
                         |
                         |------------ Project Coordinator
                                          Kay Watkins
```

Appendix E: Enterprise Architecture and Applications Group

```
                              Director for
                              Enterprise
                              Applications
                              Mark Claverie

  Assistant Director for    Associate Director for     Assistant Director for
    Enterprise Web         Enterprise Applications     Enterprise Integration
        VACANT                 Robert Perilli              Stephen Simon

   Lead Web              Manager          Assistant Director     Programmer/Analyst
   Designer           Regina Lundy        Michelle Paine        Arthur Bozogian
   Katherine
   Watson

   Web Programmer      Programmer/Analyst   Lead           Programmer/Analyst    Programmer/Analyst   Programmer/Analyst
     VACANT           Sandra Blackman    Programmer/Analyst  Stephanie Thomas    Sandra Billert       Mary Beth Litz
                                          Jim Stoner

   Intranet Web/Content  Programmer/Analyst                                      Programmer/Analyst   Programmer/Analyst
   Manager              Michele Ryan                                             Glen Keller          Jeremy Stone
   Kathy Farrell

   Intranet Web Content                                                          Programmer/Analyst
   Coordinator                                                                   Lindsay Shippee
   Patricia Wheeler
```

Appendix F: User Technical Support Services

Director for User Support Services
Paul Ryan

Service Desk Manager
Ruffin Pauszek

Supervisor of TSS Group
Deb Zanet

Training Coordinator
Ed Peck

Lead Service Desk Operator
Matt Weinell

Technical Support Specialist Brooklyn
VACANT

Client Services Representative
Kathy McCullagh-Pauszek

Service Desk Operator
Mary Ann Bacher

Technical Support Specialist Saratoga
Terry McClellan

Client Services Representative
Christine Charoensook

Service Desk Operator
Jessica Kenyon

Technical Support Specialist Saratoga
Jim Merola

Service Desk Operator
Rob Kearns

Technical Support Specialist Saratoga
Kali Zahn

Technical Support Specialist CNYC
Stephanie Cunningham

Technical Support Specialist GVC
Adam Bradley

Technical Support Specialist HVC
Chris Tayko

Technical Support Specialist LIC
Gus Boyle

Technical Support Specialist METRO
Jin Chun

Technical Support Specialist NEC
Reynolds Jones

Technical Support Specialist NFC
Regina Talley

Appendix D

Learning Contract (or Course Information Documents)

Items are drawn nearly verbatim from the current Learning Contract Study and Undergraduate Students Policy (2011)

For each of the following questions, please circle the number for the response that best fits your judgment. The learning contract (or equivalent) included in the review portfolio is for the most recently completed advanced level study in the student's concentration.

Please indicate how well the learning contract meets the following criteria:

		Not At All	Not Very Well	Fairly Well	Very Well	Extremely Well	.
1.	The purpose of the study is clear.	1	2	3	4	5	
2.	Learning outcomes are defined explicitly.	1	2	3	4	5	
3.	Learning activities are described clearly.	1	2	3	4	5	
4.	Learning outcomes, learning activities and methods and criteria for evaluation are interrelated.	1	2	3	4	5	
5.	Methods of evaluation are described clearly.	1	2	3	4	5	
6.	Criteria for evaluation are described clearly.	1	2	3	4	5	
7.	A plan for formative feedback is included.	1	2	3	4	5	
8.	The level of credit intended for the study (introductory or advanced) is clear.	1	2	3	4	5	
9.	The level of credit intended for the study (introductory or advanced) is appropriate to the learning activities and evaluation criteria.	1	2	3	4	5	
10.	The amount of credit for the study is appropriate to the learning activities.	1	2	3	4	5	
11.	General education learning outcomes are identified clearly, if applicable.	1	2	3	4	5	NA
12.	The learning contract includes learning resources and activities that are designed to lead to the relevant general education learning outcomes, if applicable.	1	2	3	4	5	NA
13.	The learning contract (or course information documents) serves as a good model for student work, in terms of substance and presentation.	1	2	3	4	5	

14. What significant strengths do you see in this learning contract?

15. What significant concerns do you have about this learning contract?

TABLE 13. ANNUAL CREDITS BY CENTER/PROGRAM: 2010-11 TO 2013-14

Center/Program	2010-11 N	2010-11 %	2011-12 N	2011-12 %	2012-13 N	2012-13 %	2013-14 N	2013-14 %
Central New York	18,714	7.0	18,394	6.8	18,726	7.0	17,087	6.6
Genesee Valley	16,827	6.3	16,202	6.0	15,972	6.0	14,095	5.5
Hudson Valley	14,429	5.4	13,256	4.9	12,390	4.7	11,522	4.5
Long Island	15,244	5.7	16,022	5.9	13,739	5.2	13,154	5.1
Metropolitan	32,692	12.3	34,399	12.7	35,419	13.3	38,258	14.8
Niagara Frontier	18,966	7.1	17,173	6.3	15,433	5.8	14,914	5.8
Northeast	19,072	7.2	18,961	7.0	18,382	6.9	16,043	6.2
Center for Distance Learning	109,886	41.3	117,824	43.3	116,790	43.9	102,651	39.8
Harry Van Arsdale Jr. Center for Labor Studies	9,259	3.5	8,975	3.3	10,009	3.8	10,294	4.0
Center for International Programs	11,225	4.2	10,714	3.9	9,352	3.5	8,891	3.4
School of Nursing	-	-	-	-	-	-	10,993	4.3
UNDERGRADUATE TOTAL	**266,313**	100.0	**271,920**	100.0	**266,212**	100.0	**257,901**	100.0
M.A. in Adult Learning	0	0.0	127	1.1	377	3.1	873	7.0
M.A. in Business and Policy Studies	33	0.3	12	0.1	6	0.0	3	0.0
M.A. in Community and Economic Development	0	0.0	0	0.0	143	1.2	246	2.0
M.A. in Learning and Emerging Technologies	0	0.0	0	0.0	147	1.2	459	3.7
M.A. in Liberal Studies	1,201	10.7	1,388	12.1	1,295	10.8	938	7.5
M.A. in Social and Public Policy	1,226	10.9	1,229	10.8	1,164	9.7	1,188	9.5
M.A. in Work and Labor Policy	805	7.2	684	6.0	524	4.4	482	3.9
MAT programs	3,207	28.6	2,417	21.1	2,310	19.2	1,789	14.4
MBA programs	4,089	36.5	4,207	36.8	4,439	36.9	4,288	34.4
M.Ed. in Teaching and Learning	0	0.0	0	0.0	0	0.0	384	3.1
Multiple	0	0.0	40	0.4	33	0.3	12	0.1
Nondegree	392	3.5	639	5.6	614	5.1	755	6.1
Certificate Only	258	2.3	685	6.0	986	8.2	1,048	8.4
School for Graduate Studies	**11,211**	100.0	**11,428**	100.0	**12,038**	100.0	**12,465**	98.7
M.S. in Nursing Education	0	0.0	0	0.0	0	0.0	168	100.0
School of Nursing Graduate	**0**	0.0	**0**	0.0	**0**	0.0	**168**	1.3
GRADUATE TOTAL	**11,211**	100.0	**11,428**	100.0	**12,038**	100.0	**12,633**	100.0
TOTAL	**277,524**		**283,348**		**278,250**		**270,534**	

Note: "Multiple" refers to students with multiple active programs in different graduate programs. In 2011-12, the college introduced graduate programs in Adult Learning and in Learning and Emerging Technologies. In 2012-13, the college introduced graduate programs in Community and Economic Development and in Teaching and Learning. Prior to the 2013-14 academic year, the Nursing program was part of the Center for Distance Learning. It became the School of Nursing in fall 2013. In 2013-14, the School of Nursing introduced a graduate program in Nursing Education. Prior to 2013-14, the Social and Public Policy graduate degree was called Social Policy and the Work and Labor Policy graduate degree was called Labor and Policy Studies.

Appendix F

TABLE 4. ANNUAL STUDENT HEADCOUNT BY CENTER/PROGRAM/UNIT:
2010-11 TO 2013-14

Center/Program/Unit	2010-11	2011-12	2012-13	2013-14
Central New York	**1,202**	**1,258**	**1,225**	**1,111**
Auburn	97	90	89	76
Binghamton	133	110	108	106
Fort Drum	188	283	272	228
Ithaca	140	155	137	117
Syracuse	396	373	365	355
Utica	141	141	148	129
Watertown	107	106	106	100
Genesee Valley	**1,032**	**1,009**	**983**	**884**
Alfred	53	59	62	45
Batavia	104	94	88	68
Canandaigua	111	129	122	101
Corning	129	123	106	89
Dept. of Social Services (Monroe)	1	0	0	0
Dept. of Social Services (Ontario)	4	2	8	8
Rochester	630	602	597	573
Hudson Valley	**1,014**	**925**	**841**	**794**
Hartsdale	390	349	315	330
Nanuet	253	197	199	189
Newburgh	370	379	327	275
Sullivan County	1	0	0	0
Long Island	**1,084**	**1,121**	**965**	**918**
Hauppauge	427	420	375	368
Old Westbury	545	571	468	457
Riverhead	112	130	122	93
Metropolitan	**2,131**	**2,132**	**2,130**	**2,256**
325 Hudson Street	1,045	978	985	996
Brooklyn	391	443	473	503
Corporate College	41	21	16	8
Institute for Special Education	130	95	58	30
Metropolitan UFT-School Nurse	13	7	2	1
NY Board of Education	1	1	0	0
NYC Transit	15	12	12	10
Staten Island	495	569	574	673
Year Up	0	6	10	35

TABLE 4. ANNUAL STUDENT HEADCOUNT BY CENTER/PROGRAM/UNIT: 2010-11 TO 2013-14 (CONT'D)

Center/Program/Unit	2010-11	2011-12	2012-13	2013-14
Niagara Frontier	**1,120**	**1,024**	**951**	**932**
Buffalo	723	661	624	510
Business Leadership Program	0	0	2	114
Dept. of Social Services (Erie)	40	33	35	34
Fredonia	67	58	59	47
Jamestown	76	73	73	67
Niagara County	105	92	78	77
Olean	109	107	80	83
Northeast	**1,299**	**1,237**	**1,198**	**1,062**
Adirondack	93	94	84	81
Albany/Latham	649	502	484	403
Champlain Valley Physicians Hospital	26	23	12	21
Johnstown	71	81	81	94
Plattsburgh	50	51	52	31
Saratoga	286	267	289	257
Schenectady	124	118	113	102
Troy	0	101	83	73
Center for Distance Learning	**7,720**	**8,125**	**8,113**	**7,239**
AARP	40	37	27	22
Air Force	24	40	46	39
Army	104	103	84	82
Bahr Scholars	9	12	13	12
Center for Distance Learning	7,219	7,340	7,077	6,876
ICD/ESC	2	0	0	0
International Distance Learning	42	36	22	22
National Labor College Teach-Out	0	0	0	64
Navy	94	87	88	97
Nursing	161	411	713	-
NYIT	0	33	22	6
Verizon	25	26	21	19
Harry Van Arsdale Jr. Center for Labor Studies	**1,273**	**1,274**	**1,329**	**1,349**
Carpenters	12	9	6	6
IBEW - 20 Credit	81	85	105	94
IBEW Associate	651	690	699	701
IBEW Bachelor's	96	123	121	109
IBEW General Membership	21	22	21	20
IBEW Local 3 N Apprentice	98	69	74	74
NYSUT-UFT	103	104	119	135
UA Plumbers Local 1	149	122	115	136
UFT Matriculated	38	37	52	51
Harry Van Arsdale Jr. Center for Labor Studies	24	13	17	23

Table 4. Annual Student Headcount by Center/Program/Unit: 2010-11 to 2013-14 (Cont'd)

Center/Program/Unit	2010-11	2011-12	2012-13	2013-14
Center for International Programs	**781**	**789**	**732**	**690**
Athens	150	143	113	122
Dominican Republic	4	9	7	8
Honduras	8	2	0	0
Lebanon	155	173	193	193
Panama	67	78	34	19
Prague	235	214	228	223
Thessaloniki	23	24	17	14
Tirana Albania	139	146	140	111
School of Nursing	**-**	**-**	**-**	**896**
Nursing	-	-	-	896
UNDERGRADUATE TOTAL	**18,656**	**18,894**	**18,467**	**18,131**
School for Graduate Studies	**1,128**	**1,244**	**1,324**	**1,374**
M.A. in Adult Learning	0	17	35	72
M.A. in Business and Policy Studies	6	2	1	0
M.A. in Community and Economic Development	0	0	12	21
M.A. in Learning and Emerging Technologies	0	0	14	38
M.A. in Liberal Studies	143	149	147	107
M.A. in Social and Public Policy	122	121	124	129
M.A. in Work and Labor Policy	74	70	59	55
MAT programs	277	207	181	146
MBA programs	374	394	411	391
M.Ed. in Teaching and Learning	0	0	0	33
Multiple	0	0	2	1
Nondegree	78	164	170	205
Certificate Only	54	120	168	176
School of Nursing Graduate	**0**	**0**	**0**	**29**
M.S. in Nursing Education	0	0	0	29
GRADUATE TOTAL	**1,128**	**1,244**	**1,324**	**1,403**
TOTAL ANNUAL ENROLLMENT	**19,784**	**20,138**	**19,791**	**19,534**

Note: Over the course of a year, a student may be enrolled in more than one center or program, or may change from undergraduate to graduate level status. The annual headcount represents an unduplicated headcount for the academic year. Students are counted based on their last location or graduate program during their last term within an academic year. "Multiple" refers to students with multiple active programs in different graduate programs. In 2011-12, the college introduced graduate programs in Adult Learning and in Learning and Emerging Technologies. In 2012-13, the college introduced graduate programs in Community and Economic Development and in Teaching and Learning. Prior to the 2013-14 academic year, the Nursing program was part of the Center for Distance Learning. It became the School of Nursing in fall 2013. In 2013-14, the School of Nursing introduced a graduate program in Nursing Education. Prior to 2013-14, the Social and Public Policy graduate degree was called Social Policy and the Work and Labor Policy graduate degree was called Labor and Policy Studies.

Figure 2. Four-Year Headcount Trend: 2010-11 to 2013-14

	2010-11	2011-12	2012-13	2013-14
Total	19,784	20,138	19,791	19,534
Graduate	1,128	1,244	1,324	1,403
Undergraduate	18,656	18,894	18,467	18,131

■ Undergraduate   ■ Graduate
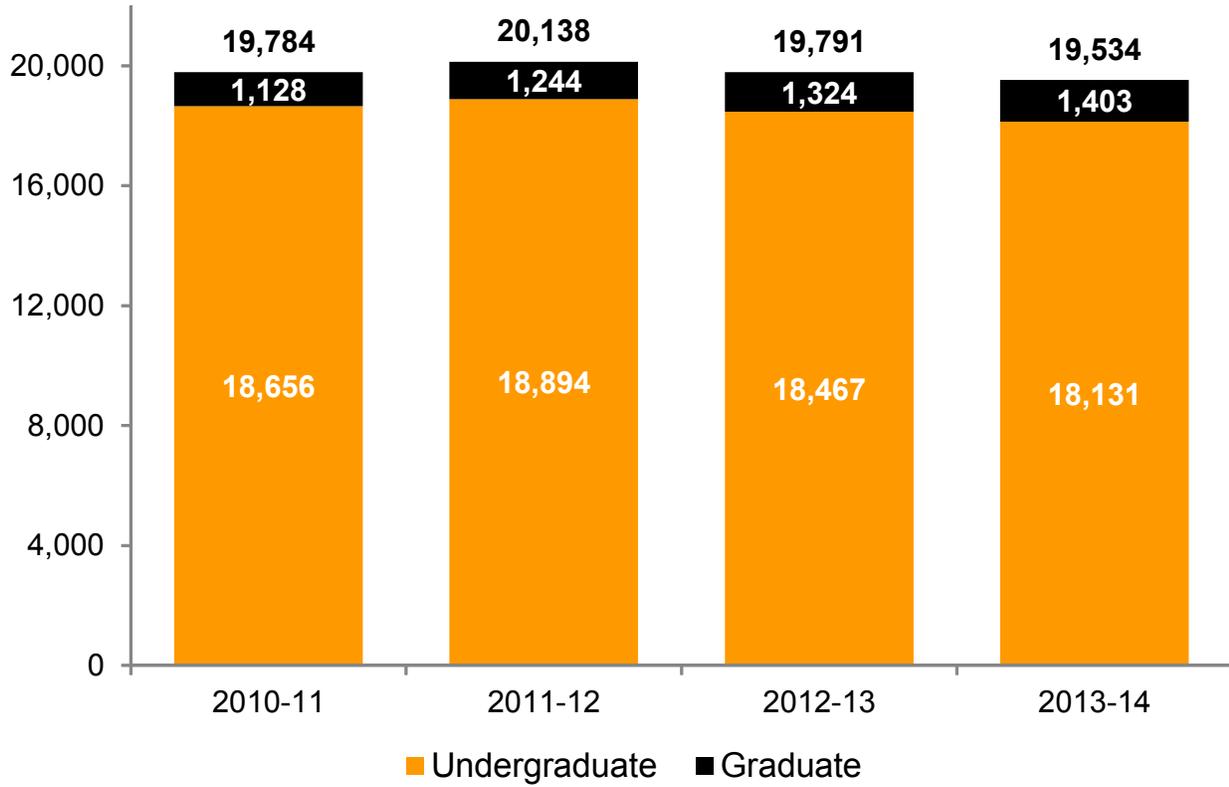
Contact Information:	IPEDS Spring 2012–2013 Import for F1B (Fiscal Year 2011-12)
Your name:	
and Email:	
Telephone:	This Survey is for SUNY Empire State College

General Information

To the extent possible, the finance data requested in this report should be provided from your institution's audited General Purpose Financial Statement (GPFS). Please refer to the instructions specific to each page of the survey for detailed instruction and references. Note: Your fiscal year should end before October 1, If not please explain in the Caveats Section.

1. This report covers financial activities for the 12-month fiscal year

(Month MM)	(Year YYYY)	
07	2011	Beginning: Month and Year
06	2012	Ending: Month and Year

2. Audit Opinion Did your institution receive an unqualified opinion on its General Purpose Statement from your auditor for the fiscal year noted above? (If your institution is audited only in combination with an other entity, answer this question based on the audit of that entity.)

Select One (X)

X	Unqualified
	Qualified
	Don't Know

3. GASB Statement No. 34. Which reporting model will be implemented by your institution ?

Select One (X)

X	Business Type Activities
	Governmental Activities
	Governmental Activities with Business-Type Activities

4. If your institution participates in intercollegiate athletics, are the expenses accounted for as auxiliary enterprises or treated as student services?

Select One (X)

X	Auxiliary enterprises
	Student Services
	Does not participate in intercollegiate athletics
	Other (specify in caveats box below)

5. Does this institution or any of its foundations or other affiliated organizations own endowment assets ?

Select One (X)

X	Yes - Report Endowment Records
	No

CAVEATS:

This Survey is for SUNY Empire State College

Part A - Statement of Net Assets Report whole dollars

Line No.	Source of Funds	Current Year
	Current Assets	
01	Total current assets	32,282,883
	Non Current Assets	
31 (02)	Depreciable capital assets, net of depreciation.	34,673,579
04	Other noncurrent assets (A05 - A02)	925,493
05	Total noncurrent assets	35,599,072
06	**Total assets (A01 + A05)**	**67,881,955**
	Current Liabilities	
07	Long-term debt, current portion	1,584,496
08	Other current liabilities (A09 - A07)	16,118,671
09	Total current liabilities	17,703,167
	Noncurrent Liabilities	
10	Long-term debt	31,551,267
11	Other non-current liabilities (A12 - A10)	57,736,415
12	Total noncurrent liabilities	89,287,682
13	**Total liabilities (A09 + A12)**	**106,990,849**
	Net assets	
14	Net assets invested in capital assets, net of related debt	1,950,961
15	Restricted expendable net assets	51,149
16	Restricted non-expendable net assets	
17	Unrestricted net assets (A18 - (A14 + A15 + A16))	-41,111,004
18	**Total net assets (A06 - A13)**	**-39,108,894**

	Part P Capital Assets	Ending Balance
21	Land and land Improvements	5,263,314
22	Infrastructure	247,655
23	Buildings	29,570,218
32 (24)	Equipment including art and library collections	5,656,131
27	Construction in progress	1,642,783
	Totals for Plant, property, and Equipment (A21 - A27)	**42,380,101**
28	Accumulated depreciation	7,706,522
33	Intangible assets, net of accumulated amortization	
34	Other capital assets	

This Survey is for SUNY Empire State College

Part B - Revenues and Other Additions   Report whole dollars

Line	Function of Expenditures	Current Year Amount
	Operating Revenues	
01	Tuition & fees after deducting discounts & allowances	36,576,301
	Grants and contracts - operating	
02	Federal operating grants and contracts	953,996
03	State operating grants and contracts	47,337
04	Local government / private operating grants and contracts (04A+04B)	10,622,797
04A	Local operating grants and contracts	
04B	Private operating grants and contracts	10,622,797
05	Sales & services of auxiliary enterprises, after deducting discounts & allowances	384,943
06	Sales & services of hospitals, after deducting patient contractual allowances	
26	Sales & services educational activities	
07	Independent operations	
08	Other sources - operating (B09-(B01+ .. +B07))	19,293
09	Total operating revenues	48,604,667
	Nonoperating Revenues	
10	Federal appropriations	
11	State appropriations	40,458,274
12	Local appropriations, education district taxes & similar support	
	Grants Nonoperating	
13	Federal nonoperating grants	22,791,713
14	State nonoperating grants	7,975,928
15	Local government nonoperating grants	
16	Gifts, including contributions from affiliated organizations	507,109
17	Investment income	97,941
18	Other nonoperating revenues (B19-(B10+ .. +B17))	38,386
19	Total nonoperating revenues	71,869,351
	Other Revenues and Additions	
20	Capital appropriations	
21	Capital grants & gifts	
22	Additions to permanent endowments	
23	Other revenues & additions (B24-(B20+...+B22))	0
24	Total other revenues and additions	
25	Total all revenues and other additions (B09+B19+B24)	120,474,018
27	Total operating and nonoperating revenues (B9+B19)	120,474,018
28	**12-month Student FTE** (B28a +B28b)	0
28a	*12-month Undergraduate Enrollment (From 12-month Enrollment survey)*	
28b	*12-month Graduate Enrollment (From 12-month Enrollment survey)*	
29	Total operating and nonoperating revenues per student FTE (ratio of lines B27 over B28)	

This Survey is for SUNY Empire State College

Part C - Expenses and Other Deductions — Report whole dollars

Line	Function of Expenditures	Total	Salaries & wages	Employee fringe benefits	Operation and maintenance of plant	Depreciation	Interest	All other
	Operating Expenses	1	2	3	4	5	6	7
01	Instruction	83,082,484	43,912,721	28,878,151	5,245,431	1,213,157	1,121,498	2,711,526
02	Research	58,870	17,692	7,408				33,770
03	Public service	32,756	20,000	12,756				
05	Academic support	4,886,140	768,172	499,643	158,778	36,722	33,948	3,388,877
06	Student services	8,580,794	3,814,067	2,470,303	332,185	76,827	71,023	1,816,389
07	Institutional support	27,715,569	12,157,146	7,627,581	1,890,147	437,151	404,122	5,199,422
08	Operation and maintenance of plant (total - column 1, will be zero. Other amounts on this line should offset each other.)		377,328	244,998	-7,626,541			7,004,215
10	Scholarship and fellowship expenses	7,389,483						7,389,483
11	Auxiliary enterprises	23,253	2,719	2,310				18,224
12	Hospital services							
13	Independent operations							
14	Other expenses & deductions (C15-(C01..C13))	2,698,740	104,693					2,594,047
19	Total expenses and deductions - Total	134,468,089	61,174,538	39,743,150		1,763,857	1,630,591	30,155,953

20	12-month Student FTE (C20a + C20b)	
20a	12-month Undergraduate Enrollment (From 12-month Enrollment survey)	**(Part B line 28a)**
20b	12-month Graduate Enrollment (From12-month Enrollment survey)	**(Part B line 28b)**
21	Total expenses and deductions per student FTE (Ratio of C19/C20)	

IPEDS Spring 2012–2013 Import for F1B (Fiscal Year 2011-12)

This Survey is for SUNY Empire State College

Part D - Summary of Changes in Net Assets — Report whole dollars

Line No.	Summary of Changes in Net Assets	
01	Total revenues & other additions (from B25)	120,474,018
02	Total expenses & deductions (from C19)	134,468,089
03	Increase in net assets during year (D01-D02)	-13,994,071
04	Net assets beginning of year	25,866,686
05	Adjustments to beginning net assets (D06-(D03+D04))	-50,981,509
06	Net assets end of year (from A18)	-39,108,894

Part E - Scholarship and Fellowships — Report whole dollars

Line No.	Student Scholarships and Fellowships by Source	Total Amount
01	Pell grants (federal)	20,791,577
02	Other federal grants	2,092,776
03	Grants by state government	7,975,928
04	Grants by local government	0
05	Institutional grants from restricted resources	529,868
06	Institutional grants from unrestricted resources (E07-(E01+...+E05))	658,719
07	Total gross scholarships and fellowships	32,048,868

Discounts and Allowances

Line No.		Total Amount
08	Discounts and allowances applied to tuition and fees	24,659,385
09	Discounts and allowances applied to sales and services of auxiliary enterprises (E10-E08)	0
10	Total discounts and allowances (E07-E11)	24,659,385
11	Net scholarships and fellowship after deducting discount & allowances (C10)	7,389,483

Part H - Details of Endowment Assets, (positional file only) — Report whole dollars

Line No.	Line Value of Endowment Assets	
01	Value of endowment assets at the beginning of the fiscal year	14,406,323
02	Value of endowment assets at the end of the fiscal year	16,067,014

This Survey is for SUNY Empire State College

Part J - Revenue Data for Bureau of Census   Report whole dollars

Line	Revenue by Operation	Totals for all funds and Operations	Education and general / Independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / Experiment services
		1	2	3	4	5
01	Tuition and fees (generated)	61,235,686	61,235,686			
02	Sales and services	384,943		384,943		
03	Federal grants/contracts (excludes Pell Grants)	953,996	953,996			
	Revenue from the state government:					
04	State appropriations, current & capital	40,458,274	40,458,274			
05	State grants and contracts	47,337	47,337			
	Revenue from local governments:					
06	Local appropriation, current & capital					
07	Local government grants/contracts					
08	Receipts from property & non-property taxes (total)					
09	Gifts and private grants, including capital grants	507,109				
10	Interest earnings	97,941				
11	Dividend earnings					
12	Realized capital gains					

This Survey is for SUNY Empire State College

Part K - Expenditure Data for Bureau of Census   Report whole dollars

Line	Revenue by Operation	Totals for all funds and Operations	Education and general / Independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / Experiment services
		1	2	3	4	5
01	Salaries and wages	61,174,538	61,171,819	2,719		
02	Employee benefits, total	39,743,150	39,740,840	2,310		
03	Payment to state retirement funds	7,243,582	7,243,252	330		
04	Current expenditures other than salaries					
	Capital outlay:					
05	Construction	1,299,190	1,299,190			
06	Equipment purchases	312,533	312,533			
07	Land purchases	605,393	605,393			
08	Interest on debt outstanding, all funds & activities					
09	Scholarships / fellowships (C10,1 + E8)	32,048,868	32,048,868			

Part L - Debt and Assets   Report whole dollars

Line	Category Amount	Total Amount
	Debt	
01	Long-term debt outstanding at beginning of fiscal year	
02	Long-term debt issued during fiscal year	
03	Long-term debt retired during fiscal year	
04	Long-term debt outstanding at end of fiscal year	
05	Short-term debt outstanding at beginning of fiscal year	
06	Short-term debt outstanding at end of fiscal year	
	Assets	
07	Total cash and security assets held at end of fiscal year in sinking or debt service funds	
08	Total cash and security assets held at end of fiscal year in bond funds	
09	Total cash and security assets held at end of fiscal year in all other funds	

Contact Information:	**IPEDS F1B GASB Aligned FY2012-13 as Reported in 2013-14**	
Your name:		
and Email:		
Telephone:	This survey is for SUNY Empire State College	

General Information

To the extent possible, the finance data requested in this		

(Month MM)	**(Year YYYY)**	**1. This report covers financial activities for the 12-month fiscal year**
07	2012	Beginning: Month and Year
06	2013	Ending: Month and Year

2. Audit Opinion Did your institution receive an unqualified opinion on its General Purpose Statement from your auditor for the fiscal year noted above? (If your institution is audited only in combination with an other entity, answer this question based on the audit of that entity.)

