Middle States Commission on Higher Education
University at Albany – Self-Study Design

September 5, 2018
I. Institutional Overview

Located in New York’s capital city, the University at Albany is the premier public research University in the Capital Region and offers more than 17,000 students the expansive opportunities of a large university in an environment designed to foster individual success. Students choose from over 150 undergraduate programs and more than 125 graduate programs that prepare them to succeed in a wide range of fields. In every area of study, students are instructed by faculty who are world-class scholars and teachers — many actively engaged in life-enhancing research that contributes profoundly to the public good. As mentors, they provide numerous experiential learning opportunities at both the undergraduate and graduate levels, inspiring students to advance their skills and aspirations.


The University’s programs operate across three primary locations in and around the Albany area. The Uptown Campus, the University’s main campus, is located at 1400 Washington Avenue in Albany; the Downtown Campus is located at 135 Western Avenue in Albany; and the Health Sciences Campus, a former pharmaceutical complex purchased in 1996, is located at One University Place in Rensselaer. While geographically distributed, these locations serve as and operate as components of a single educational institution, with students, faculty, and staff moving seamlessly between the campuses throughout the day.

Following a robust and participative process, the University created a new, visionary strategic plan during 2018. President Rodríguez’s charge was simple: work collaboratively to lead this effort with an unwavering emphasis on our students’ success; after all, everything we do at the University at Albany should contribute to their success. Armed with five core priorities, the University set out to support the creation of a plan to achieve this imperative. The plan’s goals were developed by five priority workgroups, populated by the members of the 110-person strategic planning committee, which included undergraduate and graduate students, faculty, and staff, each led by tireless co-chairs. Once the initial draft was created, the co-chairs of the strategic planning committee set off on 30 separate “Road Show” stops across the University’s schools, colleges, administrative units, and shared governance groups collaborating with more than 1,000 campus stakeholders.

The University at Albany is now a mid-size, urban, data-driven institution in a public system of higher education proud to be one of the most diverse research universities in the country. We are one of the four primary research centers in the 64-campus State University of New York system. Our history makes us the oldest public teachers college in the state and we have evolved a dynamic, forward-looking academic portfolio, as demonstrated by significant recent additions, including a new College of Engineering and the first-in-the-nation College of Emergency Preparedness, Homeland Security, and Cybersecurity. Our new mission statement and strategic plan, noted below,
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chart our path forward for the next five years, and we are excited about the timing of the Middle States self-study process as an extremely helpful exercise to focus us more tightly on our key priorities.

Institutional Priorities to be Addressed in Self-Study

Under its current leadership, the University at Albany has recently concluded the development portion of a strategic planning effort. This plan, and its core priorities, will guide the University for the next five years. That process also led to development of a new mission and vision to guide the university:

**Mission**

*The University at Albany is an engine of opportunity. Fueled by our unique mix of academic excellence, internationally recognized research, and world-class faculty, we relentlessly pursue possibilities, create connections, and open opportunities—locally and globally—with a single-minded purpose: To empower our students, faculty, and campus communities to author their own success. This is the University at Albany.*

**Vision**

*To be the nation’s leading diverse public research university—providing the leaders, the knowledge, and the innovations to create a better world.*

As noted in our vision statement, the University strives to be the nation’s leading diverse public research university, providing all students, including those from disadvantaged background, with academic opportunities at both the undergraduate and graduate levels. This necessitates recruiting and retaining a faculty that is reflective of the students who we serve as well as investing in the development of our inclusive excellence. We strive to build an academic community that is welcoming, supportive, and sustaining of a diverse array of people and ideas. This priority is more than simply diversifying our academic profile, it is about providing pathways for all students, including those individuals from diverse, disadvantaged, and under-represented backgrounds to move into careers, from education to engineering, to better reflect the rapidly changing demographics of our country. Therefore, these efforts include ensuring that all of the students we accept into the University have the support necessary to be successful in their academic pursuits as well assisting them in being successful in their careers beyond the university.

Indeed, a second priority area focuses on student success. By promoting academic achievement and personal growth, we will prepare UAlbany students to succeed in their careers and in all aspects of their lives as engaged citizens. We strive to enhance the student experience in and out of the classroom through innovative teaching, collaborative support services, and programs that promote student engagement, learning, and well-being. As a part of our focus on post-graduation success, the University is particularly committed to becoming one of the nation’s leading providers of experiential learning opportunities. The University has invested in building out an infrastructure to support experiential learning, including a new academic Center for Experiential Learning, partnered with innovated programs that provide students with real-world experiences, and has begun to develop academic programs (e.g., cybersecurity) with significant experiential learning required as part of the academic course of study. We have also supported new research projects that are seeking
to help us better identifying which learning experiences have the most significant impact on post-
graduation career success.

A defining characteristic of the university is that our teaching and learning takes place within the
context of UAlbany being a research focused institution. As such, a third priority is to strengthen our
research, scholarship, and creative pursuits, with a focus on addressing societal challenges,
advancing human knowledge, and driving innovation and discovery. A central aspect of this priority
area is to sustain and grow the existing areas of inquiry within the institution; but also to develop the
infrastructure needed to enhance research and scholarly collaboration among faculty across
departmental/divisional boundaries. The University has invested in this priority in many ways
including the recent launch of the Center for Undergraduate Research and Creative Engagement
(CURCE) providing opportunities for the development of research skills and research experience for
all students across our campus. We know that some of the greatest threats confronting humankind
necessitate expertise from multiple academic perspectives, and UAlbany should be at the forefront of
facilitating and growing such research efforts.

The University has also had a long and enduring commitment to preparing our students to be
globally engaged citizens. Alongside this commitment, we also want to expand UAlbany’s
international visibility and impact. Indeed, the university has one of the largest offerings of
academic-based study abroad programs in the country and many of its programs have deep
international ties and expertise. As part of this priority area, the university seeks to build upon its
long-standing commitments in these areas to enhance internationalization of the campus by
integrating global perspectives into the curricular and co-curricular academic experiences of as many
students as possible in addition to increasing the number of education abroad opportunities of
students. In addition, the university will seek to build strategic, strong, high quality partnerships
with foreign institutions, organizations, and governments that align with and can help advance the
university’s existing academic and research thrusts.

As the only public, Research University in New York’s capital, we believe that we have a
commitment to fostering the vitality of our local community as an economic driver and as a social
and cultural anchor of the region as well as being actively engaged in the state, nation, and world.
Through this fifth priority, the university strives to support and develop publicly engaged scholarship
and research opportunities that address societal challenges through collaborative networks of
scholars and practitioners. The University at Albany will serve all of our relevant communities –
local to global – by being a research university that focuses on translational scholarship, utilizing
venues to ensure that the public is informed by our research, and actively engaging community
members in meaningful and transformative activities.

Finally, we are a University that has long striven to be the best at getting better. UAlbany is proud of
its lengthy focus on the use of data and assessment to inform decision making. The University has a
long history of conducting academic assessment, from measuring student learning outcomes to
comprehensive program reviews. This past year, the University added a formal process for
administrative assessment to its assessment initiatives. Each administrative unit (over 100) has
completed a matrix that identifies their mission and vision as well as a series of measurable goals.
An Administrative Assessment Committee reviews the units’ submissions and provides feedback to
each unit head. A separate administrative program review process is also being conducted under this
new initiative. Each vice president and dean’s office will complete a thorough, data-driven self-
study, which is then submitted to an Administrative Assessment Committee designated by the
President for review and feedback. These administrative self-studies are being phased in over the next five-years across all deans’ offices and vice presidential areas and will be discussed in detail in our Middle States self-study.

