

**Strategic Planning Subcommittee**  
**Meeting Agenda**  
**April 22, 2021**  
**11:00am-12:00pm**

1. Approval of minutes for the March 23, 2021 meeting
2. Discussing terms “alignment” and “assessment”
3. Discussion of readings about other college’s planning/budgeting/assessment processes
4. Discussion of Benton budget exercise
5. New Business

**Strategic Planning Subcommittee  
Minutes**

April 22, 2021

**Present:** Allison Pease (*Designated Chair*), Ric Anzaldúa, Ned Benton, Brian Cortijo, Warren Eller, Mark Flower, Jay Gates, Heath Grant, Karen Kaplowitz, Dyanna Pooley, Amber Rivero, Andrew Sidman, Monika Son, Marie Springer, and Alison Orlando (*recorder*)

**Guests:** Hungde Chan, Rulisa Galloway-Perry, John Paul Narkunas, and Alena Ryjov

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1. **Approval of minutes from March 23, 2021.** The minutes were approved as proposed.
2. **Discussing terms “alignment and assessment.”** Allison P. began by briefly speaking about the term alignment in regard to our budget, planning, and assessment processes. She explained that the Middle States Commission on Higher Education (MSCHE) expects alignment between these processes. Allison P. explained to the committee that she believes the college does align these processes but that there is room for improvement. She then moved on to speak about the term assessment. Allison P. said that she understands that the MSCHE recognizes assessment not only as student learning outcomes assessment, and AES assessment but in the broader sense of all data that comes to bear on our decision making. She gave the examples of our strategic planning process and the CUNY Performance Management Process (PMP). Ned B. explained that the college has formal assessment processes, and informal assessment activities but the issue is that we don't document the informal processes. He suggested that we ask for reports at the end of the year from the departments and governance committees on their informal assessment activities. Allison P. said that the Vice Presidents already collect this information from their units within the divisions and report this information to the President. She considered if this process should be made more transparent. Allison P. then returned to the topic of alignment. She referenced a CUNY worksheet that advises the college on how to demonstrate alignment between the different processes through an integrated timetable. She shared the timetable she made for John Jay following this template, but she felt that this document does not really demonstrate the alignment between the processes.
3. **Discussion of readings about other college's planning/budgeting/assessment processes.** Allison P. continued the discussion about alignment and spoke about how the other colleges in the readings (Brooklyn College, City Tech, and University at Buffalo) demonstrate alignment between their processes. She explained that an issue the college has regarding the alignment of our processes is that the majority of our budget is allocated to personnel, and that planning for hires occurs at the vice presidential and presidential level. Warren E. suggested that we use a flowchart to demonstrate the individual processes that inform this decision making. Ned B. felt that we have a structured process with the involvement of the SPS-FPS and BPC in producing the financial plan each year, and that this is where we have the opportunity to relate the budgeting decisions to our goals. Mark F. added that our budget process can be siloed, and this needs to be addressed. He gave the example of academic advisement, and how it is not addressed as a global initiative.
4. **Discussion of Benton budget exercise.** Ned B. gave an overview of a budget exercise that the college could use to help to align our budgeting and planning process. He explained that we need to align our full-time position budgeting process align with our institutional goals as personnel makes up 90% of our budget. He then shared a spreadsheet that could be used as a tool to aid in this process. The floor was then opened to questions and comments. Warren E. said his concern is that outcomes are transparent but the decision is still made in a black box. Ned B. said that SPS-FPS will be advised on the total number of positions that the college can afford, and that the committee will make recommendations

on how to allocate those lines through the financial plan. He added that the President may make changes to the plan, but the process is transparent. Andrew S. felt that this is a good framework to track lines but is troubled on how we come up with the right number of positions to allocate. He also has concerns about parallel actions happening within the college and that this needs to be tracked. There was a brief discussion on the budget and the opportunity the college may have to plan with a possible better budget scenario in the upcoming years. Brian C. said that it is important to backfill administrative positions as there has been attrition and the work has been absorbed by those in the college without additional compensation. Mark F. said that as we replace those who left we need to see if we need to reallocate resources as the college's priorities may have changed. He felt the committee could play a role in this. Warren E. felt the SPS could inform the FPS on how to direct resources towards the strategic plan. Allison P. said she will take this conversation to senior leadership to see how they can work together with the SPS-FPS on a line allocation model.

