PERIODIC REVIEW REPORT

Presented by:

UNIVERSITY AT ALBANY
State University of New York

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President

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1. Executive Summary

Introductory Overview of the University at Albany

The University at Albany, State University of New York, has evolved rapidly, transforming itself from a distinguished college for teachers into a high-quality research university with an internationally recognized and highly productive faculty, an accomplished student body of about 17,000 students, and a profile of nationally recognized academic programs. Its traditional missions of undergraduate and graduate teaching, research, and service are distinctively integrated to produce an intellectual and programmatic synergy that defines the University. This synergy emerges from a rich collaborative environment that joins the foundational disciplines of the humanities, arts, social sciences, and natural sciences with strong professional programs in business, education, public administration, public health, criminal justice, social welfare, information science and policy, and nanoscale sciences and engineering. Thus, today's University at Albany is distinguished by excellence within distinctive disciplines and professions, and by extensive scholarship and teaching across disciplinary boundaries, including many combined accelerated degree options that meld knowledge and application. University at Albany undergraduate and graduate students benefit from their immersion in this research environment, and they, in turn, enrich and advance scholarship and evidence-based practice in service to the larger society.

As a research university, the University at Albany recognizes that its graduate and undergraduate programs are intrinsically linked in terms of quality and breadth, and in support of the creation of new knowledge that is the hallmark of its mission. The University currently offers 54 bachelor's, 84 master's, and 39 doctoral programs, to approximately 12,000 undergraduates and 5,000 graduate students. These programs feature closely related curricula, are offered by a faculty teaching at all levels, and are distinguished by a range of accelerated bachelor's-master's degree options.

Many of the University's academic programs are also substantially strengthened by their interdisciplinarity, a characteristic that the University has actively sustained for many years to ensure that educational programs reflect the increasingly complex nature of knowledge. Even in new program areas like informatics, forensics, and nanoscale science and engineering, strong dependencies on existing programs and faculty are essential to increasing the breadth of academic programs.

The University's faculty, although small (about 600) compared to faculty of peer institutions, offers an exceptionally strong array of academic programs. Many graduate programs are nationally ranked by the National Research Council (NRC) or the National Science Foundation (NSF), and more than half (21 of 39) of UAlbany's doctoral programs rank in the top quartile nationally in terms of independent reputation studies or other objective indicators of merit.

In the College of Arts and Sciences:

- **Africana Studies**: master's program ranked by *Black Issues in Higher Education (July 2004)* as 3rd in the country
- **Anthropology**: ranked by NRC in the first quartile in publications per faculty and first quartile in percent faculty publishing
- **Atmospheric Sciences**: ranked in the first quartile of NSF rankings in total and federal R&D expenditures (2002-03)
- **Biological Sciences**: ranked by NRC in the first quartile in percent of faculty supported and percent publishing (cell and developmental biology); first quartile in percent of publishing in ecology and evolutionary behavior; and first quartile in percent supported in genetics
- **Physics**: ranked by NRC in the first quartile in publications per faculty.
- **Psychology**: ranked in the NRC first quartile in percent of faculty externally supported, citations per faculty and publications per faculty; ranked by *U.S. News* in 2005 as 38th in clinical psychology
- **Sociology**: Ranked by NRC in the first quartile in citations per faculty, publications per faculty, percent of faculty publishing, and percent of faculty supported; ranked by *U.S. News* as 25th in 2005. Ranked third nationally in articles published in the three leading journals of the discipline according to the American Sociological Association (2000)

In the School of Criminal Justice:
- **Criminal Justice:** ranked second in 2005 by *U.S. News*

In the School of Education:
- **School of Education** ranked 36th by U.S. News in 2004.
- **Counseling Psychology**: ranked fourth highest contributing institution to the *Journal of Counseling Psychology* 1973-1998 [*Journal of Counseling Psychology* (1999), Vol. 46, No. 4, 496-503]. Education specialty in Counseling/Personnel Services ranked 13th by *U.S. News* in 2005.

In the School of Information Science and Policy
- **Information Science:** ranked 15th overall in library science by *U.S. News* in 2005

In the College of Nanoscale Science and Engineering
- **Nanoscale Sciences and Engineering**: Ranked second in NSF comparative standing of science and engineering disciplines in Total R&D expenditures for 2002 (projected to be ranked first in 2003, more recent data not yet available.)

In the Rockefeller College of Public Affairs and Policy
- **Political Science**: ranked in the first quartile by NRC in percent of faculty publishing
- **Public Administration and Policy**: in 2005, ranked 10th overall in *U.S. News*; public information and technology management is ranked 4th, public administration/management is ranked 6th; public policy analysis is ranked 25th; and public finance is ranked 9th

In the School of Social Welfare:

- **Social Welfare**: ranked by *U.S. News* in the top 25 (19th) in 2005; ranked 6th in total publications in professional journals and second in per capita faculty publication in professional journals [Green, R., Baskind, F.R., & Bellin, M.H. (2002). "Faculty Publications Project," *Journal of Social Work Education,* 38 (2), 349-350]

Within this environment of integrated excellence, several University at Albany programs have achieved national or international distinction, and several others represent areas of emerging strength. Today, the University at Albany is the flagship SUNY campus for research and education in:

- Nanoscale science and engineering
- Atmospheric sciences
- Criminal justice
- Public affairs and policy
- Demography
- Literacy and writing
- Education
- Public health
- Information resources management
- Social welfare

The following emerging graduate and research programs of distinctiveness and excellence are poised to take their place alongside the disciplines of distinction noted above:

- Forensics
- Functional genomics and molecular structures
- Life sciences
- Information technology

With an enrollment of approximately 17,000 students and a full-time faculty numbering about 600, the University at Albany ranks among the smallest of the 102 public universities classified by the Carnegie Foundation as a Doctoral/Research University-Extensive. Yet, despite its comparatively small size, University faculty generated over $215 million in total research expenditures in 2003-04 processed through the SUNY Research Foundation and Health Research Incorporated, which is the sponsored research administering agency for UAlbany faculty affiliated with the New York State Department of Health.

Since its 2000 Middle States review, a most spectacular example of the University's transformation is the founding of the world's first College of Nanoscale Science and Engineering. UAlbany's initial portfolio of expertise in materials science and engineering has been leveraged and expanded through ties with government and industry. International SEMATECH, an international consortium of semiconductor businesses that leverages research and development resources, began in 2002 with state and industry support to establish a $353 million next-generation 300-mm R&D center at the University's NanoTech facility. Further state and private investments have continued to occur since 2002. The College of Nanoscale Science and Engineering has since become an emerging academic and economic strength for the

capital region of New York State. The College of Nanoscale Science and Engineering now serves as the umbrella academic unit that oversees, coordinates, and promotes the educational, service, and workforce development and instructional programs in the interdisciplinary science and technology fields of nanosciences, nanoengineering, nanobiotechnology, and nanoeconomics.

In this context of significantly expanding research and graduate strength, the University is defined by its undergraduate enterprise as well. As a "highly selective" institution within the State University of New York system with a goal to continue moving to "most selective" status, the University strives to offer undergraduate curricula enriched by this environment. The University attracts a student body that is ethnically, culturally and geographically diverse. Bachelor's degrees are offered in 54 majors, including the core disciplines of the arts and sciences, in a number of nationally and regionally recognized interdisciplinary areas, in political science, in criminal justice, in social welfare, and in business and accounting. In the last five years, the undergraduate program has been enhanced by improvements in the academic profile of incoming students, and improved retention and graduation rates. The University at Albany is second among the four SUNY University Centers in graduation rate performance (IPEDS, 2003). From regular and systematic surveys of students and alumni, students also indicated that they highly value their experience at UAlbany, and approximately 40 percent proceed immediately to graduate school upon graduation, while nearly 70 percent receive a graduate degree within ten years of their undergraduate preparation.

In recent years, the University's stature and achievements have also been greatly accelerated through increased capital investment, upgrades to create a Division I athletics program, and increased outreach and advancement efforts.

As the University at Albany has grown, its economic impact on New York State continues to grow, as well. A 2004 Economic Impact Statement, released by the Capital District Regional Planning Commission (CDRPC) and applying the U.S. Department of Commerce's RIMS II systematic analysis tools, revealed that UAlbany's economic impact upon New York State has climbed to $1.119 billion annually. The vast majority of this impact -- $1.001 billion -- is felt in the state's Capital Region. Among its highlights, the CDRPC report notes that the University, as one of the region's top five employers and home to some 17,000 students, has an annual impact of more than $145 million upon the retail and wholesale business community. The full CDRPC report is available at <http://www.albany.edu/outreach/ecoimpact.html>.

Periodic Review Report Preparation

Throughout much of 2004, the University conducted an extensive self-examination as part of the State University of New York's Mission Review II exercise. The focal topics for this exercise overlapped considerably with those that member institutions are asked to address in Periodic Review Reports, i.e., identifying major challenges and opportunities, enrollment and finance trends, academic program directions, and planning and budgeting processes. Concurrent with these discussions, the University was also designing its Institutional Assessment Plan in the latter half of 2004. Both of these processes involved broad participation by the University community, as described below. The products of these extensive consultative processes were

used extensively in developing the present PRR document. A draft PRR was then shared with the University community in May 2005 for additional feedback and comment.

The Mission Review II effort was led and coordinated by the Provost's Office. The first step in this process entailed individual meetings by the Provost's staff with each dean, each of whom had consulted with his or her faculty on the discussion points in order to develop a "from the ground up" understanding of the University's current situation, the challenges that lie ahead, and plans and processes relied on to guide it forward. A preliminary University self-description was then prepared, and substantive discussions on a unified University view were held with each of the school/college faculties, as well as with faculty and student governance groups. The considerable feedback and reflection on these important issues, particularly from the school and college faculties and University Senate Councils, were subsequently incorporated into the PRR.

Likewise, the proposed Institutional Assessment Plan (IAP) developed throughout the Fall 2004 term and recommended to the Interim Provost and Vice President for Academic Affairs in February 2005 by the Provost's Assessment Advisory Committee, was also informed by University-wide input, as described in Section 5. Furthermore, substantive parts of the IAP (i.e., the General Education Assessment Plan, and provisions for assessment in the major) were themselves developed through cooperation between the University administration and the University Senate.

During this timeframe, the University was in the midst of a multi-year change in senior leadership. In October 2003, then President Karen Hitchcock announced her intention to leave the University at Albany effective June 2004. President Hitchcock subsequently left the University in January 2004, and the preparation of the SUNY Mission Review process, the development of the proposed Institutional Assessment Plan, and the Periodic Review Report were begun under the administration of Interim President John Ryan and then Provost and Vice President for Academic Affairs Carlos Santiago. The preparation of these important reports continued as Associate Provost and Dean of Graduate Studies Jeryl Mumpower was named Interim Provost and Vice President for Academic Affairs in July 2004 after Dr. Santiago left UAlbany for the Chancellorship of the University of Wisconsin at Milwaukee. The positions of Vice President for Research and Vice President for Advancement were filled on an interim basis during this time as well. In February 2005, Kermit Hall was installed as the 17th President of the University at Albany. President Hall has signaled his intention to reengage the University community in the important conversations reflected in this PRR, the SUNY Mission Review process, and the proposed Institutional Assessment Plan during the months immediately ahead.

Major Institutional Changes and Developments since Decennial Accreditation

The University notes the following major institutional changes and developments since its decennial accreditation in 2000.

- The 17th President of the University at Albany, Kermit Hall, took office February 2005.

- The College of Computing and Information, which combines the previous School of Information Science and Policy and the Department of Computer Science, formerly of the College of Arts and Sciences, was endorsed by the University Senate in May 2005 and has been approved by President Hall effective Summer 2005.

- The second round of the Mission Review process began in 2004 and will culminate in the signing of a new Memorandum of Understanding between President Kermit Hall and the SUNY Chancellor during 2005.

- A new Administration Building and a new building on the East Campus for the Center for Excellence in Cancer Genomics are scheduled for completion in 2005.

- Student Accounts has migrated from an independent legacy system to the Integrated Administrative System (IAS) using PeopleSoft/Oracle in Spring 2005, joining Admissions, Human Resources, Student Records, and Financial Aid which were all successfully migrated since 2000.

- The SUNY Board of Trustees officially created in 2004 the world's first College of Nanoscale Science and Engineering under the auspices of the University at Albany. The College was formerly established by the University as the School of Nanoscale Science and Engineering in 2003.

- Albany NanoTech, a UAlbany-corporate partnership, with some of the most extensive nanoelectronics facilities in any academic setting in the world, has grown to over 500 employees from industry and academe at this time.

- The revision of the faculty bylaws, with increased specificity about mechanisms and responsibility for consultation with faculty, were approved in November 2003.

- The BOLD.VISION fundraising campaign, with a goal of raising $500 million by June 30, 2008, was initiated in 2003. This Campaign was later suspended in 2005 so that the University could re-assess the Campaign's goals, timeline, and campus resources needed to sustain it.

- Distance education programs in the School of Education were accepted within the scope of UAlbany's accreditation by Middle States (December 2002).

- The Weekend and Zurich MBA programs in the School of Business were accepted within the scope of UAlbany's accreditation by Middle States in 2002. (No new students are now being accepted into the latter program.)

- Three new buildings (Public Safety, Life Sciences Research, and the Boor Sculpture Studio) and a major renovation of the previous Administration Building into an Arts and Sciences building have been completed in the last five years.

- In 2000, the first SUNY Mission Review process was completed with the signing of a Memorandum of Understanding between former President Karen Hitchcock and SUNY Chancellor Robert King.

- The NCAA Division I self-study process was conducted in 2001 and culminated in NCAA certification.

- A number of new academic programs were introduced:

    Accounting Information Systems (MS) (2005)
    Applied Chemistry, MS (2004);
    Public Affairs and Policy/Law (MA/JD) with Albany Law School (2004);
    Forensic Biology, MS (2003);
    Nanosciences and Nanoengineering, MS PhD (2003)
    Autism, Advanced Certificate (2002);
    Special Education and Literacy, MS (2002);
    Nonprofit Management & Leadership, CGS (2001);
    Urban and Regional Planning/Law with Albany Law School (2001); and
    Social Work/Law (MSW/JD) with Albany Law School (2000)

PRR Highlights

The University at Albany has meaningfully engaged the decennial accreditation site team's recommendations regarding: faculty hiring that balances teaching and research missions as well as targeting transformational opportunities; supporting the General Education program; the development of better working relationships with SUNY System Administration; calibration of the size and quality of the student body within the resource environment; addressing outcomes assessment and the quality of student life; and purposefully planning for the IT and physical infrastructure needs of a 21st century research university.

While the University at Albany is in the process of transitioning to a new leadership team, the University's major challenges and opportunities identified in Section 3 are anticipated to remain operative over the next five years. Maintaining and enhancing programmatic excellence, expanding the faculty base, and stabilizing enrollment will continue to be major challenges, as will enhancing the quality of student life. Facilities and IT-related challenges abound, but, in addressing them, the University will also create tremendous opportunities to build on and exploit the substantial gains of recent years in attracting even more external funding to support research and scholarship. The University will continue to face its challenges and opportunities through processes that include shared governance and community participation.