II. Intended Outcomes of the Self-Study

The University at Albany looks forward to engaging in the self-study process. The timing of the review is optimal as it comes at the beginning of our new strategic plan implementation and will provide an opportunity for both retrospection and forward thinking that will be necessary for the university to advance its five core priorities. Our intended outcomes for the self-study process include the following:

- Continued engagement of the institutional community, including both internal and external stakeholders, in a comprehensive and transparent self-appraisal process.

- Critically examine past activities and how they inform our current reality, as well as shape a future direction of the university based on the five core priorities of the strategic plan.

- Focus on continuous improvement in the attainment of the institution’s mission, vision, and institutional priorities.

- Demonstrate how the University at Albany currently meets Middle States Standards for Accreditation, Requirements of Affiliation, and Verification of Compliance with Accreditation-Relevant Federal Regulations.

III. Self-Study Approach

Identify one of the following self-study approaches to be used to organize the Self-Study Report:

☑ Standards-Based Approach
☐ Priorities-Based Approach

Following discussion after attending the Commission’s fall 2017 self-study workshop, it was decided that the most appropriate approach for the University at Albany is the standards-based approach. While we will focus on the priorities set forth in the university’s new strategic plan, we believe that the standards-based approach will allow for a more comprehensive process, which will be important for helping strengthen the entire the university.
IV. Organizational Structure of the Steering Committee and Working Groups

The Self-Study process will be guided by a steering committee and work groups comprised of diverse groups of faculty, students, staff, and administrative leaders. We purposefully designed the working groups to ensure that different backgrounds, administrative duties, length of service at UAlbany and disciplinary perspectives are represented. Each work group includes representation from faculty, students, and staff.

The self-study effort is led by Steering Committee co-chairs Dr. Jeanette Altarriba, Vice Provost and Dean for Undergraduate Education and Professor of Psychology, and Collins Fellow, and Dr. Jason Lane, Interim Dean of the School of Education, Associate Professor of Educational Policy & Leadership, and Executive Director of SUNY’s SAIL Institute for Academic & Innovative Leadership. The Committee will be supported in its work by Dr. Bruce Szelest, Chief of Staff and Mr. Jack Mahoney, Director of Institutional Research, Planning, and Effectiveness.

The Steering Committee is comprised of the four individuals listed above and the two co-chairs for each working group.

The seven working groups are structured around the seven standards. The working group leaders were selected by the Steering Committee co-chairs, in consultation with the President and Provost, based on the individuals’ deep and relevant experience in their workgroup’s area of focus. The workgroup co-chairs were then invited by the President to serve in this role.

University faculty and staff were invited by President Rodríguez to volunteer for the workgroup of their choice, and Drs. Altarriba and Lane, with input from the workgroup co-chairs, constructed the membership of each from those who volunteered or who were nominated based on their academic or professional expertise. In addition, each workgroup contains a designee from our faculty governance body, the University Senate. With the fall semester just beginning, we are in the process of adding designees of the undergraduate and graduate student governance bodies to each workgroup, and will fill those positions, in consultation with the undergraduate Student Association and Graduate Student Association presidents, as students return to campus for the beginning of the fall semester.

Each workgroup is supported by professional staff familiar with the Middle States standards of accreditation relevant to that workgroup. Additionally, a graduate assistant will be assigned to each workgroup to assist with staffing responsibilities.

The workgroups, and their members (including position and focus) follow:

**Standard I – Mission and Goals**

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Steven Messner</td>
<td>Distinguished Professor</td>
<td>Sociology Department (Co-Chair)</td>
</tr>
<tr>
<td>James Mower</td>
<td>Associate Professor and Chair of the University Senate</td>
<td>Geography and Planning (Co-chair)</td>
</tr>
<tr>
<td>Courtney D’Allaird</td>
<td>Assistant Director</td>
<td>Intercultural Student Engagement</td>
</tr>
</tbody>
</table>
**Standard I – Mission and Goals – continued**

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ashley DelSignore</td>
<td>Sr. Manager Content Marketing and Strategy</td>
<td>Marketing Services</td>
</tr>
<tr>
<td>Satyendra Kumar</td>
<td>Associate VP for Research</td>
<td>Grants Development</td>
</tr>
<tr>
<td>Debernee Privott</td>
<td>Assistant Dean for Public Engagement, CAS &amp; Director, UHS</td>
<td>University in the High School</td>
</tr>
<tr>
<td>Latonia Spencer</td>
<td>Director</td>
<td>Office of Student Accounts</td>
</tr>
<tr>
<td>Christopher Thorncroft</td>
<td>Professor and Chair</td>
<td>Atmospheric and Environmental Sciences</td>
</tr>
<tr>
<td>Undergraduate Student</td>
<td>Kaylynn Enright</td>
<td>Staff to workgroup</td>
</tr>
<tr>
<td>Graduate Student</td>
<td>TBD</td>
<td>Staff to the Workgroup</td>
</tr>
<tr>
<td>Alice Oldfather</td>
<td>Assistant to the President for Strategic Communication</td>
<td>Office of the President</td>
</tr>
<tr>
<td>Graduate Assistant</td>
<td>TBD</td>
<td>Staff to workgroup</td>
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**Standard II – Ethics & Integrity**

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<thead>
<tr>
<th>Name</th>
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<tbody>
<tr>
<td>James Acker</td>
<td>Distinguished Professor and Collins Fellow</td>
<td>Criminal Justice (Co-Chair)</td>
</tr>
<tr>
<td>Kevin Wilcox</td>
<td>Associate VP and Controller</td>
<td>Finance and Administration (Co-Chair)</td>
</tr>
<tr>
<td>Mary Gallant</td>
<td>Professor, Sr. Associate Dean for Academic Affairs</td>
<td>School of Public Health</td>
</tr>
<tr>
<td>Carol Jewel</td>
<td>Serials Copy Cataloger</td>
<td>University Libraries</td>
</tr>
<tr>
<td>Ewan McNay</td>
<td>Assistant Professor</td>
<td>Psychology</td>
</tr>
<tr>
<td>Terrell Rabb</td>
<td>Regulatory Affairs Administrator</td>
<td>Office of Regulatory and Research Compliance</td>
</tr>
<tr>
<td>Randy Stark</td>
<td>Associate VP for Human Resources</td>
<td>Human Resources Management</td>
</tr>
<tr>
<td>Undergraduate Student</td>
<td>TBD</td>
<td></td>
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<tr>
<td>Graduate Student</td>
<td>TBD</td>
<td></td>
</tr>
<tr>
<td>Nancy Lauricella</td>
<td>Executive Director</td>
<td>Community Standards (Staff to workgroup)</td>
</tr>
<tr>
<td>Graduate Assistant</td>
<td>TBD</td>
<td>(Staff to workgroup)</td>
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### Standard III - Design and Delivery of the Student Experience