5. **New Business.** There was no new business.



Self-Study Report Prepared for  
the Middle States Commission  
on Higher Education

Review Period 2009–2019

**Brooklyn  
College**

**CUNY**

## CHAPTER 6

### STANDARD VI: PLANNING, RESOURCES, AND INSTITUTIONAL IMPROVEMENT

*The institution's planning processes, resources, and structures are aligned with each other and are sufficient to fulfill its mission and goals, to continuously assess and improve its programs and services, and to respond effectively to opportunities and challenges.*

#### 6.1 Introduction

This chapter highlights our use of the [Strategic Plan](#) to guide planning, budgeting and related activities. It describes the University's and the College's overall budgeting processes and shows how our processes and structures are linked to goals. The chapter also provides examples of how we use data to allocate resources to make improvements in services and programs. At the conclusion of the chapter, we provide recommendations to further strengthen our practices. Information based on our Self-Study design's [original research questions](#) (p.11) is integrated as appropriate.

#### 6.2 Linkages among Institutional Objectives, Assessment, Planning and Resource Allocation

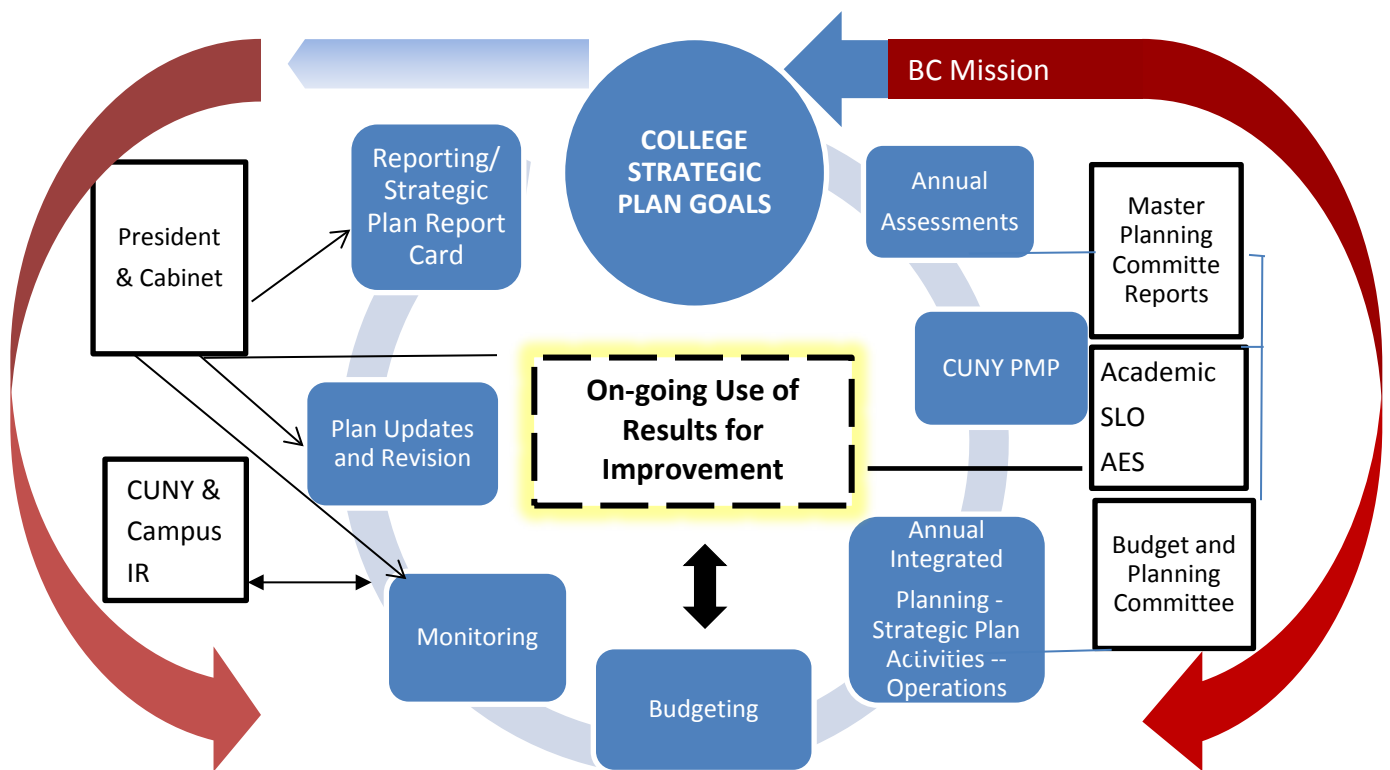
At the start of her appointment, President Anderson engaged the entire community and external stakeholders in a robust, transparent, inclusive, and iterative [strategic planning process](#) (pp. 2-3) as fully described in section I.2.3. The [University's Master Plan](#) and Strategic Framework, a wide array of [University](#) and [institutional data](#), and campus assessment findings informed our mission-based plan. The review included an examination of student enrollment, experience, and success data; faculty satisfaction, research, teaching assessment and teaching capacity data; and financial and administrative reports, among other available information. Trends were identified that informed the development of the Brooklyn College Strategic Plan 2018-2023.