Select One (X)

X	Unqualified
	Qualified
	Don't Know

3. GASB Statement No. 34. Which reporting model will be implemented by your institution ?

Select One (X)

X	Business Type Activities
	Governmental Activities
	Governmental Activities with Business-Type Activities

4. If your institution participates in intercollegiate athletics, are the expenses accounted for as auxiliary enterprises or treated as student services?

Select One (X)

X	Auxiliary enterprises
	Student Services
	Does not participate in intercollegiate athletics
	Other (specify in caveats box below)

5. Does this institution or any of its foundations or other affiliated organizations own endowment assets ?

Select One (X)

X	Yes - Report Endowment Records
	No

CAVEATS:

This survey is for SUNY Empire State College

Part A: Statement of Financial Position   Report whole dollars

Line No.	Source of Funds	Current Year
	Current Assets	
01	Total current assets	27,636,492
	Non Current Assets	
31 (02)	Depreciable capital assets, net of depreciation.	34,149,829
04	Other noncurrent assets (A05 - A31)	627,565
05	Total noncurrent assets	34,777,394
06	Total assets (A01 + A05)	62,413,886
	Current Liabilities	
07	Long-term debt, current portion	1,541,365
08	Other current liabilities (A09 - A07)	13,125,928
09	Total current liabilities	14,667,293
	Noncurrent Liabilities	
10	Long-term debt	32,326,147
11	Other non-current liabilities (A12 - A10)	67,762,286
12	Total noncurrent liabilities	100,088,433
13	Total liabilities (A09 + A12)	114,755,726
	Net assets	
14	Net assets invested in capital assets, net of related debt	184,603
15	Restricted expendable	48,419
16	Restricted non-expendable	
17	Unrestricted net assets (A18 - (A14 + A15 + A16))	-52,574,862
18	Total net assets (A06 - A13)	-52,341,840

	Part P Capital Assets	Ending Balance
21	Land and land Improvements	5,697,134
22	Infrastructure	247,655
23	Buildings	29,923,074
32 (24)	Equipment including art and library collections	5,796,018
27	Construction in progress	1,483,012
	Total for Plant, Property & Equipment (A21+ .. A27)	43,146,893
28	Accumulated depreciation	8,997,064
33	Intangible assets, net of accumulated amortization	
34	Other capital assets	

This survey is for SUNY Empire State College

Part B: Revenues and Other Additions Report whole dollars

Line	Function of Expenditures	Current Year Amount
	Operating Revenues	
01	Tuition & fees after deducting discounts & allowances	39,604,462
	Grants and contracts - operating	
02	Federal operating grants and contracts	1,225,887
03	State operating grants and contracts	11,152
04	Local government / private operating grants and contracts (04a+04b)	9,408,921
04a	Local operating grants and contracts	
04b	Private operating grants and contracts	9,408,921
05	Sales & services of auxiliary enterprises, after deducting discounts & allowances	596,428
06	Sales & services of hospitals, after deducting patient contractual allowances	
26	Sales & services educational activities	
07	Independent operations	
08	Other sources - operating (B09-(B01+ .. +B07))	27,214
09	Total operating revenues	50,874,064
	Nonoperating Revenues	
10	Federal appropriations	
11	State appropriations	40,053,964
12	Local appropriations, education district taxes & similar support	
	Grants Nonoperating	
13	Federal nonoperating grants	22,796,139
14	State nonoperating grants	8,257,241
15	Local government nonoperating grants	
16	Gifts, including contributions from affiliated organizations	626,360
17	Investment income	124,521
18	Other nonoperating revenues (B19-(B10+ .. +B17))	35,986
19	Total nonoperating revenues	71,894,211
	Other Revenues and Additions	
20	Capital appropriations	
21	Capital grants & gifts	11,284
22	Additions to permanent endowments	
23	Other revenues & additions (B24-(B20+...+B22))	
24	Total other revenues and additions	11,284
25	Total all revenues and other additions (B09+B19+B24)	122,779,559
27	Total operating and nonoperating revenues (B09+B19)	122,768,275
28	*12-month Student FTE (B28a +B28b)*	
28a	*Undergraduate Enrollment (from 12-month Enrollment survey)*	
28b	*Graduate Enrollment (from 12-month Enrollment survey)*	
29	*Total operating and nonoperating revenues per student FTE (ratio of B27 over B28)*	

This survey is for SUNY Empire State College

Report whole dollars

Part C: Expenses and Other Deductions

Line	Operating Expenses	Total amount	Salaries & wages	Employee fringe benefits	Operation & maintenance of plant	Depreciation	Interest	All other
		1	2	3	4	5	6	7
01	Instruction	82,711,521	43,621,014	28,364,267	6,398,114	1,096,364	1,098,492	2,133,270
02	Research	16,373						16,373
03	Public service	44,043	20,000	12,953				11,090
05	Academic support	4,650,183	683,605	438,648	193,409	33,519	33,206	3,267,796
06	Student services	8,187,181	3,832,306	2,546,175	404,638	69,338	69,472	1,265,252
07	Institutional support	28,470,665	11,967,175	7,522,315	2,306,612	395,255	396,022	5,883,286
08	Operation and maintenance of plant (total - column 1, will be zero. Other amounts on this line should offset each other.)		569,311	385,195	-9,302,773			8,348,267
10	Scholarships & fellowships expenses	8,310,326						
11	Auxiliary enterprises	204,907	40,371	26,669				137,867
12	Hospital services							
13	Independent operations							
14	Other expenses & deductions (C19-(C01..C13))	3,003,697	86,755					2,916,942
19	Total expenses and deductions	135,598,896	60,820,537	39,296,222		1,594,476	1,597,192	32,290,469

20	12-month Student FTE (C20a + C20b)		
20a	Undergraduate Enrollment (from 12-month enrollment survey)		**(For this form, input is optional)**
20b	Graduate Enrollment (from 12-month enrollment survey)		**(For this form, input is optional)**
21	Total expenses and deductions per student FTE (Ratio of C19 over C20)		

This survey is for SUNY Empire State College

Report whole dollars

Part D: Summary of Changes in Net Position

Line No.	Summary of Changes in Net Assets	
01	Total revenues & other additions (from B25)	122,779,559
02	Total expenses & deductions (from C19)	135,598,896
03	Change in net assets during year (D01-D02)	-12,819,337
04	Net assets beginning of year	-39,108,894
05	Adjustments to beginning net assets & other gains and losses (D06-(D03+D04))	-413,609
06	Net assets end of year (from A18)	-52,341,840

Part E: Scholarships and Fellowships

Line No.	Student Scholarships and Fellowships by Source	Total Amount
01	Pell grants - federal	20,380,046
02	Other federal grants (Do NOT include FDSL amounts)	2,493,117
03	Grants by state government	8,257,241
04	Grants by local government	
05	Institutional grants from restricted resources	626,360
06	Institutional grants from unrestricted resources (E07-(E01+...+E05))	5,452,817
07	Total gross scholarships and fellowships	37,209,581
	Discounts and Allowances	
08	Discounts and allowances applied to tuition and fees	28,838,891
09	Discounts & allowances applied to sales & services of auxiliary enterprises	60,364
10	Total discounts and allowances (E08+E09)	28,899,255
11	Net scholarships and fellowships expenses after deducting discount & allowances (E07- E10) (*carried forward to C10*)	8,310,326

Part H: Endowment Assets

Line No.	Details of Endowment Assets

Complete this section only for institutions answering yes to the general information question regarding endowment assets. Report the amounts of gross investments of endowment, term endowment, and funds functioning as endowment for the institution and any of its foundations plus other affiliated organizations. DO NOT reduce investments by liabilities for Part H. For institutions participating in the NACUBO Endowment Study, this amount should be comparable with values reported to NACUBO.

01	Value of endowment assets at the beginning of the fiscal year	16,067,014
02	Value of endowment assets at the end of the fiscal year	17,518,087

This survey is for SUNY Empire State College

Report whole dollars

Part J - Revenue Data for Bureau of Census

Line	Revenue by Operation	Total for all funds and operations (excludes component units)	Education and general / independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / experiment services
		(1)	(2)	(3)	(4)	(5)
01	Tuition and fees (from B01)	68,443,353	68,443,353			
02	Sales and services	656,792		656,792		
03	Federal grants/contracts (excludes Pell Grants)	1,225,887	1,225,887			
	Revenue from the state government:					
04	State appropriations, current & capital	40,053,964	40,053,964			
05	State grants and contracts	11,152	11,152			
	Revenue from local governments:					
06	Local appropriation, current & capital					
07	Local government grants/contracts					
08	Receipts from property & non-property taxes					
09	Gifts and private grants, including capital grants	637,644				
10	Interest earnings	124,521				
11	Dividend earnings					
12	Realized capital gains					

This Survey is for SUNY Empire State College

Report whole dollars

Part K - Expenditure Data for Bureau of Census

Line	Revenue by Operation	Total for all funds and operations (excludes component units)	Education and general / independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / experiment services
		(1)	(2)	(3)	(4)	(5)
01	Salaries and wages	60,820,537	60,780,166	40,371		
02	Employee benefits, total	39,296,222	39,269,553	26,669		
03	Payment to state retirement funds	7,893,674	7,888,589	5,085		
04	Current expenditures other than salaries					
	Capital outlay:					
05	Construction	545,500	545,500			
06	Equipment purchases	443,821	443,821			
07	Land purchases	433,927	433,927			
08	Interest on debt outstanding, all funds & activities					
09	Scholarships / fellowships	37,209,581				

This Survey is for SUNY Empire State College

Report whole dollars

Part L - Debt and Assets

Line	Category Amount	Total Amount

Debt

01	Long-term debt outstanding at beginning of fiscal year	
02	Long-term debt issued during fiscal year	
03	Long-term debt retired during fiscal year	
04	Long-term debt outstanding at end of fiscal year	
05	Short-term debt outstanding at beginning of fiscal year	
06	Short-term debt outstanding at end of fiscal year	

Assets

07	Total cash & security assets held at end of fiscal year in sinking or debt service funds	
08	Total cash and security assets held at end of fiscal year in bond funds	
09	Total cash and security assets held at end of fiscal year in all other funds	

Contact Information:	**IPEDS F1B GASB Aligned FY2013-14 as Reported in 2014-15**
Your name:	
and Email:	
Telephone:	This survey is for SUNY Empire State College

General Information

To the extent possible, the finance data requested in this report should be provided from your institution's audited General Purpose Financial Statement (GPFS). Please refer to the instructions specific to each page of the survey for detailed instruction and references. Note: Your fiscal year should end before October 1, If not please explain in the Caveats Section.

(Month MM)	(Year YYYY)	**1. This report covers financial activities for the 12-month fiscal year**
07	2013	Beginning: Month and Year
06	2014	Ending: Month and Year

2. Audit Opinion Did your institution receive an unqualified opinion on its General Purpose Statement from your auditor for the fiscal year noted above? (If your institution is audited only in combination with an other entity, answer this question based on the audit of that entity.)

Select One (X)

X	Unqualified
	Qualified
	Don't Know

3. GASB Statement No. 34. Which reporting model will be implemented by your institution ?

Select One (X)

X	Business Type Activities
	Governmental Activities
	Governmental Activities with Business-Type Activities

4. If your institution participates in intercollegiate athletics, are the expenses accounted for as auxiliary enterprises or treated as student services?

Select One (X)

X	Auxiliary enterprises
	Student Services
	Does not participate in intercollegiate athletics
	Other (specify in caveats box below)

5. Does this institution or any of its foundations or other affiliated organizations own endowment assets ?

Select One (X)

X	Yes - Report Endowment Records
	No

CAVEATS:

This survey is for SUNY Empire State College

Part A: Statement of Financial Position   Report whole dollars

Line No.	Source of Funds	Current Year
	Current Assets	
01	Total current assets	28,662,018
	Non Current Assets	
31 (02)	Depreciable capital assets, net of depreciation.	32,976,128
04	Other noncurrent assets (A05 - A31)	421,871
05	Total noncurrent assets	33,397,999
06	Total assets (A01 + A05)	62,060,017
	Current Liabilities	
07	Long-term debt, current portion	1,402,649
08	Other current liabilities (A09 - A07)	10,708,364
09	Total current liabilities	12,111,013
	Noncurrent Liabilities	
10	Long-term debt	30,657,601
11	Other non-current liabilities (A12 - A10)	75,697,464
12	Total noncurrent liabilities	106,355,065
13	Total liabilities (A09 + A12)	118,466,078
	Net assets	
14	Net assets invested in capital assets, net of related debt	910,545
15	Restricted expendable	50,684
16	Restricted non-expendable	
17	Unrestricted net assets (A18 - (A14 + A15 + A16))	-57,367,290
18	Total net assets (A06 - A13)	-56,406,061

	Part P Capital Assets	Ending Balance
21	Land and land Improvements	6,121,849
22	Infrastructure	247,655
23	Buildings	29,931,662
32 (24)	Equipment including art and library collections	5,707,907
27	Construction in progress	1,321,918
	Total for Plant, Property & Equipment (A21+ .. A27)	43,330,991
28	Accumulated depreciation	10,354,863
33	Intangible assets, net of accumulated amortization	
34	Other capital assets	

This survey is for SUNY Empire State College

Part B: Revenues and Other Additions   Report whole dollars

Line	Function of Expenditures	Current Year Amount
	Operating Revenues	
01	Tuition & fees after deducting discounts & allowances	43,094,675
	Grants and contracts - operating	
02	Federal operating grants and contracts	1,272,250
03	State operating grants and contracts	17,618
04	Local government / private operating grants and contracts (04a+04b)	9,141,773
04a	Local operating grants and contracts	
04b	Private operating grants and contracts	9,141,773
05	Sales & services of auxiliary enterprises, after deducting discounts & allowances	563,467
06	Sales & services of hospitals, after deducting patient contractual allowances	
26	Sales & services educational activities	
07	Independent operations	
08	Other sources - operating (B09-(B01+ .. +B07))	17,127
09	Total operating revenues	54,106,910
	Nonoperating Revenues	
10	Federal appropriations	
11	State appropriations	43,791,874
12	Local appropriations, education district taxes & similar support	
	Grants Nonoperating	
13	Federal nonoperating grants	22,676,718
14	State nonoperating grants	8,657,951
15	Local government nonoperating grants	
16	Gifts, including contributions from affiliated organizations	627,199
17	Investment income	140,533
18	Other nonoperating revenues (B19-(B10+ .. +B17))	164,573
19	Total nonoperating revenues	76,058,848
	Other Revenues and Additions	
20	Capital appropriations	
21	Capital grants & gifts	
22	Additions to permanent endowments	
23	Other revenues & additions (B24-(B20+...+B22))	
24	Total other revenues and additions	
25	Total all revenues and other additions (B09+B19+B24)	130,165,758
27	Total operating and nonoperating revenues (B09+B19)	130,165,758
28	*12-month Student FTE (B28a +B28b)*	
28a	*Undergraduate Enrollment (from 12-month Enrollment survey)*	
28b	*Graduate Enrollment (from 12-month Enrollment survey)*	
29	*Total operating and nonoperating revenues per student FTE (ratio of B27 over B28)*	

This survey is for SUNY Empire State College

Report whole dollar

Part C: Expenses and Other Deductions

Line	Operating Expenses	Total amount	Salaries & wages	Employee fringe benefits	Operation & maintenance of plant	Depreciation	Interest	All other
		1	2	3	4	5	6	7
01	Instruction	83,149,496	43,426,609	29,701,787	5,820,286	1,165,491	1,102,509	1,932,814
02	Research	243,551	127,634	99,224				16,693
03	Public service	38,898	23,000	15,898				
05	Academic support	4,245,379	653,856	439,539	176,043	35,548	33,347	2,907,046
06	Student services	8,593,591	3,934,149	2,676,842	368,306	73,752	69,766	1,470,776
07	Institutional support	28,505,290	11,708,667	7,702,013	2,099,502	420,418	397,699	6,176,991
08	Operation and maintenance of plant (total - column 1, will be zero. Other amounts on this line should offset each other.)		554,166	366,463	-8,464,137			7,543,508
10	Scholarships & fellowships expenses	8,138,670						
11	Auxiliary enterprises	442,829	67,997	32,999				341,833
12	Hospital services							
13	Independent operations							
14	Other expenses & deductions (C19-(C01..C13))	2,105,840	25,098					2,080,742
19	Total expenses and deductions	135,463,544	60,521,176	41,034,765		1,695,209	1,603,321	30,609,073

20	12-month Student FTE (C20a + C20b)	
20a	Undergraduate Enrollment (from 12-month enrollment survey)	**(For this form, input is optional)**
20b	Graduate Enrollment (from 12-month enrollment survey)	**(For this form, input is optional)**
21	Total expenses and deductions per student FTE (Ratio of C19 over C20)	

This survey is for SUNY Empire State College

Report whole dollars

Part D: Summary of Changes in Net Position

Line No.	Summary of Changes in Net Assets	
01	Total revenues & other additions (from B25)	130,165,758
02	Total expenses & deductions (from C19)	135,463,544
03	Change in net assets during year (D01-D02)	-5,297,786
04	Net assets beginning of year	-52,341,840
05	Adjustments to beginning net assets & other gains and losses (D06-(D03+D04))	1,233,565
06	Net assets end of year (from A18)	-56,406,061

Part E: Scholarships and Fellowships

Line No.	Student Scholarships and Fellowships by Source	Total Amount
01	Pell grants - federal	19,905,222
02	Other federal grants (Do NOT include FDSL amounts)	2,795,257
03	Grants by state government	8,657,951
04	Grants by local government	
05	Institutional grants from restricted resources	627,199
06	Institutional grants from unrestricted resources (E07-(E01+...+E05))	5,953,404
07	Total gross scholarships and fellowships	37,939,033

Discounts and Allowances

Line No.		Total Amount
08	Discounts and allowances applied to tuition and fees	29,714,804
09	Discounts & allowances applied to sales & services of auxiliary enterprises	85,559
10	Total discounts and allowances (E08+E09)	29,800,363
11	Net scholarships and fellowships expenses after deducting discount & allowances (E07- E10) (*carried forward to C10*)	8,138,670

Part H: Endowment Assets

Line No.	Details of Endowment Assets

Complete this section only for institutions answering yes to the general information question regarding endowment assets. Report the amounts of gross investments of endowment, term endowment, and funds functioning as endowment for the institution and any of its foundations plus other affiliated organizations. DO NOT reduce investments by liabilities for Part H. For institutions participating in the NACUBO Endowment Study, this amount should be comparable with values reported to NACUBO.

Line No.		