In conjunction with its fiscal 2005-2010 plan, the enrollment plan submitted to SUNY in November 2004 outlines plans to increase undergraduate enrollment gradually by slightly less than 1,000 students to about 12,700 students, while holding graduate enrollment roughly constant. In order to accomplish this, the University plans to increase the number of new freshmen to 2,350 and new transfer students to 1,400, beginning in 2005, up from recent historical admission levels of about 2,100 to 2,200 freshmen, and about 1,150 to 1,200 new

transfers. This enrollment plan is aimed at two University objectives, discussed in more detail below, namely: to decrease graduate enrollment as a percentage of overall enrollment from about 30 percent to about 28 percent; and to ensure that the resource base, which is funded to a significant degree by tuition revenues, is adequate to support the quality of the academic experience. Within the context of these projected overall enrollment trends, the University anticipates minor enrollment redistribution among selected academic programs, to increase the racial, ethnic, and geographic diversity of the student body, and to pursue a number of programmatic initiatives that support its strategic goals. President Hall will engage the University community in annually reviewing these plans.

The University's finances have undergone a fundamental shift since the 2000 site visit. The University's all-funds operating budget has grown from $245 million in the 1999-00 fiscal year to an estimated $426 million in the now ending 2004-05 fiscal year, a 72 percent increase. The University's operating budget is projected to approach $525 million by 2009-10, or an additional 23 percent from 2004-05 levels. However, the most significant fiscal change experienced at present by the University since the 2000 site has been a 4 percent decrease in state appropriations and a 36 percent increase in revenues derived from tuition and fees. Enrollment-related revenue streams have taken on increasing importance. This trend mirrors the recent experience of public research universities across the United States. While some revenue categories have experienced larger percentage increases between 1999-00 and 2004-05, those revenue streams are largely restricted (e.g., research grants or dedicated state line-item appropriations) and cannot be used to address core operating needs that support the general academic enterprise. Like many other public colleges and universities across the United States, a primary challenge for the University at Albany will be to further diversify and manage its revenue streams away from state appropriations, during the years ahead.

In the area of assessment processes and plans, the University has built upon its traditional strengths in using assessment and evaluation to inform decision making across the institution, particularly with respect to improving the student experience. Most significant, the University has organized and dedicated personnel to support University efforts to assess both student learning outcomes and institutional effectiveness. A proposed Institutional Assessment Plan, developed by a University-wide advisory body is now under review by the University's new President. This plan specifies processes and procedures for assessing the General Education program and academic program learning outcomes, as well as institutional effectiveness across the academic and related missions of the University at Albany. Under the institutional plan, all academic and administrative units are required to define their mission and objectives, develop metrics to assess the realization of objectives, analyze assessment results, and communicate their assessment plans and use of results to the University community at large. The Provost's Assessment Advisory Committee, a broadly representative standing body comprising administrative, faculty, and student leaders was established as a means of ensuring that University assessment policies are developed with campus input and consultation. The University remains steadfast in its commitment to sustaining a culture of assessment and self-examination.

Consistent with Middle States' principles that prescribe strong linkages between institutional planning and budgeting processes, the University at Albany has historically related

its planning and budgeting processes, and has intentions to strengthen those linkages in the years ahead. Vice presidents and deans have a high degree of responsibility, authority, and accountability for the funds allocated to their areas, and this decentralized approach will continue. Largely incremental in its approach, the University's annual resource planning process incorporates the budgetary plans of vice presidents and deans, administrative and academic departments, and a faculty advisory group. Budgetary initiatives are weighed in light of the overall University strategic plan and priorities, which for the last ten years have included:

- Achieving net growth of full-time faculty,
- Maintaining and improving undergraduate and graduate student quality,
- Promoting distinctive and distinguished academic programs,
- Maintaining health and safety,
- Investing in external fundraising, and
- Preserving campus reserves.

Section 6 of the PRR specifies University plans to introduce compact planning, an initiative-based planning and budgeting model into the University's existing planning and budgeting framework as means for identifying and resolving critical issues that affect the quality and effectiveness of the university. This process is designed to align unit and university goals and strategies. Specific performance and outcomes measures are used to hold units, and the university as a whole, accountable, and to demonstrate publicly the quality and impact of our programs and services.

2. Institutional Response to Recommendations from the Previous Team Report and Institutional Self-Study

The external site team that visited the campus in 2000 was by and large pleased with the University's self-study document and self-assessment. The site team did though make several recommendations regarding the University's planning processes; academic programs and outcomes assessments; faculty; and facilities and academic infrastructure. These recommendations were largely consistent with University initiatives already in the planning stage. Since 2000, significant progress has been made in implementing the recommendations or in addressing the substantive concerns that underlie them.

Recommendation #1. In the areas of master planning and strategic planning processes and teaching and research, the site team recommended that the University focus on funding faculty positions in order to restore faculty strength.

Overall, some recent progress in faculty size has been attained. As the table below shows, however, the number of full-time faculty has increased by only 34 since 1999, and the 2004-05 University faculty was still only 89 percent of the size of full-time faculty in 1990 (N = 664).

Full-Time Faculty by Rank, University at Albany

Year	Professor	Associate	Assistant	Lecturer	Total
1995	264	197	105	29	595
1996	258	198	98	27	581
1997	233	195	89	31	548
1998	237	184	90	35	546
1999	226	180	99	47	552
2000	222	185	111	44	562
2001	228	190	122	50	590
2002	229	196	142	45	612
2003	222	184	149	33	588
2004	215	179	163	32	589

Source: SUNY System Administration reports, IPEDS Report 4

In coming years, faculty hiring priorities will continue to address key aspects of the University's educational and research programs and will attempt to redress the erosion of faculty size in foundational academic areas including the humanities, the arts and the social and natural sciences, as well as in the professional disciplines. Future faculty hiring will support the goals of enhancing academic program excellence, faculty diversity, undergraduate honors initiatives, the research mission (especially for programs at or near national or international stature), as well as emerging programs.

Recommendation #2. The University should strategically target new faculty hires in response to both teaching and research needs so that appropriate choices could be made between replacing faculty on the one hand and hiring faculty to pursue exciting new initiatives on the other.

Faculty recruitment is an area that has received considerable attention since the 2000 site team visit, and some of the most important decisions that the University faces each year relate to faculty hiring. As with most public research universities, the University has attempted to balance the competing demands for faculty resources, while seeking maximum leverage to promote the teaching excellence and research productivity of its faculty.

In furthering consideration of the balance between replacing faculty who leave and targeting new initiative areas, since 2000, decisions about faculty recruitment have largely been devolved to school/college deans who are responsible for ensuring that the faculty recruitment plans within their school or college are consistent with the University's strategic goals. The Deans, in turn, balance commitments to the General Education program and undergraduate instruction, demands for research or public service, and the ability to undertake initiatives in response to opportunities to expand program breadth or depth. All faculty hires are expected to teach at both the undergraduate and graduate level, as appropriate for each department. All position offers to new faculty are accompanied by the Framework on Teaching in which faculty obligations in this regard are delineated. School and college deans are required to submit annual

faculty recruitment plans to the Provost and Vice President for Academic Affairs, which provide their justification for filling vacant or new faculty lines.

The table below chronicles faculty headcount by school and college since 2000 based on the University's internal personnel and budgeting systems, as opposed to the federal IPEDS data referred to above. The numbers in this table are based on faculty headcount, include full-time visiting faculty and full-time lecturer appointments, and include deans. These data show that since 2000, the College of Arts and Sciences has had a net out-migration of eighteen faculty members. Some of the reduction in Arts and Sciences faculty over this time has been due to faculty transfers from Physics to the new College of Nanoscale Science and Engineering, as well as to other professional oriented programs like social welfare and public administration. The annual average student FTEs generated by the College of Arts and Sciences since 2000-01 have fallen from 9,358 to 9,172 in 2004-05, and have been accompanied by a reduction in the College's student to faculty ratio from 21.1:1 to 20.3:1. As discussed below under recommendation 3a, this trend does raise implications for the delivery of general education courses that are an important component of the University's curricula.

Summary: Faculty headcount by School/College
last updated: 10/26/04

School	2000-01	2001-02	2002-03	2003-04	2004-05	Change since 2000-01
Arts & Sciences	381	381	387	369	363	-18
Business	47	45	46	46	45	-2
Criminal Justice	13	13	16	16	15	2
Education	50	56	60	56	58	8
Information Science	8	11	12	11	10	2
Nanoscale Sciences & Engr	0	3	12	17	22	22
Public Health	14	15	17	20	27	13
Rockefeller College	41	40	38	40	38	-3
Social Welfare	24	28	28	27	28	4
Academic Affairs & Research	15	17	17	17	16	1
TOTAL	**593**	**609**	**633**	**619**	**622**	**29**

Source: Office of Financial Management and Budget

In addition to filling or creating faculty positions based on the mission-related needs of the academic units, as in the College of Arts and Sciences where new majors that combine faculty research interests with General Education curricula in such areas as Documentary Studies, Film Studies, Globalization, Human Biology, and Journalism are at various stages in the campus approval process, the University has strategically invested faculty positions in targeted areas of opportunity including the College of Nanoscale Sciences and Engineering, the School of Public Health, and the Life Sciences Initiative in Arts and Sciences.

The University's strategic decision to begin developing graduate programs in Nanoscale Science and Engineering resulted in the founding of the world's first College of Nanoscale Science and Engineering in 2004. The University's initial portfolio of expertise has been leveraged and expanded through ties with government and industry, culminating, in July 2002,

with Governor George E. Pataki's announcement that International SEMATECH would establish with state and industry support a $353 million next-generation 300-mm R&D center at the University's NanoTech facility. Since 2002, the size of the College faculty has grown from eight to twenty-four tenure-track faculty by 2005, with nine of these positions funded by external sources. Much of the future growth of the College's faculty will be funded by external sources. These investments have expanded the research profile of the University at Albany and fostered much attention and acclaim that transcends to the institution as a whole. Further, these investments have built the infrastructure necessary to nurture New York State's emerging high technology economy and to transform New York's Hudson Valley into what is now known as Tech Valley by providing extraordinary research capability for basic, applied, and pilot prototyping research.

Recent increases in the number of faculty in the School of Public Health have been specifically targeted to address accreditation requirements as well as to develop the biotechnology initiative. External funds to secure these additional faculty members have been sought and secured through federal funds made available by the Health Care Reform Act (HCRA) of 1999. Since 2000, nine faculty members have been added to University-supported faculty in the School of Public Health.

The Center for Functional Genomics (CFG) on the University's East Campus, founded in 2000 and affiliated with the School of Public Health, serves as the focal point for the campus' biotechnology initiative, with participation by faculty members from the Departments of Biological Sciences, Biomedical Sciences, and Epidemiology and Biostatistics, among others. Since 2000, four new faculty members to the School of Public Health's Department of Biomedical Sciences have been strategic hires to develop the core staff of the Center for Functional Genomics. This new Center provides an intellectual environment, coupled with state-of-the-art core laboratories, to advance the fundamental understanding of the function of gene products while promoting the integration of research projects between investigators and entrepreneurial biotechnology companies. In addition to University scientists, the CFG includes scientists from Albany Medical College, Stratton Veterans Administration Medical Center, Wadsworth Laboratories, and Rensselaer Polytechnic Institute. Through $27.5 million in state legislative grants, the project has been designated by the state as a Center of Excellence in Cancer Genomics. Among its state-of-the-art facilities, the CFG hosts collaboratively with Taconic Farms a state-of-the-art mouse transgenic facility which has been recognized by the National Institutes of Health with designation as one of only four Mutant Mouse Regional Resource Centers (MMRRC) in the country.

The University has also dedicated funds to hiring new faculty for the Life Sciences Initiative. The physical infrastructure of this initiative, a 194,000-square-foot, state-of-the-art Life Sciences Research Building, which in turn is part of a $100 million commitment to the life sciences, opened its doors in 2004 and provides researchers with core facilities and instrumentation. Critical core equipment and technologies, such as mouse transgenesis and fermentation facilities, cell and tissue culture suites, mass spectrometry, X-ray crystallography, and nuclear magnetic resonance spectroscopy instrumentation, will be available to advance discoveries in genomics, bioinformatics, proteomics, chemical genetics, and protein expression. The Life Sciences Research Building will also house a 6,000-square-foot rodent research

vivarium. Recruiting outstanding scientists active in the area of Molecular Structure and Function ranks high among University priorities, and in Spring 2005, the University hired two faculty in biological sciences and one in chemistry in pursuing this priority.

Recommendation #3a. The University should provide appropriate resources to those departments responsible for meeting new General Education requirements while building research capacity.

The University has been challenged in meeting the needs of the new General Education curriculum, effective for new freshman in Fall 2000, and new transfer students in Fall 2002. By and large, General Education instruction continues to occur in the departments that have traditionally fulfilled this service need, and their deans are responsible for ensuring that they have sufficient faculty to meet this need. In the College of Arts and Sciences, which traditionally generates approximately 90 percent of the student FTE enrollment in General Education courses, new faculty hires are expected to teach undergraduate courses, and a number of senior faculty and chairs teach lower division courses, many of which fall under the auspices of the General Education program.

Part-time faculty have played an important role in meeting student demand for General Education courses. Since 2002, when the new General Education requirements became effective for transfer students, the greatest challenge to meeting student demand for General Education courses has come from the difficulties in predicting accurately the needs of the 1,200-plus new transfer students who enroll each year. The vast majority of these students have transferred from SUNY community colleges. While General Education courses are fully transferable between SUNY community colleges and the University via SUNY policy, they are not necessarily required for graduation at the community colleges, and transfer students arrive at the University with varying degrees of unmet courses in their General Education portfolio. Thus, the array of students' needs for satisfying General Education requirements can vary considerably from year to year, and the University has grappled with subsequent spillover effects of closing out courses to freshmen. The University has responded to these pressures by reserving seats for freshman and new transfers in selective General Education courses and by investing in a new course scheduling system (Schedule 25) which will better utilize available classroom space. The University has also instituted both freshman-only and transfer-only sections of the most needed General Education courses for Fall 2005 and beyond. These new courses are mainly in the College of Arts and Sciences, but also in Political Science, which is in the Rockefeller College of Public Affairs and Policy.

Although campus administrative and teaching resources have been directed to the General Education program, President Hall made it clear to the University community this past Spring that our job is not done and we need to continue to improve our ability to supply the courses needed for students to fulfill their General Education requirements in a timely manner that is well integrated with their studies in the major. This is an area that the University will continue to monitor and address during the next five years.

Recommendation #3b. Also in the area of General Education, the site team recommended that the SUNY System work closely with the campus and the board of Trustees in building a strong

and trusting relationship, and that all three entities work collaboratively to address the important role of faculty expertise in curriculum matters.

Significant progress has been made since 2000 in realizing the type of working relationship that the site team envisioned. The University has worked cooperatively with SUNY System to implement the new General Education requirements set forth by the Board of Trustees. The University has chosen, as have many other SUNY four-year institutions, to institute General Education requirements that go beyond those called for by the Trustees. Such changes were reviewed and approved by a SUNY-wide General Education and Review (GEAR) group, which comprises representatives from SUNY campuses, the Faculty Senate, the Faculty Council of Community Colleges, and from SUNY System Administration. The GEAR group has also been instrumental in implementing, SUNY's assessment-in-the-major initiative and the subsequent assessment of the General Education program. While differences of opinion have emerged from time to time, SUNY System's solicitation of and incorporation of campus comment into its evolving policies in these areas has been collegial and marked by considerable cooperation with campuses. Strong lines of communication and protocol for developing policy via input and campus consultation have been established and utilized, as the site team recommended.

Recommendation #4. The University should provide substantial enhancement to the graduate student support budget.