<table>
<thead>
<tr>
<th>Name</th>
<th>Position/Role</th>
<th>Department/Chair</th>
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</thead>
<tbody>
<tr>
<td>Richard Fogarty</td>
<td>Associate Professor, Associate Dean</td>
<td>History (Co-Chair)</td>
</tr>
<tr>
<td>Linda Krzykowski</td>
<td>Assistant Vice Provost</td>
<td>Student Engagement (Co-Chair)</td>
</tr>
<tr>
<td>Suraj Commuri</td>
<td>Associate Professor</td>
<td>Marketing</td>
</tr>
<tr>
<td>Ingrid Fisher</td>
<td>Associate Professor</td>
<td>Accounting and Law</td>
</tr>
<tr>
<td>Leslie Halpern</td>
<td>Associate Professor and Chair</td>
<td>Psychology</td>
</tr>
<tr>
<td>JoAnne Malatesta</td>
<td>Assistant VP and Director of Advisement</td>
<td>Academic Support Center</td>
</tr>
<tr>
<td>Peter Shea</td>
<td>Associate Professor and Vice Provost for</td>
<td>Educational Theory and Practice,</td>
</tr>
<tr>
<td></td>
<td>Distance Learning</td>
<td>Academic Affairs</td>
</tr>
<tr>
<td>Christy Smith</td>
<td>Assistant Dean for Professional Studies</td>
<td>Dean’s Office, School of Education</td>
</tr>
<tr>
<td>Carrie Wojenski</td>
<td>Associate Vice Provost for Global Academic</td>
<td>Center for International Education</td>
</tr>
<tr>
<td>Undergraduate Student</td>
<td>TBD</td>
<td></td>
</tr>
<tr>
<td>Graduate Student</td>
<td>Michelle Mora</td>
<td></td>
</tr>
<tr>
<td>Renee Copperwheat</td>
<td>Assistant to the Dean</td>
<td>Honors College (Staff to workgroup)</td>
</tr>
<tr>
<td>Graduate Assistant</td>
<td>TBD</td>
<td>(Staff to workgroup)</td>
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</table>

### Standard IV - Support of the Student Experience

<table>
<thead>
<tr>
<th>Name</th>
<th>Position/Role</th>
<th>Department/Chair</th>
</tr>
</thead>
<tbody>
<tr>
<td>Martha Asselin</td>
<td>Director</td>
<td>Center for Leadership and Service (Co-Chair)</td>
</tr>
<tr>
<td>Ekow King</td>
<td>Staff Associate</td>
<td>Intercultural Student Engagement (Co-Chair)</td>
</tr>
<tr>
<td>Jordan Carleo-Evangelist</td>
<td>Director of Media and Community Relations</td>
<td>Government and Community Relations</td>
</tr>
<tr>
<td>Lauren Clemens</td>
<td>Assistant Professor</td>
<td>Anthropology</td>
</tr>
<tr>
<td>Holly Barker-Flynn</td>
<td>Director New Student Programs</td>
<td>Orientation and Transition Programs</td>
</tr>
<tr>
<td>Claudio Gomez</td>
<td>Senior Academic Advisor</td>
<td>Educational Opportunity Program</td>
</tr>
</tbody>
</table>
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Standard IV - Support of the Student Experience – Continued

Marty Manjak                Chief Information Security Officer
                            Information Technology Services
Lofti Sayahi                Professor
                            Languages, Literatures & Cultures
Undergraduate Student       TBD
Graduate Student            TBD
Douglas Sweet               Director of Student Affairs Assessment and Planning
                            Office of Student Learning and Assessment (Staff to workgroup)
Graduate Assistant          TBD (Staff to workgroup)

Standard V - Educational Effectiveness Assessment

Virginia Goatley            Professor
                            Literacy Teaching and Learning (Co-Chair)
Ryan Torn                   Associate Professor
                            Atmospheric and Environmental Science (Co-Chair)
Lee Bickmore                Professor and Director of Linguistics and Cognitive Science
                            Anthropology
James Boswell               Assistant Professor
                            Psychology
Pauline Carrico            Instructional Support Specialist
                            Biology
Alexander Dawson           Associate Professor
                            History
Billie Franchini           Interim Director
                            Institute for Teaching Learning and Academic Leadership
Undergraduate Student       TBD
Graduate Student            TBD
Steven Doellefeld           Director of Assessment
                            Institutional Research, Planning, and Effectiveness (Staff to workgroup)
Graduate Assistant          TBD (Staff to workgroup)
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Standard VI - Planning, Resources, and Institutional Improvement

Susannah Fessler  Professor and Associate Dean  East Asian Studies (Co-Chair)
College of Arts and Sciences

Todd Foreman  Vice President  Finance and Administration (Co-Chair)

Tremaine Harris  Assistant Director for Conduct  Residential Life

John Giarrusso  Associate Vice President  Facilities Management

Gerald Marschke  Associate Professor  Economics

Louise-Ann McNutt  Associate Professor  Institute for Health and the Environment

Frederic Meni  Instructional Support Technician/Coordinator  Center for Language and International Communication

Undergraduate Student  TBD

Graduate Student  TBD

Tuuli Edwards  Senior Budget Analyst  Financial Management and Budget (Staff to workgroup)

Graduate Assistant  TBD (Staff to workgroup)

Standard VII - Governance, Leadership, and Administration

Clarence McNeill  Assistant Vice President  Student Affairs (Co-Chair)

Christine Wagner  Professor and Chair  Psychology (Co-Chair)

Erin Bell  Associate Professor and STEM Leadership Associate  Environmental Health Sciences

Michael Castellana  Chair  University Council

Sanjay Goel  Professor and Chair  Information Security Digital Forensics

Glenn Deane  Professor and Chair  Sociology

Glyne Griffith  Professor  English

Karin Reinhold  Associate Professor, University Senate immediate past Chair  Mathematics and Statistics
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**Standard VII - Governance, Leadership, and Administration** – continued

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Department/Office</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sheila Seery</td>
<td>Vice President</td>
<td>Government and Community Relations</td>
</tr>
<tr>
<td>Lynn Warner</td>
<td>Dean</td>
<td>School of Social Welfare</td>
</tr>
<tr>
<td>Undergraduate Student</td>
<td>TBD</td>
<td></td>
</tr>
<tr>
<td>Graduate Student</td>
<td>TBD</td>
<td></td>
</tr>
<tr>
<td>James Hyde</td>
<td>Deputy Chief of Staff</td>
<td>Office of the President <em>(Staff to workgroup)</em></td>
</tr>
<tr>
<td>Graduate Assistant</td>
<td>TBD</td>
<td><em>(Staff to workgroup)</em></td>
</tr>
</tbody>
</table>
V. Organization of the Self-Study Document

At this juncture we envision the following structure to the self-study. Each chapter of the report is described below along with the templates provided to the working groups. Each workgroup is asked to critically examine the extent to which the University meets the standards of accreditation and relevant requirements of affiliation, as well as to analyze the University’s assessment practices across its operations and delivery of academic programs.

All workgroup recommendations and suggestions for improvement that appear in the self-study must be evidence-based, with notable examples provided, as appropriate, and with reference to the evidence inventory. Appendix A contains the templates provided to each workgroup which indicate the standards of accreditation and requirements of affiliation that they are to analyze. Appendix A also provides a crosswalk matrix that indicates which requirements of affiliation are covered by which workgroup. The University at Albany’s self-study will have the following organization.

Introduction

Executive summary

Chapter 1: A new vision for the University at Albany: Stability and Strategy. This chapter provides an overview of the self-study process, documents the transition in leadership, and provides information on new and relevant initiatives that affect the University’s current and future opportunities.

Chapter 2: Advancing UAlbany’s Mission: This chapter describes the university’s strategic planning process and implementation and documents how UAlbany is in compliance with Standards 1 and 2.