The [Strategic Plan](#) identifies five clear goals that will guide the work of the campus through 2023. The goals are elucidated by corresponding objectives and detailed yearly benchmarks. The plan spells out strategies, metrics, targets (as appropriate), and accountable individuals/units. President Anderson and her cabinet will review progress on the Strategic Plan at least twice yearly as part of the monitoring process; they will identify any misalignments between the budget and the plan's actual implementation. The Strategic Plan is a living document that informs all planning.

With the implementation of the College's new strategic plan, President Anderson and her cabinet have established an integrated, operational planning process that is fully linked with assessment and resource allocation (Appendix 6.A) (SP4.D.d). All members of the President's Cabinet are using a planning template (Appendix 6.B) that shows the relationship of their work to the College's (and University's) strategic goals and to one another's strategic efforts.

Given the primacy of the Strategic Plan and the President's leadership on documenting progress toward the achievement of the institutional mission, the College has undertaken the development of an Institutional Effectiveness Plan (IEP). The IEP will fully describe the integrated processes/activities the College engages in related to planning, budgeting, and assessment. Each of these will be scheduled on an annual timeline and the corresponding most accountable person/s (MAP/s), committees, and cross-institutional teams will also be identified. Figure 6.1 below outlines the overall integrated model upon which the IEP is based. We anticipate completing the IEP by the end of the academic year and working with all stakeholders to increase awareness about the integration of planning, budgeting, and assessment processes/structures and everyone's role in them.

*Figure 6.1 The Brooklyn Campus IEP Model*



College-wide Processes for Planning and Improvement: blue rectangles

Constituent Committees and Key Units: white rectangles

Work flow: unidirectional  $\longrightarrow$

Work flow bi-directional  $\longleftrightarrow$

As figure 6.1 shows, various committees representing key constituencies of the College are engaged in the annual planning and budgeting process. The Master Planning Committee of the Faculty Council, for instance, works with the Provost to assess faculty line requests based on criteria established by the Provost in consultation with deans, chairs, and appropriate governance committees. Information from the College Assessment committees, together with other assessment information and data related to institutional effectiveness from both the central University and the

local Offices of Institutional Research and Data Analysis and Business Analytics and Data Reporting also inform the annual budget requests that cabinet members make. These requests must be aligned with the College's Strategic Plan.