The University made some gains in increasing the graduate student support budget in the early years since the 2000 site team visit, but most of these gains have been eroded due to reductions in State support and Legislatively determined tuition increases in 2003 that were not accompanied by increased funds for graduate tuition scholarships. In 2002, then Provost Santiago convened a Graduate and Teaching Assistant Taskforce to review campus teaching assistant resource allocation patterns and to make recommendations to improve the graduate student support situation. This committee's work revealed clearly the continuing need, when compared to national standards, for additional graduate student funding. Overall, as the table below shows, University expenditures for graduate student stipend and tuition support grew from $7.5 million in 2000-01, to $7.6 million in 2004-05.

Gradaute Student Support by Source
(in millions)

Fiscal Year	SUNY	UAlbany	Total
2000-01	$6.2	$7.5	$13.6
2001-02	$6.2	$8.0	$14.2
2002-03	$6.1	$7.7	$13.8
2003-04	$6.1	$7.7	$13.8
2004-05	$6.1	$7.6	$13.7

Source: Office of Financial Management and Budget

During this same time, SUNY dedicated funding to the University for graduate student support fell from $6.2 million to $6.1 million. Increased graduate tuition in the 2003-04 academic year from $5,100 to $6,900 for NY residents, and from $8,416 to $10,500 for non-residents was covered on a one-time basis by the University's campus financial plan for students receiving tuition wavers, but the University could not continue to fund the increased tuition levels in the 2004-05 academic year, so the increased SUNY tuition levels represent an erosion in base graduate student support. Externally mandated tuition increases adversely impact graduate student support and exacerbate existing difficulties in attracting and retaining high quality graduate students. The University will continue to work with SUNY Administration officials to develop and institute graduate tuition and tuition support policies that will promote graduate education at UAlbany and the other SUNY research centers. In addition, the campus will continue to seek ways to buttress campus support for graduate students, primarily through growth in externally funded research and training

The University was able to increase its internally funded graduate student support by 6.7 percent ($500,000) between 2000-01 and 2001-02, from $7.5 million to $8.0 million. As detailed in the finance section of the PRR, the University's state appropriation increased during this period, making this increase possible. The SUNY commitment to funding graduate student support did not change during this period, and subsequently declined slightly. The University subsequently experienced a state appropriation reduction in 2002-03, and then relatively flat funding for 2003-04, so the gains made in increasing graduate student support in 2001-02 were not be sustained. Increases to this support base were not possible in 2004-05 as the University was faced with an unplanned enrollment shortfall in Fall 2004 that adversely affected its revenue stream. Consequently, the average full-time graduate assistant or teaching assistant stipend has only risen from $9,854 in 2000-01 to $10,076 in 2004-05.

Despite these difficulties, the University has sought creative and opportunistic means since the 2000 site team visit to supplement its graduate student support budget and to make additional resources for funding students available to graduate programs. As part of its 2000 Memorandum of Understanding with SUNY System Administration, the University negotiated an additional $160,000 from SUNY to target graduate tuition scholarships in programs of excellence, as mutually defined by SUNY and the University. But these funds were only made available for a three-year period. The University has increased its support for its College Scholars program from $200,000 in 2000 to $352,000 by 2005. This program supplements existing departmental funds, upon petition, from centrally administered resources in Academic Affairs in order to attract high ability graduate students.

Not included in the table above, is $230,428 in support received over the past two years through the NSF-supported SUNY Alliance for Graduate Education and the Professoriate (AGEP) program that the University joined in 2003. The purpose of this NSF-supported program is to increase significantly the number of underrepresented students receiving doctoral degrees in science, technology, mathematics, and engineering, and to encourage their entry into the professoriate. This is accomplished by using AGEP funds in several areas: recruitment (pay to fly in potential students), retention (support social activities, provide conference and book support to enrolled eligible students, provide summer support), and "top off" funds ($3,000 per

student to enhance the departmental assistantship or fellowship). The University's share of the next 5-year funding cycle, which began April 1, 2005, is $875,818.

Recommendation #5a. In the area of Outcomes Assessment, the site team recommended that given the University's aspirations in the direction especially of research, an assessment of the student experience in post-baccalaureate programs should also be conducted.

Post-baccalaureate program assessments have been accomplished in a number of academic programs. Graduate student experiences are annually gauged by student and/or alumni surveys in the School of Social Welfare, the School of Public Health, the School of Business, the Department of Public Administration and Policy, and the School of Information Science and Policy. Additionally, the University Libraries includes a sampling of graduate students in its periodic assessments using the LibQual national benchmarking instrument. Many of these discipline-focused surveys, largely driven by specialized accreditation needs, also contain survey questions that focus on student experiences in their disciplines, as well on University-wide issues such as classrooms, computer and laboratory facilities, internships, career guidance, and faculty expertise, among others. Since each of these surveys are separately administered by these units, analyses of University-wide issues and concerns need to be more widely communicated to the administration, faculty, and to students. Communication of assessment results and their use in improving the student experience are an important component of the University's new Institutional Assessment Plan, so the University expects to make significant progress in this area in the years ahead.

Recommendation #5b. Also in the area of Outcomes Assessment, the 2000 site team recommended that the University consider augmenting the use of student and alumni surveys by employing methods other than surveys to measure outcomes, particularly in light of the relatively low response rates (e.g., 15-20 %) that these surveys have historically experienced.

This recommendation is consistent with Middle States' policy of encouraging the use of methods other than self-reported student perceptions to evaluate student learning outcomes, and the University has responded accordingly. Since the 2000 site visit, the University has developed additional mechanisms to gauge student outcomes with regard to important student learning outcomes and has considerably improved survey response rates for important surveys that complement direct assessments of student learning.

Since 2001, the University has been systematically assessing General Education learning outcomes in accordance with its SUNY approved General Education Assessment Plan, which is an important component of the University's proposed Institutional Assessment Plan which accompanies this PRR. As the 2004-05 academic year comes to a close, the University has conducted learning outcomes assessments in each of the fourteen General Education categories. Additionally, each academic discipline also develops an assessment plan, which includes direct measures of student learning outcomes as part of its program review process. These discipline-based assessment plans are developed as part of the seven-year program review cycle, and implemented over a multi-year period leading up to the next full program review. Individual program assessment plans, as they are developed, often contain multi-method approaches to measuring student outcomes. They include, among others, course embedded approaches such as

comprehensive exams, senior thesis or research projects, and capstone courses, as well as senior interviews, focus groups, and the use of nationally normed standardized tests. Beginning in 2005, academic departments will be able to supplement these direct measures of student learning outcomes with the UAlbany Student Experience Surveys. These are student-engagement type surveys similar to the National Survey of Student Engagement (NSSE) and are based on the Albany Outcomes Assessment Model. These assessment initiatives and progress to-date are discussed in greater detail in Section 5.

Second, in Spring 2000, the Office of Institutional Research was able to increase the student response rate on the SUNY Student Opinion Survey, one of the University's most important survey instruments, to 29 percent, and succeeded in realizing a respondent base that generally mirrored the undergraduate student population in terms of important demographic and programmatic characteristics. In 2003, the University moved to an in-class administration of this survey, with the cooperation of the faculty, in order to dramatically increase the degree of confidence in the survey results. This effort led to a 98 percent survey response rate for the 2003 administration of the SUNY Student Opinion Survey. Increased confidence in the reliability of the survey results has contributed positively to the success of the University's leadership in engaging the faculty in interpreting the survey results. These recent developments are also discussed in more detail in Section 5.3. In its last three administrations since 2000, the ACHUO-I Residence Hall Survey, another major survey effort to improve the University's understanding of the student residential experience, has achieved a 60-plus percent response rate through a series of incentives and administration strategies such as lottery prizes for survey participants and hand distribution of surveys to students by residence hall directors.

Recommendation #6. Noting that the University's plans to increase both the size and quality of the student body were dependent on full funding of the SUNY budget guidelines and that funding at this level was not guaranteed, but rather dependent on legislative action, the site team recommended that the University work cooperatively with the System office in making final enrollment decisions that reflect the availability of resources.

Cooperative discussion has occurred between the University and SUNY System Administration with regard to enrollment planning decisions. As noted later in Section 4, the University has considerably scaled back its plans for sustained enrollment growth in light of stagnation in the level of state support, a decision made in full cooperation with SUNY System Administration. In its 2000 Memorandum of Understanding with SUNY, the University articulated a five-year enrollment plan that envisioned growing to a size comparable to this nation's mid-sized public research universities (about 20,000 students in total) while at the same time achieving a student body that both reflected the rich diversity required for a quality education and possessed an academic profile comparable to the most selective of this nation's public research universities. During the most recent years, the University and SUNY System Administration engaged in enrollment planning processes the outcome of which reflected the reality of a flat (at best) publicly financed funding environment that precluded substantive enrollment growth.

As the state investment in the SUNY system becomes replaced by an increasing reliance on tuition and fees borne by students and their families, enrollment growth may again be

contemplated, as an important component of a strategy for securing much needed revenues. SUNY campuses are now permitted to retain all tuition and fees generated by their students. As long as the capacity exists to serve additional students in and outside of the classroom, and the resulting marginal revenue exceeds the marginal costs of serving them, future enrollment growth may be a viable proposition. Such decisions, should they be made, will be considered very deliberatively with active engagement of the University community and will be coordinated with SUNY System Administration, as required under SUNY policy.

Recommendation #7. The Site Visit team recommended that the University should identify ways of encouraging more interaction among the students from different racial and ethnic groups.

The University has strived since before the 2000 site visit to create an environment that supports and enhances the academic mission while simultaneously supporting students in their social and personal development. The University's approach since the 2000 site visit to promoting more interaction among students from various backgrounds, including those of different race and ethnicity, has been to use its existing organizational structures in the areas of advisement; health and safety; living/learning environments (including residential life), academic coursework, co-curricular programming (including arts and athletics); and student governance to pursue these ends.

The Assistant Director of Student Activities and Multicultural Affairs takes special responsibility for coordination and support of many activities that strive to bring students of diverse backgrounds together for increased interaction and involvement in a casual and fun environment. This office serves as a clearinghouse for multicultural student events and programs and distributes a monthly calendar to increase awareness across the entire campus of upcoming multicultural activities. Recent events that have been particularly successful in attracting diverse as well as large numbers of participants include Danes After Dark, Unity Weekend, Midnight Basketball, and Step Dancing shows. Other annual events such as the Martin Luther King Jr. Luncheon, the Latino Collegiate Conference, China Night and the Disabled Student Luncheon are visible means of supporting diversity on campus by bringing together larger, more diverse audiences. As mentor to African-American, Latino, Native American and Asian students, staff in this office also monitor the academic performance and progress of students of color, not only to direct them to the appropriate resources, but to assess, by correlation, how well they are assimilating into the campus environment.

Another major focus of our efforts to encourage interaction among diverse groups is the residential experience, which seeks to integrate academic instruction with the co-curricular opportunities that enhance students' personal growth. Over 800 programs designed to be educational, multicultural, or related to community building, community service, or school spirit are offered each academic year. Residential Life has increased the emphasis on "Alternative to Alcohol" programming, with activities scheduled late at night. Residential Life assesses how well it is doing with these initiatives through a benchmarked survey (ACUHO-I) that provides clear and relevant data on student satisfaction regarding respect for different cultures, gender and sexual orientation.

Many other activities occur under the auspices of the Office of Student Activities and UAlbany's Student Association, which sponsors more than 190 clubs and organizations, with more than 5,000 student participants. These groups, many of them cultural in nature, are supported and advised by the Office of Student Activities. Additionally, this office, with direction from the Assistant Director for Multicultural Affairs, supports the Multicultural Student Advisory Council (MSAC), a group of elected, appointed and emerging student leaders of color on campus. The purpose of the organization is to assist students in recognizing their individual and collective influence and to foster a cooperative and supportive relationship among student leaders of color in an effort to create a greater sense of unity among the overall student population on campus. Maintaining involvement in this organization is a critical to the University's ability to monitor the pulse of multicultural student concerns and to assess interaction among diverse populations of students.

The University is also an active and very effective campus affiliate of the National Coalition Building Institute (NCBI), a group of students, faculty, and staff who provide useful tools to understand and effectively address prejudice and discrimination on campus. Each year, NCBI diversity training reaches over 1,000 students of various backgrounds across the campus. This diversity training teaches students how to overcome stereotypes, and it encourages them to confront the unfamiliar, thus improving the multicultural climate on campus.

In the classroom, courses in the area of Cultural and Historical Perspectives, part of the General Education curriculum, are designed to help students develop an understanding of their own identity and of their relation to various communities, and to increase their ability to interact effectively with persons from different cultural and regional backgrounds. It is mandatory that undergraduates take at least one course in this General Education area.

On the graduate level, the Graduate Student Organization sponsors 30 groups supporting the educational, social and cultural needs of 5,000 graduate students. In 2001, the University created a new Office for Graduate Student Recruitment, Retention, and Intercultural Affairs. The University Senate's new charter includes three standing committees of the University Life Committee (Health, Safety and Well-being; Athletics; and Residential Life) that address many important aspects of campus life that bring together students from different racial and ethnic backgrounds with opportunities to intermingle, learn and grow from each other.

Recommendation #8a. In the areas of Computing and IT, the site team recommended that the University establish a Network Operations Center and a mechanism for responding to breaches in network security.

The University has allocated staff (2 FTE) to an ALARM Group to monitor the network for anomalous activity, performance, security breaches, and bandwidth utilization. This unit responds to breaches in network security by monitoring, scanning and denying network access as events materialize. In conjunction with other ITS units, the ALARM Group analyzes reports from authoritative Internet organizations and issues alerts, as warranted, to University technical personnel. The University has also taken the significant long-term step of hiring an Information Security Officer in 2005 to guide in the creation of an Information Security Program.

Recommendation #8b. Computing and IT recommendations were (1) Purchase additional workstations for students; (2) develop an amortization schedule for upgrading computer workstations in labs across the campus; (3) extend the hours of the Academic Computing help desk; and (4) address the need for better temperature control in computer labs

In June of 2000 the public access room in the main library, UL137 was completed, adding 48 student PCs. There are now over 300 student workstations in public labs and many more in departmental-based labs available for student use. Computer workstation amortization schedules in labs across the campus were also developed since 2000.

In 2000 the Tier 1/Tier 2 PC replacement program was instituted through student technology fee money. Workstations in the public access rooms, managed by ITS on the main campus, downtown campus and the east campus, as well as the Library and Center of Technology and Learning, were put on a 2 year replacement cycle. Equipment that is replaced in the public rooms is then offered to the schools and colleges for student labs and work spaces. In 2003 the replacement cycle was changed from 2 years to 3 years due to budgetary constraints.

While it was not possible to extend the hours of the Academic Computing helpdesk, which is open 62 hours per week, due to the availability of funds, the ITS web page <http://www.albany.edu/its/index.html> has been significantly expanded since 2000 in order to provide a variety of self-help FAQs, tools, and e-mail links to support technicians in order to better serve students, faculty, and staff.

Approximately $20,000 was spent on improving the air system in the public access room in the library. Improvements were also realized by purchasing fans to circulate the air. Other computer labs on campus are monitored on a periodic basis to ensure that adequate temperature control is maintained.

In addition to responding to the above recommendations for basic infrastructure, the campus is investigating support and coordination of disciplinary academics and research in the form of an IT Commons initiative. Development of better support for advanced research computing, including cluster computing, is underway in the Computing Research Group of Information Technology Services.

Recommendation #9. In summing up its recommendations regarding the University's physical facilities, the 2000 site team recommended that the University (1) continue working with SUNY System Administration and the State to implement the campus Master Plan for creating additional space and upgrading existing space; (2) focus on securing funds related to research infrastructure, including library and technology enhancements necessary to attract and retain the best faculty and graduate students; (3) continue to develop partnerships with government and industry in order to secure resources for additional facilities and equipment; and (4) develop a University-wide technology plan focusing on the research, instructional, and administrative needs of the campus.