01	Value of endowment assets at the beginning of the fiscal year	6,896,409
02	Value of endowment assets at the end of the fiscal year	7,622,793

This survey is for SUNY Empire State College

Report whole dollars

Part J - Revenue Data for Bureau of Census

Line	Revenue by Operation	Total for all funds and operations (excludes component units)	Education and general / independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / experiment services
		(1)	(2)	(3)	(4)	(5)
01	Tuition and fees (from B01)	72,809,479	72,809,479			
02	Sales and services	649,026		649,026		
03	Federal grants/contracts (excludes Pell Grants)	1,272,250	1,272,250			
	Revenue from the state government:					
04	State appropriations, current & capital	43,791,874	43,791,874			
05	State grants and contracts	17,618	17,618			
	Revenue from local governments:					
06	Local appropriation, current & capital					
07	Local government grants/contracts					
08	Receipts from property & non-property taxes					
09	Gifts and private grants, including capital grants	627,199				
10	Interest earnings	140,533				
11	Dividend earnings					
12	Realized capital gains					

This Survey is for SUNY Empire State College

Report whole dollars

Part K - Expenditure Data for Bureau of Census

Line	Revenue by Operation	Total for all funds and operations (excludes component units)	Education and general / independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / experiment services
		(1)	(2)	(3)	(4)	(5)
01	Salaries and wages	60,521,176	60,453,179	67,997		
02	Employee benefits, total	41,034,765	41,001,766	32,999		
03	Payment to state retirement funds	9,333,084	9,325,670	7,414		
04	Current expenditures other than salaries					
	Capital outlay:					
05	Construction	277,174	277,174			
06	Equipment purchases	246,229	246,229			
07	Land purchases	424,715	424,715			
08	Interest on debt outstanding, all funds & activities					
09	Scholarships / fellowships	37,939,033				

This Survey is for SUNY Empire State College

Report whole dollars

Part L - Debt and Assets

Line	Category Amount	Total Amount
	Debt	
01	Long-term debt outstanding at beginning of fiscal year	
02	Long-term debt issued during fiscal year	
03	Long-term debt retired during fiscal year	
04	Long-term debt outstanding at end of fiscal year	
05	Short-term debt outstanding at beginning of fiscal year	
06	Short-term debt outstanding at end of fiscal year	
	Assets	
07	Total cash & security assets held at end of fiscal year in sinking or debt service funds	
08	Total cash and security assets held at end of fiscal year in bond funds	
09	Total cash and security assets held at end of fiscal year in all other funds	

REVENUE PROJECTIONS

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2013	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,220		2,935	12,385,700
GRADUATE		48		4,935	236,880
MBA		50		6,065	303,250
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		222		7,660	1,700,520
GRADUATE		2		9,175	18,350
MBA		3		10,075	30,225
PART-TIME	**RESIDENT**				
UNDERGRAD		6,601	36,306	245	8,894,970
GRADUATE		482	2,410	411	990,510
MBA		397	1,985	505	1,002,425
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		347	2,800	638	1,786,400
GRADUATE		27	135	765	103,275
MBA		19	95	840	79,800
SUB-TOTAL					27,532,305
SPRING 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,262		2,935	12,508,970
GRADUATE		43		4,935	212,205
MBA		48		6,065	291,120
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		228		7,660	1,746,480
GRADUATE		2		9,175	18,350
MBA		2		10,075	20,150
PART-TIME	**RESIDENT**				
UNDERGRAD		6,668	36,674	245	8,985,130
GRADUATE		472	2,360	411	969,960
MBA		385	1,925	505	972,125
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		352	3,800	638	2,424,400
GRADUATE		22	110	765	84,150
MBA		18	90	840	75,600
SUB-TOTAL					28,308,640
SUMMER 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,214		2,935	6,498,090
GRADUATE		18		4,935	88,830
MBA		16		6,065	97,040

		Headcount	Credits	Rate	Amount
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		288		7,660	2,206,080
GRADUATE		2		9,175	18,350
MBA		2		10,075	20,150
PART-TIME	**RESIDENT**				
UNDERGRAD		4,632	28,900	245	7,080,500
GRADUATE		145	725	411	297,975
MBA		118	590	505	297,950
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		329	2,908	638	1,855,304
GRADUATE		10	50	765	38,250
MBA		8	45	840	37,800
SUB-TOTAL					18,536,319

SUMMARY

FALL RESIDENT	23,813,735
NON-RES	3,718,570
SPRING RESIDENT	23,939,510
NON-RES	4,369,130
SUMMER RESIDENT	14,360,385
NON-RES	4,175,934
TOTAL	74,377,264

ADJUSTMENTS	AMOUNT	HEADCOUNT	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS REG/WRITE OFFS/WAIVERS	(525,500)		
CONTRACT			
CDL UNFUNDED ENROLLMENT	(6,940,605)	5,665	28,329
OAP	(8,142,794)	1,550	12,763
MISC FEES	0		
INTEREST	0		
COLLEGE FEE	233,200		
TOTAL	59,001,565		

5/14/2013

REVENUE PROJECTIONS

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2013	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,289		2,935	12,588,215
GRADUATE		49		4,935	241,815
MBA		40		6,065	242,600
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		174		7,660	1,332,840
GRADUATE		1		9,175	9,175
MBA		1		10,075	10,075
PART-TIME	**RESIDENT**				
UNDERGRAD		5,928	33,439	245	8,192,555
GRADUATE		502	2,516	411	1,034,076
MBA		346	1,692	505	854,460
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		442	2,358	638	1,504,404
GRADUATE		25	125	765	95,625
MBA		12	60	840	50,400
SUB-TOTAL					26,156,240
SPRING 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,262		2,935	12,508,970
GRADUATE		45		4,935	222,075
MBA		38		6,065	230,470
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		172		7,660	1,317,520
GRADUATE		2		9,175	18,350
MBA		2		10,075	20,150
PART-TIME	**RESIDENT**				
UNDERGRAD		5,845	33,105	245	8,110,725
GRADUATE		472	2,360	411	969,960
MBA		339	1,490	505	752,450
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		451	2,585	638	1,649,230
GRADUATE		22	110	765	84,150
MBA		12	60	840	50,400
SUB-TOTAL					25,934,450
SUMMER 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,214		2,935	6,498,090
GRADUATE		18		4,935	88,830
MBA		16		6,065	97,040
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		288		7,660	2,206,080
GRADUATE		2		9,175	18,350
MBA		2		10,075	20,150
PART-TIME	**RESIDENT**				
UNDERGRAD		4,632	28,900	245	7,080,500
GRADUATE		145	725	411	297,975
MBA		118	590	505	297,950
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		329	2,908	638	1,855,304
GRADUATE		10	50	765	38,250
MBA		8	45	840	37,800
SUB-TOTAL					18,536,319

SUMMARY

FALL RESIDENT	23,153,721
NON-RES	3,002,519
SPRING RESIDENT	22,794,650
NON-RES	3,139,800
SUMMER RESIDENT	14,360,385
NON-RES	4,175,934
TOTAL	70,627,009

ADJUSTMENTS	AMOUNT	HEADCOUNT	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS REG/WRITE OFFS/WAIVERS	(525,500)		
CONTRACT			
CDL UNFUNDED ENROLLMENT	(3,401,825)	2,777	13,885
OAP	(8,142,794)	1,550	12,763
MISC FEES	0		
INTEREST	0		
COLLEGE FEE	233,200		
TOTAL	58,790,090		

10/28/2013

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2013	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,289		2,935	12,588,215
GRADUATE		49		4,935	241,815
MBA		40		6,065	242,600
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		174		7,660	1,332,840
GRADUATE		1		9,175	9,175
MBA		1		10,075	10,075
PART-TIME	**RESIDENT**				
UNDERGRAD		5,928	33,439	245	8,192,555
GRADUATE		502	2,516	411	1,034,076
MBA		346	1,692	505	854,460
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		442	2,358	638	1,504,404
GRADUATE		25	125	765	95,625
MBA		12	60	840	50,400
SUB-TOTAL					26,156,240
SPRING 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,220		2,935	12,385,700
GRADUATE		40		4,935	197,400
MBA		39		6,065	236,535
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		170		7,660	1,302,200
GRADUATE		0		9,175	0
MBA		1		10,075	10,075
PART-TIME	**RESIDENT**				
UNDERGRAD		5,390	32,786	245	8,032,570
GRADUATE		510	2,461	411	1,011,471
MBA		312	1,519	505	767,095
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		401	2,348	638	1,498,024
GRADUATE		23	119	765	91,035
MBA		17	72	840	60,480
SUB-TOTAL					25,592,585
SUMMER 2014	**RESIDENT**				

		HEADCOUNT	CREDITS	RATE	AMOUNT
FULL TIME					
UNDERGRAD		2,214		2,935	6,498,090
GRADUATE		18		4,935	88,830
MBA		16		6,065	97,040
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		288		7,660	2,206,080
GRADUATE		2		9,175	18,350
MBA		1		10,075	5,038
PART-TIME	**RESIDENT**				
UNDERGRAD		4,632	28,900	245	7,080,500
GRADUATE		145	725	411	297,975
MBA		118	590	505	297,950
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		329	2,908	638	1,855,304
GRADUATE		10	50	765	38,250
MBA		8	45	840	37,800
SUB-TOTAL					18,521,207

SUMMARY

FALL RESIDENT	23,153,721
NON-RES	3,002,519
SPRING RESIDENT	22,630,771
NON-RES	2,961,814
SUMMER RESIDEN	14,360,385
NON-RES	4,160,822
TOTAL	70,270,032

ADJUSTMENTS	AMOUNT	HEADCOUN	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS			
REG/WRITE			
OFFS/WAIVERS	(525,500)		
CONTRACT			
CDL UNFUNDED			
ENROLLMENT	(3,401,825)	2,777	13,885
OAP	(8,142,794)	1,550	12,763
MISC FEES	0		
INTEREST	0		
COLLEGE FEE	232,000		
TOTAL	58,431,913		

4/24/2014

REVENUE PROJECTIONS

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		3,918		3,085	12,087,030
GRADUATE		52		5,185	269,620
MBA		30		6,610	198,300
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		206		7,910	1,629,460
GRADUATE		2		10,095	20,190
MBA		2		11,085	22,170
PART-TIME	**RESIDENT**				
UNDERGRAD		6,189	34,914	257	8,972,898
GRADUATE		592	2,849	432	1,230,768
MBA		198	1,337	551	736,687
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		326	2,534	659	1,669,906
GRADUATE		27	125	841	105,125
MBA		15	56	924	51,744
SUB-TOTAL					26,993,898
SPRING 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,136		3,085	12,759,560
GRADUATE		39		5,185	202,215
MBA		38		6,610	251,180
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		167		7,910	1,320,970
GRADUATE		0		10,095	0
MBA		1		11,085	11,085
PART-TIME	**RESIDENT**				
UNDERGRAD		5,282	32,130	257	8,257,410
GRADUATE		500	2,412	432	1,041,984
MBA		306	1,489	551	820,439
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		393	2,301	659	1,516,359
GRADUATE		23	117	841	98,397
MBA		17	71	924	65,604
SUB-TOTAL					26,345,203
SUMMER 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,170		3,085	6,694,450
GRADUATE		18		5,185	93,330
MBA		16		6,610	105,760

FULL TIME	NON-RESIDENT				
UNDERGRAD		282		7,910	2,230,620
GRADUATE		2		10,095	20,190
MBA		1		11,085	11,085
PART-TIME	RESIDENT				
UNDERGRAD		4,539	28,322	257	7,278,754
GRADUATE		142	710	432	306,720
MBA		116	578	551	318,478
PART-TIME	NON-RESIDENT				
UNDERGRAD		322	2,850	659	1,878,150
GRADUATE		10	49	841	41,209
MBA		8	44	924	40,656
SUB-TOTAL					19,019,402

SUMMARY

FALL RESIDENT	23,495,303
NON-RES	3,498,595
SPRING RESIDENT	23,332,788
NON-RES	3,012,415
SUMMER RESIDENT	14,797,492
NON-RES	4,221,910
TOTAL	72,358,503

ADJUSTMENTS	AMOUNT	HEADCOUNT	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS REG/WRITE			
OFFS/WAIVERS	(485,000)		
CONTRACT			
CDL UNFUNDED			
ENROLLMENT	(3,496,999)	2,777	13,607
OAP	(7,624,630)	1,450	11,570
MISC FEES	0		
INTEREST	20,000		
COLLEGE FEE	223,500		
TOTAL	60,995,374		

5/14/2014
5/23/2014

REVENUE PROJECTIONS

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,108		3,085	12,673,180
GRADUATE		43		5,185	222,955
MBA		28		6,610	185,080
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		142		7,910	1,123,220
GRADUATE		1		10,095	10,095
MBA		0		11,085	0
PART-TIME	**RESIDENT**				
UNDERGRAD		6,207	35,760	257	9,190,320
GRADUATE		634	2,908	432	1,256,256
MBA		326	1,584	551	872,784
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		420	2,485	659	1,637,615
GRADUATE		29	149	841	125,309
MBA		15	77	924	71,148
SUB-TOTAL					27,367,962
SPRING 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,130		3,085	12,741,050
GRADUATE		40		5,185	207,400
MBA		30		6,610	198,300
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		140		7,910	1,107,400
GRADUATE		1		10,095	10,095
MBA		0		11,085	0
PART-TIME	**RESIDENT**				
UNDERGRAD		5,586	33,516	257	8,613,612
GRADUATE		610	2,854	432	1,232,928
MBA		306	1,489	551	820,439
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		396	2,425	659	1,598,075
GRADUATE		25	130	841	109,330
MBA		14	68	924	62,832
SUB-TOTAL					26,701,461
SUMMER 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,170		3,085	6,694,450
GRADUATE		18		5,185	93,330
MBA		16		6,610	105,760
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		282		7,910	2,230,620
GRADUATE		2		10,095	20,190
MBA		1		11,085	11,085
PART-TIME	**RESIDENT**				
UNDERGRAD		4,539	28,322	257	7,278,754
GRADUATE		142	710	432	306,720
MBA		116	578	551	318,478
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		322	2,850	659	1,878,150
GRADUATE		10	49	841	41,209
MBA		8	44	924	40,656
SUB-TOTAL					19,019,402

SUMMARY

FALL RESIDENT	24,400,575
NON-RES	2,967,387
SPRING RESIDENT	23,813,729
NON-RES	2,887,732
SUMMER RESIDENT	14,797,492
NON-RES	4,221,910
TOTAL	73,088,825

ADJUSTMENTS	AMOUNT	HEADCOUNT	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS REG/WRITE OFFS/WAIVERS	(485,000)		
CONTRACT			
CDL UNFUNDED ENROLLMENT	(3,496,999)	2,777	13,607
OAP	(7,624,630)	1,550	11,570
MISC FEES	0		
INTEREST	20,000		
COLLEGE FEE	223,500		
TOTAL	61,725,696		

5/14/2014
5/23/2014
10/24/2014

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,108		3,085	12,673,180
GRADUATE		43		5,185	222,955
MBA		28		6,610	185,080
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		142		7,910	1,123,220
GRADUATE		1		10,095	10,095
MBA		0		11,085	0
PART-TIME	**RESIDENT**				
UNDERGRAD		6,207	35,760	257	9,190,320
GRADUATE		634	2,908	432	1,256,256
MBA		326	1,584	551	872,784
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		420	2,485	659	1,637,615
GRADUATE		29	149	841	125,309
MBA		15	77	924	71,148
SUB-TOTAL					27,367,962
SPRING 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,191		3,085	12,929,235
GRADUATE		36		5,185	186,660
MBA		26		6,610	171,860
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		234		7,910	1,850,940
GRADUATE		2		10,095	20,190
MBA		0		11,085	0
PART-TIME	**RESIDENT**				
UNDERGRAD		5,161	31,629	257	8,128,653
GRADUATE		723	3,253	432	1,405,296
MBA		279	1,353	551	745,503
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		800	4,945	659	3,258,755
GRADUATE		46	215	841	180,815
MBA		19	90	924	83,160
SUB-TOTAL					28,961,067
SUMMER 2015	**RESIDENT**				

FULL TIME

	HEADCOUNT	CREDITS	RATE	AMOUNT
UNDERGRAD	2,214		3,085	6,830,190
GRADUATE	18		5,185	93,330
MBA	16		6,610	105,760

FULL TIME   **NON-RESIDENT**

	HEADCOUNT	CREDITS	RATE	AMOUNT
UNDERGRAD	288		7,910	2,278,080
GRADUATE	2		10,095	20,190
MBA	1		11,085	11,085

PART-TIME   **RESIDENT**

	HEADCOUNT	CREDITS	RATE	AMOUNT
UNDERGRAD	4,632	28,900	257	7,427,300
GRADUATE	145	725	432	313,200
MBA	118	590	551	325,090

PART-TIME   **NON-RESIDENT**

	HEADCOUNT	CREDITS	RATE	AMOUNT
UNDERGRAD	329	2,908	659	1,916,372
GRADUATE	10	50	841	42,050
MBA	8	45	924	41,580
SUB-TOTAL				19,404,227

SUMMARY

FALL RESIDENT	24,400,575
NON-RES	2,967,387
SPRING RESIDENT	23,567,207
NON-RES	5,393,860
SUMMER RESIDEN	15,094,870
NON-RES	4,309,357
TOTAL	75,733,256

ADJUSTMENTS	AMOUNT	HEADCOUN	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS			
REG/WRITE			
OFFS/WAIVERS	(485,000)		
CONTRACT			
CDL UNFUNDED			
ENROLLMENT	(6,860,615)	5,448	26,695
OAP	(7,624,630)	1,550	11,570
MISC FEES	0		
INTEREST	16,375		
COLLEGE FEE	219,500		
TOTAL	60,998,886		

5/14/2014
5/23/2014
10/24/2014
4/6/2015

REVENUE PROJECTIONS

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,108		3,085	12,673,180
GRADUATE		43		5,185	222,955
MBA		28		6,610	185,080
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		142		7,910	1,123,220
GRADUATE		1		10,095	10,095
MBA		0		11,085	0
PART-TIME	**RESIDENT**				
UNDERGRAD		6,207	35,760	257	9,190,320
GRADUATE		634	2,908	432	1,256,256
MBA		326	1,584	551	872,784
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		420	2,485	659	1,637,615
GRADUATE		29	149	841	125,309
MBA		15	77	924	71,148
SUB-TOTAL					27,367,962
SPRING 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,130		3,085	12,741,050
GRADUATE		40		5,185	207,400
MBA		30		6,610	198,300
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		140		7,910	1,107,400
GRADUATE		1		10,095	10,095
MBA		0		11,085	0
PART-TIME	**RESIDENT**				
UNDERGRAD		5,586	33,516	257	8,613,612
GRADUATE		610	2,854	432	1,232,928
MBA		306	1,489	551	820,439
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		396	2,425	659	1,598,075
GRADUATE		25	130	841	109,330
MBA		14	68	924	62,832
SUB-TOTAL					26,701,461
SUMMER 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,170		3,085	6,694,450
GRADUATE		18		5,185	93,330
MBA		16		6,610	105,760

FULL TIME **NON-RESIDENT**

UNDERGRAD	282		7,910	2,230,620
GRADUATE	2		10,095	20,190
MBA	1		11,085	11,085

PART-TIME **RESIDENT**

UNDERGRAD	4,539	28,322	257	7,278,754
GRADUATE	142	710	432	306,720
MBA	116	578	551	318,478

PART-TIME **NON-RESIDENT**

UNDERGRAD	322	2,850	659	1,878,150
GRADUATE	10	49	841	41,209
MBA	8	44	924	40,656
SUB-TOTAL				19,019,402

SUMMARY

FALL RESIDENT	24,400,575
NON-RES	2,967,387
SPRING RESIDENT	23,813,729
NON-RES	2,887,732
SUMMER RESIDENT	14,797,492
NON-RES	4,221,910
TOTAL	73,088,825

ADJUSTMENTS	AMOUNT	HEADCOUNT	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS REG/WRITE			
OFFS/WAIVERS	(485,000)		
CONTRACT			
CDL UNFUNDED			
ENROLLMENT	(3,496,999)	2,777	13,607
OAP	(7,624,630)	1,450	11,570
MISC FEES	0		
INTEREST	20,000		
COLLEGE FEE	223,500		
TOTAL	61,725,696		

5/14/2014
5/23/2014
10/24/2014

REVENUE PROJECTIONS

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,060		3,085	12,525,100
GRADUATE		55		5,185	285,175
MBA		34		6,610	224,740
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		158		7,910	1,249,780
GRADUATE		1		10,095	10,095
MBA		1		11,085	11,085
PART-TIME	**RESIDENT**				
UNDERGRAD		6,142	35,627	257	9,156,139
GRADUATE		606	2,907	432	1,255,824
MBA		262	1,364	551	751,564
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		467	2,586	659	1,704,174
GRADUATE		26	128	841	107,648
MBA		11	57	924	52,668
SUB-TOTAL					27,333,992
SPRING 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,262		3,085	13,148,270
GRADUATE		45		5,185	233,325
MBA		38		6,610	251,180
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		172		7,910	1,360,520
GRADUATE		2		10,095	20,190
MBA		2		11,085	22,170
PART-TIME	**RESIDENT**				
UNDERGRAD		5,845	33,105	257	8,507,985
GRADUATE		472	2,360	432	1,019,520
MBA		339	1,490	551	820,990
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		451	2,585	659	1,703,515
GRADUATE		22	110	841	92,510
MBA		12	60	924	55,440
SUB-TOTAL					27,235,615
SUMMER 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,214		3,085	6,830,190
GRADUATE		18		5,185	93,330
MBA		16		6,610	105,760
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		288		7,910	2,278,080
GRADUATE		2		10,095	20,190
MBA		2		11,085	22,170
PART-TIME	**RESIDENT**				
UNDERGRAD		4,632	28,900	257	7,427,300
GRADUATE		145	725	432	313,200
MBA		118	590	551	325,090
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		329	2,908	659	1,916,372
GRADUATE		10	50	841	42,050
MBA		8	45	924	41,580
SUB-TOTAL					19,415,312

SUMMARY

FALL RESIDENT	24,198,542
NON-RES	3,135,450
SPRING RESIDENT	23,981,270
NON-RES	3,254,345
SUMMER RESIDENT	15,094,870
NON-RES	4,320,442
TOTAL	73,984,919

ADJUSTMENTS	AMOUNT	HEADCOUNT	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS REG/WRITE OFFS/WAIVERS	(525,500)		
CONTRACT			
CDL UNFUNDED ENROLLMENT	(3,568,445)	2,777	13,885
OAP	(8,410,817)	1,550	12,763
MISC FEES	0		
INTEREST	0		
COLLEGE FEE	233,200		
TOTAL	61,713,357		

10/28/2013
5/8/2014 per EMCD

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,108		3,085	12,673,180
GRADUATE		43		5,185	222,955
MBA		28		6,610	185,080
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		142		7,910	1,123,220
GRADUATE		1		10,095	10,095
MBA		0		11,085	0
PART-TIME	**RESIDENT**				
UNDERGRAD		6,207	35,760	257	9,190,320
GRADUATE		634	2,908	432	1,256,256
MBA		326	1,584	551	872,784
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		420	2,485	659	1,637,615
GRADUATE		29	149	841	125,309
MBA		15	77	924	71,148
SUB-TOTAL					27,367,962
SPRING 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,191		3,085	12,929,235
GRADUATE		36		5,185	186,660
MBA		26		6,610	171,860
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		234		7,910	1,850,940
GRADUATE		2		10,095	20,190
MBA		0		11,085	0
PART-TIME	**RESIDENT**				
UNDERGRAD		5,161	31,629	257	8,128,653
GRADUATE		723	3,253	432	1,405,296
MBA		279	1,353	551	745,503
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		800	4,945	659	3,258,755
GRADUATE		46	215	841	180,815
MBA		19	90	924	83,160
SUB-TOTAL					28,961,067
SUMMER 2015	**RESIDENT**				

FULL TIME

UNDERGRAD		2,214		3,085	6,830,190
GRADUATE		18		5,185	93,330
MBA		16		6,610	105,760
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		288		7,910	2,278,080
GRADUATE		2		10,095	20,190
MBA		1		11,085	11,085
PART-TIME	**RESIDENT**				
UNDERGRAD		4,632	28,900	257	7,427,300
GRADUATE		145	725	432	313,200
MBA		118	590	551	325,090
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		329	2,908	659	1,916,372
GRADUATE		10	50	841	42,050
MBA		8	45	924	41,580
SUB-TOTAL					19,404,227

SUMMARY

FALL RESIDENT	24,400,575
NON-RES	2,967,387
SPRING RESIDENT	23,567,207
NON-RES	5,393,860
SUMMER RESIDEN	15,094,870
NON-RES	4,309,357
TOTAL	75,733,256

ADJUSTMENTS	AMOUNT	HEADCOUN	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS REG/WRITE			
OFFS/WAIVERS	(485,000)		
CONTRACT			
CDL UNFUNDED ENROLLMENT	(3,496,999)	2,777	13,607
OAP	(7,624,630)	1,550	11,570
MISC FEES	0		
INTEREST	20,000		
COLLEGE FEE	223,500		
TOTAL	64,370,127		

5/14/2014
5/23/2014
10/24/2014
4/6/2015

REVENUE PROJECTIONS

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,108		3,235	13,289,380
GRADUATE		43		5,435	233,705
MBA		28		7,205	201,740
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		142		8,160	1,158,720
GRADUATE		1		11,105	11,105
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		6,207	35,760	270	9,655,200
GRADUATE		634	2,908	453	1,317,324
MBA		326	1,584	600	950,400
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		420	2,485	680	1,689,800
GRADUATE		29	149	925	137,825
MBA		15	77	1,016	78,232
SUB-TOTAL					28,723,431
SPRING 2016	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,130		3,235	13,360,550
GRADUATE		40		5,435	217,400
MBA		30		7,205	216,150
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		140		8,160	1,142,400
GRADUATE		1		11,105	11,105
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		5,586	33,516	270	9,049,320
GRADUATE		610	2,854	453	1,292,862
MBA		306	1,489	600	893,400
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		396	2,425	680	1,649,000
GRADUATE		25	130	925	120,250
MBA		14	68	1,016	69,088
SUB-TOTAL					28,021,525
SUMMER 2016	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,170		3,235	7,019,950
GRADUATE		18		5,435	97,830
MBA		16		7,205	115,280
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		282		8,160	2,301,120
GRADUATE		2		11,105	22,210

MBA			1		12,195	12,195	

PART-TIME	RESIDENT						
UNDERGRAD			4,539	28,322	270	7,646,940	
GRADUATE			142	710	453	321,630	
MBA			116	578	600	346,800	
PART-TIME	NON-RESIDENT						
UNDERGRAD			322	2,850	680	1,938,000	
GRADUATE			10	49	925	45,325	
MBA			8	44	1,016	44,704	
SUB-TOTAL						19,911,984	

SUMMARY					
FALL RESIDENT	25,647,749			24,400,575	1,247,174
NON-RES	3,075,682			2,967,387	108,295