With the new Strategic Plan, the President and Senior Vice President for Finance and Administration (SVPFA) sought to underscore the relationship between the College's strategic priorities and budgeting (SP4.D.d). They also sought to increase transparency, communication, and inclusion in the financial planning process. To these ends, the President established a college-wide Budget and Planning Committee. The committee was constituted as an advisory body and is also charged with disseminating more detailed and complex information about the budget to the College community.

The committee's membership currently includes faculty and executive level administrators. Plans are underway to expand inclusion to representatives from HEO, civil service staff, and student leadership. The new committee is chaired by the SVPFA and the Provost and Senior Vice President for Academic Affairs.

The work of the Budget and Planning Committee has already been instrumental in facilitating the campus's progress on the Strategic Plan. As the Strategic Plan was being operationalized last year, assessment data indicated that the campus needed to increase class section availability in specific curricular areas to improve academic momentum (SP1.A.a). The committee put forward a zero-based adjunct budgeting model to ensure appropriate offerings; the model was adopted by the SVPFA and appropriate mechanisms to facilitate implementation, monitoring, assessment, and reporting were put in place.

Monitoring of financial planning and budgeting is overseen by the SVPFA. The President and her cabinet ensure alignment of financial planning with our mission and goals; clear linkages to the Strategic Plan are made at every step of the planning, assessment and reporting processes. A web-based Strategic Plan Report Card (Appendix I.H) is currently under development; it will inform the community about progress as the implementation of the plan moves forward.

### **6.3 General CUNY Budget Allocation Process for Senior Colleges**

New York State provides funding for the senior colleges using line item appropriations. The budget includes line items for each senior college as well as for central administration/shared services, information technology, fringe benefits, building rentals, and various University programs. Each year, the University submits a tax-levy budget request to New York State for the entire system of colleges. The request is composed of the mandatory (base-line needs) and the programmatic request for increases for the operating budget. The mandatory request includes contractual salary increases and other than personal service (OTPS) inflationary increases. It also includes requests for rent increases, fringe benefits, and operating costs for new buildings. The programmatic request is based on University program initiatives outlined in CUNY's Strategic Framework and its Master Plan. Both the Framework and the Master Plan are developed by the University's central leadership in consultation with CUNY constituencies, including members of the Board of Trustees, college presidents, and faculty and student representatives.

The state budget for the senior colleges includes an appropriation for special revenue accounts, including the Income Fund Reimbursable Account (IFR), the City University Tuition Reimbursement Account (CUTRA), and the City University Stabilization Account. The IFR is made up mostly of self-supporting adult and continuing education programs. Colleges can spend what they collect. The IFR programs, however, are subject to a 12.0% cost recovery target. The CUTRA account enables the colleges to roll over into subsequent fiscal years excess tuition revenue. The Stabilization account enables the colleges and University to carry-over into subsequent fiscal years unexpended tax levy appropriations; this can be helpful with regard to planning.

The Board of Trustees adopts a University-wide preliminary budget allocation in February after the State Executive and City Preliminary budgets are issued. The Board adopts the initial budget allocation in June and acts on changes to allocations throughout the year. Colleges receive an initial allocation of their annual budgets before the start of the fiscal year. Each college is expected to meet a tuition revenue target. When tuition collections exceed the target, college budgets are increased to reflect the increased revenue. Additional budget allocations are made periodically during the year to adjust for revenue collections and to disburse additional funds. Additional lump sum allocations are also made to the colleges for child care, collaborative programs with the NYC Department of Education, Coordinated Undergraduate Education, language immersion programs, SEEK, and services for the disabled. The colleges may receive additional allocations for various miscellaneous items and competitive, University-wide strategic initiative “grants.” Items that are paid for centrally, such as fringe benefits, building rentals, and student financial aid, are not allocated to the colleges but expended centrally on their behalf.