Since the site team's visit, the University has been proactive in addressing each of these concerns. The University offers its academic and research programs on three campuses (and

several leased sites throughout the city and region). While architecturally impressive, each campus poses its own design restrictions and challenges as the University seeks to maintain and enhance these facilities in keeping with its academic and research goals.

The Uptown Campus, with its 500-plus acres and more than 4 million square feet, is the largest of the locations. Constructed in the 1960s, the architecture of this campus is unique and limits design opportunities for future expansion and rehabilitation. The University seeks to preserve the style of the monolithic concrete structure (the ''Academic Podium''), designed by the renowned American architect Edward Durrell Stone, and to ensure that any immediately adjacent new construction complements this style. The College of Nanoscale Science and Engineering is located on Uptown Campus property to the west of the University's original facilities. The amount of available land to meet long-documented and emerging needs of the University at the Uptown site is extremely limited.

The Downtown Campus includes both a residential site and an academic site. Combined, these two sites total over 200 acres and 625,000 square feet. These facilities were built in the early part of the 20th century of more traditional brick construction. There is scarce green space on these sites, and expansion that encroaches on it is not envisioned. The Downtown Campus spaces will be internally renovated to meet more modern needs.

The East Campus, owned and operated by The University at Albany Foundation, is located on the western edge of Rensselaer County, across the river from the city center of Albany. It houses private research tenants, the School of Public Health, and several of the University's research centers, most notably the Center for Functional Genomics. Expansion of this 87-acre site, in partnership with The University at Albany Foundation, is feasible, and its potential for further development is currently being studied. Such development would focus on biological sciences research facilities to complement the existing tenancy of the East Campus.

The opening of the new Science Library in 1999 was the first new academic building in the 32-year history of the Uptown Campus and marked the beginning of a series of new building openings. During the last five years, the University has completed a new Life Sciences Building, the Boor Sculpture Studio, and the Public Safety Building. Additionally, 1,196 beds have been added to the student housing stock through the new Empire Commons, apartment style student housing units. Completion of the new Entry/Administration Building is anticipated in late 2005. Finally, the University has successfully broadened its public, private, and philanthropic partnerships to expand land and acquisitions. Growth of the nanotechnology endeavors on the Fuller Road site and the current construction of the Cancer Research Center on the East Campus attest to the success of such partnerships.

In the future, the University will be hard pressed to find expansion opportunities on the Uptown Campus. The need to house research and other groups at leased sites on locations far from the campus produces an undesirable degree of fragmentation. The changed mission for the adjacent Harriman State Office Campus presents a once-in-a-lifetime opportunity to provide expansion space for the University and to merge these assets into a powerful economic engine for Tech Valley and New York State. With the existing programs in nanoscale science and engineering and the life sciences, and emerging information technology developments, the

University is poised to expand its R&D collaborations with business and industry at the research and technology park envisioned for the Harriman Campus, which is adjacent to the Uptown campus. Companies seeking a suitable location for innovative R&D will be attracted to the University's students, faculty, and research facilities.

The University is presently exploring partnership opportunities with the Board of the Harriman Campus Development Authority to develop a UAlbany Technology Park at the Campus. The transformed campus has the potential to support the University's rapidly growing initiatives in its economically significant research and development areas and provide a substantial catalyst for regional economic development. Given that information technology is the backbone of every high-tech enterprise, the University is contemplating development of a signature Information Technology Research Building to serve as a cornerstone for the rest of the Harriman Campus development.

Campus facilities planning has involved participation by facilities personnel, faculty, researchers, students, campus leadership, the Facilities Committee of the University Planning and Policy Council, and outside consultants to ensure that academic and research goals inform the decision-making and project prioritization processes. University space allocation, too, is managed through a formal space analysis, review, and request process. Since space allocation is a zero-sum endeavor, requests for expanded space must meet mission-critical needs (research, instructional upgrades, etc.) in order to receive consideration.

As the 2000 site team noted in its report, the University undertook a comprehensive and broad-based facilities Master Plan in 1998 to address capital needs and priorities. This plan was, supplemented by a facilities condition report and a Capital Plan in 2002. The 1998 Master Plan, a broad study analyzing campus needs, challenges, and opportunities, contains a 10-year facilities upgrade and expansion implementation plan. The 2002 Capital Plan was a more in-depth assessment of the condition of the campus infrastructure and the interplay of program needs and existing spaces.

Both studies revealed needs that far outstrip the limited resources available to the University. Most notably, the Academic Podium, constructed in the late 1960s, has reached the end of its useful life in several key areas, such as mechanical systems, electrical infrastructure, and building envelope. The 2002 Capital Plan study of the UAlbany campus (commissioned by the State University Construction Fund) identified more than $482 million in estimated construction-only costs necessary to meet the critical maintenance and plant adaptation demands of the aging campus. Inflating these estimates to current dollars and including related design and equipment needs easily brings the costs to more than $700 million.

In the context of scarce capital resources, top campus priorities have not shifted a great deal from those that first emerged from the studies. With such great need, planned projects are envisioned on a multi-year phased basis with allowances for major infrastructure categories, such as chiller plant upgrades, heating plant renovations, the next cycle of roof repairs, etc.

These studies also revealed that University facilities cannot adequately meet the demands of certain types of research and instruction in the current era. For example, tiered, business-style

classrooms cannot be provided with adaptive use of current spaces due to the columnar structure and architectural limitations of the Podium. The Downtown Campus, built in the early 20th century, requires both critical maintenance and program-related modernization as well, but the densely populated spaces and limited acreage of the site do not provide adequate surge space for renovations. Growth in research activity will require additional, more flexible land. Again, the proximity of the Harriman Campus makes an attractive location for future University expansion consistent with plans for that site.

In both the 1998 Master Plan and the 2002 Capital Plan, mission requirements were overlaid with critical maintenance needs and, in many cases, were the same. For example, improving the campus electrical infrastructure not only addresses equipment operating at the end of its useful life, but will also improve capacity to serve modern research and computing needs. Repairs to roadways and parking areas will not only address deteriorating asphalt, but will also address quality-of-life issues important to recruitment and retention.

The most recent state-funded capital appropriation cycle used the 2002-developed list to guide allocation of capital plan resources. Top priorities for the current multi-year capital plan, to be refined and further discussed with the University Planning and Policy Council, continue to be:

- Life Sciences Building: Program $17.5 million in recently enacted funding to outfit the recently completed research building with required scientific equipment and furnishings, and complete a shelled wing for occupancy.

- New Entry Building: Manage and allocate $7.0 million in funding for furnishings and Group III equipment, and invest in surrounding site for student and visitor use.

- Husted Hall renovation: Commence construction of the rehabilitation of multi-use 1910 building to create a centralized technology classroom facility on the Downtown Campus, and existing Downtown classrooms to be reprogrammed for academic and research use

- Kitchen and dining improvements: Undertake rehabilitation of selected food service facilities to meet current operational and staffing standards and changing student tastes

- Division I athletic facilities: Undertake various upgrades to improve functionality of athletic areas, including artificial turf fields, improved outdoor seating and lighting, and upgrades to RACC spaces

- New School of Business Building: Construct a new building principally to house School of Business instructional and operational needs. Target this building for the State University's matching program and private fundraising. This new building would also provide the surge space needed to set in motion the critically necessary domino sequence of future Podium building rehabilitations

- Information Technology Research Building: As described above, this project is envisioned to be undertaken in the context of the Harriman Campus Development

- Electrical repairs and upgrades to the Uptown campus: Replace aging electrical lines and switchgear and increase electrical capacity on the Uptown campus to meet the demands of research operations and student residents.

- Central plant upgrades: Provide additional chilling capacity and upgrade distribution system for energy efficiency and increased research and technological loads; repair boxes and air handlers on various locations on campus; and repair and upgrade boiler plant.

- Campus roads and parking rehabilitation: Address necessary road and parking lot modifications, principally on the northeast quadrant of campus

- Other critical maintenance projects: Implement the next cycle of Uptown Campus roof replacements; initiate exterior rehabilitations such as damp-proofing and limited window replacement; repair the Podium deck and canopies; improve lecture center mechanical systems; and study and upgrade sewer and sanitary lines

Many of the above projects represent only a first phase of ongoing facilities needs. Others were just recently addressed by the New York State budget, and the University is extremely grateful to New York State's legislative leaders and the governor for addressing these critical needs. Unanticipated needs, such as regulatory issues (e.g., those generated by environmental audits) and emergencies, will continue to be met through the use of campus-appropriated funds that are reprioritized and budgeted from other areas, as needed.

In the areas of residence hall facilities, the University's current enrollment plan calls for growth that will increase residence hall occupancy. Since 2003, in partnership with the Alumni Association and the University at Albany Foundation Student Housing Corporation, UAlbany constructed Empire Commons. These apartment-style facilities added 1,196 beds to the on-campus student housing stock. Empire Commons provides the modern amenities demanded by students (e.g., private bedrooms, living rooms, air conditioning, single bathrooms, kitchen facilities, etc.) and helps the University meet its recruitment objectives. Combined with the existing housing stock, Empire Commons also permits a continuity of housing options for student residents. The University's net bed inventory now exceeds 6,500 beds and maintains near 100 percent occupancy.

The focus of the multi-year residential capital plan through 2010 is on the improvement and upgrade of the fire alarms to meet a State University mandate. Remaining funds will be dedicated to the rehabilitation and upgrade of "older" residential facilities, addressing as much work as can be afforded in the context of the student fee-financed debt service budget. The University annually evaluates the condition of its approximately 2 million square feet of residence halls and prioritizes projects for DIFR capital funding using information garnered from the annual Dormitory Authority of the State of New York (DASNY) conditions assessment and input from residence hall facilities operations staff. Total residence hall rehabilitation needs exceed $100 million.

Energy planning and management issues are closely interrelated with the facilities issues discussed above. The University is aggressive in managing its energy demand, supply, and commodity costs. Despite being, in effect, a small and vibrant city-within-a-city, and despite the recent growth in square footage, the latest data (2002-03) demonstrate that the University has produced a 13.6 percent reduction from the 1990 base-level energy use (SUNY measure of BTUs per square foot).

3. Major Challenges and Opportunities

In 2004 the University, as part of the State University of New York Mission Review II exercise, undertook a broad examination of itself in a number of areas. This internal examination, conducted through extensive participation and comment by various segments of the campus community, from vice presidents, deans and their staffs, to faculty and staff in each school and college, as well as from students, resulted in a comprehensive *University Self-description* that encompassed the campus's distinctiveness, its enrollment and admissions functions, faculty profile, academic program directions, student outcomes, information technology issues, facilities profile and needs, administrative structure and resource management, as well as its community relations and public service roles. A number of challenges and opportunities for the University over the next five years were identified through this consultative process.

This process of self-examination highlighted many of the inherent tensions among the multiple worthy objectives that mark the mission of this major research university: the relationship between the "foundational" academic disciplines of the traditional arts and sciences and the professional disciplines where knowledge and discovery are applied to problems and questions of society; the need to blend a firm commitment to a strong undergraduate education program with the recognition that excellence in graduate education represents a distinct responsibility of a research university; and the expectations that faculty pursue scholarly questions, often funded by external sources, both for the betterment of their disciplines and the world, as well as for the tangible benefit such activity brings to the institution.

In an environment without resource constraint, these objectives can be pursued simultaneously. It is anticipated, however, that for the next few years, resource limitations will require the University to make strategic choices regarding their relative emphasis and priority. Under the leadership of President Hall, in consultation with the University faculty, System Administration, students, alumni and other friends and supporters, the University will formulate its path over the next five years. The achievements of the University during the past decade have laid a foundation that permits the contemplation of exciting prospects and many possible directions for the future. In seeking to continue its trajectory toward excellence, the University identifies the following challenges and opportunities:

1.) To enhance programmatic excellence in disciplines which are already at the top tier[1], while further developing programs with the potential to join that tier and a

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[1] A 2003 SUNY-wide taskforce has identified 21 out of 39 University at Albany doctoral programs as ranking in the top quartile nationally in terms of independent reputation studies or other objective indicators of merit.

limited number of new offerings that capitalize on existing strengths, emerging opportunities, and student interest.

2.) Expand the faculty base to better match in size the faculties of current and aspirational peer institutions. Specifically, redress the erosion of faculty size in the foundational academic areas such as the humanities, the arts and the social and natural sciences as well as in the professional disciplines.

3.) Stabilize enrollment at a level sufficient to support the multiple missions of the University and to attract increasingly well-prepared students at all levels.

4.) Enhance the quality of student life by improving the intellectual and physical environment, with particular attention to course availability, advisement, honors programs, course size, food services, and study, dining, recreational and living spaces.

5.) To build on the substantial gains of recent years in attracting increased external funding to support research and scholarship, training and technical assistance, and teaching.

6.) Develop the overall private fund-raising capabilities of the University as part of a strategy of further diversifying revenue streams to lessen the increased reliance on tuition and fee revenue that resulted from reduced state support. .

7.) Rehabilitate and expand physical facilities and the information technology infrastructure -- primarily to support excellence in the teaching, research, and service missions of the University but also to capitalize on emerging opportunities in such areas as nanoscale science, information science, life sciences, social sciences, and business and accounting.

8.) Ensure the realization of improvements in teaching, learning and research infrastructure by providing sufficient staffing and training to support campus initiatives requiring IT, library and faculty development, such as on-line course components and IT student learning objectives.

9.) Continue to review expansion of the campus physical infrastructure through the development of a UAlbany Technology Park on the adjacent Harriman Campus, for example, to support regional economic development and growth in areas such as information technology, nanoscale science and engineering, and business.

10.) The most critical challenge facing the University in the immediate and longer-term will be to effectively link enrollment planning with budgeting processes to reflect the new tuition-dependent environment the University now faces.

The contexts surrounding these challenges and opportunities are discussed in more detail throughout this report. The University is enthusiastic in facing these challenges and in fully exploiting the opportunities that lie ahead.

4. Enrollment and Finance Trends and Projections

As the chart below illustrates, the University at Albany's enrollment rose between 2000 and 2003 and has declined since then, including an unplanned enrollment shortfall in 2004-2005. The enrollment trajectory was driven in part by factors internal to the State University of New York, including constraints to enrollment growth in order to achieve greater admissions selectivity and an improved academic profile.