Proposed outline for the first half of Chapter 2, to be completed by Workgroup 1, is as follows:

- Recent 2018 UAlbany Strategic Planning Process:
  - Five core priorities established by the university’s new president
  - Note the 110-person strategic planning committee, including faculty, staff, and students
  - 30 different “road shows” in which co-chairs circulated across the entire campus to conduct presentations and obtain direct feedback regarding draft mission and goals
  - Collaboration with over 1,000 campus stakeholders
  - Suggest the workgroup interview the co-chairs of the strategic planning committee

- Goals and objectives are used to drive the institution:
  - Planning matrices with specific unit level goals
  - Funding attached to goals
  - Provides allocation and accountability

- Other items to review:
  - Base Incremental Budget
  - Compact planning process
Proposed outline for second half of Chapter 2, to be completed by Workgroup 2, is as follows:

- A commitment to academic freedom, intellectual freedom, freedom of expression, and respect for intellectual property rights;
- A climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas, and perspectives;
- A grievance policy that is documented and disseminated to address complaints or grievances raised by students, faculty, or staff. The institution’s policies and procedures are fair and impartial, and assure that grievances are addressed promptly, appropriately, and equitably;
- The avoidance of conflict of interest or the appearance of such conflict in all activities and among all constituents;
- Fair and impartial practices in the hiring, evaluation, promotion, discipline, and separation of employees;
- Honesty and truthfulness in public relations announcements, advertisements, recruiting and admissions materials and practices, as well as in internal communications;
- As appropriate to its mission, services or programs in place:
  - to promote affordability and accessibility;
  - to enable students to understand funding sources and options, value received for cost, and methods to make informed decisions about incurring debt;
- Compliance with all applicable federal, state, and Commission reporting policies, regulations, and requirements to include reporting regarding:
  - The full disclosure of information on institution-wide assessments, graduation, retention, certification and licensure or licensing board pass rates;
  - The institution’s compliance with the Commission’s Requirements of Affiliation;
  - Substantive changes affecting institutional mission, goals, programs, operations, sites, and other material issues which must be disclosed in a timely and accurate fashion;
  - The institution’s compliance with the Commission’s policies; and
  - Periodic assessment of ethics and integrity as evidenced in institutional policies, processes, practices, and the manner in which these are implemented.

With an examination of the following specific elements:

- Faculty handbook
- Staff handbooks
- Student grievance policies
- Conflict of interest policies, including who must sign which documents
- Approval policy for creating new policies
- Policy for evaluating and approving contracts
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- Hiring and promotion policies and procedures
- Policies for assessing risk
- Verification of compliance with IPEDS and other mandatory federal and state data submissions (particularly those not covered by the MSCHE Verification of Compliance with Accreditation-Related Federal Regulations)
- Location of websites and reporting information containing reporting of Student-Right-to-Know Act data

Chapter 3: UAlbany Students: Forever Great; Forever Great Danes: This chapter documents compliance with Standards 3 and 4. The chapter provides an overview of the characteristics of the University’s student body and the current efforts by the university to enhance the student learning experience by more effectively using data analytics and providing new opportunities for students to engage in experiential learning opportunities that complement their coursework.

Proposed outline for the first half of Chapter 3, to be completed by Workgroup 3, is as follows:

- The UAlbany Educational Experience
  - What is the UA educational experience?
  - Unique aspects (i.e., writing intensive)
  - Scheduling
  - General Education (design and assessment)
  - Experiential Learning
  - International
- The Undergraduate Programs
- Graduate Programs
- Online Education
- Faculty Quality and Composition
- Faculty review processes
- SIRF data (Student Instructional Rating Form)
- Support of Academic Progress (will need to be coordinated with standard 4)
- Academic Program Approval and Assessment
- Governance process for approval of the curriculum (UAlbany, SUNY, NYS Education Dept)
- Academic Program Review Process
- Student Learning Outcomes and the

Proposed outline for the second half of Chapter 3, to be completed by Workgroup 4, is as follows:

- Supporting Undergraduate Student Success
  - First-year experience programs
  - Living-Learning Communities
  - Writing and Critical Inquiry program
  - EOP
  - Freshman Seminars
  - Honors College
  - Academic policies, enforcement, and their adaptability to student needs
  - UAlbany’s advisement model
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- Tutoring programs
- Internships and experiential learning initiatives
- Student Affairs support programs and activities

- Student Success in Graduate Programs
  - Support functions of the Office of Graduate Studies
  - Degree clearance
  - Academic policies and their enforcement
  - GATA support
  - Other initiatives to support student success in graduate education?

- Support of other educational activities
  - Online learning
  - University in the High Schools program

Chapter 4: Fostering an Environment of Continuous Improvement: This chapter documents compliance with Standards 5 and 6. It describes the ways in which the institution engages in assessment of learning outcomes and ensures that it’s planning, resources, and structures are aligned to achieve the mission and goals of the institution.

Proposed outline for the first half of Chapter 4, to be completed by Workgroup 5, is as follows:

- Institutional, Program, and Course-based Learning Goals
  - Albany’s approach to setting and periodically reviewing learning goals at these levels.

- Assessment of Undergraduate Student Learning
  - Assessment in the Major
  - General Education Assessment
  - Assessment of the University in the High Schools program

- Assessment of Student Learning in Graduate Programs
  - Master’s and Certificate Programs
  - Doctoral Programs
  - Use of Graduate Program Evaluation Metrics Developed Under the 2010 Strategic Plan

- Reflections on UAlbany’s Student Learning Assessment Processes
  - Challenges
  - Significant Accomplishments
  - Suggestions for Strengthening our Assessment Processes

Proposed outline for the second half of Chapter 4, to be completed by Workgroup 6, is as follows:

- Introduction to reference back to Chapter 2, Mission and Goals
- Institutional Improvement
  - Existing survey activities (NSSE, SOS)
  - Academic program review
  - Administrative unit assessment
• Program review process
• Assessment of student learning (in the major, and Gen Ed)

• UAlbany Planning Processes
  o Base Incremental Budget
  o 2020 MOU planning process
  o Compact planning process
  o New Strategic Plan and Action Plans
  o Facilities
  o Technology master plan
  o Online Teaching & Learning
  o Budget preparation: Call for allocation plans
  o Department profiles and use of analytics in budget planning

• Resource Allocation (How do we actually do this, how effective are we?)
  o Standard budget allocation process (forms, communications, process description, etc.)
  o Compact Planning Process
  o SUNY 2020
  o PIF
  o Role of faculty governance

Chapter 5: Governing the University at Albany: This chapter document compliance with Standard 7 by describing the structure of the governance and administrative structure within the institution and the degree to which they satisfy the standards and position the University to pursue its mission, vision, and key priorities.

Proposed outline for Chapter 5, to be completed by Workgroup 7, is as follows:

• Introduction – Provide an overview of UAlbany’s administrative and governance structures, and their relationship with SUNY System Administration.
• Role of the SUNY System
  o Benefits (might be able to tackle the requirement of affiliation (#1) here)
  o Challenges
• Campus Governance and Administration
  o Structure and Functioning of the Administrative Leadership
  o Faculty Governance Organization and Responsibilities
• Assessment of Governance, Leadership, and Administration
  o Assessment of Administrative Units (focus on process, but also show how results used, if possible)
  o Assessment of Governance Processes
  o Overall Assessment of Institutional Effectiveness
• Institution-wide surveys
• IRPE assessment reports

Closing Summary
University at Albany Self-Study Design

Our working groups will be asked to provide a brief summary of institutional challenges, significant achievements, suggestions, and recommendations as regards the content of their section.