Funding is then allocated to each college through the University. During the budgeting period, the University communicates regularly with the colleges; the colleges remain responsible for their own budget planning. The University generally does not prescribe how colleges allocate resources, with the exception of a few distinct programs. Once the allocations are issued, colleges submit financial plans detailing the projected uses of their funds to the University. The University Budget Office monitors college spending throughout the fiscal year and publishes four quarterly financial reports to the Board of Trustees and the University community.

All other sources of funding (grants managed by the Research Foundation of the City University of New York, funds raised by the college foundations and/or auxiliary services) are separate and not managed by the University. The University gives the colleges their own unaudited version of the overall CUNY audited financial reports.

### **6.3.1 Overview of the Brooklyn College Tax Levy Budget**

As Table 6.1 below illustrates, the College has the necessary resources to fiscally support its operations. Table 6.1 provides a ten-year longitudinal summary of the tax levy budget. Projections for fiscal year 2019- 2021 have been conducted (Appendix 6.C). During the decade, there were significant New York State budget reductions in five of the fiscal years. As Table 6.1 also shows, the College addressed these challenges to maintain a balanced budget and fulfill its mission and goals.



*Table 6.1 Tax Levy Funding (in thousands)*

Description	Fiscal Year 2009 Actual	Fiscal Year 2010 Actual	Fiscal Year 2011 Actual	Fiscal Year 2012 Actual	Fiscal Year 2013 Actual
CUTRA Beginning Balance	1,149	2,035	1,712	3,164	3,130
<b>Revenues:</b>					
Tuition and Fees	67,875	79,892	81,193	88,755	89,737
State/City/CUNY	36,753	37,371	36,015	26,821	27,306
<b>Expenditures</b>					
	-103,742	-117,586	-115,756	-115,610	-116,879
CUTRA Ending Balance	2,035	1,712	3,164	3,130	3,294

Description	Fiscal Year 2014 Actual	Fiscal Year 2015 Actual	Fiscal Year 2016 Actual	Fiscal Year 2017 Actual	Fiscal Year 2018 Actual
CUTRA Beginning Balance	3,294	2,176	2,611	4,553	4,462
<b>Revenues:</b>					
Tuition and Fees	89,264	94,748	100,566	103,940	109,363
State/City/CUNY	27,799	27,761	23,431	27,370	26,575
<b>Expenditures</b>					
	-118,181	-122,074	-122,055	-131,401	-136,656
CUTRA Ending Balance	2,176	2,611	4,553	4,462	3,744

The College has been fiscally responsible during the period and demonstrated that it can meet budget challenges through the strengths of its financial planning, resource management processes and functions as described below. Financial planning and other key planning documents guide our work.

## **6.4 The Financial Planning and Budget Process**

### **6.4.1 Operating Budget Planning Processes**

At the College, the budget is reviewed on an ongoing basis in terms of revenues and expenses. For example, each vacant full-time position is reviewed by the appropriate vice president to assess if the work can be accomplished in some other way, either by process reengineering or through reallocation (SP4.B.b). The goal is to ensure resources are aligned with priorities. In some cases, a position may be inactivated because the function is no longer needed. The vice president then presents a request to the President, who reviews with the SVPFA. The vice presidents also work with their teams to assess needs associated with the achievement of strategic goals. During these challenging fiscal times, everyone is encouraged to make progress within their current budget

allocations. If additional resources are required and the President approves, the SVPFA and his team see if funding can be identified.