University at Albany Enrollment 2000 - 2004

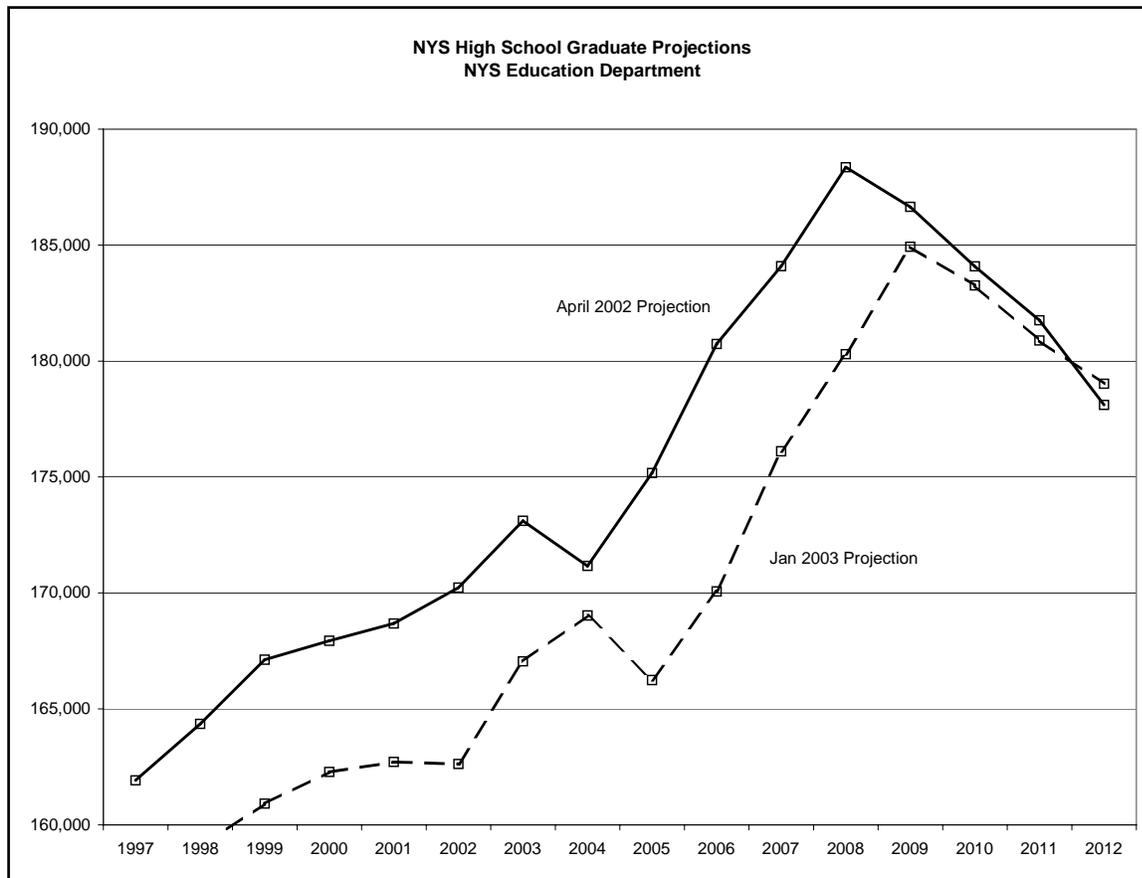|			*Actual*			*Intended Target*
	Fall 2000	**Fall 2001**	**Fall 2002**	**Fall 2003**	**Fall 2004**	**Fall 2004**
Headcount Enrollment						
New Freshmen	2,216	2,205	2,276	2,162	2,020	2,100
New Transfers	1,202	1,168	1,225	1,132	1,150	1,150
Continuing Undergraduate	7,738	7,893	7,808	7,949	7,798	8,005
Total Matric. Undergraduates	11,156	11,266	11,309	11,243	10,968	11,255
Non-Matric Undergraduates	624	618	644	553	420	594
Undergraduate Total	11,780	11,884	11,953	11,796	11,388	11,849
Graduate Total	4,971	5,361	5,473	5,202	4,905	5,100
Total Enrollment	16,751	17,245	17,426	16,998	16,293	16,949

At the same time, New York State's funding formula to SUNY institutions changed, shifting the primary source of funding from the State to the student. During the next five years, the University at Albany's enrollment plans must take into account the realities of being a truly "enrollment driven" institution.

The enrollment plan submitted to SUNY in November 2004 for 2005-2010 appears below. This plan will be revisited annually and modified as required. The University's plan is to increase undergraduate enrollment gradually, growing over the course of the decade of 2000-2010 by slightly less than 1,000 students, while holding graduate enrollment roughly constant except for a few areas of targeted growth, for example the College of Nanoscale Science and Engineering. UAlbany plans to increase the number of new freshmen to 2,350 and new transfer students to 1,400, beginning in 2005.

University at Albany Planned Enrollment 2005 - 2010						
	Planned					
	Fall 2005	**Fall 2006**	**Fall 2007**	**Fall 2008**	**Fall 2009**	**Fall 2010**
Headcount Enrollment						
New Freshmen	2,350	2,350	2,350	2,350	2,350	2,350
New Transfers	1,400	1,400	1,400	1,400	1,400	1,400
Continuing Undergraduate	7,653	8,000	8,224	8,402	8,489	8,477
Total Matric. Undergraduates	11,403	11,750	11,974	12,152	12,239	12,227
Non-Matric Undergraduates	475	475	475	475	475	475
Undergraduate Total	11,878	12,225	12,449	12,627	12,714	12,702
Graduate Total	5,070	5,080	5,090	5,100	5,110	5,120
Total Enrollment	16,948	17,305	17,539	17,727	17,824	17,822

This enrollment plan is designed to accomplish two University objectives. First, it will decrease graduate enrollment as a percentage of overall enrollment from about 30 percent in Fall 2003 to about 28 percent by Fall 2010, a proportion that still will exceed the norm for public research universities. Several graduate programs have reduced or will reduce enrollment modestly in order to improve their quality, shorten time to degree, meet standards of external accrediting bodies, or reallocate to the undergraduate program. Second, this shift will help to ensure that the resource base is adequate to support the quality of the academic experience. Specifically, the planned increase in enrollment is anticipated to generate sufficient revenue to hire additional full-time faculty members in numbers that will enable the University to maintain or improve faculty-student ratios.

The plan to increase undergraduate enrollment is supported both by the University's recruitment plans – which include continued expansion of out-of-state enrollment and deeper penetration of in-state markets – and by projections of the size of the high school graduate pool in the coming years. The following chart depicts New York State's projected pool of high school graduates:

NYS High School Graduate Projections
NYS Education Department

April 2002 Projection

Jan 2003 Projection

(chart: NYS High School Graduate Projections, NYS Education Department; y-axis 160,000 to 190,000; x-axis years 1997 to 2012)

Enrollment Mix

The University expects that its enrollment mix will change modestly as the proportion of graduate students decreases from 30 percent to about 28 percent. The distribution of full- and part-time undergraduate students is likely to remain the same, as UAlbany's mission is primarily to educate a traditional-age residential population. Similarly, the distribution of full- and part-time graduate students, currently at 45 percent full time and 55 percent part time, is expected to remain the same.

Geographic Diversity

During the past five years, the University has seen important gains in the enrollment of undergraduate students from beyond New York State and expects to continue this trend. The University seeks to raise the proportion of out-of-state freshmen to 10 percent or higher by 2010. From within New York State, the University at Albany expects to continue to draw new freshmen from all regions: Approximately 40 percent are from the Metro New York and Long Island region, 8 percent are from the Capital Region, and 42 percent are from other parts of New York State.

Enrollment of international undergraduate students has risen from 1.2 percent of the freshman class in 1999 to 2.2 percent of the class in 2003 (although Fall 2004 enrollment declined slightly). The University plans to continue increasing the number of international freshmen to 70, or about 3 percent of the freshman class, by Fall 2010, and to increase the total number of new international undergraduates (freshmen and transfers) to 130.

At the doctoral level, the University draws from the kind of geographically diverse base that one expects to see in nationally ranked programs. In Fall 2002, 34 percent of new doctoral students were from New York State, 25.2 percent were from other states, and 40 percent were from other nations. While the University will continue to strive for a balance in its overall doctoral population of approximately 50 percent from New York State, 25 percent from out-of-state U.S., and 25 percent international students, each doctoral program will be measured individually in terms of the characteristics of its students. At the master's level, the University expects little change because many programs draw from a part-time professional population in the Capital Region and because most master's degree students are self-supported.

Racial/Ethnic Diversity
The University at Albany is committed to valuing diversity as a primary resource for educational excellence. The freshman class of 2004 is typical of recent classes in which approximately 20-25 percent have been students of color: African American, 8 percent; Asian American, 7.8 percent; Caucasian, 59.4 percent; Hispanic American, 8.5 percent; Native American, 0.2 percent; and unknown, 16.1 percent. When only <u>underrepresented</u> minority groups are considered, in 2002, UAlbany enrolled 17.4 percent of its freshman class from underrepresented minority groups, compared to 15.4 percent for all SUNY University Centers and 16.6 percent for all of SUNY. Demographic projections at the national and state level suggest that students from underrepresented minority groups will constitute a larger portion of the high school graduates in the coming years.

At the graduate level, under-represented minority group students constitute 9 percent of graduate student population: 5.4 percent African American, 3.3 percent Hispanic American and .3 percent Native American. Nationally, students of color represented the following proportions of the graduate population: African Americans, 9 percent; Hispanic Americans, 6 percent; and Native Americans, 1 percent, according to the Council of Graduate Schools. With these as its benchmarks, the University will strive to increase enrollment of graduate students of color.

Programmatic Initiatives:
Growth in the enrollment of undergraduate students will be supported primarily by expansion of programs such as business administration, criminal justice, and communication, where demand exceeds the University's current capacity. In addition, new programs in journalism, film studies, and documentary studies are well along in development, as are an undergraduate major in information science, to replace the current faculty-initiated interdisciplinary major, and a minor in informatics. Finally, the University will enhance undergraduate offerings through new and expanding majors in neuroscience, art history, human biology, forensic chemistry, languages (e.g., Arabic) and globalization studies; and a minor in organizational studies, hosted within the sociology program. Finally, the School of Public Health is exploring the possibility of an undergraduate major in public health, and the College of Nanoscale Science and Engineering offers ample undergraduate opportunities for undergraduate training and research that may well form the basis for undergraduate major in the future.

Finance Trends and Projections

The undergraduate and graduate enrollment trends described above, contractual salary agreements for faculty and staff salary increases negotiated through collective bargaining, a tuition increase in 2003, changes in the state appropriation to the State University system, and growth experienced in the research enterprise have all impacted the University's fiscal condition since 2000. The chart below depicts overall fiscal trends for the University at Albany.

Statement of Revenues and Expenditures - in $1,000s
Prepared: 4/8/05

	99-00		00-01	01-02	02-03	03-04	04-05		Percentage Change from 99-00
			Actual				**Projected**		
Revenue		%						%	
Tuition & Fees	$55,008	22%	$57,332	$56,647	$57,993	$74,223	74,559	17%	36%
State Appropriations	$60,728	24%	$63,981	$74,705	$71,167	$55,294	58,475	14%	-4%
Federal Grants & Contracts	$21,443	9%	$19,138	$20,142	$24,878	$29,260	41,517	10%	94%
State Grants & Contracts	$18,906	8%	$20,688	$25,303	$38,568	$86,601	111,360	26%	489%
Private Gifts, Grants & Contracts	$13,947	6%	$15,180	$19,000	$20,651	$29,769	36,093	8%	159%
Auxiliary Enterprises	$77,074	31%	$86,770	$87,800	$104,160	$114,321	104,185	24%	35%
Total Revenue	$247,106	100%	$263,089	$283,597	$317,418	$389,468	$426,190	100%	72%
Expenditures & Transfers									
Instruction	$56,230	23%	$60,523	$64,552	$67,226	$69,661	70,527	17%	25%
Research	$52,579	21%	$52,375	$61,855	$82,307	$136,598	187,463	44%	257%
Public Service	$4,361	2%	$4,716	$5,003	$5,235	$5,413	5,581	1%	28%
Academic Support	$12,664	5%	$13,415	$14,572	$14,938	$15,590	14,781	3%	17%
Libraries	$9,757	4%	$11,365	$11,758	$12,497	$12,818	12,484	3%	28%
Student Services	$10,553	4%	$11,411	$12,107	$12,666	$13,098	13,503	3%	28%
Institutional Support	$22,970	9%	$24,769	$26,237	$27,391	$28,278	28,457	7%	24%
Operations & Maintenance	$21,205	9%	$22,639	$24,262	$25,458	$26,470	22,483	5%	6%
Scholarships & Fellowships	$16,885	7%	$18,392	$19,612	$20,192	$21,299	20,550	5%	22%
Residence Halls	$18,171	7%	$21,752	$21,136	$26,296	$29,379	29,400	7%	62%
Food Service	$14,048	6%	$14,432	$14,726	$15,451	$16,013	16,512	4%	18%
Other	$5,437	2%	$5,444	$5,886	$5,946	$5,746	4,449	1%	-18%
Total Expenditures & Transfers	$244,860	100%	$261,232	$281,706	$315,602	$380,363	$426,190	100%	74%
Surplus/(Loss)	**$2,246**		**$1,857**	**$1,891**	**$1,815**	**$9,104**	**$0**		

Source: Office of Financial Management and Budget

These figures are compiled by the Office of the University Comptroller and the Office of Financial Management and Budget. They utilize revenue and expenditure categories similar to those contained on federal IPEDS reports. The surpluses listed in the above chart represent unexpended restricted fund balances. For example, in FY 03-04, the $9.1 million relates to the increase in net assets from the University at Albany Foundation and University Auxiliary Services. Of the surplus for the University at Albany Foundation, $8.1 million is part of the $22.5 million state grant restricted for use in constructing the Gen*NY*Sis Research Center and is not available for general Foundation use.

Since 2000, the most significant fiscal trend has been the transformation of the University's funding base to one that is increasingly "enrollment driven." Since 2000, tuition and fee revenue have grown by 36% while state appropriations have declined by 4%. In 2003

the New York State Legislature increased SUNY tuition, and reduced the state appropriation by a relatively comparable amount. This change in funding principle is dramatically evidenced in the chart above by the jump in tuition and fee revenue from $57.9 million to $74.2 million between FY 02-03 and FY 03-04, and the commensurate decrease in state appropriation from $71.2 million to $55.3 million over this same time period. These two revenue categories, and a small percentage of Auxiliary Enterprises revenue that is enrollment driven, account for the lion's share of the University's unrestricted revenues that can be directed to core academic functions on a discretionary basis. Consequently, like many public colleges and universities across the United States, the University at Albany is increasingly better described as state assisted rather than state supported, and increasingly enrollment dependent, much as its private counterparts are already.

The disproportionately large revenue increases since FY 99-00 in state grants and contracts (+489%), private gifts, grants, and contracts (+159%), and in federal grants and contracts (+94%), are predominantly restricted funds attributable to nanoscale research-related activity. The 36 percent increase in auxiliary enterprise revenue between FY 99-00 and FY 04-05 is spread fairly evenly across Income Fund Reimbursable, Dormitory Income Fund Reimbursable, the State University Tuition Reimbursable Account, and revenues attributable to the University at Albany Foundation. Considerably smaller increases in revenue are attributed to funds from the University Auxiliary Services, which derives most of its revenues from goods and services sold to students.

On the Expenditure and Transfer side of the ledger over the past five years, instructional expenditures have increased by 25 percent between FY 99-00 and FY 04-05. This percentage increase is in-line with increases experienced in the other expenditure categories, particularly those directly related to the academic enterprise such as public service (+28%), libraries (+28%), student services (+28%), and scholarships and fellowships (+22%). Smaller but nonetheless substantial funding increases in academic support (+17%) and food services (+18%) have also occurred over this time. The 62 percent increase in expenditures for residence halls is attributable to recent initiatives to improve residence hall facilities and programs to address student quality of life issues, as well as for maintenance and operations expenses for the new Empire Commons dormitories. The substantial increase in research expenditures (+257%) is the result of the significant growth in nanoscale-related research activity and in other areas, to a lesser degree.

