

Workgroup 6 – Planning, Resources, and Institutional Improvement

Workgroup 6 Mission: Evaluate and, as appropriate, describe how the institution’s planning processes, resources, and structures are aligned with each other and are sufficient to fulfill its mission and goals, to continuously assess and improve its programs and services, and to respond effectively to opportunities and challenges.

Workgroup 6 to cover (in approximately 10 single spaced pages, not including appendices):

1. institutional objectives, both institution wide and for individual units, that are clearly stated, assessed appropriately, linked to mission and goal achievement, reflect conclusions drawn from assessment results, and are used for planning and resource allocation;
2. clearly documented and communicated planning and improvement processes that provide for constituent participation, and incorporate the use of assessment results;
3. a financial planning and budgeting process that is aligned with the institution’s mission and goals, evidence-based, and clearly linked to the institution’s and units’ strategic plans/objectives;
4. fiscal and human resources as well as the physical and technical infrastructure adequate to support its operations wherever and however programs are delivered;
5. well-defined decision-making processes and clear assignment of responsibility and accountability;
6. comprehensive planning for facilities, infrastructure, and technology that includes consideration of sustainability and deferred maintenance and is linked to the institution’s strategic and financial planning processes;
7. an annual independent audit confirming financial viability with evidence of follow-up on any concerns cited in the audit’s accompanying management letter;
8. strategies to measure and assess the adequacy and efficient utilization of institutional resources required to support the institution’s mission and goals; and
9. periodic assessment of the effectiveness of planning, resource allocation, institutional renewal processes, and availability of resources.

The following is a suggested outline for this section of Chapter 4. A great start would be to see how the 2015 Periodic Review Report describes these areas, that may be helpful. But feel free to craft a different approach. The key to this is weaving coverage of the 9 standards above into a narrative, as well as the 4 requirements of affiliation at the bottom.

The other section in this chapter will be written by Work Goup 5, Educational Effectiveness Assessment

In the intro, be sure to reference back to Chapter 2, which covers Mission and Goals.

1. Institutional Improvement

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- a. Existing survey activities (NSSE, SOS)
 - b. Academic program review
 - c. Administrative unit assessment
 - d. Program review process
 - e. Assessment of student learning (in the major, and gen ed)
2. **UAlbany Planning Processes**
- a. Base Incremental Budget
 - b. 2020 MOU planning process
 - c. Compact planning process
 - d. New Strategic Plan and Action Plans
 - e. Facilities
 - f. Technology master plan
 - g. Online Teaching & Learning
 - h. Budget prep: call for allocation plans
 - i. Department profiles
3. **Resource Allocation** (How do we actually do this, how effective?)
- a. Standard budget allocation process (forms, communications, process description, etc.)
 - b. Compact Planning Process
 - c. SUNY 2020
 - d. PIF
 - e. Role of faculty governance

And, in an accompanying document provide a bullet point summary of how UAlbany meets these Requirements of Affiliation: 7, 8, 10, and 11. Include reference to specific documentary evidence

7. The institution has a mission statement and related goals, approved by its governing board that defines its purposes within the context of higher education.

8. The institution systematically evaluates its educational and other programs and makes public how well and in what ways it is accomplishing its purposes.

10. Institutional planning integrates goals for academic and institutional effectiveness and improvement, student achievement of educational goals, student learning, and the results of academic and institutional assessments.

11. The institution has documented financial resources, funding base, and plans for financial development, including those from any related entities (including without limitation systems, religious sponsorship, and corporate ownership) adequate to support its educational purposes and programs and to ensure financial stability. The institution demonstrates a record of responsible fiscal management, has a prepared budget for the current year, and undergoes an external financial audit on an annual basis.