Base budgets are rolled over into planning budgets for the new fiscal year in early fall. This provides sufficient time for departments to request reallocations within their areas or additional funding. Departments are issued base budgets for Other than Personnel Services (OTPS) and Temporary Services (TS). The latter includes support for part-time employees. Full-time faculty lines are assigned by the Provost based on the total number of budgeted positions allocated by the Office of Budget and Planning. The Provost consults with deans, chairs, and Master Planning before finalizing allocations based on the Academic Plan. Currently with a new Strategic Plan and a new Provost, a new Academic Plan is under development. Working collaboratively with the Master Planning subcommittee of the Faculty Council, deans, chairs, staff, and students, the Provost will complete a provisional five-year faculty hiring plan this year to inform short-term line allocations. A new Academic Plan will be developed in collaboration with all stakeholders over the following year.

The adjunct budget is based on the costs associated with delivering the courses students need to progress toward completion. In fall 2018, as mentioned above, the College piloted a zero-based budget for adjunct expenditures. The impetus for this change was an analysis of the number of credits taken and earned by new students, and the results of an entering transfer student survey that showed 41.9% of the fall 2017 transfer cohort that responded was unable to register for any first-choice courses or find others they needed to take. It appears at first blush that the strategy was successful based on increased fall enrollments.

With the implementation of the new Strategic Plan and through a new leadership team, the College will fully integrate the budget processes into the new IEP; planning, budgeting, and assessment will function within one framework instead of multiple ones, building on our successful history of responsible fiscal and resource management.

As we learned during our Self-Study, there is some variability in how well units use data. There is a plethora of data and information available to guide planning. Under the new IEP we will centrally conduct more analyses of the data and provide appropriate digests to the units based on the function, scope, and strategic priority needs. This would streamline some of the data collection and analyses involved in the budget planning and request process for individuals and increase the efficiency of our staff. All new requests moving forward must show alignment with Strategic Plan goals, benchmarks, and targets as appropriate (Appendix 6.D).

The College's financial operations are led by several units that report to the SVPFA. These include the Offices of Budget and Planning, Student Financial Services, and the Comptroller, (each with a number of subsidiary departments and units). Three-year financial plans are required by the University. The SVPFA develops the plans in consultation with Cabinet, elected faculty and student representatives and submits them, with the President's approval, to the University. The SVPFA presents overviews of the budget and the budget process at Faculty Council, Council on Administrative Policy, Policy Council, and to student leaders at the Brooklyn College Association. New academic chairs receive an introduction to budget and planning by the SVPFA as part of their orientation process. In addition, key College committees (Faculty Council's Master Planning,

Educational Policy and Budget Committee, and Policy Council) provide input and feedback regarding budgetary matters.

The alignment of the Strategic Plan with the budget and planning processes is ensured at the Cabinet level. Institutional priorities, as set by the President and articulated in the strategic plan, are implemented, as summarized in section 6.2 above, through the oversight of the vice-presidents in collaboration with their respective staff. Decision-making is informed by ongoing reports and ad-hoc data collection and analysis within Budget and Planning.

Members of the President's Cabinet (without the president), meet regularly to assess progress towards the interrelated goals of the Strategic Plan. At the close of the fiscal year, each cabinet member submits to the President a report of accomplishments for the preceding year and goals for the coming one on behalf of their divisions; these include explicit connections to the Strategic Plan, PMP, CUNY Master Plan, and to each division's efforts toward each goal; thus, objectives for the coming year (FY'19) are specifically linked to Year 1 benchmarks across the five goals of the Strategic Plan.

#### **6.4.2 Capital Budget Planning**

Requests for capital funding are submitted at the same time as the operating budget. These requests are designed to address funding for larger projects, including new construction, renovation, and rehabilitation projects that are made under the terms of New York State Education Law a726, section 6233-A-Master Capital Plan. The process is informed by a number of guidelines and requires ongoing collaboration between the University, the President, the SVPFA, the Provost, CUNY's Office of Facilities Planning, Construction, and Management (FPCM), and the College's Office of Facilities, Planning, and Operations to determine specific priorities and needs. Though the vast majority of capital funding is secured through New York State by the University, smaller requests are occasionally funded by the New York City, City Council, or the Borough President.