Embedded within the FY 99-00 through FY 04-05 revenues and expenditures data are significant cash reserve expenditures, particularly beginning in FY 02-03. As the chart below shows, the University's cash reserve balance is expected to fall to $600,000 in FY 05-06, largely as a result of covering the University's running structural deficit that initially arose in FY 02-03 when New York State chose not to include in the SUNY appropriation monies for negotiated salary increases. Additionally, SUNY was not appropriated enough dollars in FY 02-03, and thereafter, to fully fund the SUNY Budget Allocation Process (BAP). The result of these actions has meant that campuses needed to meet contractual salary obligations and previously planned expenditures from existing resources. Cash reserves have been used to meet this need in the short-term, and budget reductions have been implemented over the past three years and are planned for the 2005-06 and 2006-07 fiscal years to eliminate this multi-million dollar structural

deficit. The drain on cash reserves was further compounded in FY 04-05 by an unplanned enrollment shortfall in the Fall 2004 term that resulted in a $1.5 million tuition revenue shortfall for the fiscal year (even after enacting successful enrollment recovery initiatives in Spring 2005). In addition to addressing these structural issues, cash reserves were also used to fund faculty setups, campus costs related to opening major new facilities such as the Life Sciences building, to renovate existing residence halls, and for a multi-million dollar classroom rehabilitation project to improve instructional facilities that directly impact the student academic experience.

Summary of Cash Reserves (State, IFR, DIFR) - Millions of Dollars

	Actual					**Projected**					
	99-00	00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09	09-10
Ending Balance	$13.9	$15.3	$17.6	$14.0	$11.1	$1.4	$0.6	$1.8	$1.8	$1.8	$1.8

Source: Office of Financial Management and Budget

The University has undergone budget reduction exercises in response to a declining state supported resource base in each of the past three fiscal years. Planned budget reductions for FY 05-06 and FY 06-07 will eliminate the long-term structural deficits. Augmentation of cash reserves will once again be a University priority after dealing with this structural deficit, but the University is conservatively projecting annual cash reserve ending balances to just under $2 million through FY 09-10. Specific details regarding the University's financial plan for each of the past three fiscal years have been provided to SUNY System Administration as part of SUNY's fiscal planning process, and are included in the PRR packet for in-depth review by Middle State's Finance Associates.

The chart below projects revenue and expenditure trends categories out to FY 09-10. Since tuition charges are Legislatively determined, tuition and fee revenue projections are based on realizing the enrollment projections discussed above at current tuition and fee rates. State appropriation revenues are projected based on negotiated collective bargaining agreements through FY 06-07. No increases in state appropriations are factored in beyond FY 06-07 because it is impossible to predict the political and fiscal situation in New York State that far in advance. Given past experience it would not be prudent to expect any increased state appropriations for operating expenses. State, federal, and private gifts, grants, and contracts are anticipated to increase by about $25 million in total between FY 05-06 and FY 06-07, with most of these funds state-sourced. The rate of percentage increase in these particular revenue streams is expected to slow down in the out years. Auxiliary enterprise revenue is projected to increase by about 4 percent annually through FY 09-10.

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Statement of Revenues and Expenditures - in $1,000s
Prepared: 4/8/05

	04-05		05-06	06-07	07-08	08-09	09-10		Percentage Change from 04-05
			Projected						
Revenue		%						%	
Tuition & Fees	74,559	17%	75,175	77,515	$78,553	79,520	79,895	15%	7%
State Appropriations	58,475	14%	61,975	65,580	$65,580	65,580	65,580	12%	12%
Federal Grants & Contracts	41,517	10%	48,267	55,017	$56,668	58,368	60,119	11%	45%
State Grants & Contracts	111,360	26%	129,610	147,860	$150,817	153,834	156,910	29%	41%
Private Gifts, Grants & Contracts	36,093	8%	37,537	39,038	$40,600	42,224	43,913	8%	22%
Auxiliary Enterprises	104,185	24%	108,353	112,687	$117,194	121,882	126,757	24%	22%
Total Revenue	$426,190	100%	$460,917	$497,698	$509,412	$521,408	$533,175	100%	25%
Expenditures & Transfers									
Instruction	70,527	17%	74,091	79,278	$82,386	85,558	88,689	17%	26%
Research	187,463	44%	212,463	237,463	$242,070	246,786	251,614	47%	34%
Public Service	5,581	1%	5,748	5,921	$6,069	6,220	6,345	1%	14%
Academic Support	14,781	3%	15,373	16,124	$16,528	16,941	17,280	3%	17%
Libraries	12,484	3%	12,921	13,438	$13,774	14,119	14,401	3%	15%
Student Services	13,503	3%	13,976	14,465	$14,827	15,197	15,501	3%	15%
Institutional Support	28,457	7%	29,453	30,483	$30,788	31,096	31,407	6%	10%
Operations & Maintenance	22,483	5%	23,270	24,084	$24,686	25,303	25,809	5%	15%
Scholarships & Fellowships	20,550	5%	21,269	22,014	$22,619	23,241	23,880	4%	16%
Residence Halls	29,400	7%	30,576	31,799	$32,594	33,409	34,244	6%	16%
Food Service	16,512	4%	17,172	17,859	$18,306	18,764	19,233	4%	16%
Other	4,449	1%	4,605	4,766	$4,766	4,766	4,766	1%	7%
Total Expenditures & Transfers	$426,190	100%	$460,917	$497,695	$509,412	$521,400	$533,169	100%	25%
Surplus/(Loss)	$0		$0	$3	$0	$8	$6		

Source: Office of Financial Management and Budget

Expenditures from FY 04-05 through FY 09-10 are projected to increase the greatest in instruction (+26%) and research (+34%). The expected increase in research expenditures will result from continued expansion of the research enterprise in the life sciences and in nanoscale and genomic research initiatives, as noted in the PRR narrative. Increases in instruction-related expenditure will result from increased attention on the undergraduate academic experience. Smaller though substantial increases through FY 09-10 are expected in the remaining expenditure categories.

5. Assessment Processes and Plans

Since the University's Middle States re-accreditation in 2000, and Middle States subsequent revision of its accreditation standards in 2002 to emphasize the use of evidence-based assessment processes throughout the institution, a number of operational units across the campus, most notably in the division of Student Affairs, have begun to systematically assess their operations and services provided to students. The draft Institutional Assessment Plan <http://www.albany.edu/assessment/iap.html> recommended to Interim Provost Mumpower by the Provost's Assessment Advisory Committee (PAAC) has been developed in consultation with

representatives from each Vice President, each Dean, undergraduate and graduate student bodies, and the chairs of nine major Senate councils with governance responsibilities across the University's activities. The proposed Institutional Assessment Plan contains existing protocols and guidelines for assessment in the major, as well as a SUNY approved General Education Assessment Plan. The proposed Institutional Assessment Plan, included as a separate document in the PRR submission for in-depth review by Middle State's reviewers, is now under presidential consideration. The proposed plan builds upon the University's long history with assessment activities and sets forth a formal framework for developing, conducting, utilizing, and communicating assessment activities in both teaching and learning, and in the assessment of institutional effectiveness. The minutes of the meetings of the PAAC in which the development of the proposed Institutional Assessment Plan are discussed can be accessed at <http://www.albany.edu/assessment/paac.html>.

Although the various activities and missions of a research university are very much interrelated, for organizational purposes the University's proposed assessment plan lays out procedures and expectations for assessment in the areas of: 1) Student learning – which encompasses overall educational outcomes, assessment in the major, and General Education assessment; and 2) Institutional effectiveness in research, public service, academic support, and administrative services.

As part of the overall framework for University-wide assessment, each vice president is required to develop an assessment plan that describes how his/her division supports and measures the achievement of divisional and institutional goals. Divisional and unit assessment plans, and annual activity reports, will be shared with or made available to various campus constituencies to promote collegial review of assessment processes and promote community awareness of assessment efforts. The divisional plans will include a detailed listing of units that will develop unit assessment plans, and a timetable for doing so.

The Institutional Assessment Plan incorporates existing frameworks for assessment in the major, as prescribed in the program review process by the Council on Academic Assessment (CAA), and for assessing the General Education Program, as specified in the General Education Plan previously developed by the General Education Committee of the Undergraduate Academic Council, and approved by the SUNY General Education and Assessment Review (GEAR) group. These two formal processes are contained in their entirety within the campus-wide plan.

The Institutional Assessment Plan requires annual unit activity reports to ensure that assessment is a continuous rather than episodic process. Reflection, discussion, and descriptions of how results are used to affirm or improve operations are all integral parts of the assessment process.

The Deans of Undergraduate and Graduate Studies are responsible for developing assessment plans for University-wide programs in their areas (e.g., Project Renaissance, Presidential Scholars, graduate student satisfaction surveys, etc.). Institutional Research and the Provost's Office will be responsible for developing an assessment plan for institutional level learning outcomes (e.g., retention and graduation rates, the Albany Outcomes Assessment Model, student satisfaction surveys, etc.).

The Provost's Assessment Advisory Committee is charged with annually reviewing the Institutional Assessment Plan and for promoting the flow of assessment information among campus constituencies toward the ultimate goal of developing a strong campus culture of assessment.

The Provost's Office is now exploring various possibilities for using Web-based mechanisms as a means of sharing assessment plans and annual activity reports within the University community. While Vice Presidents can by-and-large direct this activity in their non-academic units, ensuring implementation of assessment plans and the preparation of annual activity reports in the academic units will require faculty consultation. The Council on Academic Assessment (CAA) is now developing guidelines, as part of the program review process, that will require academic departments to annually update their assessment plans and report on the assessment activities that they carried out in the previous year. The administration, via the Provost and Deans, will be actively engaged with ensuring that successful assessment plan implementations occur

5.1 Assessment in the Major

Program assessment plans at the University are developed as part of seven-year program review cycle. Academic departments are encouraged to simultaneously conduct undergraduate and graduate program reviews. In order to take advantage of efficiencies where possible, the University began phasing in the development of academic assessment plans as part of the program review and self-study process. The Director of Assessment is responsible for coordinating and assisting programs with the self-study process. The Deans of Undergraduate and Graduate Studies, working with the Council on Academic Assessment (CAA), have developed program review guidelines and procedures, based on SUNY Faculty Senate guidelines and Middle States expectations, that incorporate an assessment component. Since the 2002-03 academic year, 19 undergraduate and graduate assessment plans have been developed as part of program self-studies or through accreditation reviews. The proposed Institutional Assessment Plan delineates the academic program review and accreditation schedule for the next several years.

While each academic program is responsible for the development of its own program review self-study document, considerable assistance and guidance are provided by the Director of Assessment. Generally, about six to eight departments conduct joint undergraduate and graduate program reviews per year. For externally accredited programs, accreditation self-studies serve as the program review process. The Council on Academic Assessment (CAA), which includes the Deans of Undergraduate and Graduate Studies as ex officio members, reviews the self-study documents and external reviewer reports, and makes a report to the University Senate. The CAA stores program self-studies, external reviewer reports, and the CAA report in a dedicated assessment repository in the Center for Excellence and Teaching (CETL), which makes these documents available for review by members of the University community and other interested parties, upon request. School/college deans are also provided with these reports for their respective units, and they also meet with the external reviewers. These reports and meetings are expected to inform departmental and school/college planning. The Dean of the College of Arts and Sciences develops formal MOUs with each College department following their review process. The Undergraduate and Graduate Deans, and the Assistant Vice President for Strategic Planning and Assessment, collectively meet with the

external reviewers toward the end of their visit in order to provide the administration's perspective on important issues raised by either the program self-study or by the reviewers themselves. This final meeting also provides a preview for how the external reviewers regard the program and how issues and concerns they raise fit within an institution-wide context.

The School of Business is now developing criteria and plans for formally assessing student learning outcomes in order to conform to AACSB assessment requirements. Other accredited programs in Social Welfare, Public Administration, Information Science and Policy, and the School of Public have instituted assessment activities. School of Education programs are scheduled for accreditation review beginning in the 2005-06 academic year. Specialized accreditation self-studies serve as the program review self-studies for these programs.

The recently formed Council on Academic Assessment and the pending adoption and implementation of the Institutional Assessment Plan have served to refocus attention on the need for continuous assessment activity by academic programs. As academic programs develop their assessment plans, they are encouraged to take advantage of course-embedded mechanisms to utilize existing processes to the extent possible. In order to facilitate these ends, the Institutional Assessment Plan encourages academic programs to spread out the assessment of student learning goals over multiple years in realization of the resource requirements of these activities. The Provost's Assessment Advisory Committee will monitor resource needs as assessment plan implementations begin. The extent of future resource requirements will not become more fully know until full implementation of the Institutional Assessment Plan occurs across vice presidential divisions.

5.2 General Education Assessment

The General Education Program Assessment Plan was developed by the General Education Committee during the 2001-2002 academic year and passed by the Undergraduate Academic Council and the University Senate in Spring 2002. It was subsequently approved by the SUNY-wide GEAR committee in Spring 2003. This plan includes three separate but related components. It is included in the Institutional Assessment Plan in its existing form and calls for:

1. on-going procedures for approving and reviewing General Education courses,

2. a regular three year cycle for the assessment of students' perceptions of their General Education experience, and

3. a regular three year cycle for the assessment of student learning outcomes specific to General Education

The General Education Program Assessment plan adheres to a timetable established by the SUNY System Provost. University at Albany representatives coordinate and report the results of the on-going process to the GEAR committee, which is charged with communicating and monitoring General Education assessment throughout the State University of New York.

The University's General Education curriculum pursues locally (UAlbany) determined learning objectives, which complement the SUNY System mandated learning outcomes, and course-embedded assessment. Focus groups of faculty developed the local learning objectives in

each area. Academic departments, schools, and programs have the primary responsibility for curriculum and thus for ensuring that key aspects of the General Education assessment plan are administered locally. The General Education Committee has prioritized faculty participation in every phase of the assessment process, from evaluating proposals and the continuing certification of General Education courses to continuing conversations on specific learning objectives. Responsibility for monitoring the effectiveness of the assessment plan currently resides with the Undergraduate Academic Council, part of the governance structure, through its General Education Committee and Assessment Subcommittee.

The 2004-05 academic year marks the end of the first three-year cycle of the SUNY-mandated assessment of General Education. Fourteen separate areas of the University's General Education curriculum (e.g., Arts, Humanities, Information Literacy) will have been assessed at the end of the Spring 2005 semester, including the current semester's examination of Writing Intensive courses in the Communication and Reasoning area. These University assessments examine courses that are part of the local General Education course requirements, in addition to the General Education course requirements that are mandated by SUNY System Administration.

Review of existing and proposed General Education courses indicates that General Education learning objectives are being incorporated into course syllabi and that many faculty are communicating to their students how course material and subject matter relate to desired learning outcomes. In the annual reports submitted to GEAR thus far, University at Albany students have done well in achieving the learning outcomes: at least 75% have met or exceeded the learning objectives of each category. Overall, students report a high degree of awareness that their courses are part of the General Education program; the student perception information has provided valuable insight into the extent to which specific learning objectives are understood and where to target continuing efforts (e.g., Arts and Math and Statistics). Department chairs and instructors have reviewed their assessment results and are encouraged to develop resources for students (e.g., study or review groups) and faculty (workshops) in light of the feedback. The University Academic Support Services and our Center for Excellence in Teaching and Learning (CETL) are critically involved in these efforts. The assessment process has engaged faculty in developing approaches and meeting challenges associated with localized, course embedded assessment, as well as in identifying professional development workshops that further encourage dialogue focused on instruction and learning.