SPRING RESIDENT	25,029,682			23,813,729	1,215,953
NON-RES	2,991,843			2,887,732	104,111
SUMMER RESIDENT	15,548,430			14,797,492	750,938
NON-RES	4,363,554			4,221,910	141,644
TOTAL	**76,656,940**			**73,088,825**	**3,568,115**

ADJUSTMENTS	AMOUNT	HEADCOUNT	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS REG/WRITE OFFS/WAIVERS	(485,000)		
CONTRACT			
CDL UNFUNDED ENROLLMENT	(3,673,890)	2,777	13,607
OAP	(7,867,600)	1,450	11,570
MISC FEES	0		
INTEREST	20,000		
COLLEGE FEE	223,500		
TOTAL	64,873,950		

5/14/2014
5/23/2014
10/24/2014

REVENUE PROJECTIONS

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,190		3,235	13,554,650
GRADUATE		44		5,435	239,140
MBA		29		7,205	208,945
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		145		8,160	1,183,200
GRADUATE		1		11,105	11,105
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		6,207	36,475	270	9,848,250
GRADUATE		634	2,966	453	1,343,598
MBA		326	1,616	600	969,600
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		420	2,535	680	1,723,800
GRADUATE		29	152	925	140,600
MBA		15	79	1,016	80,264
SUB-TOTAL					29,303,152
SPRING 2016	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,213		3,235	13,629,055
GRADUATE		41		5,435	222,835
MBA		31		7,205	223,355
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		143		8,160	1,166,880
GRADUATE		1		11,105	11,105
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		5,586	34,186	270	9,230,220
GRADUATE		610	2,911	453	1,318,683
MBA		306	1,519	600	911,400
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		396	2,474	680	1,682,320
GRADUATE		25	133	925	123,025
MBA		14	69	1,016	70,104
SUB-TOTAL					28,588,982
SUMMER 2016	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,213		3,235	7,159,055
GRADUATE		18		5,435	97,830
MBA		16		7,205	115,280
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		288		8,160	2,350,080
GRADUATE		2		11,105	22,210

MBA			1	12,195	12,195
PART-TIME	**RESIDENT**				
UNDERGRAD		4,539	28,888	270	7,799,760
GRADUATE		142	724	453	327,972
MBA		116	590	600	354,000
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		322	2,907	680	1,976,760
GRADUATE		10	50	925	46,250
MBA		8	45	1,016	45,720
SUB-TOTAL					20,307,112

SUMMARY					increase
FALL RESIDENT	26,164,183			24,400,575	1,763,608
NON-RES	3,138,969			2,967,387	171,582
SPRING RESIDENT	25,535,548			23,813,729	1,721,819
NON-RES	3,053,434			2,887,732	165,702
SUMMER RESIDENT	15,853,897			14,797,492	1,056,405
NON-RES	4,453,215			4,221,910	231,305
TOTAL	**78,199,246**			**73,088,825**	**5,110,421**

ADJUSTMENTS	AMOUNT	HEADCOUNT	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS REG/WRITE			
OFFS/WAIVERS	(485,000)		
CONTRACT			
CDL UNFUNDED			
ENROLLMENT	(3,673,890)	2,777	13,607
OAP	(7,867,600)	1,450	11,570
MISC FEES	0		
INTEREST	20,000		
COLLEGE FEE	223,500		
TOTAL	66,416,256		

5/14/2014
5/23/2014
10/24/2014

REVENUE PROJECTIONS

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,026		3,235	13,024,110
GRADUATE		42		5,435	228,270
MBA		27		7,205	194,535
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		139		8,160	1,134,240
GRADUATE		1		11,105	11,105
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		6,207	35,045	270	9,462,150
GRADUATE		634	2,850	453	1,291,050
MBA		326	1,552	600	931,200
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		420	2,435	680	1,655,800
GRADUATE		29	146	925	135,050
MBA		15	75	1,016	76,200
SUB-TOTAL					28,143,710
SPRING 2016	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,047		3,235	13,092,045
GRADUATE		39		5,435	211,965
MBA		29		7,205	208,945
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		137		8,160	1,117,920
GRADUATE		1		11,105	11,105
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		5,586	32,846	270	8,868,420
GRADUATE		610	2,797	453	1,267,041
MBA		306	1,549	600	929,400
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		396	2,377	680	1,616,360
GRADUATE		25	127	925	117,475
MBA		14	67	1,016	68,072
SUB-TOTAL					27,508,748
SUMMER 2016	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,127		3,235	6,880,845
GRADUATE		18		5,435	97,830
MBA		16		7,205	115,280
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		276		8,160	2,252,160
GRADUATE		2		11,105	22,210

MBA		1		12,195	12,195

PART-TIME	RESIDENT				
UNDERGRAD		4,539	27,756	270	7,494,120
GRADUATE		142	696	453	315,288
MBA		116	566	600	339,600
PART-TIME	NON-RESIDENT				
UNDERGRAD		322	2,793	680	1,899,240
GRADUATE		10	48	925	44,400
MBA		8	43	1,016	43,688
SUB-TOTAL					19,516,856

SUMMARY				
FALL RESIDENT	25,131,315		24,400,575	730,740
NON-RES	3,012,395		2,967,387	45,008
SPRING RESIDENT	24,577,816		23,813,729	764,087
NON-RES	2,930,932		2,887,732	43,200
SUMMER RESIDENT	15,242,963		14,797,492	445,471
NON-RES	4,273,893		4,221,910	51,983
TOTAL	**75,169,314**		**73,088,825**	**2,080,489**

ADJUSTMENTS	AMOUNT	HEADCOUNT	CREDITS
SUPPLEMENTAL			
SUTRA	0		
CROSS REG/WRITE			
OFFS/WAIVERS	(485,000)		
CONTRACT			
CDL UNFUNDED			
ENROLLMENT	(3,673,890)	2,777	13,607
OAP	(7,867,600)	1,450	11,570
MISC FEES	0		
INTEREST	20,000		
COLLEGE FEE	223,500		
TOTAL	63,386,324		

5/14/2014
5/23/2014
10/24/2014

REV1415	Original Projection	14-15 Rates	72,358,800	Based on -2% projection in actual to actual enrollment
REV1415	Fall Update (Oct2014)	14-15 Rates	73,089,000	Current enrollent (actual to actual) flat (plus$730,200)
REV1415	Fall Update (Apr2015)	14-15 Rates	75,733,256	Current enrollent (actual to actual)
REV1415	**Actual over projection**	**14-15 Rates**	**2,644,256**	**Projected increase in revenue**

REV1516	Fall Update (Oct2014)	15-16 Rates	76,656,940	Enrollment based on Fall Update - Flat Projection
REV1516	**New Revenues**	**15-16 Rates**	**3,567,940**	**14-15 Projected over 15-16 Flat Projection**
REV1516	Fall Update (Oct2014)	15-16 Rates	78,199,246	Enrollment based on Fall Update +2% Projection
REV1516	**New Revenues**	**15-16 Rates**	**5,110,246**	**14-15 Projected over 15-16 +2% Projection**
REV1516	Fall Update (Oct2014)	15-16 Rates	75,169,314	Enrollment based on Fall Update -2% Projection
REV1516	**New Revenues**	**15-16 Rates**	**2,080,314**	**14-15 Projected over 15-16 -2% Projection**

REV1516	Spring Update (Apr2015)	15-16 Rates	79,388,830	Enrollment based on Fall Update - Flat Projection
REV1516	**New Revenues**	**15-16 Rates**	**3,655,574**	**14-15 Projected over 15-16 Flat Projection**
REV1516	Spring Update (Apr2015)	15-16 Rates	80,986,074	Enrollment based on Fall Update +2% Projection
REV1516	**New Revenues**	**15-16 Rates**	**5,252,818**	**14-15 Projected over 15-16 +2% Projection**
REV1516	Spring Update (Apr2015)	15-16 Rates	77,792,602	Enrollment based on Fall Update -2% Projection
REV1516	**New Revenues**	**15-16 Rates**	**2,059,346**	**14-15 Projected over 15-16 -2% Projection**

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,190		3,235	13,554,650
GRADUATE		44		5,435	239,140
MBA		29		7,205	208,945
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		145		8,160	1,183,200
GRADUATE		1		11,105	11,105
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		6,207	36,475	270	9,848,250
GRADUATE		634	2,966	453	1,343,598
MBA		326	1,616	600	969,600
PART-TIME	**NON-RESIDEN**				
UNDERGRAD		420	2,535	680	1,723,800
GRADUATE		29	152	925	140,600
MBA		15	79	1,016	80,264
SUB-TOTAL					29,303,152
SPRING 2016	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,275		3,235	13,829,625
GRADUATE		37		5,435	201,095
MBA		27		7,205	194,535
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		239		8,160	1,950,240
GRADUATE		2		11,105	22,210
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		5,161	32,262	270	8,710,740
GRADUATE		723	3,318	453	1,503,054
MBA		279	1,380	600	828,000
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		800	5,044	680	3,429,920
GRADUATE		46	219	925	202,575
MBA		19	92	1,016	93,472
SUB-TOTAL					30,965,466
SUMMER 2016	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,258		3,235	7,304,630
GRADUATE		18		5,435	97,830
MBA		16		7,205	115,280
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		294		8,160	2,399,040
GRADUATE		2		11,105	22,210
MBA		1		12,195	12,195
PART-TIME	**RESIDENT**				
UNDERGRAD		4,632	29,478	270	7,959,060
GRADUATE		145	740	453	335,220
MBA		118	602	600	361,200

PART-TIME	NON-RESIDEN				
UNDERGRAD		329	2,966	680	2,016,880
GRADUATE		10	51	925	47,175
MBA		8	46	1,016	46,736
SUB-TOTAL					20,717,456

SUMMARY				
FALL RESIDENT	26,164,183		24,400,575	1,763,608
NON-RES	3,138,969		2,967,387	171,582
SPRING RESIDENT	25,267,049		23,567,207	1,699,842
NON-RES	5,698,417		5,393,860	304,557
SUMMER RESIDEN	16,173,220		15,094,870	1,078,350
NON-RES	4,544,236		4,309,357	234,879
TOTAL	80,986,074		75,733,256	5,252,818

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2014	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,026		3,235	13,024,110
GRADUATE		42		5,435	228,270
MBA		27		7,205	194,535
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		139		8,160	1,134,240
GRADUATE		1		11,105	11,105
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		6,207	35,045	270	9,462,150
GRADUATE		634	2,850	453	1,291,050
MBA		326	1,552	600	931,200
PART-TIME	**NON-RESIDEN**				
UNDERGRAD		420	2,435	680	1,655,800
GRADUATE		29	146	925	135,050
MBA		15	75	1,016	76,200
SUB-TOTAL					28,143,710
SPRING 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,107		3,235	13,286,145
GRADUATE		35		5,435	190,225
MBA		25		7,205	180,125
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		229		8,160	1,868,640
GRADUATE		2		11,105	22,210
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		5,161	30,996	270	8,368,920
GRADUATE		723	3,188	453	1,444,164
MBA		279	1,326	600	795,600
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		800	4,846	680	3,295,280
GRADUATE		46	211	925	195,175
MBA		19	88	1,016	89,408
SUB-TOTAL					29,735,892
SUMMER 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,170		3,235	7,019,950
GRADUATE		18		5,435	97,830
MBA		16		7,205	115,280
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		282		8,160	2,301,120
GRADUATE		2		11,105	22,210
MBA		1		12,195	12,195
PART-TIME	**RESIDENT**				
UNDERGRAD		4,632	28,322	270	7,646,940
GRADUATE		145	710	453	321,630
MBA		118	578	600	346,800

PART-TIME	NON-RESIDEN				
UNDERGRAD		329	2,850	680	1,938,000
GRADUATE		10	49	925	45,325
MBA		8	45	1,016	45,720
SUB-TOTAL					19,913,000

SUMMARY				
FALL RESIDENT	25,131,315		24,400,575	730,740
NON-RES	3,012,395		2,967,387	45,008
SPRING RESIDENT	24,265,179		23,567,207	697,972
NON-RES	5,470,713		5,393,860	76,853
SUMMER RESIDEN	15,548,430		15,094,870	453,560
NON-RES	4,364,570		4,309,357	55,213
TOTAL	77,792,602		75,733,256	2,059,346

TUITION

		HEADCOUNT	CREDITS	TUITION RATE	TUITION REVENUE
FALL 2015	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,108		3,235	13,289,380
GRADUATE		43		5,435	233,705
MBA		28		7,205	201,740
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		142		8,160	1,158,720
GRADUATE		1		11,105	11,105
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		6,207	35,760	270	9,655,200
GRADUATE		634	2,908	453	1,317,324
MBA		326	1,584	600	950,400
PART-TIME	**NON-RESIDEN**				
UNDERGRAD		420	2,485	680	1,689,800
GRADUATE		29	149	925	137,825
MBA		15	77	1,016	78,232
SUB-TOTAL					28,723,431
SPRING 2016	**RESIDENT**				
FULL TIME					
UNDERGRAD		4,191		3,235	13,557,885
GRADUATE		36		5,435	195,660
MBA		26		7,205	187,330
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		234		8,160	1,909,440
GRADUATE		2		11,105	22,210
MBA		0		12,195	0
PART-TIME	**RESIDENT**				
UNDERGRAD		5,161	31,629	270	8,539,830
GRADUATE		723	3,253	453	1,473,609
MBA		279	1,353	600	811,800
PART-TIME	**NON-RESIDENT**				
UNDERGRAD		800	4,945	680	3,362,600
GRADUATE		46	215	925	198,875
MBA		19	90	1,016	91,440
SUB-TOTAL					30,350,679
SUMMER 2016	**RESIDENT**				
FULL TIME					
UNDERGRAD		2,214		3,235	7,162,290
GRADUATE		18		5,435	97,830
MBA		16		7,205	115,280
FULL TIME	**NON-RESIDENT**				
UNDERGRAD		288		8,160	2,350,080
GRADUATE		2		11,105	22,210
MBA		1		12,195	12,195
PART-TIME	**RESIDENT**				
UNDERGRAD		4,632	28,900	270	7,803,000
GRADUATE		145	725	453	328,425
MBA		118	590	600	354,000

PART-TIME	NON-RESIDEN				
UNDERGRAD		329	2,908	680	1,977,440
GRADUATE		10	50	925	46,250
MBA		8	45	1,016	45,720
SUB-TOTAL					20,314,720

SUMMARY				
FALL RESIDENT	25,647,749		24,400,575	1,247,174
NON-RES	3,075,682		2,967,387	108,295
SPRING RESIDENT	24,766,114		23,567,207	1,198,907
NON-RES	5,584,565		5,393,860	190,705
SUMMER RESIDEN	15,860,825		15,094,870	765,955
NON-RES	4,453,895		4,309,357	144,538
TOTAL	**79,388,830**		**75,733,256**	**3,655,574**

Empire State College
Center for Planning and Institutional Effectiveness

Institutional Learning Outcomes Assessment:
Comprehensive Review of Methodologies and Results 2006-2012

October 1, 2013

CONTENTS

FORWARD – A WORD FROM THE PROVOST

This *Comprehensive Review of Assessment Methodologies and Results: 2006-2012* is a significant and timely document for Empire State College. The report outlines the essential role of student learning outcomes assessment in meeting our own expectations and those of external agencies. It describes and analyzes key assessment methodologies and results for the comprehensive review period. And, it suggests promising next steps for improving assessment methodologies and student learning opportunities and outcomes.

The comprehensive review underscores the importance and value of the draft *Academic Assessment Plan* which is currently under discussion across the college. The two documents are firsts for the college, forward-looking and congruent in substance.

Though this report may serve to strengthen the college in relation to accreditation and external accountability, the most important audience is our own faculty and academic staff. Outcomes assessment is an essential expression of our collective commitment to student learning, and it highlights the vital role of faculty as scholar-practitioners of mentoring, teaching and learning. Moreover, this report underscores the college's legacy as an experimenting, progressive institution – a legacy we have always cherished and will continue to maintain.

Peter Ewell, one of the leading scholars of the outcomes assessment movement, provides this perspective:

> [V]oluntary assessment on the part of colleges and universities constitutes an act of considerable courage...The challenge…[is] to balance… [external] concerns, legitimate though they may be, with a sensitivity for institutional differences and with…proper and constant reference to the ends of the enterprise – the vitality of the academic community and the students who inhabit it. (Ewell, 1984: pp. 95-96)

In this spirit, I look forward to your responses to the comprehensive review and the larger challenges and opportunities inherent in outcomes assessment at the college.

Deborah Amory
Acting Provost/Vice President for Academic Affairs

PART I. CONTEXT AND RECENT DEVELOPMENTS

This report offers a comprehensive review of institutional outcomes assessment at Empire State College from 2006 to 2012. Part 1 provides background on outcomes assessment in higher education generally and at Empire State College specifically and discusses recent developments at the college. Parts 2 and 3 present methodologies and results for the General Education Assessment Review (GEAR), Assessment in the Major (AITM) and Area of Study Review (AOSR). Parts 4 and 5 offer recommendations for improving upon methodologies and results.

Appendices 1, 2 and 3 present detailed results and information on methodologies for the three types of review. Appendix 4 presents the college learning goals adopted in 2011 and Appendix 5 outlines how outcomes assessments at the college may align with the areas of study and center-based curricular groups. The report also identifies a number of supporting documents available on the Center for Planning and Institutional Effectiveness (CPIE) and Office of Academic Affairs (OAA) websites.

Center for Planning and Institutional Effectiveness (CPIE) staff prepared this report, which reflects their collective experience and expertise in student learning outcomes assessment. The report also attempts to encompass the observations and perspectives of the many faculty and academic staff members who have participated in the college's outcomes assessment projects during this review period.

ACCREDITATION AND STUDENT LEARNING OUTCOMES ASSESSMENT IN HIGHER EDUCATION

Overview of Accreditation
To ensure the quality of higher education provided students throughout the United States, the U.S. Department of Education supports regional accrediting agencies who partner with colleges and universities in their assessment of student learning and overall institutional effectiveness. "The goal of accreditation is to ensure that education provided by institutions of higher education meets acceptable levels of quality."[1]

The Middle States Commission on Higher Education
The Middle States Commission on Higher Education (MSCHE) is the regional accreditor for SUNY Empire State College. According to the *Characteristics of Excellence in Higher Education*, published by the Commission, "the assessment of student learning is an essential component of the assessment of institutional effectiveness." (MSCHE, p. 63) Of the 14 characteristics of excellence (standards for accreditation), Standard 14 directly addresses the assessment of student learning:

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[1] http://www2.ed.gov/admins/finaid/accred/accreditation.html#Overview

Standard 14 – Assessment of Student Learning
The Commission states, "Assessment of student learning demonstrates that, at graduation, or other appropriate points, the institution's students have knowledge, skills, and competencies consistent with institutional and appropriate higher education goals." (MSCHE, p. 64)

The Commission emphasizes the ongoing nature of assessment and distinguishes it from a one-time event: "Assessment is not an event but a process that is an integral part of the life of the institution, and an institution should be able to provide evidence that the assessment of student learning outcomes and use of results is an ongoing institutional activity." (MSCHE, p. 64)

Moreover, "the overall assessment of student learning is expected whatever the nature of the institution, its mission, the types of programs it offers, or the manner in which its educational programs are delivered and student learning facilitated." (MSCHE, p. 64)

Fundamental Elements of Assessment of Student Learning
Accredited institutions demonstrate the following assessment activities. The following is a verbatim excerpt from *Characteristics of Excellence in Higher Education* (MSCHE, pp. 66-67).

➢ Clearly articulated statements of expected student learning outcomes at all levels and for all programs that aim to foster student learning and development
➢ A documented, organized, and sustained assessment process to evaluate and improve student learning
➢ Assessment results that provide sufficient, convincing evidence that students are achieving key institutional and program learning outcomes
➢ Evidence that student learning assessment information is shared and discussed with appropriate constituents and is used to improve teaching and learning; and
➢ Documented use of student learning assessment information as part of institutional assessment

EMPIRE STATE COLLEGE DRAFT *ACADEMIC ASSESSMENT PLAN*
In spring 2013, Empire State College drafted its first *Academic Assessment Plan*. The introduction to the draft affirms the purposes of assessment for the college in relation to continuous improvement of academic programs and the quality of learning experiences and outcomes for students.

Over the next few months, the college community will discuss the draft plan, and the Committee on Undergraduate Studies and Policies (CUSP) will consider the final document for review and approval. Thereafter, the *Academic Assessment Plan* will be reviewed and updated by the appropriate governance group. The draft *Plan* states:

> Assessment of student learning is consistent with the college's commitment to academic excellence. It allows us to demonstrate to ourselves where we are succeeding and where we need to improve. (Empire State College *Academic Assessment Plan,* draft, July 2013)

The draft goes on to emphasize both the attainment of learning outcomes – and their review – for the continuous improvement of student learning and fulfillment of the institutional mission:

> At the most fundamental level, assessment of student learning is important to SUNY Empire State College because it assists us in providing the best possible educational experience for our students. Assessment is also critically important because it enables us to verify student achievement of learning outcomes, validate academic quality, provide a pathway for improvements at the course and program level, demonstrate student achievement of the college's learning goals, and affirm institutional effectiveness…Assessing and reporting outcomes can also provide evidence of the effectiveness of the distinctive approach to individualized and self-directed learning offered by Empire State College. (Empire State College *Academic Assessment Plan,* draft, July 2013)

APPROACH TO STUDENT LEARNING OUTCOMES ASSESSMENT AT EMPIRE STATE COLLEGE

The goal of Empire State College is to engage faculty in assessment activities that are meaningful, sound and time and cost effective and that support reflection and action to improve student learning experiences and outcomes. This goal is consistent with the expectations of the U.S. Department of Education and the Middle States Commission on Higher Education.

The college's assessment model is necessarily linked to expectations established by the State University of New York (SUNY). In the late 1990's, the SUNY Board of Trustees passed a resolution that mandated system-wide general education requirements. This was followed by a second resolution mandating assessment of student learning outcomes for all academic majors and general education programs across the system. Each SUNY institution developed an assessment plan detailing procedures and guidelines as well as a timeline for implementation. The first year of general education assessment under a SUNY-wide umbrella was 2002-03.

At Empire State College, the Office of Academic Affairs (OAA) and the Center for Planning and Institutional Effectiveness (CPIE) collaborate with college faculty to plan, carry out, review and follow up on student learning outcomes assessments.

Empire State College undergraduate students generally create individualized degree programs. The vast majority of students are adults who have work, family and community obligations. Individually tailored degrees afford learners a great deal of curricular flexibility and feature a

wide range of modes of study (ranging from face-to face independent studies, to online courses) and favorable policies on transfer and prior learning credit.

In light of these elements of the educational model, the college determined early on that faculty review of authentic examples of student work was the most fitting methodology for directly assessing student learning outcomes at this institution. Two of the college's three assessment methods (Assessment in the Major and the General Education Assessment Review) involve direct assessment of student learning.