VI. Verification of Compliance Strategy

The University will use the templates and resources provided by the Commission to provide evidence and substantiation of Verification of Compliance with Accreditation-Relevant Federal Regulations. Responsibility for collecting the evidence and reporting findings will be led by Mr. Jack Mahoney, Director of Institutional Research, Planning, and Effectiveness, along with support from the following:

- Ms. Karen Chico-Hurst, Registrar
- Dr. Peter Shea, Associate Professor, Educational Theory and Practice
- Mr. Steve Kudzin, Director of Financial Aid
- Dr. Michael Christakis, Vice President, Student Affairs
- Ms. Janet Thayer, Senior Counsel

VII. Evidence Inventory

The University’s evidence inventory is under construction as of this writing. It will be uploaded to the Middle States review team portal at a later date. It will be constructed from the documents that the Office of Institutional Research, Planning, and Effectiveness, along with the each workgroup, are now constructing and collecting on the University’s internal wiki page. Specifically, each workgroup’s self-study chapter outline is now posted to a wiki page in tabular form along with internal web links to the data and evidentiary documents that allow the workgroup to analyze the University’s compliance and assessment activities. All workgroup recommendations and suggestions for improvement that appear in the self-study must be evidence-based, with notable examples provided, as appropriate, and with reference to the evidence inventory.

VIII. Self-Study Timetable

<table>
<thead>
<tr>
<th>Time Frame</th>
<th>Activity</th>
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<tbody>
<tr>
<td>November (2017)</td>
<td>Self-Study Institute</td>
</tr>
<tr>
<td>May (2018)</td>
<td>Assemble Steering Committee and hold inaugural meeting</td>
</tr>
<tr>
<td></td>
<td>Visit from MSCHE Liaison</td>
</tr>
<tr>
<td>July-August (2018)</td>
<td>Complete Self-Study Design</td>
</tr>
<tr>
<td></td>
<td>Assemble Working Groups</td>
</tr>
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</table>
### University at Albany Self-Study Design

<table>
<thead>
<tr>
<th>Time Frame</th>
<th>Activity</th>
</tr>
</thead>
</table>
| September (2018)              | Revisions and final approval of Self-Study Design  
|                               | Support team gathers data & populate wiki; Construct document library                                                                 |
| October-November (2018)       | Hold campus-wide town hall meetings on all three campuses to discuss Self-Study process, Self-Study Design, gather input on major issues and challenges as related to the standards and requirements of affiliation |
| September-December (2018)     | Working groups gather and analyze data and submit progress reports to Steering Committee  
|                               | Begin holding monthly steering committee and working group meetings  
|                               | Begin constructing federal compliance report                                                                                                                                                      |
| February-June (2019)          | Team Chair chosen; Visit dates chosen; Self-Study Design sent to Chair  
|                               | Self-Study drafted and shared with campus community in writing, and discussed in town hall meetings with faculty and staff as well as with University faculty/staff and student governance organizations |
| June-October (2019)           | Self-Study revisions and campus review  
|                               | Completion of federal compliance report for final review                                                                                                                                             |
| October-December (2019)       | Self-Study Draft sent to Team Chair (two weeks before visit)  
|                               | Team Chair Preliminary Visit                                                                                                                                                                           |
| December-February (2020)      | Verification of Compliance submitted  
|                               | Self-Study finalized based on Chair feedback and shared with campus                                                                                                                                   |
| February-April (2020)         | Final Self-Study/Evidence Inventory uploaded to MSCHE portal (Six weeks before visit)  
|                               | Visiting Team on Campus; Team Report; Institutional Response                                                                                                                                           |
| June/November (2020)          | Commission meets to determine action                                                                                                                                                                  |
Evaluation Team Profile

The University at Albany, State University of New York is a mid-size, urban, data-driven institution in a public system of higher education that strives to be one of the most diverse research universities in the country. UAlbany provides students a mix of rigorous academic experiences complemented by meaningful co-curricular and experiential learning.

It is desirous to construct an evaluation team that collectively would understand the characteristics of the University, in terms of situational contexts (e.g., geographic location in a capital city, distributed physical footprint – three locations across the city, close proximity to a major urban setting – NYC, and existence within a public system of higher education – SUNY). Additionally, the team should understand its organizational characteristics such as being a community engaged, data-driven, and highly-diverse research institution that serves both an undergraduate and graduate populations.

Moreover, our history makes us the oldest public teachers college in the state; but we also continue to evolve a dynamic, forward-looking academic portfolio with significant recent additions, including a new College of Engineering and the first-in-the-nation College of Emergency Preparedness, Homeland Security, and Cybersecurity.

As we survey the higher education landscape, the University of Maryland – Baltimore County often arises as an institution with similar history, trajectory, and is identified as being a highly diverse, research university.

Suggestive criteria for selecting external peer evaluation group members.

- From public research universities, preferably within Carnegie Classification “Research Universities – Highest Research” category
- From colleges/universities with strong commitment to serving an extremely diverse population of students
- From colleges/universities with a solid commitment to experiential learning
- From institutions that exist in or near an urban setting
- From institutions with experience using data to drive student success and inform strategic decision-making
- From institutions with a commitment to quality undergraduate and graduate programs.
Workgroup 1 Mission: Evaluate and, as appropriate, describe how the institution’s planning processes, resources, and structures are aligned with each other and are appropriate in fulfilling its mission and goals, to continuously assess and improve its programs and services, and to respond effectively to opportunities and challenges.

1. Clearly defined mission and goals that:
   a. are developed through appropriate collaborative participation by all who facilitate or are otherwise responsible for institutional development and improvement;
   b. address external as well as internal contexts and constituencies;
   c. are approved and supported by the governing body;
   d. guide faculty, administration, staff, and governing structures in making decisions related to planning, resource allocation, program and curricular development, and the definition of institutional and educational outcomes;
   e. include support of scholarly inquiry and creative activity, at levels and of the type appropriate to the institution;
   f. are publicized and widely known by the institution’s internal stakeholders;
   g. are periodically evaluated;

2. Institutional goals that are realistic, appropriate to higher education, and consistent with mission;

3. Goals that focus on student learning and related outcomes and on institutional improvement; are supported by administrative, educational, and student support programs and services; and are consistent with institutional mission; and

4. Periodic assessment of mission and goals to ensure they are relevant and achievable.

Be sure to incorporate the following elements, some of which can be found in the 2015 Periodic Review Report:

Chapter 2: Advancing UAlbany’s Mission: This chapter describes the university’s strategic planning process and implementation and documents how UAlbany is in compliance with Standards 1 and 2.

Proposed outline for the first half of Chapter 2, to be completed by Workgroup 1 in 10-12 pages, is as follows:

- Recent 2018 UAlbany Strategic Planning Process:
  o Five core priorities established by the university’s new president
  o Note the 110-person strategic planning committee, including faculty, staff, and students
Workgroup 1 – Mission and Goals

- 30 different “road shows” in which co-chairs circulated across the entire campus to conduct presentations and obtain direct feedback regarding draft mission and goals
- Collaboration with over 1,000 campus stakeholders
- Suggest the workgroup interview the co-chairs of the strategic planning committee

- Goals and objectives are used to drive the institution:
  - planning matrices with specific unit level goals
  - funding attached to goals
  - provides allocation and accountability

- Other items to review:
  - Base Incremental Budget
  - Compact planning process
  - New Strategic Plan and Action Plans
  - Budget prep: call for allocation plans
  - Department profiles
  - Institutional Improvement
  - Academic program review
  - Administrative unit assessment

Tied to Requirements of Affiliation: 7, 8, 10, 11

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.
Workgroup 2 Mission: Evaluate and, as appropriate, describe how ethics and integrity are central, indispensable, and defining hallmarks of the University at Albany. Across activities, whether internal or external, describe how UAlbany is faithful to its mission, honors its contracts and commitments, adhere to its policies, and represent itself truthfully.