As a result of these activities, the University is planning a number of initiatives to address the General Education program. The General Education Committee will scrutinize courses already certified for one category for potential credit in other categories. Faculty and departments will be encouraged to consider and assist in developing new course submissions. The addition of the General Education categories on the web-based schedule search will facilitate systematic data collection regarding course availability and demand. This will assist the University in planning and help to develop better information resources for students.   The assessment process, particularly as it expands the circle of faculty involved, will continue to stimulate conversations about teaching among the faculty and add depth and coherence to student learning in the General Education program. Evolving assessment activities include conversations among faculty across disciplines about teaching and student learning. The Director of Assessment, situated in CETL, works continually to broaden this exchange of ideas

to an audience beyond the sample of faculty undergoing assessment in any particular semester. For example, one of the Spring 2004 semester's discussions with faculty who are teaching writing intensive courses focused on the revision process and using assignment scoring rubrics to provide feedback to students as a means of improving their writing. These discussions have also led to development of a CETL workshop on using scoring rubrics targeted to faculty, instructors, and teaching assistants involved in teaching writing, but who are not necessarily involved with writing intensive courses. The measurement of student perceptions of the General Education program, evaluated now only for specific courses undergoing assessment, will be expanded. Focus groups designed to explore the way students think about the goals of General Education, the challenges, and their experience on this campus will continue in the 2005-06 academic year.

5.3 Assessments of Institutional-Level Educational Outcomes

In addition to documenting student learning in individual academic programs, the University attempts to gauge student engagement with the academic and social environment. These efforts are based on the *Albany Outcomes Assessment Model*, which is the foundation for Institutional Research's (IR) longitudinal student survey program, which includes the Entering Student Survey, Freshman Experience Survey, and Senior Experience Survey. This survey program is similar to but more encompassing than the National Survey of Student Engagement (NSSE). The Albany Outcomes Assessment Model is described in detail at <http://www.albany.edu/assessment/ualb_outcomes_model.html>.

Ad hoc assessments concerning such topics as predictors of college outcomes, the Presidential Scholars program, advisement in ASC/US (the Advisement Service Center/Undergraduate Studies), Project Renaissance, and the General Education Program have periodically been undertaken by Institutional Research in response to University needs. It is expected that future program and goal assessments will be formally outlined in accordance the Institutional Assessment Plan, which calls for Institutional Research, the Provost's Office, and the Deans of Undergraduate and Graduate Studies to identify, catalog, develop, and make public assessment plans for major institutional programs that affect the overall academic experience.

As the University continues to develop plans to more formally assess institution-wide programs and learning goals, it expects input from a number of University Senate Councils, most notably the Undergraduate Academic Council (UAC) and the Council on Academic Assessment (CAA). Sharing assessment plans and results more widely will contribute to shared understanding of institutional goals and performance with respect to institutional goals, and thereby contribute to developing an institutional culture of assessment.

The following discussion highlights important educational outcomes that the University has tracked on a continual basis in order to monitor its overall performance.

Undergraduate Retention and Graduation Rates

Since 1999, the University at Albany's freshman-to-sophomore retention rate has increased modestly to about 84 percent. The University's 4-year graduation rate has consistently performed at or above the 50 percent mark since the 1996 entering freshmen cohort. The University's 5-year and 6-year graduation rates have fluctuated slightly over this

time period, but still compare favorably within SUNY, and across the nation's public research universities.

Freshman Retention and Graduation Rates by Entering Freshman Cohort

Cohorts (full-time first-time freshmen only)

	Fall 1994	Fall 1995	Fall 1996	Fall 1997	Fall 1998	Fall 1999	Fall 2000	Fall 2001	Fall 2002	Fall 2003
First-year retention rate	80.7%	81.2%	84.7%	84.2%	83.2%	83.2%	83.6%	84.1%	84.2%	83.9%
4-year graduation rate	44.2%	47.8%	50.4%	53.5%	51.9%	50.0%	50.5%			
5-year graduation rate	57.4%	59.7%	60.0%	64.2%	61.5%	59.6%				
6-year graduation rate	59.4%	62.0%	62.0%	65.8%	62.7%					

Source: SUNY System Administration, derived from campus Student Data Files (SDF)

The University pays close attention to the experiences of incoming freshmen, from the initial contacts with Admissions and Orientation through the first two semesters of enrollment. Several programs offer the kinds of freshman-year experiences known to improve student success and satisfaction, including the Presidential Scholars Program, Project Renaissance, and the Educational Opportunity Program. These programs retain students at rates near or above 90 percent. In the next five years, the University will seek to develop further programmatic changes to support improvement in the freshman-to-sophomore retention rate with a goal to approach 90 percent by 2010. This, in turn, could be expected to impact the graduation rate.

An important program to support the freshman-year experience at UAlbany is Project Renaissance. Since 1997, 400 freshmen per year have participated in Project Renaissance <http://www.albany.edu/projren/>, an innovative, first-year program that offers selected elements of a small-college atmosphere, including some small classes, close acquaintance with faculty in the program, and community living, while it introduces students to the environment of a research university. University studies have also found that Project Renaissance students are more likely to return for the sophomore year (88 percent retention rate to sophomore year versus 84 percent for the entire cohort).   As the University plans to grow its freshman classes, growth in this highly successful "learning community" is anticipated.

A second initiative has been focused on improving academic advisement. Based in part on feedback from Student Opinion Surveys (SOS), in 1999 the University began a major initiative to improve the quality of academic advisement, beginning with services for freshmen. Investments were made in staff in the Advisement Services Center to replace graduate assistants with professional advisors. All new freshmen now have a professional academic advisor until they declare a major and move to department-based advisement. The Advisement Services Center has also structured its work to focus on "advisement outcomes" developed by the center staff, and regularly evaluates the quality of advisement through student focus groups and exit surveys.

Two important measures suggest the success of this approach. First, in the 2000 SOS, ratings of academic advisement by students who received advisement solely from professional advisors was 3.55 on a 1-to-5 scale, up from 3.15 for the previous period. In the 2003 SOS, the rating for centralized advisement increased to 3.85. In addition, in measuring the desired "advisement outcomes," students report positive results in most of these areas. Those measures in which students report lower results are the focus of improvements. A University-wide faculty-staff task force is working with governance to develop policies and practices to ensure the quality and coherence of academic advisement in the major and minor, and to share best practice models and information across academic programs.

UAlbany's six-year graduation rate has risen as well, after a low of 59.4 percent for the 1994 cohort (IPEDS, 2003). UAlbany's graduation rates are the second highest among the University Centers, and *U.S. News* regularly credits UAlbany for substantially exceeding expected graduation rates, given other factors.

The four-year graduation rate has also risen, though one factor that may be contributing to recent decline in second-to-third year attrition rates is a new policy for dismissal of unsuccessful students. For the past several years, students have been departing in their sophomore year at slightly higher rates than typical, perhaps because of this policy for dismissal of students who fail to demonstrate success for three consecutive semesters. Overall rates of dismissal have declined more recently, suggesting that the trend may reverse. The University has also developed an additional monitor of graduation rate – the four-semester graduation rate of "rising juniors." These data will be reviewed regularly with academic administrators to improve upon students' ability to complete in a timely way their major at the start of junior year – and contribute positively to the University's overall graduation rate. In the next five years, the University hopes to see continued improvement in both the four- and six-year graduation rates, with a goal to approach a six-year graduation rate of 70 percent by 2010.

Transfer Student Success

In recent years, transfer students have represented about one-third of all new students and 41 to 45 percent of students receiving baccalaureate degrees annually. Thus, the University is committed to ensuring the successful recruitment, retention, academic progress, and success of transfer students.

The University takes steps to ensure transfer students, once admitted, are successful. Every transfer student attends a "planning conference" before the semester to meet with an academic advisor. In addition, several new options for transfers have been added to the Planning Conference and Orientation programs, including invitations to campus welcome events, such as the Opening Convocation and a special meeting with faculty and other transfer students at the beginning of the academic year. These new initiatives have been spurred, in part, by assessment research by the Office of Institutional Research that indicates that social integration is more difficult for transfer students, particularly those who do not live on campus or in student neighborhoods. The advisement task force noted above is also focusing on issues regarding the transition of transfer students into the University's academic and social environment.

Transfer students who come in at the upper division successfully complete their degrees at rates comparable to those of the rising juniors, according to SUNY data. An analysis of upper-division transfer student graduation rates by program, similar to the "rising junior" study, found a comparable, though slightly lower completion rate, in general, with several areas well below the average. Steps are being taken to focus on the transfer experience, and these performance indicators will also be monitored.

University at Albany Transfer Student Graduation Rates				
	3 years	4 years	5 years	6 years
Fall 1995 FT UD	67.9%	70.1%	71.2%	72.2%
Fall 1996 FT UD	67.4%	69.9%	71.0%	71.9%

Doctoral Time To Degree

As the following chart indicates, the University at Albany's median time to degree for doctoral students compares favorably in all areas to medians reported in the national data (National Science Foundation, National Institutes of Health, U.S. Department of Education, National Endowment for the Humanities, U.S. Department of Agriculture, and the National Aeronautics and Space Administration, *Doctorate Recipients from United States Universities*, 2000). The University will continue to monitor these rates as well as the overall completion rates of students who begin doctoral study.

University at Albany Doctoral Median Time to degree			
Discipline	**University at Albany**		**National**
Education	6.0 years		8.1 years
Humanities	4.5 years		8.8 years
Life Sciences (biology, public health)	6.5 years		7.0 years
Physical Sciences (including computer science, math)	5.5 years		6.8 years
Business and Management	5.8 years		7.6 years
Social Sciences, including criminal justice information science, political science, public administration, social work)	6.0 years		7.5 years

5.4 Assessments of Institutional and Unit Performance

Historically, the SUNY Student Opinion Survey (SOS) which is administered triennially by Institutional Research (IR) since the mid-1980s has been used to assess institutional and unit performance in a general way. The next administration of the SOS is scheduled for Spring 2006. SOS results are traditionally shared with the Executive Cabinet, Deans, Department Chairs, and the University Planning and Policy Council of the University Senate. The principles outlined in the University's proposed Institutional Assessment Plan are intended to facilitate a greater sharing of assessment results across the University community.

The University is committed to data-driven decision-making and uses many campus-based measures of satisfaction and success to do so. From academic advisement to food, the University has implemented major change in response to feedback from students. A prime example of how student surveys are used to enhance the quality of services is food service, and the SUNY SOS 2003 results have shown that student satisfaction with campus food services exhibited the largest increase (0.44 points) from the 2000 survey of any survey item. Similarly, student feedback indicates that the quality of the living facilities is important to the quality of life. To that end, 1,196 beds were added to the campus in 2003, when the University opened a state-of-the-art apartment complex for upperclassmen and graduate students. In addition, more than $40 million in residence hall rehabilitation has been completed over the past six years. In order to address the desire for easier room changes, a new room registration system was first used for housing registration in Fall 2004.

The impact of student life programming on such academic outcomes as GPA performance, credits completed, and graduation success has been formally incorporated into the Albany Outcomes Assessment Model developed by the Office of Institutional Research. These assessment efforts, which have been conducted on a continuous basis by the Office of Institutional Research since the 1980s, have given the University a rich array of evaluative databases, including student opinion surveys, cohort studies, and alumni studies. Indeed, study results have helped to inform a variety of innovations and improvements to the University's educational program. Many of these studies are published as an *Assessment Reports* series, which is shared with campus managers and governance bodies in order to promote discourse on improving the student experience. Abstracts of these reports are available on the Institutional Research web site <http://www.albany.edu/ir/reports.htm>.

The University now enhances its collection of student outcomes data with the reinstitution of its longitudinal survey program to assess important educational outcomes. The *UAlbany Student Experience Survey* is similar to the National Survey of Student Engagement in examining dimensions of student and campus life. This in-house-developed survey also presents cost efficiencies as it uses the state-of-the-art web administration capabilities of the Office of Institutional Research. University faculty, staff, and governance bodies will be able to consider improvements to the student experience based on survey findings and the outcomes-based research planned from this survey program. In addition, the following instruments are currently in use to assess student satisfaction and will continue to be:

- SUNY-wide Student Opinion Survey
- ACUHO-I Educational Benchmarking Instrument/Resident Survey
- University Police Department Community Satisfaction Survey
- User Assessment for Fitness Center/Pool/Intramural Facilities
- Freshman/Transfer/Parent surveys of New Student Orientation
- Student Input Project (SIP) to assess student alcohol/drug intervention programs
- Scheduler Plus (track demand on Campus Center facilities)
- Global Assessment of Functioning Scale to assess psychological, social and educational functioning
- National College Health Assessment
- Campus Survey of Alcohol and Other Drug Norms

- University Health Center's Service Satisfaction Survey
- ARL/LIBQUAL+
- Hudson Mohawk Association of Colleges Diversity Survey
- Alumni Association Survey
- School of Business Student Satisfaction Survey
- School of Social Welfare Exiting Student Survey
- School of Information Science and Policy Student and Alumni Surveys
- School of Public Health Exiting Student Survey
- Center for Excellence in Teaching and Learning New Faculty Survey

Although the University's proposed Institutional Assessment Plan has not yet been formally adopted, University vice presidents have closely watched the development of the proposed plan, and their representatives have directly participated in shaping it. Therefore, the University's administrative areas, as well as the academic units, are well positioned to quickly and effectively begin formal implementation of an Institutional Assessment Plan. For example, Student Affairs units have been directed by their Vice President, for the past several years, to conduct assessments of their operations and document findings, primarily for intra-divisional use. Further benefits to the division and to the University at-large will accrue when more systematic assessment process (i.e., setting explicit mission, goals and objectives, tying metrics to performance objectives, incorporating results back into operations, and documenting and sharing results with the rest of the University community) are implemented, as outlined in the Institutional Assessment Plan.

The Division of Finance and Business has already begun mapping unit missions, goals, and priorities in anticipation of pending implementation of the Institutional Assessment Plan. As evidenced by this far reaching activity, division leadership is laying the foundation for developing a divisional and unit assessment plans.

The proposed Institutional Assessment Plan has been previewed with administrative and support unit leaders within Academic Affairs to prepare them for next steps. Some units (e.g., ASC/US, University Libraries, ITS) already have a sound foundation for developing an assessment plan. While other units will need more assistance, all recognize the importance of assessing their effectiveness within the context of the University's mission and goals. As noted earlier, academic departments have already begun to develop and implement assessment plans targeted at program-specific student learning outcomes.

The Division for Research is participating in an International Benchmarking Study focusing on enhancing research performance, and research centers and institutes are now developing assessment protocols.

President Hall has introduced in 2005 the concept of Performance Dashboards to the University community as a means of identifying important performance metrics, both for the University and for individual units. This self-evaluative approach to gauging performance, similar to the balanced scorecard approach, is consistent with the self-reflective framework the University has developed in its proposed Institutional Assessment Plan. As such, the purpose of the dashboard is to be instructed by the numbers they portray, not controlled by them. The

University's performance dashboard <http://www.albany.edu/ir/dashboard.htm> currently gauges twenty-nine performance measures within seven general categories. They are:

- o Student Enrollment – by headcount, FTE, percent graduate, percent out-of-state, and percent multicultural

- o Retention and Graduation – by first-year retention rate, six-year graduation rate, NCAA academic progress percentile rank, and national scholarships

- o Undergraduate admissions – by freshmen applications, freshmen enrollees, new transfer students, percent of freshmen in SUNY quality group 1, and average SAT

- o Faculty – by student faculty ratio, full-time and part-time headcount, percent female, and percent multicultural

- o Research – by total externally funded research, R&D expenditures in science and engineering fields, patent applications, and license income

- o Finance – by All-Funds revenue, state appropriation as percent of all funds revenue, tuition and fee levels, percent of students receiving financial aid, the alumni giving rate, and endowment funds, and

- o National ranking – by U.S. News and World Report tier level.

The University at Albany performance dashboard is provided with the accompanying PRR materials in order to provide a graphic overview of how the University evaluates itself across these important dimensions, most of which have already been discussed within the PRR.