The third method, the Area of Study Review, is a review of the degree portfolios of students who have recently graduated from the college, to assess how well the program design and documentation reflect relevant academic policies. This primarily indirect assessment component relates to the individualized nature of student degrees and learning experiences at the college, and has been in place at Empire State College since the 1980's.

GEAR, AITM and AOSR

General Education Assessment Review **(GEAR)** assesses student learning in relation to the general education requirements. The assessments are staggered so that student learning outcomes for each general education requirement are assessed every three years. GEAR is based on the learning outcomes established by SUNY for each of the SUNY general education requirements. At Empire State College, reviewers assess actual examples of student work, using rubrics created by the college faculty. The focus is on the program level, rather than the study or course level.

Assessment in the Major **(AITM)** assesses student learning outcomes related to the college Area of Study guidelines. AITM is staggered so that student learning outcomes for each AOS are assessed every six years. Reviewers assess actual samples of student work using rubrics based on the AOS guidelines. Both the AOS guidelines and the rubrics are established by Empire State College AOS faculty. The focus is on the AOS (program) level, rather than the individual study or course level.

The Area of Study Review **(AOSR)** is an assessment of the degree portfolios of graduates in relation to relevant academic policies. Empire State College undergraduates generally create individualized degree programs. The purpose of the AOSR is to assess the quality and integrity of Empire State College individualized academic degrees in relation to college policies regarding degree program design, degree program rationales, prior learning assessment, learning contracts, etc. AOSR is staggered so that student degree portfolios for each AOS are assessed every six years, on the same schedule as the AITM review. The focus is on the AOS (program) level.

The Middle States Commission describes a cycle of continuous improvement that links assessment work with other kinds of faculty work (e.g., teaching, mentoring, service, scholarly and professional work):

> Assessment of student learning [is] the third element of a four-step teaching-learning-assessment cycle:
>
> 1. Developing clearly articulated written statements…of key learning outcomes: the knowledge, skills, and competencies that students are expected to exhibit upon successful completion of a course, academic program, co-curricular program, general education requirement, or other specific set of experiences.
> 2. Designing courses, programs, and experiences that provide intentional opportunities for students to achieve those learning outcomes.
> 3. Assessing student achievement of those key learning outcomes; and
> 4. Using the results of those assessments to improve teaching and learning. (MSCHE, p. 63)

Student learning outcomes assessment is an integral part of effective mentoring, teaching and learning. Further, there are important connections with the scholarship and practice of mentoring and teaching, which many college faculty and academic staff have actively embraced over the years. Furthermore, the college Center for Mentoring and Learning has a mission that readily encompasses faculty development related to the teaching/mentoring/learning assessment cycle.

ASSESSMENT CYCLES – OLD AND NEW

For 2006 through 2012, the period covered by this review, the following schedule of 3-year (GEAR) and 6-year (AITM and AOSR) assessments was established at Empire State College.

GEAR and AITM/AOSR ASSESSMENT SCHEDULE 2006-2007 through 2011-2012					
2006-2007	2007-2008	2008-2009	2009-2010	2010-2011	2011-2012
General Education Assessment Review					
The Arts	Basic Communication	American History	The Arts	Basic Communication	American History
Humanities	Critical Thinking	Foreign Language	Humanities	Critical Thinking	Foreign Language
Other World Civilizations	Information Management	Natural Sciences	Other World Civilizations	Information Management	Natural Sciences
Social Sciences	Mathematics	Western Civilization	Social Sciences	Mathematics	Western Civilization
Assessment in the Major/Area of Study Review					
Community and Human Services	Educational Studies	Cultural Studies	Comprehensive Review of Results and Methodologies

This review did not occur in 2009-2010. | Business, Management & Economics | Science, Math & Technology |
| Historical Studies | Human Development | The Arts | | | |
| Social Theory, Social Structure, and Change | Labor Studies | Interdisciplinary Studies | | | |

In 2013, the college established a modified assessment cycle for the period from 2013 to 2018 in order to:

1. better balance the assessment work of participating faculty within a given year and across succeeding years,
2. enable completion of this *Comprehensive Review of Methodologies and Results* in 2013,
3. enable AOS faculty to focus on revising curricular guidelines as student learning outcomes during 2013-14,
4. enable CPIE and participating faculty to work with up-to-date learning outcomes in upcoming reviews, and
5. incorporate the new Public Affairs AOS into the AITM/AOSR cycle in 2017-18.

GEAR and AITM/AOSR ASSESSMENT SCHEDULE – *NEW* 4.15.13 2012-2013 through 2017-2018					
2012-2013	**2013-2014**	**2014-2015**	**2015-2016**	**2016-2017**	**2017-2018**
General Education Assessment Review					
The Arts	Basic Communication	Other World Civilizations	The Arts	Basic Communication	Other World Civilizations
Humanities	Critical Thinking	Foreign Language	Humanities	Critical Thinking	Foreign Language
American History	Natural Sciences*	Information Management	American History	Natural Sciences	Information Management
Social Sciences	Mathematics	Western Civilization	Social Sciences	Mathematics	Western Civilization
Assessment in the Major/Area of Study Review					
Comprehensive Review of Results and Methodologies	Community and Human Services	Educational Studies	Cultural Studies	Business, Management & Economics	Science, Math & Technology
	Historical Studies	Human Development	Interdisciplinary Studies	The Arts	Public Affairs
	Social Sciences	Labor Studies			

*Natural Sciences has been postponed to the next regular cycle due to the recency of the last review

NEW PUBLICATIONS FROM THE CENTER FOR PLANNING AND INSTUTITIONAL EFFECTIVENESS

CPIE Website
The CPIE assessment website has been reorganized and updated in 2013. Interested faculty, staff and administrators can access the site by following this link and clicking on Outcomes Assessment: www.esc.edu/cpie.

Faculty Quick Guide to Learning Outcomes Assessment
The *Faculty Quick Guide* is a new annual publication distributed to the Office of Academic Affairs, the regional center deans and associate deans, faculty chairs, and AOS conveners and

mentors participating in assessments in a given year. It introduces faculty to the purposes of assessment, provides an introduction to the three major assessments (GEAR, AITM, AOSR), and includes the current year's calendar of activities. The 2013-14 edition is now available in print and online.

Assessment Update

The *Assessment Update* is a new quarterly publication from CPIE (September, December, March and June). The *Update* offers current information and perspectives on the purposes, processes and prospects of learning outcomes assessment at the college.

RECENT DEVELOPMENTS AND EXPERIMENTATION

The college has recently piloted new processes and added resources to support outcomes assessment and will continue to experiment in the coming year. The following is an overview of recent and planned developments.

Closing the Loop

The Office of Academic Affairs (OAA) and CPIE are integrating "closing the loop" processes. CPIE is developing CTL I (reflection-in-action during the assessment process) and OAA is developing CTL II (reflection-and-action for the purposes of improvement). The draft *Academic Assessment Plan* further delineates the phases of closing the loop. The goal is to support AOS and other faculty groups as they review results and decide and act on areas for improvement in the next cycle.

Translating AOS Guidelines into Student Learning Outcomes

The draft *Academic Assessment Plan* which is under discussion this fall includes an initiative to re-frame AOS and concentration guidelines as learning outcomes statements. OAA and CPIE representatives have oriented faculty to this initiative at a variety of meetings, including the 2013 All College conference. In May, the two offices led a well-received "Areas of Study Guidelines Retreat," which was attended by representatives of most areas of study. This was a working conference during which faculty reframed their AOS guidelines. The results will be brought back to the areas of study, the Committee on Undergraduate Studies and Policies (CUSP) and OAA for approval in accordance with normal governance procedures. The purpose of this initiative is to improve the clarity and transparency of the guidelines for students and mentors and to facilitate outcomes assessment.

Aligning Student Learning Outcomes

Assessment of student learning outcomes asks whether and to what extent an institution has enabled students to meet its learning goals and what improvements could enhance those outcomes. Learning goals are articulated at the institutional level (college learning goals), for each academic program (undergraduate areas of study and graduate and professional programs), for the general education "program," and for individual learning contracts and courses. Ideally, goals at every level are aligned with one another. The *Academic Assessment*

Plan encourages alignment of outcomes across these levels. OAA and CPIE have been orienting faculty to this issue in a variety of ways including the 2013 All College conference.

Adoption of College Learning Goals
In December 2011, after a lengthy college wide discussion led by CUSP, the College Senate and President approved a new statement of college learning goals (see Appendix 4). As area of study faculty work to reframe guidelines as learning outcomes, they are also considering their alignment with the college learning goals.

Basic Communication GEAR Sampling Pilot
The Office of Academic Affairs and CPIE are piloting a new approach to sampling student work for the Basic Communication GEAR. The project team revised the rubric to improve clarity and transparency for students and faculty. Early in the September 2013 term, CPIE will distribute the rubric to faculty who are teaching selected college writing studies in CDL and the other academic centers during the term. Instructors will identify relevant assignment(s) in their studies, and CPIE will place student work on those assignments in the college's learning platform (Moodle) for review by a college wide team in January 2014. The purpose is to gather a balanced and representative sample of student work from all of our undergraduate centers and to improve confidence in the GEAR results by collecting samples in a real-time, going-forward fashion.

Area of Study Cluster Sampling Pilot
During spring 2013, CPIE explored a new "cluster sampling" methodology with AOS assessment teams and conveners for Community and Human Services (CHS), Historical Studies (HIS) and Social Theory, Social Structure and Change (STSSC, Social Science). Teams of AOS faculty will review clusters of degree program portfolios in successive stages until themes for further consideration and continuous improvement are identified. CPIE proposed the new methodology to make reviews more interactive and meaningful for participating faculty, while also ensuring reliable reviews that provide a sound basis for improving academic programs. CHS, HIS and SOC representatives endorsed the pilot which is scheduled for 2013-2014.

Revision of Area of Study Review Instrument and Review Documents
For 2013-14, CPIE revised AOSR rating instrument to reflect current academic policies and to invite reflection and conversation regarding strengths and concerns. In addition, CPIE streamlined the degree program portfolio materials to include only elements that are relevant to the AOSR instrument and exclude extraneous material.

Science, Math and Technology AOS-Specific Review Instrument
In spring 2012, during the regularly scheduled AOSR in the Science, Math and Technology (SMT) Area of Study, faculty rated student degree program portfolios using both the college AOS Review instrument and one developed with SMT-specific questions and information. Following the onsite rating process in Saratoga Springs, CPIE and SMT analyzed the results gathered by their respective instruments. CPIE shared results from the college instrument with SMT.

Investments in Learning Outcomes Assessment
The college has recently increased its investment in student learning outcomes assessment by establishing the position of Faculty Associate/Director of Outcomes Assessment in CPIE. This position succeeds and carries forward the work of the Interim Director of Outcomes Assessment and the former Institutional Research Specialist, and well as other staff in CPIE. In 2013-14 OAA and CPIE are consolidating operating funds to support assessment activities.

Faculty Workshops and Orientations
In collaboration with area of study conveners and faculty assessment teams, CPIE offers a number of assessment workshops and orientations for faculty who are participating in the GEAR, AITM and AOSR assessments. These include (1) an overview of college wide assessments (offered during the Fall Academic Conference and/or via distance technologies including a narrated power point); (2) staged workshops during the rating process on norming, rating and discrepancy resolution; and (3) closing the loop I discussions which bring each assessment to a close. CPIE also offers presentations and workshops at college wide meetings and at academic centers.

Assessment-at-a-distance
During the past two years, CPIE successfully piloted an at-a-distance process for learning outcomes assessment as a way to relieve budget constraints while encouraging mentor participation. The college will return to a primarily face-to-face format in 2013-2014, and will accommodate faculty who need to participate at a distance. The goal is to return to a format that invites faculty to work together on assessment, reflection and closing the loop processes.

To facilitate a more efficient and meaningful assessment-at-a-distance experience for faculty mentors, CPIE developed staged workshops/orientations delivered via Blackboard Collaborate to prepare participating mentors and give them an opportunity to question, practice and converse. This process will be adapted to the face-to-face format in 2013-2014.

Documenting and Sharing Action Research and Action Plans (WEAVE AMS)
Empire State College currently uses WEAVE, an assessment management system (AMS) to archive continuous improvement work undertaken within academic centers and offices of the Coordinating Center. Every year, goals and objectives are planned and assessed, and the results of these plans are documented within WEAVE. CPIE makes use of this resource for strategic planning related to outcomes assessment. Complementing the space for functional office work, there is a corresponding space for student learning outcomes assessment work which the college may use to record ongoing improvements in the academic program.

Part 1 of this report offers an overview of the external and internal purposes of outcomes assessment, the college's new *Academic Assessment Plan*, new publications from the Center for Planning and Institutional Effectiveness, the major forms of institutional assessment of learning outcomes at Empire State College, and a number of additional developments and experimental

processes that have been underway in the last few years and anticipated this year. Parts 2 and 3 review the methodologies and results of assessments completed from 2006 to 2012. Parts 4 and 5 identify implications for improving our assessment methodologies and for "closing the loop" to improve student learning experiences and outcomes. Supporting documents are available on the CPIE and OAA websites, as noted at the end of this report.

PART 2. COMPREHENSIVE REVIEW OF METHODOLOGIES: 2006-2012

Part 2 of the *Comprehensive Review* describes the methodologies used for GEAR, AITM and the AOSR during the six-year review period. The report identifies limitations of the college's assessment methodologies in relation to such issues as sample collection, rubric or instrument design, alignment, faculty participation, and closing the loop. Some of the limitations are common across all three types of review (GEAR, AITM, AOSR).

The discussion of limitations is based on input from assessment review participants, CPIE assessment expertise, discussions in governance and the recent work of the *Academic Assessment Plan* Task Force (2013). "Limitations" in this context are less about the expectations for experimental research designed to test hypotheses, and more about the degree to which assessment methodologies yield meaningful results that foster faculty dialogue and provide a basis for improving student learning experiences and outcomes. The field of outcomes assessment endorses this approach:

> Assessments use research methods, but they have very different reasons for being conducted. Assessments are undertaken to guide practice. As a consequence of the assessment's findings, practice is adjusted. Research is framed by theory. As a consequence of a study's findings, the theory may be reconceptualized, affirmed, or perhaps even rejected until another investigation is undertaken (Upcraft and Shuh, 2002, p. 17-18).

Appendices 1, 2 and 3 present brief descriptions of the methodologies along with detailed results for assessments completed during the review period.

GENERAL EDUCATION ASSESSMENT REVIEW

Empire State College assesses students' achievement in general education on a 3-year cycle in American History, Arts, Foreign Language, Humanities, Mathematics, Natural Sciences, Other World Civilizations, Social Sciences, Western Civilization, Basic Communication, Critical Thinking, and Information Management. See the Annual Assessment Schedules in Part I of this report.

GEAR Sampling
In 2006-2007, CPIE collected student work samples for the Social Sciences and Humanities reviews from two sources: CDL course archives and responses to solicitations from faculty at other centers. Work samples in other GEAR areas were collected exclusively from CDL archives. This pattern of collection (using exclusively CDL student work samples) continued through 2007-2008, 2008-2009, 2009-2010, and 2010-2011. In 2011-2012, though attempts were made

to collect student work samples from the regional centers, the *majority* of samples were obtained from the CDL archives.

GEAR Methodology

Norming and Consensus

Prior to the formal assessment activity, CPIE sends to participating faculty and academic staff a copy of the relevant GEAR assessment rubric with a sample of student work. Reviewers for a GEAR subject area rate the sample against the relevant rubric. CPIE then convenes the reviewers for a facilitated norming session during which reviewers share their ratings in reference to the stated learning outcomes. Where discrepancies exist, raters discuss differences with the goal of establishing consensus. During a 3-week independent rating period (assessment-at-a-distance format) or in one- or two-day face-to-face meetings, each reviewer rates student work samples against the faculty-designed rubrics. The majority of samples are rated twice, reviewers complete consensus sessions and CPIE establishes inter-rater reliability.

Rating Instruments

Empire State College faculty members design GEAR rubrics based on the SUNY learning outcomes. The rubrics consist of explicitly stated criteria describing work that "does not meet," "approaches," "meets," or "exceeds" student learning expectations. (The Mathematics rubric is equivalent though worded differently.) Across all assessments, in instances where raters perceive a learning outcome as not relevant to a given sample of student work, a fifth category of "not applicable," or "NA," is used. For reporting purposes, each score is coded numerically from 0-4, where 1 = does not meet, 2 = approaches, 3 = meets, 4 = exceeds and 0 = not applicable. The GEAR rubrics are available on the CPIE website.

ASSESSMENT IN THE MAJOR

Since 2003-2004, SUNY has mandated an assessment in the "major." At Empire State College, Assessment in the Major (AITM) is scheduled on a 6-year cycle (see Assessment Schedule in Part I of this report). Through AITM, the college assesses student learning outcomes in the 12 undergraduate areas of study: The Arts; Business Management and Economics; Community and Human Services; Cultural Studies; Educational Studies; Human Development; Historical Studies; Interdisciplinary Studies; Labor Studies; Public Affairs; Science, Math and Technology; and Social Science (formerly Social Theory, Social Structure and Change). Assessment methodologies related to CCNE accreditation serve as equivalents for the B.S. in Nursing.

AITM Sampling

From 2006-2007 through 2011-2012, CPIE collected work samples for AITM from the CDL archives and regional center faculty responses to CPIE solicitation. Most samples came from the CDL archives.

    2006-2007   CDL archives
    2007-2008   CDL archives and labor faculty
    2008-2009 *AITM not done*

2009-2010   CDL archives
2010-2011   Regional Centers (BME) and CDL archives
2011-2012   CDL archives and regional centers, for SMT concentration areas in Biology, Information Technology/Computer Science and Mathematics

AITM Methodology

Norming and Consensus

CPIE convenes faculty and academic staff from their respective AOS groups for the assessment, which generally involves a two-day meeting at the Coordinating Center in Saratoga Springs or an at-a-distance rating period. Prior to the assessment, reviewers rate one sample of student work against one or more rubrics developed by the AOS faculty. CPIE then facilitates a norming session during which a common frame of reference is established to build group consensus on the meaning of rubric standards and sample ratings. Reviewers share their ratings for each expectation (standard or outcome) and discuss rating differences when they occur. The majority of work samples are rated independently by two reviewers. In cases of significant discrepancy (e.g., ratings of "meets" and "does not meet"), reviewers discuss their ratings with the goal of reaching consensus.

Rating Instrument

The rating instruments used in AITM consists of a series of faculty-developed rubrics designed to reflect the AOS guidelines. The guidelines delineate multiple expectations for student learning. The rubrics consist of explicitly stated criteria describing work that "does not meet," "approaches," "meets," or "exceeds" the student learning outcomes for the AOS. Reviewers assess student work to determine how well it addresses the learning outcomes encompassed by the rubric(s). Each rating is coded numerically from 0 to 4, where 1 = does not meet, 2 = approaches, 3 = meets, 4 = exceeds expectations, and 0 = not applicable. A rating of "NA" is used when a sample is not relevant to an outcome. The rubrics used for AITM are available online at the CPIE website.

RELIABILITY FOR GEAR AND AITM

For both GEAR and AITM, CPIE calculates the reliability statistic Cronbach's alpha to determine the level of internal consistency for each scoring rubric (the extent to which individual outcomes are rated similarly for a single sample of student work) and inter-rater reliability (the extent to which ratings between two mentors are similar on a given work sample). Reliability estimates are "acceptable" at ≥ 0.70, "good" at ≥ 0.80, and "excellent" at ≥ 0.90.

AREA OF STUDY REVIEW

Empire State College undertakes Area of Study Reviews on a 6-year cycle. For any given area of study, AITM and AOSR are conducted in the same year (see the Assessment Schedule in Part I of this report). This in-depth examination (or audit) involves rating the degree portfolios of graduates against a composite rating form designed to assess a student's rationale essay, prior learning and other advanced standing credits, learning contracts, contract evaluations, and

overall portfolio. The purpose of the AOS review is to assess the quality and integrity of Empire State College's individualized academic degrees in relation to college policies. The review also provides some direct, but limited, evidence of student performance. (Empire State College *Academic Assessment Plan,* draft, July 2013)

AOSR Sampling

For AOSR, CPIE draws a random sample of graduates who completed a bachelor's degree in the specified AOS within a designated period of time (e.g., SMT graduates between 9/1/2010 and 8/31/2011). For each student in a sample, CPIE staff assemble and redact relevant academic documents, for assessment by the review team.

AOSR Methodology

Norming and Consensus

CPIE facilitates the AOSR at a 2-day assessment session at the Coordinating Center in Saratoga Springs or during an at-a-distance rating period. CPIE provides to reviewers, in advance, a sample degree portfolio and the college rating instrument. Faculty members read and rate the sample portfolio, and CPIE facilitates a norming session to build group consensus and establish a common frame of reference. Reviewers share their ratings, discuss differences and attempt to reach consensus.

Two reviewers rate each student degree portfolio. Due to the nature of the college wide instrument (an audit rather than a rubric), CPIE does not undertake discrepancy analysis for the AOSR.

Rating Instrument

The AOSR instrument used during the review period included six sections: (1) degree program rationale, (2) concentration and area of study, (3) Empire State College breadth of study expectations, (4) advanced standing credit, (5) learning contracts and contract evaluations, and (6) overall assessment and skill development. The AOS review instrument is available online at the CPIE website.

In 2011-12, SMT developed an additional instrument and faculty reviewed portfolios using both the college and AOS-specific instruments.

LIMITATIONS

Sample Collection (GEAR, AITM)
1. Insufficient representation of regional center student work.
2. Cumbersome sample collection processes absent an e-portfolio solution.

Rubric Design (GEAR, AITM)
1. For AITM, need to translate AOS guidelines into learning outcomes and revise rubrics.
2. For GEAR and AITM, need to refine, clarify and retest rubric language, expectations (outcomes), and performance levels (1-4) to ensure greater instrument sensitivity and

easier-to-use instruments and to improve consistency among faculty raters and between assessment cycles.

Rating Instrument (AOSR)
1. The length of the instrument creates time pressure.
2. Extraneous documentation in the portfolios creates time pressure for CPIE staff and faculty raters.
3. The instrument needs revision to reflect changes in academic policies.
4. Some faculty express a preference for adding an AOS-specific review instrument; however, doing so creates further time pressures.

Alignment
1. Need to frame SUNY general education requirements as student learning outcomes.
2. Insufficient integration of general education learning outcomes into study/course outcomes and relevant opportunities for learning (learning resources and assignments) for studies designated as meeting general education requirements.
3. Need to translate AOS guidelines into learning outcomes.
4. Insufficient integration of AOS guidelines (learning outcomes) with study/course outcomes and relevant opportunities for learning (learning resources and assignments).
5. Rubrics are not visible to designers, mentors, instructors and learners, which hinders inclusion of relevant learning objectives and assignments in learning experiences, student understanding and achievement of learning outcomes and collection of relevant work samples.
6. Need to clarify connections between outcome levels: college, program (AOS/ concentration/general education) and course/study.
7. Need to coordinate/align assessment responsibilities and activities among OAA, faculty, and CPIE.
8. Need to coordinate, oversee, review and provide ongoing direction and advice to administration and faculty on assessment alignment, processes, results and plans for continuous improvement.

Faculty Participation
1. Low faculty participation rates and engagement with institutional assessment.
2. Limited opportunities for meaningful collegial dialogue during assessments.
3. Lack of confidence in assessment methodologies and/or the impact of assessment on the academic program.
4. Lack of college wide incentives and recognition for scholar/practitioner engagement with learning outcomes assessment (individual and group).

Closing the Loop
1. Lack of clarity regarding the locus of faculty and administrative responsibility for general education and areas of study, to ensure ongoing program development (responsibilities of governance, areas of study, centers, designers, area coordinators, mentors,

instructors and others for planning and carrying out general education and areas of study action plans for program improvement).

2. Diffuse reporting/communication structures and processes hinder discussion of assessment results and action by appropriate audiences.
3. Need for faculty professional development related to outcomes assessment.
4. Limited use of assessment results (within a cycle and from one cycle to the next). Need to build upon work already done, so assessments don't "feel like Ground Hog Day" to returning reviewers.
5. Limited connections made between outcomes assessment results and relevant contextual information (e.g., study titles designated as meeting each general education requirement, trends in credit hours/enrollment in each area by center).
6. Need to clarify with SUNY the college's latitude for re-framing and re-designing general education learning outcomes and assessments.