Each spring, FPCM meets with the College to appraise ongoing capital projects and discuss new needs. Priorities for the coming year are determined by: (1) the College's trustee-approved [Facilities Master Plan](#), a document developed in consultation with the campus facilities staff and members of the College community, and which forms the basis for the University's Five-Year Capital Plan Request; (2) the College's Strategic Plan; and (3) the goals and priorities of the University's Academic Master Plan (2016-2020). FPCM helps guide the process by preparing estimates, project scopes, and timetables. The [College's capital request is bundled](#) (p.3) with that of the entire University and submitted to the CUNY Board of Trustees for their approval in advance of submission to the State.

#### **6.4.3 Technology Budget Planning**

Brooklyn College technology budgets are comprised of two funding sources: (1) Tax levy, and (2) Student Technology Fee funds. Most software is licensed by the University and used across campuses. Because of the careful shepherding of these resources, the College boasts one of the most advanced [computing infrastructures](#) at the University.

The Tax levy funding supports the majority of the IT staff who manage and maintain the campus IT infrastructure; the basic licensing and minimal vendor support plans that are required for the campus infrastructure, and limited equipment replacement and upgrades. The tax levy budgets have largely been stagnant or decreased in the last decade. The decreasing cost of equipment has largely offset the increasing cost of services, licensing, and support plans, enabling ITS to provide adequate support for a typical IT infrastructure lifecycle. Major capital equipment upgrades, such as the recent replacement of the campus phone switch, the replacement of power protection systems, and the continual upgrading of other network/server infrastructure are typically separately funded on an ad-hoc basis with appropriate justification and multi-year planning.

Student Technology Fee funding comes from technology fees paid by every student enrolled at the College, and it supports staff costs that are dedicated to managing and maintaining student-service IT resources, such as computer labs, student laptop loans, WIFI infrastructure, and in-class IT support. The continuing conversion of legacy classrooms and lecture halls into “smart” spaces, equipped to support digital instruction may also be funded through the Student Technology Fee. In addition, these funds support equipment replacement costs for IT facilities and resources dedicated to student use, such as computer labs, smart classrooms, and systems that add functionality/services for student convenience, such as queueing systems, student info displays, printing supplies, AV equipment replacement, and software licensing for tools used by students and in instruction.

The Student Technology Fee also provides support for technology to other areas of the College. It allows student computing equipment to be up-dated on a three-year replacement-cycle. The 3-4-year-old computers that are excessed from student computer labs are usually repurposed for employee use, helping to maintain 4-5-year staff/faculty replacement-cycle goals. Some Student Technology Fee funds are used annually to support grant proposals submitted by faculty, student organizations, and staff seeking to acquire or build new IT facilities, tools, or resources to enhance the student experience or to incubate instructional improvements. The expectation is that after incubation these projects will be funded by the College from its standard tax levy funds. The Tech Fee Advisory Committee, composed of four students, four faculty and four staff/administrators is the campus decision-making body for the allocation of Student Technology Fee Funds.

#### **6.4.4 Fiscal and Human Resources**

The President and her cabinet work to ensure that fiscal and human resources and the physical and technical infrastructure are adequate to support our operations fully. Despite the considerable budgetary challenges that face nearly all CUNY senior colleges, the College has the resources and staffing to meet its core mission and carry out its operations effectively and successfully. Both revenue and staffing compare favorably to other CUNY colleges (Appendix 6.E). The campus has the highest full-time faculty coverage among all senior colleges in the system (Appendix I.B).