At this writing, each University vice president and dean is in the process of identifying and analyzing important input, outcomes, and process measures for their particular operations. As with the overall University dashboard, divisional and school/college dashboards will be used to both provide context for the issues facing units, as well as to gauge performance within their respective spheres of responsibility. Performance dashboards, as discussed in section 6 of the PRR, will be integrated into the University's planning and budgeting framework beginning in Summer 2005.

Aside from advancing its systems and processes to conduct meaningful assessments, the University has made tangible investments in recent years, both in new staff positions and in refocusing attention on assessment issues. In 2001, the Director of Assessment position was created to assist faculty in the design, implementation, and utilization of academic assessment processes to improve teaching and learning in the major, minor, and general education, honors and certificate programs. The Director of Assessment position is now housed in the Center for Excellence in Teaching and Learning (CETL) in order to better integrate classroom and program assessments into the teaching ethos of faculty. This important position is responsible for:

1. coordinating and shepherding the departmental academic program review process

2. assisting program faculty with the identification of course and program learning goals

3. educating and assisting program faculty in the development of appropriate assessment metrics

4. collecting, reviewing, and analyzing reports from faculty on their use of outcomes assessments

5. collecting, reviewing, reporting, and maintaining records on General Education courses

6. overseeing distribution and analysis of student perception surveys regarding General Education courses

7. assisting the General Education Committee in the process of internal review and assessment of General Education courses

8. staffing the University Council on Academic Assessment and the Provost's Assessment Advisory Committee.

The Associate Dean for Undergraduate Studies and General Education is an ex-officio member of the Undergraduate Academic Council (UAC) and works closely with the UAC in the design and implementation of the General Education Assessment Plan. The Associate Dean also and works very closely with the Director of Assessment in this area. While the Dean of Undergraduate Studies does not provide direct support for the operational elements of program assessments, she is nonetheless a critically needed and important advocate for promoting assessment across the academic departments and is a valuable contributor to the design of academic assessment processes. The Dean of Graduate Studies plays a similar critical role in advocating for assessment processes across graduate programs. Additionally, the Deans for Undergraduate and Graduate Studies, along with the Assistant Vice President for Strategic Planning and Assessment, serve as ex officio members of the Council on Academic Assessment (CAA).

The Council on Academic Assessment (CAA), by virtue of its purview to review and report on academic program self-studies, assessment plans, and annual activity reports, provides assessment guidance for academic programs. The Director of Assessment, staff to the CAA, guides program self-studies and assessment activities in light of CAA expectations.

Similarly, the Assessment Subcommittee of the General Education Committee of the Undergraduate Academic Council (UAC) is developing into an assessment resource regarding the General Education Program. The Associate Dean for Undergraduate Studies for General Education chairs this committee. This subcommittee plays a growing role in developing procedures and practice as they relate to the assessment of General Education student learning goals.

The Assistant Vice President for Strategic Planning and Assessment, a position established within the Provost's Office in 2004, serves as the campus's chief assessment officer. In addition to serving as a senior advisor to the Provost and President on assessment and planning matters, the Assistant Vice President is responsible for recommending policies and activities that ensure campus compliance with external mandates. In terms of particular support for operating units, the Assistant Vice President:

1. works with the Director of Assessment and the Undergraduate and Graduate Deans to oversee the academic program review process

2. acts as an assessment ombudsman to departments and units, and to Vice Presidents and Deans

3. assists administrative and student support units in developing their assessment plans

4. consults with research, public service, administrative, and student support units to develop appropriate assessment metrics

5. facilitates, as needed, to ensure that all unit assessment plans are implemented

6. chairs and provides continuity to the Provost's Assessment Advisory Committee

The Office of Institutional Research continues to support assessment activities across the University by assisting in the development and analyses of surveys and data from University records. Institutional Research also makes available historical data regarding faculty, student enrollments, and other instruction-related information for use in the academic program review process.

Owing to assessment's role in improving teaching and learning, the Center for Excellence in Teaching and Learning (CETL) is expected to play a growing role in supporting assessment and faculty professional development.

The Provost's Assessment Advisory Committee, a standing committee established in 2004, is another important resource supporting campus assessment activities. This committee is charged with ensuring that UAlbany policies, procedures, and guidelines regarding assessment-related activities meet internal needs and external mandates. While the Advisory Committee has been instrumental in developing the proposed Institutional Assessment Plan, the scope of its continuing roles includes:

1. identifying when and where financial and administrative support is needed to support and advance assessment on the campus

2. advocating assessment and committing to the implementation of a culture of assessment on the campus

3. familiarizing its members with Middle States accreditation standards, particularly Standard 7 (Institutional Assessment) and Standard 14 (Assessment of Student Learning)

In addition to developing the Institutional Assessment Plan, the Advisory Committee's major goal is to work with the Vice Presidents and Deans to create organizational structures to implement and support assessment within each division by:

1. prompting each unit to identify its mission, goals, and objectives within the framework of institutional and divisional mission

2. assisting units in determining how to measure whether their goals and objectives are being achieved and how to use evaluative measures to improve services and processes

3. developing linkages between the assessment process and planning and resource allocation functions

4. providing guidance on how units might document processes of evaluation and improvement.

Depending heavily upon the Director of Assessment and the Assistant Vice President for Strategic Planning and Assessment, the Provost's Assessment Advisory Committee is asked to:

1. prepare an inventory of past, present, and future assessment activities

2. help to identify and disseminate assessment best practices

3. maintain a Web site making assessment resources available to faculty and staff

4. maintain a library of campus assessment documents to be used in the preparation of summary reports for Middle States, site visits, and for internal departmental use

5. assist the Vice Presidential divisions and their units in organizing and implementing assessment activities.

Currently, Web-based options are being pursued as a means of these tasks (1-3). A prototype Assessment Resources Web-site <http://www.albany.edu/assessment>has been developed. Further development on this Web-site, led by the Assistant Vice President for Strategic Planning and Assessment, will take place after an Institutional Assessment Plan is formally adopted by the University and further direction is provided by the President and Provost on how they wish assessment activities to proceed.

6. Linked Institutional Planning and Budgeting Processes

Over the course of the last decade, the University at Albany has devolved resource management from a highly centralized model to one in which the vice presidents and deans have a high degree of responsibility and authority. This decentralized model has been greatly enhanced by the development of an All-Funds budget management approach, including initial development of the reporting tools necessary to monitor the collection, allocation, and expenditures of funds of various types, including state budget, income fund reimbursable, sponsored research and development funds raised through the University at Albany Foundation. Such a management model is more typical of a large, complex research university, and has provided campus leaders with the ability to develop resource management strategies more effective in meeting multiple, interrelated missions. In addition, it has provided campus leaders with the autonomy necessary to be effective. Each Vice President and Dean has the local authority to reallocate funds between objects and across departments. Provisions are made to ensure that the full allocation is available to fund all filled and budgeted vacant positions. Each Vice President and Dean is accountable for the unit's performance at the end of the budget cycle.

The University has explored the development of a resource allocation methodology (incentive-based budget model) which makes the budget transparent to all constituencies and utilizes several performance factors, including enrollment, direct and indirect sponsored research expenditures, discipline-specific factors, and contributions to strategic plan objectives. However, the SUNY Budget Allocation Process (BAP) methodology for allocating state appropriations to campuses has since been discontinued, and SUNY is in the process of developing a new BAP methodology. It will be difficult to make major departures from the campus's internal resource allocation system until it becomes known how the campus itself is funded for its various activities (e.g., the funding weights associated with student FTEs, research matches and service activities). Nonetheless, ongoing discussions with deans and other University leaders have highlighted the need to recalibrate the University's annual resource planning process, to articulate it more clearly with its academic planning process, and to more fully involve vice presidents and deans, administrative and academic departments, and faculty in the determination and pursuit of campus priorities. And this re-calibration does not have to wait for the SUNY funding algorithm to be settled. President Hall, in his first address to the University faculty on April 27, 2005, indicated that the University will be re-calibrating its basic planning and budget processes in order to better focus on future directions and align resources toward our agreed upon goals.

Beginning in Summer 2005, the University will be revisiting its strategic planning processes through a process called compact planning. The compact planning process envisioned for the University at Albany will be a combination of classical incremental and initiative-based budgeting models. It will be incremental in that, like the current budget process, the majority of unit funding is predicated on last year's core budget. However, significant incentive funding will be made available for application by academic and administrative units with proposals for furthering University goals and priorities. Assessment and evaluative process will play major roles in examining core unit functions and in awarding initiative funding. The details of fitting the compact planning framework within the University at Albany's academic, administrative, and governance cultures are now under development. University intentions toward a compact planning process are noted herein in order to signal to Middle States the University's intention to tighten the links between its planning and resource allocation processes.

The compact planning process will prompt a discussion in the University about basic values, driven from the bottom up. The process focus will be on values, on linking those values to initiatives between and among units of the University, and to emphasizing the importance of interdisciplinary commitments to our collective future. The role of core unit operations in achieving unit objectives consistent and supporting of the University mission are also revisited in this process, and will factor into funding decisions. The University is now in the process of integrating its framework for assessment, as outlined in the proposed Institutional Assessment Plan, into the compact planning and budgeting process. This will bring thoughtful reflection, rigorous evaluation, and openness and transparency to the entire process. Specific performance and outcomes measures, like the performance dashboards discussed earlier and other outcomes measures informed by assessment processes, are used in compact planning to hold units, and the university as a whole, accountable, and to demonstrate publicly the quality and impact of our programs and services.

Firmly linking assessment, budgeting, and performance appraisals is achieved through compacts, memorandums of understanding, between superior and subordinate units, across both

the academic and administrative units. These negotiated compacts will be the formal planning documents that drive the university's resource allocation and budget process. Compact plans, because they reflect shared and agreed upon understanding of unit and university goals and priorities, will then be used to shape various other planning and decision-making processes, including the following:

- Updating university-wide goals and priorities from the bottom-up, and aligning those with the budget process

- Updating long-range capital improvements plan and the university master plan

- Creating comprehensive enrollment and marketing plans

- Forming the basis for yearly budget allocations

- Establishing priorities for a major capital campaign

- Performance evaluations of vice presidents, deans, department heads, and directors

- Annual meeting and reviews by the President and Provost with the faculties of each of the colleges.

A compact is an annual, bilateral, written management agreement between an academic or administrative unit and the University administration. It is the result of a series of meetings in which the unit leadership, as informed by its faculty and/or staff, presents priorities and issues and develops feasible strategies and targets in consultation with university administrators. A compact is jointly written and delineates directions and actions, respective responsibilities, investments, outcomes, and mutual performance expectations in the context of unit and university long-range goals. The compact represents a pledge by both parties to pursue and support the initiatives summarized in the compact document. Faculty governance and other University committees will be asked to recommend initiative proposals based on the results of recent reviews and program evaluations, the unit's history with regard to key performance measures, as detailed in the unit's assessment plan, and the alignment of initiative goals with unit and university goals. Special initiative funds, in addition to the core budget and any increments made to it, which are themselves informed by the use of assessment results, then become operational budgets for the upcoming year.

Over the past ten years, the University Resources and Priorities Advisory Committee (URPAC) has reviewed the budgetary implications of changes proposed by vice presidents or deans to ensure that they are consistent with University priorities in:

- Achieving net growth of full-time faculty,
- Maintaining and improving undergraduate and graduate student quality,
- Promoting distinctive and distinguished academic programs,
- Maintaining health and safety,
- Investing in external fundraising, and
- Preserving campus reserves.

URPAC includes faculty appointed by the President, appointed by a Council of the University Senate, and elected by the University faculty; staff appointed by the Provost; and students appointed by the undergraduate and graduate student associations. The compact planning process will similarly incorporate faculty, governance, and University-wide perspectives in the planning process by continuing to utilize URPAC, or other such representative committees to participate in its planning, budgeting, and evaluation processes.

As noted above, in establishing its annual budget, the University has historically used a modified incremental base budgeting approach, and this will continue, to a certain extent, in the compact planning process. In this process the previous year's base is reconciled in detail, then incrementally increased/decreased to reflect negotiated salary increases or budget additions or reductions related to changes in the state appropriation. This process will continue in the compact planning framework, but faculty recruitment priorities and other requests approved through the University's various planning processes will be formally articulated, along with expectations and assessment plans for outcomes associated with resource deployments.

Historically, the development of faculty recruitment plans signal the beginning of the budget planning cycle as faculty hiring intentions by department and discipline for the following year are identified. The University provides resources to fund faculty positions from institutional resources in areas of strategic priority and through attrition of existing positions. In the Spring, the impact of the enrollment plan and tuition collections, fee-based programs, residence halls, and food service are built into an overall budget. Models in both the offices of Institutional Research and Accounting are used in these calculations, and many years of trend analysis provide reliable information. Recent tuition increases and the changes in the balance between tuition and state funding have required further refinement of these models. These existing planning activities will be integrated with the compact planning process.

Throughout the remainder of the year, the base will be developed for the next fiscal year and adjusted to reflect new commitments borne out of the compact planning process. The end result of the process, accounting for reallocations, special initiatives, the enrollment impact on tuition, residential housing projections, fee-based activities and food service, are aggregated up to the Campus Financial Plan (CFP), which summarizes the overall state of the University's fiscal plans.

Concurrently, the Dormitory-Income Fund Reimbursable (DIFR) budget process unfolds in much the same way. Consultation and participation occur with multiple units, including Institutional Research, Residential Life, Student Affairs, Financial Management and Budget, Facilities, and the student body. The DIFR process involves an analysis of campus enrollment, its impact on projected occupancy and room revenue, and a review and analysis of operating and capital budget needs. The measurement of the "yield," or the portion of the enrolled student population, by class year, residing in on-campus housing, is a key data component that underpins the revenue projections of this self-supporting revenue program. Once the revenue projection is complete, it is contrasted against base-level spending needs, contractual commitments, debt service changes, and other factors that, when combined, dictate the financial position of the DIFR balance sheet. From this analysis emerges the level of room rate increases or budget reductions, if any, that will be necessary to maintain a balanced budget. The student

body is consulted prior to finalizing the room rates, which must be established in early February in time for housing sign-ups in March.

In addition, the University has an extensive Income Fund Reimbursable (IFR) planning process, including a dedicated staff person in the Office of Financial Management and Budget. Each year, IFR account managers file a budget plan which is then analyzed to ensure solvency in each program/account. These plans form the basis for the allocation levels established and the authority to spend. Control over the majority of the IFR accounts is decentralized to the department/college overseeing the activity. A few accounts, such as Summer Sessions and those supported by the Comprehensive Fee, are managed more centrally and contemplated within the CFP planning process described above.

Priorities and resource allocation decisions will be determined within the compact planning process. Compacts and plans will be implemented using existing budgetary procedures. As noted above, Vice Presidents and Deans have the discretion to reallocate between departments and across objects within their divisions/colleges. At the start of a fiscal year, each unit will submit a reallocation plan, consistent with its compact, which identifies permanent and temporary reallocation of Personal Service Regular (PSR) funding. All permanent commitments (i.e. new hires, non-contractual salary increases, promotions, counter-offers) must be funded by a permanently available resource, such as a vacant line or previously approved funding from the Campus Financial Plan. One-time Personal Services Regular (PSR) resources generated from Leave Without Pay or vacant positions can be temporarily reallocated to fund adjunct instruction or other initiatives.

Through these interrelated activities, the compact planning process will be used to provide tighter linkages than have previously existed between the University's planning, assessment, and resource allocation processes.