Proposed outline for second half of Chapter 2, to be about 10-12 pages in length, to be completed by Workgroup 2, is as follows:

- A commitment to academic freedom, intellectual freedom, freedom of expression, and respect for intellectual property rights;
- A climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas, and perspectives;
- A grievance policy that is documented and disseminated to address complaints or grievances raised by students, faculty, or staff. The institution’s policies and procedures are fair and impartial, and assure that grievances are addressed promptly, appropriately, and equitably;
- The avoidance of conflict of interest or the appearance of such conflict in all activities and among all constituents;
- Fair and impartial practices in the hiring, evaluation, promotion, discipline, and separation of employees;
- Honesty and truthfulness in public relations announcements, advertisements, recruiting and admissions materials and practices, as well as in internal communications;
- As appropriate to its mission, services or programs in place:
  - to promote affordability and accessibility;
  - to enable students to understand funding sources and options, value received for cost, and methods to make informed decisions about incurring debt;
- Compliance with all applicable federal, state, and Commission reporting policies, regulations, and requirements to include reporting regarding:
  - The full disclosure of information on institution-wide assessments, graduation, retention, certification and licensure or licensing board pass rates;
  - The institution’s compliance with the Commission’s Requirements of Affiliation;
  - substantive changes affecting institutional mission, goals, programs, operations, sites, and other material issues which must be disclosed in a timely and accurate fashion;
  - The institution’s compliance with the Commission’s policies; and
- Periodic assessment of ethics and integrity as evidenced in institutional policies, processes, practices, and the manner in which these are implemented.

With an examination of the following specific elements:

- Faculty handbook
- Staff handbooks
- Student grievance policies
- Conflict of interest policies, including who must sign which documents
• Approval policy for creating new policies
• Policy for evaluating and approving contracts
• Hiring and promotion policies and procedures
• Policies for assessing risk
• Verification of compliance with IPEDS and other mandatory federal and state data submissions (particularly those not covered by the MSCHE Verification of Compliance with Accreditation-Related Federal Regulations)
• Location of websites and reporting information containing reporting of Student-Right-to-Know Act data

Tied to Requirements of Affiliation: 5, 6, 7, 8, 11, 12, 13, 14, 15

5. The institution complies with all applicable government (usually Federal and state) laws and regulations.

6. The institution complies with applicable Commission, interregional, and interinstitutional policies.

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.

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 annual basis.

12. The institution fully discloses its legally constituted governance structure(s) including any related entities (including without limitation systems, religious sponsorship, and corporate ownership). The institution’s governing body is responsible for the quality and integrity of the institution and for ensuring that the institution’s mission is being accomplished.

13. A majority of the institution’s governing body’s members have no employment, family, ownership, or other personal financial interest in the institution. The governing body adheres to a conflict of interest policy that assures that those interests are disclosed and that they do not interfere with the impartiality of governing body members or outweigh the greater duty to secure and ensure the academic and fiscal integrity of the institution. The institution’s district/system or other chief executive officer shall not serve as the chair of the governing body.

14. The institution and its governing body/bodies make freely available to the Commission accurate, fair, and complete information on all aspects of the institution and its operations. The governing body/bodies ensure that the institution describes itself in comparable and consistent terms to all of its accrediting and regulatory agencies, communicates any changes in accredited status, and agrees to disclose information (including levels of governing body compensation, if any) required by the Commission to carry out its accrediting responsibilities.
15. The institution has a core of faculty (fulltime or part-time) and/or other appropriate professionals with sufficient responsibility to the institution to assure the continuity and coherence of the institution’s educational programs.
**Workgroup 3 Mission:** Document and describe how the University at Albany provides students with learning experiences that are characterized by rigor and coherence at all program, certificate, and degree levels, regardless of instructional modality. This includes evidencing how learning experiences, regardless of modality, program pace/schedule, level, and setting are consistent with higher education expectations.

**Chapter 3: UAlbany Students: Forever Great; Forever Great Danes:** This chapter documents compliance with Standards 3 and 4. The chapter provides an overview of the characteristics of the University’s student body and the current efforts by the university to enhance the student learning experience by more effectively using data analytics and providing new opportunities for students to engage in experiential learning opportunities that complement their coursework.

Workgroup 3 to cover (in approximately 10 single spaced pages, not including appendices):

1. Certificate, undergraduate, graduate, and/or professional programs leading to a degree or other recognized higher education credential, of a length appropriate to the objectives of the degree or other credential, designed to foster a coherent student learning experience and to promote synthesis of learning;

2. Student learning experiences that are designed, delivered, and assessed by faculty (full-time or part-time) and/or other appropriate professionals who are:
   a. Rigorous and effective in teaching, assessment of student learning, scholarly inquiry, and service, as appropriate to the institution’s mission, goals, and policies;
   b. Qualified for the positions they hold and the work they do;
   c. Sufficient in number;
   d. Provided with and utilize sufficient opportunities, resources, and support;
   e. Reviewed regularly and equitably based on written, disseminated, clear, and fair criteria, expectations, policies, and procedures;

3. Academic programs of study that are clearly and accurately described in official publications of the institution in a way that students are able to understand and follow degree and program requirements and expected time to completion;

4. Sufficient learning opportunities and resources to support both the institution’s programs of study and students’ academic progress;

5. At institutions that offer undergraduate education, a general education program, free standing or integrated into academic disciplines, that:
   a. Offers a sufficient scope to draw students into new areas of intellectual experience, expanding their cultural and global awareness and cultural sensitivity, and preparing them to make well-reasoned judgments outside as well as within their academic field;
   b. Offers a curriculum designed so that students acquire and demonstrate essential skills including at least oral and written communication, scientific and quantitative reasoning, critical analysis and reasoning, technological competency, and information literacy.
Consistent with mission, the general education program also includes the study of values, ethics, and diverse perspectives; and

c. in non-US institutions that do not include general education, provides evidence that students can demonstrate general education skills;

6. In institutions that offer graduate and professional education, opportunities for the development of research, scholarship, and independent thinking, provided by faculty and/or other professionals with credentials appropriate to graduate-level curricula;

7. Adequate and appropriate institutional review and approval on any student learning opportunities designed, delivered, or assessed by third-party providers; and

8. Periodic assessment of the effectiveness of programs providing student learning opportunities.

Proposed outline for the first half of Chapter 3, to be about 10-12 pages in length, to be completed by Workgroup 3, is as follows:

- The UAlbany Educational Experience
  - What is the UA educational experience?
  - Unique aspects (i.e., writing intensive)
  - Scheduling
  - General Education (design and assessment)
  - Experiential Learning
  - International
- The Undergraduate Programs
- Graduate Programs
- Online Education
- Faculty Quality and Composition
- Faculty review processes
- SIRF data (Student Instructional Rating Form)
- Support of Academic Progress (will need to be coordinated with standard 4)
- Academic Program Approval and Assessment
- Governance process for approval of the curriculum (UAlbany, SUNY, NYS Education Dept)
- Academic Program Review Process
- Student Learning Outcomes and the
Tied to Requirements of Affiliation: 8, 9, 10, 15

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

9. The institution’s student learning programs and opportunities are characterized by rigor, coherence, and appropriate assessment of student achievement throughout the educational offerings, regardless of certificate or degree level or delivery and instructional modality.