Resources for Assessment
1. Insufficient time to complete review of all work samples or degree portfolios, in some cases.
2. Limited financial resources to support face-to-face assessments, in some cases.

DISCUSSION

Overall, reliability for GEAR and AITM has been acceptable to good over time, except (rarely) when the number of raters was very small and a single rater had a disproportionate impact on results. For GEAR and AITM, the number of student work samples, number of ratings, and proportionality between CDL and other center samples have generally declined. Representative sampling is well established for AOSR. The number of reviewers has generally declined for all three types of review.

NEXT…

Part 2 of this report describes the methodologies used for GEAR, AITM, and AOSR during the review period, and identifies limitations in our approaches. Though the purposes and methodologies differ, the limitations are fairly consistent across the three types of assessments. Part 4 offers recommendations for improving assessment methodologies. Before moving on to those recommendations, Part 3 discusses the actual results from the reviews undertaken from 2006 to 2012. Part 5 closes the report with recommendations for strengthening how we "close the loop" to improve student learning outcomes based on assessment.

PART 3. COMPREHENSIVE REVIEW OF RESULTS: 2006-2012

Part 3 of this report presents the overall results for outcomes assessments between 2006 and 2012. Appendices 1, 2 and 3 present detailed results for GEAR, AITM and AOSR, respectively.

This presentation highlights selected findings in order to provide a sense of the overall body of results. Further review of findings in specific areas of study and general education areas should occur in follow-up discussions (CLT II) and during the regular review cycle.

GENERAL EDUCATION ASSESSMENT REVIEW

Appendix 1 presents detailed results for GEAR from 2006 to 2012. There were two cycles of review for each general education area during the comprehensive review period.

Table 3.1 presents selected results from the reviews for each general education area. Column 1 indicates the years when reviews took place. Column 2 identifies the percentage range of outcomes rated "does not meet" and highlights the outcome with the highest percentage of does not meet ratings. Column 3 indicates the percentage range of outcomes rated "meets" and "exceeds" and highlights the outcome with the highest percentage of these ratings combined. Column 4 indicates the percentage range and number range of student work samples rated "not applicable" and highlights the outcome with the highest percentage of NA ratings. Column 5 highlights differences between review years for each general education area.

Table 3.1 Highlights of GEAR Results by General Education Area

Dates	Does not meet ▪ **% range** ▪ **Outcome with most does not meet ratings**	Meets or exceeds ▪ **% range** ▪ **Outcome with most meets or exceeds ratings (combined)**	Not applicable ▪ **% range** ▪ **(N) range** ▪ **Outcome with most NA ratings**	Comparison
Mathematics				
2008 2011	▪ 4% - 19% ▪ Recognize limits (2008)	▪ 52% to 77% ▪ Quantitative methods (2008)	▪ 0% - 23% ▪ 0 – 47 ▪ Recognize limits (2008)	Ratings in 2011 were slightly lower overall; however, in 2011 a smaller percentage of samples was rated "not correct."
Natural Sciences				
2009 2012	▪ 2% - 21% ▪ Measurement and data collection (2012)	▪ 54% to 85% ▪ Observation (2009)	7. 4% - 27% 8. 7 to 53 9. Measurement and data collection (2012)	Ratings in 2011 were somewhat lower overall.

Dates	Does not meet • % range ▪ Outcome with most does not meet ratings	Meets or exceeds ▪ % range ▪ Outcome with most meets or exceeds ratings (combined)	Not applicable ▪ % range ▪ (N) range ▪ Outcome with most NA ratings	Comparison
Social Sciences				
2007 2010	▪ 6% - 46% ▪ Understanding methods (2007	▪ 31% to 72% ▪ Knowledge of major concepts (2007)	▪ 0% - 88% ▪ 6 to 177 ▪ Understanding methods (2010)	In 2010, ratings were lower on knowledge of major concepts and higher on understanding methods, and fewer samples were relevant to understanding methods
American History				
2009 2012	▪ 1% - 33% ▪ Historical mindedness (2012)	▪ 33% - 63% ▪ Basic narrative (2009)	▪ 0% - 74% ▪ 0 – 148 ▪ Historical mindedness (2012)	2012 ratings were somewhat lower overall and somewhat higher on the unity and diversity outcome.
Western Civilization				
2009 2012	▪ 10% - 20% ▪ Relate Western civilization to other regions (2009)	▪ 23% - 49% ▪ Knowledge of distinctive features of Western civilization (2012)	▪ 0% - 31% ▪ 0 – 68 ▪ Relates Western civilization to other regions (2009)	Ratings in 2012 were higher on both outcomes.
Other World Civilizations				
2007 2010	▪ 6% - 23% ▪ Knowledge of world history (2007)	▪ 36% - 52% ▪ Features of non-Western civilization (2010)	▪ 6% - 74% ▪ 12 – 129 ▪ Knowledge of world history (2007)	Ratings in 2010 were higher on features of non-Western civilizations..
Humanities				
2007 2010	▪ 2% - 6% ▪ Critical inquiry (2010)	▪ 61% - 82% ▪ Engagement (2007)	▪ 0% - 3% ▪ 0 – 6 ▪ Critical inquiry (2007)	Ratings in 2010 were lower.
Foreign Language				
2009 2012	▪ 0% - 3% ▪ Comprehension and written ability (2012)	▪ 72% - 95% ▪ Cultural competence (2012)	▪ 0% - 79% ▪ 0 – 158 ▪ Cultural competence (2009)	Ratings in 2012 were higher on cultural competence and lower on comprehension and written ability

Dates	Does not meet ▪ % range ▪ Outcome with most does not meet ratings	Meets or exceeds ▪ % range ▪ Outcome with most meets or exceeds ratings (combined)	Not applicable ▪ % range ▪ (N) range ▪ Outcome with most NA ratings	Comparison
Basic Communication				
2008 2011	▪ 4% - 23% ▪ Conclusion (2010)	▪ 32% - 81% ▪ Syntax (2008)	▪ 0% - 13% ▪ 0 – 12 ▪ Research topic and conclusion (2011)	Ratings in 2011 were lower.
Critical Thinking				
2009 2012	▪ 8% - 10% ▪ Identify, analyze and evaluate and develop well-reasoned arguments (2011)	▪ 46% - 56% ▪ Develop well-reasoned arguments (2008)	▪ <1% - 16% ▪ 1 – 40 ▪ Identify, analyze and evaluate (2008)	Ratings in 2012 were lower.
Information Management				
2008 2011	▪ 7% - 23% ▪ Locate an appropriate variety of information (2008)	▪ 30% - 54% ▪ Evaluate information and resources critically (2011)	▪ 0% - 3% ▪ 0 – 6 ▪ Determine the quality of information needed (2007)	Ratings in 2011 were higher for evaluate information and resources critically and ,lower for attribution of sources.

ASSESSMENT IN THE MAJOR

Appendix 2 presents detailed results for AITM from 2006 to 2012.

Table 3.2 presents selected results from the reviews for each AITM. Each area of study was reviewed once during the comprehensive review period. Column 1 indicates the year when the review took place. Column 2 identifies the percentage range of outcomes rated "does not meet" and highlights the outcome with the highest percentage of does not meet ratings. Column 3 indicates the percentage range of outcomes rated "meets" and "exceeds" and highlights the outcome with the highest percentage of these ratings combined. Column 4 indicates the percentage range and number range of student work samples rated "not applicable" and highlights the outcomes with the highest percentage of NA ratings.

Table 3.2 Highlights of AITM Results by Area of Study

Date	Does not meet ▪ % range ▪ Outcome with most does not meet ratings	Meets or exceeds ▪ % range ▪ Outcome with most meets or exceeds ratings (combined)	Not applicable ▪ % range ▪ (N) range ▪ Outcome with most NA ratings
The Arts			
2010	▪ 5% - 20% ▪ Research skills	▪ 54% - 74% ▪ Understanding historical and cultural contexts	▪ 4% - 60% ▪ 4 – 63 ▪ Technical proficiency in art project and formulation of artistic concepts
Business, Management and Economics			
2011	▪ 0% - 38% ▪ Application of ethics theory	▪ 17% - 89% ▪ Problem recognition (ethics)	▪ 0% - 87% ▪ 0 – 52 ▪ Understanding of cross-cultural aspects of org behavior…
Community and Human Services			
2007	▪ 5% - 31% ▪ Understanding ethics associated with professional practice	▪ 42% - 67% ▪ Helping and problems solving (skills)	▪ 30% - 80% ▪ 55 – 149 ▪ Understanding ethics associated with professional practice
Cultural Studies			
2010	▪ 0% - 6% ▪ Apply theories and/or relevant lines of inquiry and references sources from a variety of areas of studies	▪ 66% - 100% ▪ Creativity and style	▪ 0% - 78% ▪ 0 – 62 ▪ Creativity and style
Historical Studies			
2007	▪ 4% - 67% ▪ Allied disciplines connection	▪ 9% - 57% ▪ Argument presentation	▪ 8% - 44% ▪ 12 – 71 ▪ Allied disciplines connections
Human Development			
2008	▪ 0% - 27% ▪ Thought, emotion and action (domains)	▪ 27% - 46% ▪ Knowledge of social contexts	▪ 3% - 91% ▪ 6 – 191 ▪ Recording/interpreting (scientific method)
Labor Studies			
2008	▪ 1% - 27% ▪ Understand race and gender	▪ 46% - 78% ▪ Examining and communicating	▪ 0% - 69% ▪ 0 – 25 ▪ Methodological perspectives

Date	Does not meet ▪ % range ▪ Outcome with most does not meet ratings	Meets or exceeds ▪ % range ▪ Outcome with most meets or exceeds ratings (combined)	Not applicable ▪ % range ▪ (N) range ▪ Outcome with most NA ratings
Science, Mathematics and Technology			
2012	▪ 0% - 100% ▪ Mathematics concentrations – Critically evaluate results (computer use) and interested parties (science, technology and society);	▪ 0% - 100% ▪ Mathematics concentrations – Can use software tools	▪ 17% - 100% ▪ 5 – 50 ▪ Mathematics concentrations – selects appropriate software
Social Theory, Social Structure and Change (Social Science)			
2007	▪ 3% - 34% ▪ Compare and contrast (comparative perspective)	▪ 15% - 89% ▪ Grammatically correct writing	▪ 0 % - 24% ▪ 0 – 9 ▪ Social groups (comparative perspective)

AREA OF STUDY REVIEW

Appendix 3 presents selected results for AOSR from 2006 to 2012. The tables report data on several dimensions related to the quality of the degree program rationale, concentration design, breadth of study, learning contracts and prior learning reports. Data on additional items included in AOSR are available in the original reports. Each of the following areas of study was reviewed once during the comprehensive review period.

Table 3.3 presents selected results regarding degree program rationales, concentration design and learning contracts for each AOSR. Note that for each degree portfolio only one learning contract was rated. Column 1 indicates the year when the review took place. Column 2 identifies the percentage range of items rated "not at all well" and highlights the outcome with the highest percentage of not at all ratings. Column 3 indicates the percentage range of items rated "fairly," "very" and "extremely" well and highlights the item with the highest percentage of these ratings combined.

Table 3.3 Highlights of AOSR Results by Area of Study: Rationale Essays, Concentration Design and Learning Contracts*

Date	Not at all ▪ % range ▪ Item with most not at all ratings	Fairly, Very or Extremely Well (combined) ▪ % range ▪ Item with most fairly/very/extremely well ratings **
The Arts		
2012	▪ 0% - 38% ▪ Rationale discusses relevant guidelines	▪ 24% - 93% ▪ Rationale explains how program addresses goals
Business, Management and Economics		
2007	▪ 0% - 14% ▪ Learning contract clearly defines learning objectives	▪ 38% - 100% ▪ Overall breadth of study for degree
Community and Human Services		
2007	▪ 0% - 30% ▪ Rationale discusses how program relates to academic/professional expectations	▪ 17% - 95% ▪ Overall breadth of study for degree
Cultural Studies		
2010	▪ 0% - 23% ▪ Rationale discusses relevant guidelines	▪ 50% - 95% ▪ Concentration conforms to applicable specific concentration guidelines
Educational Studies		
2008	▪ 0% - 31% ▪ Learning contract clearly identifies general education knowledge/skills/ competencies	▪ 7% - 83% ▪ Rationale explains how program addresses goals
Human Development		
2008	▪ 0% - 29% ▪ Topics in concentration are sufficiently current	▪ 12% - 94% ▪ Topics in concentration are sufficiently current
Historical Studies		
2007	▪ 0% - 33% ▪ Rationale discusses how program relates to academic/professional expectations	▪ 24% 94% ▪ Concentration is integrated and coherent
Interdisciplinary Studies		
2010	▪ 0% - 57% ▪ Rationale discusses relevant guidelines	▪ 30% - 91% ▪ Overall breadth of study for degree
Labor Studies		
2008	▪ 0% - 23% ▪ Rationale discusses relevant guidelines	▪ 44% - 97% ▪ Topics in concentration are sufficiently current and level of credit in learning contract is appropriate

Date	Not at all ▪ % range ▪ Item with most not at all ratings	Fairly, Very or Extremely Well (combined) ▪ % range ▪ Item with most fairly/very/extremely well ratings *
Social Theory, Social Structure and Change (Social Science)		
2007	▪ 0% - 46% ▪ Rationale discusses how program relates to academic/professional expectations	▪ 31% - 94% ▪ Evidence of progression to advanced study in concentration, overall breadth of study for degree and lean ring contract describes learning activities clearly
Science, Mathematics and Technology		
2012	▪ 0% - 15% ▪ Rationale discusses relevant guidelines	▪ 26% - 88% ▪ Rationale explains how program addresses goals

*See explanatory note in Appendix 3 regarding treatment of "not applicable" ratings.
**Excludes "adequate # of credits in liberal arts/sciences for degree" since results were between 93% and 100% for all areas of study.

Table 3.4 presents selected results regarding prior learning assessment (PLA) reports for each AOSR. Note that if more than one PLA report was available in a degree portfolio, only one report was rated. Column 1 indicates the year when the review took place. Column 2 identifies the percentage range of items rated "definitely no" and highlights the outcome with the highest percentage of definitely no ratings. Column 3 indicates the percentage range of items rated "probably" or definitely" yes and highlights the item with the highest percentage of these ratings combined.

Table 3.4 Highlights of AOSR Results by Area of Study: Prior Learning Assessment Report*

Date	Definitely No ▪ % range ▪ Item with most definitely no ratings	Probably or Definitely Yes (combined) ▪ % range ▪ Item with most probably/definitely yes ratings
The Arts		
2012	▪ 4% - 32% ▪ Report describes nature of learning not just experience and states what SUNY gen ed requirements the PLA satisfies	▪ 11% -73% ▪ Report clearly specifies methods of evaluation
Business, Management and Economics		
2007	▪ 1% - 3% ▪ Report explains if liberal studies credit is recommended	▪ 20% - 56% ▪ Report clearly specifies methods of evaluation, clearly specifies methods of evaluation and recommends title that matches content

Date	**Definitely No** ▪ **% range** ▪ **Item with most definitely no ratings**	**Probably or Definitely Yes (combined)** ▪ **% range** ▪ **Item with most probably/definitely yes ratings**
Community and Human Services		
2007	▪ 1% - 6% ▪ Report clearly specifies methods of evaluation and explains if liberal studies credit is recommended	▪ 6% - 49% ▪ Report recommends title that matches content
Cultural Studies		
2010	▪ 0% - 12% ▪ Report recommends title that matches content	▪ 12% - 63% ▪ Report recommends title that matches content
Educational Studies		
2008	▪ 2% -18% ▪ Report explains if liberal studies credit is recommended	▪ 4% - 62% ▪ Report explains if liberal studies credit is recommended
Human Development		
2008	▪ 0% - 5% ▪ Report clearly specifies methods of evaluation	▪ 1% - 31% ▪ Report recommends title that matches content
Historical Studies		
2007	▪ 0% - 13% ▪ Report clearly specifies methods of evaluation	▪ 0% - 46% ▪ Report recommends title that matches content
Interdisciplinary Studies		
2010	▪ 0% - 17% ▪ Report explains if credit is recommend at advanced level	▪ 2% - 74% ▪ Report recommends title that matches content
Labor Studies		
2008	▪ 0% - 11% ▪ Report explains if liberal studies credit is recommended	▪ 22% - 54% ▪ Report recommends title that matches content
Social Theory, Social Structure and Change (Social Science)		
2007	▪ 7% - 40% ▪ Report states what SUNY gen ed requirements the PLA satisfies	▪ 10% - 73% ▪ Report recommends title that matches content
Science, Mathematics and Technology		
2012	▪ 0% - 6% ▪ Report explains if credit is recommend at advanced level	▪ 6% - 35% ▪ Report recommends title that matches content

*See explanatory note in Appendix 3 regarding treatment of "not applicable" ratings.

DISCUSSION

The GEAR, AITM and AOSR results for the comprehensive review period vary across subject areas and across time. Between 2006 and 2012, there were two GEAR assessments for each subject and one AITM/AOSR for each area of study. Fluctuations between GEAR assessments may reflect actual improvements or declines in student performance and/or methodological factors (e.g., the number and composition of review team participants, sampling limitations, rubric design).

Both GEAR and AITM feature assessment of authentic examples of student work using faculty-created rubrics. For both types of assessment, there were relatively high numbers of "does not meet" or "not applicable" ratings on a number of learning outcomes. These results need careful interpretation during closing the loop activities, as they may indicate one or more issues, such as: (1) the learning outcomes and rubrics need to be refined, (2) selection of student work samples needs to be more closely tailored to learning outcomes and rubrics, (3) student work is simply not meeting expectations, and/or (4) learning opportunities available to students are not designed to elicit the intended learning outcomes.

It is possible to triangulate results for several items in the Area of Study Reviews with selected results from GEAR, especially for Basic Communication and Critical Thinking. Relevant AOSR items include the technical quality and substance of degree program rationales, student demonstration of the minimal level of writing skills expected of a college graduate, student achievement of basic skills expected of a college graduate and the student's overall level of achievement. In general, the AOSR results on such items are fairly strong and they are stronger than for the GEAR assessments. This is to be expected since GEAR includes "non-majors" and students are at various points in their degree studies, while AOSR includes only graduates in the field. Depending on the learning outcomes defined for an area of study, AITM results may also triangulate with results for some of the AOSR items.

CPIE is renewing efforts to overcome methodological limitations in earlier reviews while engaging faculty more meaningfully with assessment processes and results. Results for the comprehensive review period, combined with those for upcoming reviews will provide a basis for closing the loop plans college wide.

NEXT…

Parts 2 and 3 presented methodologies and results for GEAR, AITM and AOSR from 2006 to 2012. Part 4 outlines implications of the forgoing for improving assessment methodologies and Part 5 identifies possible implications for improving student learning outcomes.

PART 4. IMPLICATIONS FOR IMPROVING ASSESSMENT METHODOLOGIES

Within the field of outcomes assessment, a standard of "sufficiency" guides best practices. Suskie states:

> Assessment, like any other form of action research, is disciplined and systematic and uses many of the methodologies of traditional research…aim to keep the benefits of assessment in proportion to the time and resources devoted to them…If you take the time to design assessment reasonably carefully and collect corroborating evidence, your assessment results may be imperfect but will nonetheless give you information that you will be able to use with confidence to make decisions about teaching and learning… (Suskie, 2009: p. 13).
>
> We must …strive to make assessment sufficiently truthful that we will have reasonable confidence in our findings and can use them with enough assurance to make decisions about goals, curricula and teaching strategies (Suskie, 2009: p. 38).

Learning outcomes assessments need to provide a basis for drawing reasonable conclusions about how students are performing and for creating action plans to improve student learning outcomes. This is action research for improving programs. Perfection is not the standard, but sufficiency is. This means methodological soundness and credibility, reasonableness in reviewing results and reaching conclusions and commitment to next steps for action. As Trudy Banta puts it:

> [T]he best question to ask as assessment gets under way is, "What evidence do we need to convince ourselves that we are making a difference in student learning?" (Banta, 2011, p. 42)

The following improvements in our assessment methodologies would address the key limitations identified in Part 2 and establish a stronger basis for faculty dialogue and planning for improvements in programs, practices and outcomes.

IMPROVE SAMPLING

Sampling Methods and Representation—AITM and GEAR
One of the most difficult challenges for AITM and GEAR has been collecting authentic student work samples that represent **all** of the college's undergraduate centers. During the review period, samples have been drawn predominantly, often exclusively, from the Center for Distance Learning. This sampling limitation affects the generalizability of the findings and reduces college wide faculty engagement in outcomes assessment.

The 2013-14 pilot for the Basic Communications GEAR is intended to overcome these limitations by collecting student work samples in a real-time, going-forward fashion during the September 2013 term. Samples are being drawn proportionately from CDL, all 7 regional centers and the Van Arsdale Center for Labor Studies. This is a promising approach that CPIE and faculty will assess carefully.

The college e-Portfolios Task Force continues to work toward establishing comprehensive student e-Portfolios. In the future, representative student work samples could be readily drawn from e-Portfolios for assessment purposes. Likewise, if students have access to assessment rubrics while completing assignments and selecting work for inclusion in their e-Portfolios, the relevancy of the samples would improve.

Comparing sample characteristics with known characteristics of a population is one way to judge how representative as sample is. As samples improve and CPIE provides additional contextual data (see below) in assessment reports, it will be possible to include this kind of analysis of samples.

Cluster Sampling for AOSR
The 2013-14 cluster sampling pilot offers a mixed-methods, qualitative and quantitative approach to AOSR for Community and Human Services, Historical Studies and Social Theory, Social Structure and Change. In successive rating-and-refection rounds reviewing clusters of portfolios in each round, faculty will identify themes, issues, strengths and concerns while engaging in active dialogue at the time of assessment.

CPIE expects that reviewing 60 portfolios per AOS will support consensus-building and yield sufficient information for closing the loop purposes. (See "Cluster Sampling with the AOS Review – Pilot 2013-2014" on the CPIE website for further details.)

IMPROVE RUBRICS FOR GEAR AND AITM

As faculty leadership teams review and revise rubrics for GEAR and AITM, key considerations for outcomes assessment methodology are clarity and transparency. The rubrics define the expected learning outcomes and the "standards" of performance expected at each level (does not meet, approaches, meets, exceeds). Providing samples of student work that illustrate each level of performance may be helpful.

For purposes of assessment and "closing the loop," the language in the rubrics should be accessible and rubrics should be available to all participants in outcomes assessments and study design as well as learners. (See further discussion of rubrics in Part 5 in relation to closing the loop.)

"Not Applicable" vs. "Does Not Meet"
In rubric development, norming and consensus-building, faculty leadership teams and reviewers need to pay particular attention to distinguishing "does not meet" from "not

applicable" ratings. A "not applicable" rating should refer to a work sample for which the assignment did not really provide an opportunity to demonstrate the intended learning outcome. A "does not meet" rating should be used when the student responded to a relevant assignment by submitting work, but that work did not meet expectations.

DEFINE GENERAL EDUCATION LEARNING OUTCOMES FOR "RISING JUNIORS" (GEAR)

The SUNY general education requirements (the basis for GEAR), define expected student achievement at the "rising junior" level. At ESC, many students meet the requirements in advanced-level courses and many advanced-level courses are designated as meeting the GEAR requirements. It is not clear that the ESC faculty-designed rubrics and ratings are calibrated to the "rising-junior" level. Faculty leadership teams who review and revise GEAR rubrics and reviewers who participate in norming and consensus sessions need to establish and apply standards for the rubrics at the expected level.

ALIGN AOSR INSTRUMENT WITH CURRENT ACADEMIC POLICIES

A number of academic policies have changed since the AOSR instrument was last revised. CPIE has revised the instrument for 2013-14 to align it with current policies.

MODIFY REVIEW FORMAT AND EXPAND THE NUMBER OF REVIEWERS

In 2013-14, GEAR, AITM and AOSR will return to a face-to-face format. Reviewers will meet together in Saratoga Springs with provisions made for reviewers who can only participate at a distance. Having a critical mass of participants on site will facilitate faculty dialogue on the application of rubrics and rating instruments during norming and consensus-building sessions and closing the loop activities.

CPIE anticipates 10 reviewers for each assessment: one each from the 7 regional centers and the Van Arsdale Center for Labor Studies (where applicable) and two from CDL. The goal is to expand the range of faculty judgments represented in the assessments and work toward a broader institutional consensus about expectations and outcomes.

ENHANCE NORMING AND CONSENSUS BUILDING

Norming and consensus building among reviewers are essential to the sound assessment of authentic student work (GEAR/AITM) and the review of degree portfolio documents (AOSR). The inclusion of a larger number of reviewers (described above) could make this more challenging; however, the potential to establish a broader consensus on "standards" across the college merits this expansion.

PROVIDE CONTEXTUAL DATA

In 2013-14, CPIE will begin including contextual information for faculty leadership teams, assessors, and those involved in closing the loop efforts. The purpose is to locate methodologies and results within a larger framework. Examples of contextual data include:

GEAR
- Lists of CDL and HVACLS courses and regional-center-based studies designated as meeting each general education requirement
- Total credit hours in each area, by year and center, in designated courses/studies

AITM/AOSR
- Degrees awarded (associate/bachelor's) by year, by demographics, by center
- Retention and years to degree data
- Concentration titles by year

NEXT…

The recommendations in Part 4 focus on improving college outcomes assessment methodologies. Part 5 identifies possible implications of the *Comprehensive Review* for improving academic programs and student learning outcomes.

PART 5. IMPLICATIONS FOR IMPROVING LEARNING OUTCOMES

The phrase "closing the loop" refers to the fourth step in the cycle of continuous improvement articulated by the Middle States Commission and presented in part 1 of this report: reflecting on and "using the results of…assessments to improve teaching and learning." Common closing the loop initiatives include refining key learning outcomes (step 1 in the cycle) and improving the design of learning experiences to achieve those outcomes (step 2 in the cycle). There may also be implications for faculty development, institutional resources and other areas.

Suskie notes:

> There's no point in assessing something that students don't have an opportunity to learn, so curricular review is an important step in the assessment process. (Suskie, 2009: p. 98)
>
> If assessment results are used to improve teaching and learning and inform important planning and budgeting decisions, faculty who care about their teaching, student learning, and their programs will be more inclined to participate. (Suskie, 2009, pp. 83-4)

The purpose of student learning outcomes assessment is to actually improve student learning outcomes. Part 5 identifies a number of considerations and recommendations for closing the loop on college outcomes assessment efforts. This discussion is grounded in the field of outcomes assessment, continuous improvement models such as those discussed in Part I and insights from this comprehensive review of methodologies and results. The intent is to offer faculty and academic staff some **starting points** for meaningful discussion, reflection and action planning related to improving student learning opportunities and outcomes.

CLARIFY THE LOCUS OF RESPONSIBILITY FOR CLOSING THE LOOP

It is challenging to identify the appropriate locus for assessment and closing the loop efforts at Empire State College. General education and AOS studies and courses are broadly distributed across the college, and undergraduate students generally create individually-tailored degree programs that incorporate these learning experiences. The locus of dialogue and responsibility for following up on assessment reports and recommendations is also broadly distributed across the college. To facilitate assessment and closing the loop activities, Appendix 5 outlines how outcomes assessments may align with the areas of study, with curricular teams in CDL and with curricular groups in some of the regional centers.

There are five main venues at Empire State College for closing the loop efforts related to learning outcomes assessments. Closing the loop venues include:

1. Areas of Study – The twelve areas of study represent the degree titles available to undergraduate students (outside of Nursing) at Empire State College. Faculty and academic staff affiliate with one or more areas of study consistent with their expertise and interests.

2. Center for Distance Learning – Faculty from CDL's four curricular teams, center governance (e.g., Curriculum and Academic Quality Committees), and the center's academic leadership (e.g., faculty chair, associate deans, dean) and staff.

3. Regional and Other Centers – Center faculty, center governance (e.g., academic quality committees, faculty curricular groups) and academic leadership (e.g., faculty chairs, associate deans, deans) and staff.

4. College Governance – Committee on Undergraduate Studies and Policies (CUSP).

5. College Administration – Especially OAA (including the Center for Mentoring and Learning) and CPIE, as well as OIT and institutional identification of resource implications and sources.

Participants in these venues are in a position to identify and support important closing the loop actions, such as improving sampling, clarifying intended learning outcomes, reviewing general education designations and being intentional about designing effective learning experiences.

Beyond identifying areas of improvement to be addressed, closing the loop identifies *how* the college will address those areas and *who* will be responsible for it. Arguably, this has been the weakest link in assessment at Empire State College. As reviews are completed, and faculty identify important follow up actions, **the next phases of closing the loop must include documented action plans** detailing the what, when, where, why, and how for improvement to be realized

ENGAGE FACULTY AND BUILD A CULTURE OF ASSESSMENT

Link Assessment with the Scholarship and Practice of Mentoring, Teaching and Learning
The central purpose of any institutional assessment is to improve student learning. Toward that end, it is important for faculty to have opportunities to share expertise and experience, build consensus about expectations for learning, think creatively about designing great student learning opportunities and assess the results.

Many full-time, part-time and adjunct faculty members and academic staff are engaged in the scholarship and practice of teaching and mentoring, and the college can build on that experience while following up on this comprehensive review. The "scholarship of assessment" has emerged as a field in its own right (Banta, 2002), and some faculty might pursue their own scholarly work in this area.

Boyer articulates characteristics of all kinds of scholarly work which readily encompass the scholarship of mentoring, teaching, learning and assessment. Although Boyer is talking about scholarly work, his essential regard for standards of assessment applies equally to assessing scholarly work and assessing learning outcomes:

> …[T]here is a common language in which to discuss the standards for scholarly work of all kinds, a language that enables us to see clearly what discovery, integration, application, and teaching share as scholarly activities. We acknowledge that these six standards – clear goals, adequate preparation, appropriate methods, significant results, effective presentation, and reflective critique – define phases of an intellectual process that are in reality not so nearly categorized. Still, we find value in analyzing the qualities that scholars admire in finished work, while conceding the playful, anarchic, and unpredictable aspects of the life of the mind. (Boyer, 1997, p. 35)

Promote Faculty Dialogue

Returning to face-to-face assessments, carefully designing and facilitating assessment sessions, building larger and more representative review teams, supporting substantive closing the loop discussions and plans, and encouraging relevant scholarly work – these are all steps toward promoting broad faculty dialogue about the substance of academic programs and processes.

Empire State College is geographically dispersed and organizationally complex and most undergraduates pursue individually tailored curricula. As a result, consensus-building conversations among faculty from across the whole college are both valued and limited. Outcomes assessment activities offer important opportunities for meaningful collegial dialogue. On a regular basis, it is important to seek genuine faculty consensus about expectations for learning, to consider how to make those expectations transparent to students, study designers, instructors, etc., to discuss how students are performing and to identify elements of effective learning experiences. These and other questions are important not only to individual mentors or instructors, but also to the faculty as a whole.

Recognize Contributions

The work of assessing learning outcomes and following up on the results is significant for faculty and academic staff. Involvement in this work is an inherent part of mentoring and teaching; it is also a significant form of institutional service. Currently, many faculty members believe that outcomes assessment efforts are an add-on to "regular" faculty work and that they are not recognized by the college. At both the center and college levels, faculty might more fully integrate this work into their roles and identities as faculty members and articulate this as a form of service.

SET INSTITUTIONAL OBJECTIVES

Part 3 presented college assessment results for the 6-year comprehensive review period. One overall observation was that reviewers found a significant (though highly variable) percentage of student work "did not meet" expectations, and another significant percentage "approached" expectations. These results present an opportunity for college discussion of institutional objectives for student achievement.

REFINE LEARNING OUTCOMES STATEMENTS: CLARITY, TRANSPARENCY, VISIBILITY, ALIGNMENT

Among the keys to improving learning experiences and student achievement are being clear about expected learning outcomes and articulating them in a way that is accessible and visible to study developers, instructors and mentors. Both clarity and access are expectations for accreditation.

The college has taken several steps in this regard, and the work continues. As noted in part 1, the college recently adopted college learning goals (see Appendix 4). The college *Academic Assessment Plan* includes an initiative to reframe AOS and concentration guidelines as learning outcomes statements, and encourages alignment between those statements and college learning goals. Work on reframing the AOS guidelines is underway and continues in 2013-14. In addition, as GEAR and AITM occur faculty leadership teams routinely review rubrics to be sure they align with the relevant learning outcomes and are clear and transparent for participants engaged in the reviews.

As the college articulates expected learning outcomes at each level, the outcomes need to be visible. And, as faculty refine the rubrics for outcomes assessments, the rubrics might be made available to students and faculty as added supports to student learning. Finally, faculty need to integrate expected learning outcomes into the outcomes and learning opportunities in studies and courses. The next section discusses this issue more specifically in relation to general education studies.

REVIEW GENERAL EDUCATION DESIGNATIONS

As noted in Part 4, CPIE will include more contextual information with assessment reports to support closing the loop efforts. For GEAR, that includes providing lists of CDL, HVACLS and regional center learning experiences designated as meeting each general education requirement.

Having this information readily available supports faculty review of learning contracts and course information documents to ensure that designated studies (1) explicitly incorporate the learning outcomes for the general education component into the learning outcomes for the course or study and (2) include one or more assignments likely to elicit the intended learning outcomes. Studies that explicitly state learning outcomes (and even include rubrics) consistent

with the SUNY general education outcomes, and that include learning opportunities designed to lead to the intended learning outcomes, are more likely to actually result in those outcomes.

As noted in Parts 3 and 4, reviewers have rated a significant (though variable) percentage of student work samples for general education studies as "not applicable." This means that reviewers found that assignments to which students were responding were not designed to elicit the expected learning. One response to this finding would be to review and revise general education studies to ensure that they actually incorporate and support the expected learning outcomes. Alternatively, the general education designation for a study or course could be omitted.

There are, of course, many and varied ways to incorporate the general education learning outcomes and to design assignments to elicit relevant learning. As well, designated studies or courses are by no means <u>limited</u> to the general education objectives in terms of their purposes and design.

REFINE LEARNING OPPORTUNITIES TO SUPPORT EXPECTED LEARNING

Outcomes assessment can foster creativity in designing learning opportunities that lead to intended learning outcomes. Empire State College faculty members know that a variety of assignments and experiences can lead to a particular learning outcome. Faculty have demonstrated their experience and creativity in designing and mentoring learning experiences that fully integrate college- and program-level learning outcomes.

FACULTY DEVELOPMENT AND THE CENTER FOR MENTORING AND LEARNING

Besides the possible action steps described above, closing the loop activities may address faculty development needs identified during college outcomes assessment. The Center for Mentoring and Learning (CML) addresses faculty development needs college wide. CML offers workshops and programs related to developing and working with rubrics and designing effective learning experiences at the study or course level. Strengthening the link between CML and institutional outcomes assessment is another means for improving student learning outcomes. The areas of study, academic centers and regional and college wide meetings are additional resources.

COLLEGE GOVERNANCE AND OUTCOMES ASSESSMENT

In 2011-12, the Committee on Undergraduate Studies and Policies (CUSP) developed a proposal to form a new standing committee of the college Senate, the Undergraduate Programs and Assessment Committee (UPAC). This was a response to the long-standing concern about a single committee managing CUSP's extensive charge and ongoing agenda, and the undue service burden carried by committee members. The proposal was to revise CUSP's charge to focus on academic policy, to establish UPAC to address new and revised programs and outcomes assessment and to build in representation from the areas of study.

The proposal was approved by the college Senate in December 2011. However, in March 2012 the college Assembly did not accept the proposal to form UPAC, in part because the composition of the committee was a significant departure from the college's usual approach to governance representation. In the aftermath of the Assembly action, the Office of Academic Affairs formed a broadly representative task force to draft the first *Academic Assessment Plan* of the college. The draft plan is currently under college wide review. How best to provide for ongoing college governance related to institutional outcomes assessment remains a question.

NEXT STEPS IN LEARNING OUTCOMES ASSESSMENT

This concludes the first *Comprehensive Review of Methodologies and Results* (CRMR) of institutional leaning outcomes assessment at Empire State College. The report presents the methodologies and results for GEAR, AITM and AOSR from 2006 to 2012, describes recent developments, and offers recommendations for improving methodologies and supporting closing the loop. Addressing methodological issues will enhance the college's capacity to document and assess student achievement. In the near future, closing the loop efforts are likely to center on aligning and integrating programmatic learning outcomes with course and study outcomes and learning opportunities.

The comprehensive review and the draft *Academic Assessment Plan* that is currently under discussion across the college offer complementary perspectives on learning outcomes assessment at Empire State College. Work on the draft *Plan* has informed the comprehensive review, which in turn may contribute to the final draft of the *Plan*. The first of their kind for the college, the two documents suggest how we might strengthen student learning experiences and results.

Having completed this first comprehensive review, CPIE invites further conversation about forms of assessment that may be meaningful to faculty and important to the college and its students. The college's legacy of offering creative, learner-centered education provides a strong foundation for innovation in outcomes assessment.

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SUPPORTING DOCUMENTS AVAILABLE ON THE CPIE AND OAA WEBSITES

CPIE WEBSITE: www.esc.edu/CPIE

> **GEAR AND AITM RUBRICS AND REPORTS (by year and subject or AOS)**
>
> **AOSR INSTRUMENT AND REPORTS (by year and AOS)**
>
> **NEW PUBLICATIONS FROM CPIE**
> *Faculty Quick Guide to Learning Outcomes Assessment 2012-2013* and *2013-2014*
> *Assessment Updates 2012-2013* and *2013-14*
>
> **RECENT DEVELOPMENTS AND EXPERIMENTATION (samples)**
> *GEAR Basic Communications Sampling Pilot 2013-2014*
> *Cluster Sampling with the AOS Review (Pilot Process2013-14*
> *Translating AOS Guidelines into Learning Outcomes (Dawn Riley, power point,*
>   *May 29, 2013)*
>
> **FACULTY ORIENTATIONS (sample)**
> *Narrated Power Point (update forthcoming)*

OAA WEBSITE: www.esc.edu/OAA

> *ACADEMIC ASSESSMENT PLAN* **(draft, July, 2013)**

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LIST OF APPENDICES

2014
Academic Assessment Plan

STATE UNIVERSITY OF NEW YORK
EMPIRE STATE COLLEGE

Introduction

At the most fundamental level, assessment of student learning is important to SUNY Empire State College because it assists us in providing the best possible educational experience for our students. Assessment also is critically important because it enables us to verify student achievement of learning outcomes, validate academic quality, provide a pathway for improvements at the course and program level, demonstrate student achievement of the college's learning goals, and affirm institutional effectiveness. Finally, it assists us in demonstrating accountability to accrediting and regulatory agencies. Assessing and reporting outcomes also can provide evidence of the effectiveness of the distinctive approach to individualized and self-directed learning offered by Empire State College.

Assessment of student learning is consistent with the college's commitment to academic excellence. It allows us to demonstrate to ourselves where we are succeeding and where we need to improve. The college introduced a system of area of study reviews in the 1980s in which faculty panels reviewed the quality of the contents of student portfolios. This was a pioneering effort to gain an overview of how academic programs were being designed. Subsequently, SUNY began to require outcomes assessment in general education (GEAR) and in the major (AITM). Additionally, the Middle States Commission on Higher Education requires colleges to articulate and assess learning outcomes to both evaluate student learning and inform teaching, programmatic and resource allocation decisions. The college responded by developing methods of assessment that used samples of student work from learning contracts that were evaluated by faculty using internally-designed rubrics.

While the college currently engages in extensive assessment practices, it has been lacking a comprehensive and coherent plan that commits college resources to connecting, aligning and documenting the many and varied assessment processes from pre-enrollment through graduation. This plan will improve upon and expand existing efforts to, and resources for, learning outcomes assessment at Empire State College and inform decisions on student, program and collegewide levels. Overarching all of these, the centrality of student-directed learning as an organizing principle and the distinguishing hallmark of an Empire State College education aligns the Academic Assessment Plan with the Academic Plan, the college's mission and core values.

Objectives for Assessment of Students' Learning and College Programs

The college's Academic Plan presents the assessment of student learning outcomes as a key objective to meet the goal of creating effective, rich and flexible learning environments. The plan calls for the first iteration of an integrated outcomes assessment framework to be developed by 2013. This document addresses that objective.

The fundamental aim of the assessment of student learning outcomes is to ask whether an institution has enabled students to meet both the institution's and the students' learning goals. Learning goals are articulated at the institutional level (college-level learning goals), for each program (undergraduate areas of study and graduate and professional programs), for general education, and for individual learning contracts and courses. All learning goals should be congruent with the broader mission and plans of the college and a comprehensive, coherent academic assessment plan provides a framework to support the alignment of goals at every level.

The college's core values and academic plan emphasize the central role of self-directed Learning (SDL), in which students work closely with mentors and share in the "responsibility for active and constructive engagement in the charting and governance of their own educational experience." Educational research on outcomes assessment in adult learning demonstrates the relationship between SDL skills and successful learning outcomes. For these reasons, the development of SDL skills is infused in the college's goals for institutional effectiveness and as a priority in the assessment of student learning.

Individual student learning is assessed by the faculty member responsible for a course or learning contract, and that faculty member determines the grade and award of credit for that course or contract within the parameters of college policy and according to the formative assessment framework established within the learning contract. The college also must assess its overall effectiveness in enabling students to reach desired goals at all levels, and this assessment plan guides that effort. This section outlines strategies for assessment at each level.

Personal/Individual Student Learning Goals

Objective: Develop more consistent and systematic early assessment to support students' articulation of personal goals and their understanding of college goals.

Objective: Link early assessment to students' learning as they progress toward degree completion.

All entering students will articulate their own personal learning goals, while also becoming aware of the college's college-level learning goals. Conducting an early or "front-end assessment" will identify needs and goals for learning across the lifespan of a student's education. Front-end assessment is the first step of a much longer formative assessment process in which the student learns more about learning goals (his/her own and the college's) and the college learns more about the student, his/her academic profile and his/her learning objectives. Further, as students gain confidence and acquire new SDL skills over time, they should be given ongoing mentored opportunities to reflect on their goals and revise them as needed.

This first step creates the collaborative effort necessary to work successfully at Empire State College. It is a means of establishing a context in which students understand Empire State College and members of the college community understand new and continuing students. Front-end assessment will allow faculty to advise students effectively so that they can achieve both their own personal learning goals and the college's stated learning goals at every level.

A collegewide group has been studying the use of ePortfolios as a potential means to support mentor/student communication about learning and student reflection on their learning in relation to their personal learning goals and program level goals. It can enable students nearing completion of their programs to reflect on the personal goals they articulated in the front-end assessment process and their evolution and attainment. The use of an ePortfolio may serve as one option for facilitating assessment of individual goals, with a focus on assessing the value added by the student's engagement with learning at Empire State College.

Study-Level Learning Outcomes

Objective: Develop methods to ensure the quality of learning contracts and courses and to assess student learning at the level of the individual study.

A recent revision to the learning contract policy requires all learning contracts and courses to contain clear statements of expected learning outcomes and to lay out a plan for formative assessment during the term of study. The Academic Assessment Plan proposes that these learning contract outcomes need to align explicitly with areas of study, concentration (where specified), general education and overall college-level learning goals (while no one study will cover all of these goals, the collection of studies together, as proposed in the degree plan, should cover each of them fully). At the same time, these defined goals should reflect students' own goal-setting, particularly as they develop SDL skills.

This effort will augment the review of learning contracts that is built into the area of study review (AOSR) that is conducted concurrently with assessment in the major (AITM) for undergraduate programs of study. It is recommended that samples of student work completed in the learning contract or course be examined, as well as the learning contract document itself, in order to ensure that learning activities are aligned with the study's learning objectives. The current undergraduate AOS review process is global, with a single rating of the overall quality of all learning contracts in a student portfolio. Adding direct assessment of student learning, from individualized contract studies and from standardized courses, will drive the process to be an assessment of the impact of learning contracts on student learning. This process will provide a strong basis for improvement of learning and practice, both in individualized educational opportunities and in standardized course offerings. Similar processes can be applied for graduate programs based on the respective academic review and curricular guidelines of the graduate study.

Program-Level Learning Outcomes

Objective: Clarify learning outcomes expectations for all areas of study and other academic programs.

Objective: Enhance existing program assessment methods to ensure that representative samples of student work are reviewed.

Currently, the college's faculty articulate expected learning outcomes for every academic program through the undergraduate area of study guidelines, undergraduate general education competencies, and curricula for graduate programs and the RN to B.S. in Nursing. The degree planning process is a time when mentors and students should collaborate to ensure that students are meeting the learning outcomes proposed at the program level.

The college has several mechanisms in place to assess programs for improvement. At the undergraduate level, for the assessment in the major (AITM) and general education assessment review (GEAR), faculty evaluate the quality of student work and college documentation of that work. While faculty assessment of samples of student work follows best practice in direct assessment of student learning, this method is labor-intensive and has problems of sampling, as regional centers tend to be underrepresented compared to online programs where all student work is archived in the learning management system. The value of these assessments will be enhanced by improvements in sampling

that the wide use of ePortfolios will support. The ultimate purpose of these processes is to ensure that students are truly attaining the appropriate learning outcomes necessary for their own education, through a variety of course offerings and learning experiences.

The undergraduate Area of Study Review (AOSR) identifies improvements that can contribute to higher quality degree programs and portfolios. The Office of Academic Affairs uses the information from the AITM, GEAR and AOSR to support further reflection and action for improvement by faculty and academic professionals. Additional "closing the loop" activities (description to follow) will ensure that the work undertaken in the AITM, GEAR and AOSR is useful and available to the college community.

The School for Graduate Studies has an assessment plan for each degree program area. Some programs at the undergraduate and graduate level also adhere to additional professional accreditation standards. Additionally, structured programs, approved by the college, might have specific assessment needs.

College-Level Learning Goals

Objective: Ensure that area of study guidelines, program requirements and individual degree program design incorporate college-level learning goals.

In 2011, the college adopted college-level learning goals that apply across all programs at the undergraduate and graduate level (these learning goals are presented in the Executive Summary of the Academic Plan). Areas of Study and other academic programs (graduate, nursing) have been asked to review their guidelines or program requirements to ensure that students will likely achieve the college-level learning goals. Further, Areas of Study will undertake the academic oversight of any new programs, according to the framework laid out in this plan. In particular, any prestructured and/or registered programs must be included within each of the assessment initiatives and have the appropriate academic oversight of the relevant AOS.

Area of study guidelines reviews ensure that the principles that help guide students' degree planning not only reflect the overarching priorities of the individual programs/areas of study, but also incorporate learning that is reflective of each of the college-level learning goals. At the undergraduate level, the AOSR will evaluate how effectively the actual work of students in a single area of study is being designed to address both the AOS guidelines and college-level learning goals. Each graduate program will oversee its own curriculum guidelines as they apply to the academic plan for the School for Graduate Studies.

Portfolio and Graduation Review

Objective: Enhance degree program development and review processes so that they are more transparent, more focused on learning goals and outcomes, and more supportive of student reflection on their own learning.

Portfolio review (by faculty assessment committees) and graduation review (by center offices of academic review and the registrar's office) represent official points of assessment of student learning to ensure that students are meeting the college's learning goals and their own goals. Students should be aware of these review points from the moment they enter Empire State College; transparency of this process is essential. Review of portfolios offers an opportunity to evaluate an individual students' plan for learning as compared to personal, program and college goals, as well as to accumulate data within individual programs to evaluate whether program-level learning objectives are effectively being

met by students in those programs. This process will encourage continued creativity in degree program design by reiterating the connections between individual student goals and the educational experiences created to meet those goals.

Closing the Loop

Objective: Ensure that the results of outcomes assessment are widely disseminated, discussed, and used to improve teaching and learning.

The assessment of student learning in individual learning contracts and courses and in degree programs is not an end in itself. Institutions of higher education are required to conduct an assessment of student learning outcomes to guide improvements in teaching, learning, academic programs, and academic processes and services. Accrediting bodies characterize a good outcomes assessment plan as one that "closes the loop" by using the assessment results to improve academic quality. This closing the loop process allows the college to document a culture of continuous improvement, as required by Middle States Commission on Higher Education and aspired to by the Empire State College community. The "closing the loop" activities will begin with faculty (through their work in individual studies and in GEAR, AITM and AOSR), proceed to C-PIE/OAA (with the reflections on GEAR, AITM and AOSR), continue to the appropriate governance committee (for reflection on the assessment processes undertaken at the college, in individual studies as well as in GEAR, AITM, AOSR and Closing the Loop 2), and return to the faculty, who will use the outcomes of these various activities to plan and implement changes in practice.