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.

15. The institution has a core of faculty (fulltime or part-time) and/or other appropriate professionals with sufficient responsibility to the institution to assure the continuity and coherence of the institution’s educational programs.
Workgroup 4 Mission: Demonstrate support of the student experience across all educational experiences, settings, levels, and instructional modalities. Document that UAlbany recruits and admits students whose interests, abilities, experiences, and goals are congruent with its mission and educational offerings. UAlbany commits to student retention, persistence, completion, and success through a coherent and effective support system sustained by qualified professionals, which enhances the quality of the learning environment, contributes to the educational experience, and fosters student success.

Chapter 3: UAlbany Students: Forever Great; Forever Great Danes: This chapter documents compliance with Standards 3 and 4. The chapter provides an overview of the characteristics of the University’s student body and the current efforts by the university to enhance the student learning experience by more effectively using data analytics and providing new opportunities for students to engage in experiential learning opportunities that complement their coursework.

The following criteria should be covered to address Standard 4.

1. clearly stated, ethical policies and processes to admit, retain, and facilitate the success of students whose interests, abilities, experiences, and goals provide a reasonable expectation for success and are compatible with institutional mission, including:
   a. accurate and comprehensive information regarding expenses, financial aid, scholarships, grants, loans, repayment, and refunds;
   b. a process by which students who are not adequately prepared for study at the level for which they have been admitted are identified, placed, and supported in attaining appropriate educational goals;
   c. orientation, advisement, and counseling programs to enhance retention and guide students throughout their educational experience;
   d. processes designed to enhance the successful achievement of students’ educational goals including certificate and degree completion, transfer to other institutions, and post-completion placement;
2. policies and procedures regarding evaluation and acceptance of transfer credits, and credits awarded through experiential learning, prior non-academic learning, competency-based assessment, and other alternative learning approaches;

3. policies and procedures for the safe and secure maintenance and appropriate release of student information and records;

4. if offered, athletic, student life, and other extracurricular activities that are regulated by the same academic, fiscal, and administrative principles and procedures that govern all other programs;

5. if applicable, adequate and appropriate institutional review and approval of student support services designed, delivered, or assessed by third-party providers; and

6. periodic assessment of the effectiveness of programs supporting the student experience.

The following is a suggested outline for this section of Chapter 3. A great start would be to see how the 2015 Periodic Review Report describes this area. But feel free to craft a different approach. The key to this is weaving coverage of the 6 criteria above into a narrative, and in particular, describing how we assess our student support services and programming (criteria #6 above) and modifications we have made over time as a result of those assessments.

The other section in this chapter will be written by Work Goup 3, Design and Delivery of the Student Experience.

- Introduction – Describe our relatively centralized undergraduate admissions and our relatively decentralized graduate admissions processes, and our approach to supporting students to succeed. Reference assessment of student learning covered in chapter 4.

Proposed outline for the second half of Chapter 3, to be completed by Workgroup 4 in 10-12 pages, is as follows:

- Supporting Undergraduate Student Success
  - First-year experience programs
  - Living-Learning Communities
  - Writing and Critical Inquiry program
  - EOP
  - Freshman Seminars
  - Honors College
  - Academic policies, enforcement, and their adaptability to student needs
  - UAlbany’s advisement model
  - Tutoring programs
  - Internships and experiential learning initiatives
  - Student Affairs support programs and activities
Appendix A

Workgroup 4 – Support of the Student Experience

- Student Success in Graduate Programs
  - Support functions of the Office of Graduate Studies
  - Degree clearance
  - Academic policies and their enforcement
  - GATA support
  - Other initiatives to support student success in graduate education?

- Support of other educational activities
  - Online learning
  - University in the High Schools program

Suggestion: weave into the discussion analyses of overall retention and graduation rates, student post-graduation activities (e.g., employment vs graduate study), and other various assessments of effectiveness.

And, in an accompanying document provide a bullet point summary of how UAlbany meets these Requirements of Affiliation:

**Requirement 2.** The institution is operational, with students actively enrolled in its degree programs.

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

Include reference to specific documentary evidence.
Workgroup 5 Mission: Show that assessment of student learning and achievement demonstrates that the institution’s students have accomplished educational goals consistent with their program of study, degree level, the institution’s mission, and appropriate expectations for institutions of higher education.

Workgroup 5 to cover (in approximately 10 single spaced pages, not including appendices) a section in Chapter 4 of the Self-Study that focuses on the assessment of student learning across undergraduate and graduate programs.

Chapter 4: Fostering an Environment of Continuous Improvement: This chapter documents compliance with Standards 5 and 6. It describes the ways in which the institution engages in assessment of learning outcomes and ensures that its planning, resources, and structures are aligned to achieve the mission and goals of the institution.

The following criteria should be covered to address Standard 5.

1. clearly stated educational goals at the institution and degree/program levels, which are interrelated with one another, with relevant educational experiences, and with the institution’s mission;

2. organized and systematic assessments, conducted by faculty and/or appropriate professionals, evaluating the extent of student achievement of institutional and degree/program goals. Institutions should:
   a. define meaningful curricular goals with defensible standards for evaluating whether students are achieving those goals;
   b. articulate how they prepare students in a manner consistent with their mission for successful careers, meaningful lives, and, where appropriate, further education. They should collect and provide data on the extent to which they are meeting these goals;
   c. support and sustain assessment of student achievement and communicate the results of this assessment to stakeholders;

3. consideration and use of assessment results for the improvement of educational effectiveness. Consistent with the institution’s mission, such uses include some combination of the following:
   a. assisting students in improving their learning;
   b. improving pedagogy and curriculum;
   c. reviewing and revising academic programs and support services;
   d. planning, conducting, and supporting a range of professional development activities;
   e. planning and budgeting for the provision of academic programs and services;
   f. informing appropriate constituents about the institution and its programs;
   g. improving key indicators of student success, such as retention, graduation, transfer, and placement rates;
h. implementing other processes and procedures designed to improve educational programs and services;

4. if applicable, adequate and appropriate institutional review and approval of assessment services designed, delivered, or assessed by third-party providers; and

5. periodic assessment of the effectiveness of assessment processes utilized by the institution for the improvement of educational effectiveness.

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 this area, as well as review how the assessment of student learning was addressed in the 2010 Middle States Self-Study. But feel free to craft a different approach.

The other section in this chapter will be written by Work Goup 6, Planning, Resources, and Institutional Improvement.

Proposed outline for the first half of Chapter 4, to be completed by Workgroup 5 in 10-12 pages, is as follows:

- Institutional, Program, and Course-based Learning Goals
  - Albany’s approach to setting and periodically reviewing learning goals at these levels.

- Assessment of Undergraduate Student Learning
  - Assessment in the Major
  - General Education Assessment
  - Assessment of the University in the High Schools program

- Assessment of Student Learning in Graduate Programs
  - Master’s and Certificate Programs
  - Doctoral Programs
  - Use of Graduate Program Evaluation Metrics Developed Under the 2010 Strategic Plan

- Reflections on UAlbany’s Student Learning Assessment Processes
  - Challenges
  - Significant Accomplishments
  - Suggestions for Strengthening our Assessment Processes
And, in an accompanying document provide a bullet point summary of how UAlbany meets these Requirements of Affiliation: 8 and 9. Include reference to specific documentary evidence.

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

9. The institution’s student learning programs and opportunities are characterized by rigor, coherence, and appropriate assessment of student achievement throughout the educational offerings, regardless of certificate or degree level or delivery and instructional modality.
Appendix A

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.
Appendix A
Workgroup 6 – Planning, Resources, and Institutional Improvement

Proposed outline for the second half of Chapter 4, to be completed by Workgroup 6, is as follows:

- Introduction to reference back to Chapter 2, Mission and Goals
- Institutional Improvement
  - Existing survey activities (NSSE, SOS)
  - Academic program review
  - Administrative unit assessment
  - Program review process
  - Assessment of student learning (in the major, and gen ed)
- UAlbany Planning Processes
  - Base Incremental Budget
  - 2020 MOU planning process
  - Compact planning process
  - New Strategic Plan and Action Plans
  - Facilities
  - Technology master plan
  - Online Teaching & Learning
  - Budget preparation: Call for allocation plans
  - Department profiles and use of analytics in budget planning
- Resource Allocation (How do we actually do this, how effective are we?)
  - Standard budget allocation process (forms, communications, process description, etc.)
  - Compact Planning Process
  - SUNY 2020
  - PIF
  - 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.
Workgroup 7 – Governance, Leadership, and Administration

**Workgroup 7 Mission:** Demonstrate that UAlbany is governed and administered in a manner that allows it to realize its stated mission and goals in a way that effectively benefits the institution, its students, and the other constituencies it serves. Even when supported by or affiliated with governmental, corporate, religious, educational system, or other unaccredited organizations, the institution has education as its primary purpose, and it operates as an academic institution with appropriate autonomy.

Workgroup 7 to cover (in approximately 10-12 single spaced pages, not including appendices) Chapter 5 of the Self-Study that focuses on the following:

**Chapter 5: Governing the University at Albany:** This chapter document compliance with Standard 7 by describing the structure of the governance and administrative structure within the institution.

The following criteria should be covered to address Standard 7.

1. a clearly articulated and transparent governance structure that outlines roles, responsibilities, and accountability for decision making by each constituency, including governing body, administration, faculty, staff and students;

2. a legally constituted governing body that:
   a. serves the public interest, ensures that the institution clearly states and fulfills its mission and goals, has fiduciary responsibility for the institution, and is ultimately accountable for the academic quality, planning, and fiscal well-being of the institution;
   b. has sufficient independence and expertise to ensure the integrity of the institution. Members must have primary responsibility to the accredited institution and not allow political, financial, or other influences to interfere with their governing responsibilities;
   c. ensures that neither the governing body nor its individual members interferes in the day-to-day operations of the institution;
   d. oversees at the policy level the quality of teaching and learning, the approval of degree programs and the awarding of degrees, the establishment of personnel policies and procedures, the approval of policies and by-laws, and the assurance of strong fiscal management;
   e. plays a basic policy-making role in financial affairs to ensure integrity and strong financial management. This may include a timely review of audited financial statements and/or other documents related to the fiscal viability of the institution;
   f. appoints and regularly evaluates the performance of the Chief Executive Officer;
   g. is informed in all its operations by principles of good practice in board governance;
   h. establishes and complies with a written conflict of interest policy designed to ensure the impartiality of the governing body by addressing matters such as payment for services, contractual relationships, employment, and family, financial or other interests that could pose or be perceived as conflicts of interest;
   i. supports the Chief Executive Officer in maintaining the autonomy of the institution;
3. A Chief Executive Officer who:
   a. is appointed by, evaluated by, and reports to the governing body and shall not chair the governing body;
   b. has appropriate credentials and professional experience consistent with the mission of the organization;
   c. has the authority and autonomy required to fulfill the responsibilities of the position, including developing and implementing institutional plans, staffing the organization, identifying and allocating resources, and directing the institution toward attaining the goals and objectives set forth in its mission;
   d. has the assistance of qualified administrators, sufficient in number, to enable the Chief Executive Officer to discharge his/her duties effectively; and is responsible for establishing procedures for assessing the organization’s efficiency and effectiveness;

4. An administration possessing or demonstrating:
   a. an organizational structure that is clearly documented and that clearly defines reporting relationships;
   b. an appropriate size and with relevant experience to assist the Chief Executive Officer in fulfilling his/her roles and responsibilities;
   c. members with credentials and professional experience consistent with the mission of the organization and their functional roles;
   d. skills, time, assistance, technology, and information systems expertise required to perform their duties;
   e. regular engagement with faculty and students in advancing the institution’s goals and objectives;
   f. systematic procedures for evaluating administrative units and for using assessment data to enhance operations; and

5. Periodic assessment of the effectiveness of governance, leadership, and administration.

The following is a suggested outline for this section of Chapter 5. A great start would be to see how the 2015 Periodic Review Report describes this area, as well as review how this area was addressed in the 2010 Middle States Self-Study. But feel free to craft a different approach.

Proposed outline for Chapter 5, to be completed by Workgroup 7 in 10-12 pages, is as follows:

- Introduction – Provide an overview of UAlbany’s administrative and governance structures, and their relationship with SUNY System Administration.
- Role of the SUNY System
  - Benefits (might be able to tackle the requirement of affiliation (#1) here)
  - Challenges
Appendix A
Workgroup 7 – Governance, Leadership, and Administration

- Campus Governance and Administration
  - Structure and Functioning of the Administrative Leadership
  - Faculty Governance Organization and Responsibilities
- Assessment of Governance, Leadership, and Administration
  - Assessment of Administrative Units (focus on process, but also show how results used, if possible)
  - Assessment of Governance Processes
  - Overall Assessment of Institutional Effectiveness
- Institution-wide surveys
- IRPE assessment reports

And, in an accompanying document provide a bullet point summary of how UAlbany meets these Requirements of Affiliation: 1. Include reference to specific documentary evidence.

1. The institution is authorized or licensed to operate as a postsecondary educational institution and to award postsecondary degrees; it provides written documentation demonstrating both. Authorization or licensure is from an appropriate governmental organization or agency within the Middle States region (Delaware, the District of Columbia, Maryland, New Jersey, New York, Pennsylvania, Puerto Rico, and the U.S. Virgin Islands), as well as by other agencies as required by each of the jurisdictions, regions, or countries in which the institution operates.

Note: SUNY may have boilerplate language and references that satisfy this requirement.
## Requirements of Affiliation by Workgroup

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<td>2. The institution is operational, with students actively enrolled in its degree programs.</td>
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<td>3. For institutions pursuing Candidacy or Initial Accreditation...</td>
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<td>4. The institution’s representatives communicate with the Commission in English, both orally and in writing.</td>
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<td>Steering Committee to assemble evidence</td>
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<td>5. The institution complies with all applicable government ... laws and regulations.</td>
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<td><strong>7.</strong> The institution has a mission statement and related goals, approved by its governing board that defines its ...</td>
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<td><strong>8.</strong> The institution systematically evaluates its educational and other programs and makes public ...</td>
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<td><strong>9.</strong> The institution’s student learning programs and opportunities are characterized by rigor, coherence, and appropriate assessment of student achievement ...</td>
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<td><strong>10.</strong> Institutional planning integrates goals for academic and institutional effectiveness and improvement ...</td>
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<td>11. The institution has documented financial resources, funding base, and plans for financial development ...</td>
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<td>12. The institution fully discloses its legally constituted governance structure(s)...</td>
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<td>13. A majority of the institution’s governing body’s members have no employment, family, ownership, or ...</td>
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<td>14. The institution and its governing body/bodies make freely available to the Commission accurate, fair, and complete information ...</td>
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<td>15. The institution has a core of faculty (fulltime or part-time) and/or other appropriate professionals with sufficient responsibility...</td>
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