Undergraduate Programs

In order to close the loop on assessment activities, this plan proposes that the college adds an additional step to the current process, thereby employing a three-stage process that builds on activities currently associated with AITM, AOSR and GEAR.

Presently, Closing the Loop 1 consists of a discussion among the faculty who participate in the AITM, GEAR and AOSR. They reflect on the process and report preliminary impressions and conclusions to the Center for Planning and Institutional Effectiveness or individual Areas of Study, as appropriate.

Closing the Loop 2 consists of faculty involved in the GEAR, AITM and AOSR leading a review within their Area of Study of the report written by C-PIE. The AOS develops an action plan with specific recommendations to address areas for improvement supported by the assessment results.

Closing the Loop 3 highlights the working relationship between Areas of Study and the Office of Academic Affairs. Areas of Study will carry out action plans created in CTL 2, and OAA will work with AOSs to ensure proposed changes have been implemented. Areas of Study will review results and propose new plans and strategies in successive cycles of continuous improvement. They may consult with C-PIE during the development of those plans. Outcomes assessment results also will be reported to the appropriate governance committees (CUSP for undergraduate programs and GSPC for graduate programs). CUSP and GSPC will review assessment as it occurs across the college.

The School for Graduate Studies has articulated its own assessment plan, which aligns with this collegewide plan. For details on this plan, see the School of Graduate Studies Academic Plan.

The Role of Governance in Student Learning Outcomes Assessment

The Committee on Undergraduate Studies and Policies (CUSP) and the Graduate Studies and Policies Committee (GSPC) are the two governance committees charged in the college bylaws with oversight of outcomes assessment and program review. These committees will be responsible, with the support of OAA and C-PIE, for choosing the appropriate methods and venues for disseminating the results of these assessment activities in order to inform and improve academic programs, policies and procedures. These committees' response will link the internal work of assessment (evidenced in the ongoing work of each AOS and in the work of C-PIE) to external assessments of the college's work (including through the Middle States accreditation process). The goal of these committees' review will be to clearly state what the college is doing in terms of assessment and how it needs to improve. Periodically, these governance committees will disseminate more comprehensive reflections of assessment to the college, allowing all of the reports and reflections undertaken by members of the Empire State College community to have a more visible presence.

AAPTF Members and Affiliations (Centers, AOS, Titles)

Name	Role	AOS/Program	Center
Sabrina Fuchs Abrams	AOS Co-Convenor	Cultural Studies/ MALS	Grad
Bob Carey	GSPC Representative	Historical Studies	Metro
Nan DiBello	Dean	Public Affairs	NFC
Shelley Dixon	Chairwoman		OAA
Gregory Edwards	Faculty	Historical Studies	NFC
John Eisler	Associate Dean		NEC/CDL
Joyce Elliott	Faculty Associate/ Director of Outcomes (7/1/13)	Social Science	CDL/C-PIE
Marnie Evans	DAR	Historical/Interdisciplinary	Metro
Jonathan Franz	Dean		GVC
Linda Hamell	DAS		HVC
Rebecca Hegel (Bridget Nettleton)	Faculty (dean)	Nursing	Nursing
Dongho Kim	Faculty	BME	CNYC
Mindy Kronenberg	Faculty	Cultural Studies	LIC
Marjorie Lavin	Vice Provost		OAA
Thalia MacMillan	AOS Co-Convenor	CHS	CDL
Mary Mawn	Faculty	SMT	CDL
Mark Miyake	AOS Convenor	Arts	HVC
Anastasia Pratt	CUSP Representative	Historical Studies	NEC/Grad
Heather Reynolds	Faculty	MAT	Grad
Dawn Riley	Interim Dir. of Outcomes		C-PIE
Roz Rufer	Faculty	Business	Grad
Jim Savitt	Faculty Chairman	Public Affairs	CDL
Michael Spitzer	Dean		LIC
Sharon Szymanski	Faculty	Labor Studies	HVACLS
Peggy Tally	Faculty	M.A. programs	Grad
Angela TitiAmayah	Faculty	BME/Interdisciplinary	GVC
Amy Tweedy	DAR	Social Science	CDL
Jordan Wright	AOS Convenor Faculty Co-Chaiman	Human Development	Metro
Jim Wunsch	Faculty	Educational Studies	Metro

The Mission of SUNY Empire State College

SUNY Empire State College's dedicated faculty and staff use innovative, alternative and flexible approaches to open, higher education that transform people and communities by providing rigorous programs that connect individuals' unique and diverse lives to their personal learning goals.

SUNY The State University of New York

SUPPLEMENTARY MATERIAL

In order to fulfill the goals set forth by the Academic Assessment Plan, an implementation group must be established. Although the implementation group might include members of the original Academic Assessment Plan Task Force, it is recommended that the group include a representative of OAA and the faculty associate/director of outcomes assessment as a representative of C-PIE, as well as a representative from CUSP and a representative from GSPC, the two governance bodies charged with oversight of outcomes assessment and program review, with additional members representing the college's various centers, programs, areas of study and functional roles. We believe that a committee composed of these various constituencies will better serve our collective desire to meet our collegewide learning objectives and to serve students in the best and most effective way possible.

This document includes several suggestions for the implementation of the Academic Assessment Plan. Principally proposed by faculty members and professional employees, the suggestions for the implementation group are based on research conducted throughout the Academic Assessment Plan Task Force's tenure. Among the topics researched were:

- Communications at Empire State College
  What works? What does not work? What policies are in place to guide communications at the college?;

- Current assessment processes
  What are the respective roles of the AOS, OAA and governance bodies in AITM, GEAR and AOS reviews? What work is completed within AITM, GEAR, and AOS reviews? What happens to that work after the review is completed? What do the AOS, OAA and governance bodies want to happen once the review is completed?;

- Current degree program assessment and concurrence processes
  What happens in the process most commonly known as "assessment" at Empire State College? What role do students play in this process? How is the assessment process that leads to concurrence of a degree program useful within the larger conversation about assessment?;

- Revised learning contract policies
  What is the current learning contract policy? How have changes in that policy allowed us to be more open and transparent about our learning goals? How have changes allowed students to be clearer about their learning goals? How do those learning contracts fit within the larger conversation about assessment?;

- Front-end assessment activities
  What do students know about Empire State College when they arrive as prospective students and then as admitted students? What do students know about themselves and their learning objectives at admission? What does Empire State College know about students at their admission to the college? What do we want to know? How can we get that information more successfully so that we can help students achieve their learning goals? How can we get information about the college to students in a more consistent and systematic fashion?

- Middle States standards
  What are the Middle States standards surrounding assessment? How has Empire State College addressed those standards in the past? How did the accrediting body respond to our work in assessment? How do we document a culture of "continuous improvement" for Middle States while creating a culture of assessment that is meaningful for us and for our students?

- Empire State College's mission and commitments, Academic Plan and Strategic Plan
  What have we already agreed to do? What work do we have left? How does academic assessment fit within our various goals and objectives?

The Academic Assessment Plan, in order to be meaningful and successful, must be visible and accessible to the entire Empire State College community. We suggest that the plan and the procedures for carrying out that plan be published on multiple college websites, including those of the Office of Academic Affairs, Center for Planning and Institutional Effectiveness, Center for Mentoring and Learning, Areas of Study and in the Policy and Procedures Manual. Further, we suggest that updates to the policy, as well as periodic reports springing from the comprehensive review of assessment completed by CUSP and GSPC, be included in the governance committees' minutes and on the appropriate governance websites.

I. Recommendations for Implementation

In order to fully realize this comprehensive Academic Assessment Plan, there are a number of recommendations that will facilitate its implementation. These recommendations include reviewing the process for GEAR, AITM and AOSR, and program reviews in graduate studies, implementing ePortfolios for assessment purposes, and developing a communication plan for assessment.

The proposed implementation plan projects a graduated roll-out over a three-year period. The first year will focus on gathering specific data on assessment activities at the college, developing tools to improve existing practices, and establishing groups responsible for the different assessment activities. The second year will focus on implementing the assessment plan as laid out in this document (and the subsequent appendices). The third year will focus on analyzing the effectiveness of the assessment activities as implemented in the second year and revising this plan as necessary.

The Office of Academic Affairs and the Center for Planning and Institutional Effectiveness will collaborate to provide administrative coordination and support of the implementation process. The Office of Academic Affairs will provide regular reports to CUSP and GPSC and consult on policy and program revisions with each of these committees in their respective areas of responsibility, as needed.

Personal/Individual Student Learning Goals

Objective: Develop more consistent and systematic early assessment to support students' articulation of personal goals and their understanding of college goals.

Objective: Link early assessment to students' learning as they progress toward degree completion.

Implementation Tasks	Year 1 – Establish and Integrate	Year 2 – Implement	Year 3 – Analyze and Revise
Establish a process for Front-End Assessment	Develop front-end assessment process based on recommendations from DAS and AAPTF (see Appendix). Include the use of ePortfolios for students' personal learning goals.	Implement front-end assessment process	Self-analysis of front-end assessment process

Study-Level Learning Outcomes

Objective: Develop methods to ensure the quality of learning contracts and courses and to assess student learning at the level of the individual study.

Implementation Tasks	Year 1 – Establish and Integrate	Year 2 – Implement	Year 3 – Analyze and Revise
Establish a process for reviewing individual learning contract outcomes	Conduct reviews of samples of recent learning contracts to ascertain whether provisions of the being met;	Develop training and resources to provide a basis for professional development, materials development, and recognition of exemplary practice;	Review the impact of training and other supports on the quality of learning contract design, with particular focus on the congruence between expected learning outcomes and learning activities and grading.

Program-Level Learning Outcomes

Objective: Clarify learning outcomes expectations for all areas of study and other academic programs.

Objective: Enhance existing program assessment methods to ensure that representative samples of student work are reviewed.

College-Level Learning Goals

Objective: Ensure that area of study guidelines, program requirements and individual degree program design incorporate college-level learning goals.

Implementation Tasks	Year 1 – Establish and Integrate	Year 2 – Implement	Year 3 – Analyze and Revise
Review and improve assessment process – AOS/AITM and graduate programs.	Establish a tool to collect feedback on the process of conducting AOSR/AITM and graduate programs. Each AOS and graduate program will examine their revised guidelines and will conduct a self-assessment of the changes to the guidelines.	Examine results of feedback on the process from previous year AOSR/AITM assessment and graduate program assessment. Implement changes if needed for future reviews. Each AOS and graduate program will examine the results of the self-assessment and determine what additional changes are necessary.	Examine results of feedback on the process from previous year GEAR assessment and implement changes if needed for current year. Review GEAR rubrics and assessment practices for the coming year. Utilize the rubrics established by the working group for that area. The working group would examine the GEAR rubric for that area to determine if changes are needed

Portfolio and Graduation Review

Objective: Enhance degree program development and review processes so that they are more transparent, more focused on learning goals and outcomes, and more supportive of student reflection on their own learning.

Implementation Tasks	Year 1 – Establish and Integrate	Year 2 – Implement	Year 3 – Analyze and Revise
Establish the use of ePortfolios for AOS/AITM and graduate programs.	Develop a plan for the use of ePortfolios for AOS/AITM and graduate programs, including appropriate training as necessary.	Pilot use of ePortfolios into assessment process for the AOSR/AITM and graduate programs – pilot with one or two AOS groups and one or two graduate programs. Evaluate the pilot use of ePortfolios in the one or two areas. Determine one or two more areas to pilot.	Continue to pilot use of ePortfolios in assessment process for the AOSR/AITM and graduate program review – pilot with another one or two AOS groups and graduate programs. Evaluate the pilot use of ePortfolios in the one or two areas. Determine one or two more areas to pilot.

Closing the Loop

Objective: Ensure that the results of outcomes assessment are widely disseminated, discussed and used to improve teaching and learning.

Implementation Tasks	Year 1 – Establish and Integrate	Year 2 – Implement	Year 3 – Analyze and Revise
Communication Plan: In order to foster a culture of assessment across the college, we will pursue an ongoing communication strategy to explain the features of the Academic Assessment Plan and facilitate closing the loop activities.	1. Center for Mentoring and Learning website, and connected to C-PIE and OAA. This website will: • Publicize the GEAR and AITM/AOSR schedules. • House all rubrics designed for GEAR, AITM and AOSR. • House all Closing the Loop 1 and 2 reports. • Provide or link to resources related to outcomes assessment, including: ■ professional development opportunities, e.g., conferences/meetings ■ webinars/workshops for skill development in writing learning outcomes and designing activities that link to desired outcomes • scholarship/research activities and opportunities 2. Establish an advisory committee for assessment, co-chaired by the faculty associate/director of outcomes and a faculty member, that will oversee the implementation of the plan. Membership should include representation from all academic centers and AOS/programs, as well as CUSP and GSPC. 3. Provide regular reports to CUSP, GSPC, deans, associate deans, Area of Study conveners, and faculty and program chairs. 4. Establish routine communications – through Exchange, CML, OAA blog, e-newsletter – to keep the college community updated on assessment activities. 5. Encourage routine assessment activity reports at monthly center meetings.	Ongoing	Ongoing

Supporting Activities

Implementation Tasks	Year 1 – Establish and Integrate	Year 2 – Implement	Year 3 – Analyze and Revise
Develop and deliver training on assessment tools, strategies and pedagogy.	Identify professional development needs for assessment. Provide training opportunities for faculty who want to learn/improve their ability in assessing student learning in relation to learning objectives on learning contracts for studies. Develop training for the use of ePortfolios.	Offer professional development opportunities through various modalities for learning about assessment and ePortfolios.	Offer professional development opportunities through various modalities for learning about assessment and ePortfolios.
Establish the use of ePortfolios for GEAR	Develop a plan for the use of ePortfolios for GEAR. Develop training for the use of ePortfolios.	Pilot use of ePortfolios into assessment process for GEAR – pilot in the two areas. Evaluate the pilot use of ePortfolios in the two areas. Determine two more areas to pilot	Pilot use of ePortfolios into assessment process for GEAR – pilot with one or two gen. ed. areas. Evaluate the pilot use of ePortfolios in the two areas. Determine two more areas to pilot
Establish workgroup for assessment plan, evaluation and recommendations	Establish ongoing assessment work group to keep the work going, co-chaired by faculty and OAA. The faculty representative(s) will be selected by the faculty.	Review the activities noted previously. Update the assessment plan as needed.	Review the activities noted previously. Update the assessment plan as needed.
Establish a recognition program	Identify mentors and others who are doing exemplary and creative outcomes assessment work in their studies/work already.	Find a way to recognize those doing good work in outcomes assessment, including supporting those mentors in publicizing their methods, mentoring other mentors, presenting and generally gaining exposure for their excellent work.	Continue to capitalize on the good outcomes assessment work being done across the college, continuing to support and incentivize excellent assessment efforts.

II. Middle States Standards

The Middle States Commission on Higher Education has established standards for assessment. Standard 14 explicitly states the criteria for assessing student learning. To meet the standards, colleges must comply with four components:

- Develop clearly articulated learning outcomes; the knowledge, skills and competencies that students are expected to exhibit upon successful completion of a course, academic program, co-curricular program, general education requirement, or other specific set of experiences;

- Offer courses, programs and experiences that provide purposeful opportunities for students to achieve those learning outcomes;

- Assess student achievement of those learning outcomes; and

- Use the results of those assessments to improve teaching and learning and inform planning and resource allocation decisions (from Assessing Student Learning and Institutional Effectiveness; Understanding Middle States Expectations, MSCHE, 2005).

III. Governance Responsibility and Oversight

The Committee on Undergraduate Studies and Policies (CUSP) is charged with acting "for the faculty on academic issues that require their study, recommendations and approval in all matters impacting undergraduate programs, services and policies." The Graduate Studies and Policies Committee (GSPC) has a similar charge for the graduate programs. The Academic Assessment Plan, including the development and review of various assessment processes, falls within the scope of both of these governance committees.

Governance should occur through an extension of the processes already in effect at Empire State College. At the undergraduate level, Closing the Loop 2 reports, which include GEAR reports, Assessments in the Majors and Closing the Loop 1 reports, will be provided to CUSP by C-PIE and/or individual Areas of Study so that CUSP may review assessment as it occurs across the college. Given that the GEAR reviews occur on a three-year cycle and the assessments in the majors occur on a six-year cycle, CUSP will not review every general education category or AOS report every year.

Assessment should be structured within the framework of AOS guidelines and through the ongoing work of each AOS. In order for this process to be meaningful, those guidelines should point out the learning objectives and goals that are important for each AOS so that individual learning contracts can explain which objectives and goals were met within a specific study. That linking of objectives and goals with outcomes will make the assessment process easier to understand and evaluate.

CUSP's review of the Closing the Loop 2 reports will require a 13th meeting each year. At this meeting, CUSP will review the AOS reports (Closing the Loop 2) and respond to that report according to the dimensions and criteria of a faculty-designed rubric. CUSP's response would link the internal work of assessment (evidenced in the ongoing work of each AOS and in the work of C-PIE) to external assessments of our work (especially through the Middle States accreditation process). The goal of CUSP's review would be to clearly state what we are doing in terms of assessment and how we need to improve. Periodically, CUSP will disseminate more comprehensive reflections of assessment to the college, allowing all of the reports and reflections undertaken by members of the Empire State College community to have a more visible presence.

The Graduate Studies and Policy Committee will work with the School for Graduate Studies to establish appropriate processes for reviewing and disseminating information regarding the assessment reports of the graduate programs.

This process should adapt to the work of the college as necessary.

IV. Process for Developing and Updating the Academic Assessment Plan

The Academic Assessment Plan Task Force (AAPTF) comprises faculty, professionals and administrators representing all undergraduate areas of study, graduate programs, undergraduate regional centers, the Center for Distance Learning, and the Office of Academic Affairs, including academic support and academic review (see Appendix A for task force membership). The task force met in August 2012 for a two-day retreat to examine and discuss the need for an academic assessment plan and its context within the Empire State College environment, identify the current and ongoing assessment activities, and identify gaps in the process.

During the 2012 Fall Academic Conference, the AAPTF held two online information sessions (via Blackboard Collaborate) for the college community to share the work in progress on the development of the Academic Assessment Plan and to welcome any suggestions. An initial first draft of the plan was shared through governance committees and center discussion forums from January - March 2013, with invitations for feedback. Additional sessions to discuss the proposed plan were held during the All College Conference in March 2013. The task force reconvened in April 2013 for a face-to-face meeting to review all the input received and to revise the working draft. The final draft of the plan was presented to the provost in June 2013, and submitted to CUSP and GSPC for governance review and approval in fall 2013.

The Academic Assessment Plan will be reviewed and updated annually, and assessment findings will be used to revise and refine the academic program.

V. School of Nursing Assessment Plan
RN to B.S. in Nursing

Assessment in courses: the School of Nursing uses rubrics for grading both discussion boards and written assignments. Newly revised rubrics have been implemented in the fall 2013 nursing courses. Courses are assessed in terms of achieving the course outcomes by linking those outcomes to the learning activities. Other elements of assessment for the courses are data related to course completion rates (tracked by C-PIE) and end of course evaluation (also tracked by C-PIE).

Assessment of the program: surveys are conducted with graduates at time of exit, with alumni at one year after program completion, and with employers at one year after program completion (names provided by graduates). The surveys measure satisfaction with the program and the graduates' abilities to demonstrate achievement of program outcomes. In addition, the program collects information on pass rates for certification examinations, enrollment in graduate degree programs and any new positions or promotions received as a result of degree completion. The surveys are generated and analyzed by C-PIE.

VI. A Plan for Implementing Undergraduate Front-End Assessment: Rethinking Admissions and Orientation

Preliminary to the creation of a full assessment plan that considers all areas of study and levels of program, we need to create an information-rich environment. Knowing more about ourselves, our students and our collective learning goals (on the college, program, course and individual levels) will allow us to develop and adapt an assessment structure and to support our students' learning in effective and meaningful ways. This first step is not diagnostic; rather, it is a means of establishing a context in which students understand Empire State College and members of the college community understand the students who are entering the college for the first time and the students who are continuing their studies. This process of gathering more information will allow us to advise students effectively so that they can achieve both their learning goals and the college's stated learning goals at every level.

This process is happening throughout Empire State College, through the admissions and orientation processes. Through allowing students an easier means of reviewing and assessing their own learning goals and outcomes, the ePortfolio system encourages both the sharing of information and the creation of a series of learning goals that lead directly to a degree program, rationale essay and lifelong learning (including the potential of graduate school). No one self-assessment tool is sufficient for this work. In order for this process to be effective, students will need support (to help them know what they know, what they do not know, and what they do not realize they do not know) and will need to continue the self-assessment process from entry (orientation) through graduation.

The directors of academic support offer the following plan on how to gather and use this early information:

Admissions Assessment Practices

In alignment with Academic Plan objective B2.1, we formally recommend the following practices:

- A more comprehensive review of applicants' academic profile, including college and/or high school transcripts
  Rationale – Currently, an individual's acceptance is based solely on one variable, the application essay. In line with current research, more than one variable should be utilized to determine a student's admissibility.

- Develop a new application assessment prompt and rubric for use at the point of admission. Review, reassess and revise the prompt and rubric every three years.
  Rationale – The majority of students who enter ESC have some prior college-level learning and many are entering advanced-level studies in their first term at ESC. The current prompt evaluates rudimentary writing skills rather than more advanced skills required for ESC's writing-intensive environment and in advanced-level studies.

- Evaluate current pre-admission secondary assessment process
  Rationale – The current secondary assessment may no longer be necessary if the suggested admissions process revisions are implemented.

Baseline Intake Assessment (post acceptance through first two enrollments)

In alignment with Academic Plan objectives B2.2, B2.3 and B3.3, we recommend the following practices:

- All incoming students should be assessed or assess themselves in the following competency areas

  writing, reading and critical thinking (using an integrated assessment tool)
  computer/technology literacy
  academic readiness
  information literacy
  Rationale –
  a) The college needs to establish baseline assessment data on all students so that students' achievement of outcomes can be evaluated and measured. The intake assessments should be designed to fit into students' ePortfolios where they can eventually be compared to students' later artifacts (reflections, etc).
  b) More comprehensive assessment practices will help learners determine their specific strengths and areas in need of development prior to beginning their studies. Furthermore, such activities will enhance students' academic self-development during their time at the college.

- For certain areas of study and concentrations, additional assessment practices may be necessary, for example:
  Quantitative Literacy
  Rationale – It is recognized that many students entering the college have met the quantitative requirements for their programs through advanced-standing credits. Only those learners in need of additional quantitative studies should engage in quantitative literacy assessment for more accurate advisement and study selection.

Support for this work needs to come throughout each student's educational journey. Students, mentors (primary mentor and study instructor, as applicable) and directors of academic support (DAS) will use the information gathered in an ePortfolio to offer guidance, formative assessment and assistance.

Others may need to access this ePortfolio system in order to assist with formative assessment and the development of appropriate educational experiences for the student. The information may also be used for programmatic review of a course, a learning objective or a larger program, AOS or college goal. Some of this assessment may be fueled by the learning technologies used by Empire State College.

In addition, official points of assessment of student learning should be established to ensure that students are meeting the college's learning goals and their own goals. Students should be aware of these review points from the moment they enter Empire State College. The transparency of that process is essential; students should expect and understand the purpose of these reviews as moments of formative assessment and intervention to offer academic support as needed. Among the natural stopping points for a review include:

- at the end of Educational Planning (before an outcome is submitted to the grading system);

- at the completion of the first 32 credits or prior to beginning the final 16 credits (whichever comes first);

- at concurrence; and

- when a student is in Academic Warning or Satisfactory Academic Progress Warning.

Natural moments of review for the college and programs are at the completion of concentration, which would allow Areas of Study more information for Assessments in the Major and AOS reviews, and at the completion of general education requirements, which would allow more information for the General Education Assessment Review. Both of these reviews may be completed through considering concurred degree programs, with supporting evidence coming from the ePortfolios.

The creation of this information-rich environment, through ePortfolios and Degree Works, will change the manner in which Areas of Study operate and assess their own learning objectives. In offering an ongoing degree audit (for general education assessment review and for assessment in the major), these computer applications will allow for constant review of our overall learning goals. Use of these tools will allow Empire State College to consider independent, group and online studies based on their learning objectives. This, in turn, will allow the college to evaluate the effectiveness of individualizing studies.