Given the College’s place within a large, public university system, we have limited options to change our funding streams or our staffing. Raising tuition and fees, for instance, requires the approval of CUNY’s Board of Trustees, and tuition and fee variation across the CUNY colleges is either prohibited or frowned upon. Reducing staff or reassigning personnel to areas of critical need is difficult in a highly unionized environment. In some cases, legacy units on campus are staffed at

levels beyond current needs while at the same time, other areas struggle with significant understaffing. The diversity of account types in use across campus (e.g. tax levy, IFR, non-tax levy, Auxiliary Enterprises Corporation, BCF, and RF) further complicates efficient use of available funds. Another challenge is the frequent funding lag between the University's fiscal year and the disbursement of funds to the individual campuses (which can vary with the legislative cycle). Though the University operates on a July 1-June 30 fiscal cycle, in some years funding allocations have not been received until the early fall. As a result, the College and its units sometimes begin the new fiscal year with a budget amount that is based on historical data and not the actual allocation. Units then must sometimes delay making strategic funding decisions necessary to advance their needs and priorities. The Strategic Plan outlines a number of ways we are seeking additional funding (SP4.D.a, SP4.D.b, SP4.D.c).

The College has implemented a two-pronged approach to mitigate these fiscal challenges: (1) raise revenue through increased enrollment, and (2) increase the tuition collection rate. Academic Affairs, Enrollment Management, and Finance and Administration collaborate to set annual enrollment targets. The College, for instance, increased FTEs over 13% from fall 2008 to fall 2018. These planned increases have not impacted the College's ability to deliver its academic mission. Over the last 10 years the tuition collection rates have improved markedly, from the low 90% range to the high 90% range as part of our Tuition Collection Target 98.6 initiative (Appendix 6.F). Since each 1% increase translates into about \$1 million, this initiative ameliorated the College's fiscal condition.

Increases in enrollment and collections, however, have not been sufficient to cover all of the budget reductions. To generate savings, the College has frozen or paused hiring for many full-time administrative positions. The College reviews each position and strategically determines where there are such opportunities. While in most cases, restructuring and process re-engineering provided sufficient offsets to staffing, the reductions have limited the campus's ability to focus on new strategic initiatives. From fall 2013 to fall 2018, the College maintained its full-time faculty numbers. The growth in enrollments, increased adjunct faculty, and efficiencies in scheduling enabled the College to offer the courses students needed. Since temporary services (part-time staff) and OTPS receive limited allocations, reductions were not made in these categories of expenditure. As we move forward, the College will seek to generate revenue by expanding its grant activities, intensifying its fundraising, being more entrepreneurial, and initiating strategic program development.

## **6.5 Alternative Sources of Funding and Revenue**

In addition to tax levy funding, the College utilizes several other funds to support institutional activities:

### **6.5.1 Income Funds Reimbursable (IFR)**

IFR funds are considered state funds but, unlike the tax levy budget, are cash-based, revenue generating, self-sustaining accounts that exist for a distinct purpose. For example, the College collects materials fees as part of students' tuition bills. These fees are accounted for separately from regular tuition payments and are placed into an IFR account that has been purposed to

provide specific materials for a given area. IFR is also used to collect tuition from institutional partners and noncredit students for Adult and Continuing Education and for the technology fee. These funds cannot be transferred to a regular tax levy budget and are rolled over from year to year.

### **6.5.2 Non-Tax Levy**

Non-tax levy funds are generated through various means outside of regular tuition and state allocations. The College collects over \$3.5 million annually from student activity fees, which support the Student Center, Brooklyn College Association (which includes student government, student clubs, athletics and recreation, Health Clinic, and EMS) and the Early Childhood Center. Several other non-tax levy accounts exist, which are used by departments with revenue-generating abilities to support their programmatic needs. To enhance administrative efficiency and oversight, the staff who deal with non-tax and tax levy-budget and finance are consolidated. In fiscal year 2020, some non-tax levy transactional and budgetary processes will be migrated to CUNY first by the University.

### **6.5.3 Auxiliary Enterprise Corporation (AEC)**

The AEC is a self-supporting, revenue generating, not-for-profit corporation created and operated for the principal purpose of benefiting the students, faculty, staff, and other members of the community. The AEC provides auxiliary services including – but not limited to – food services, pouring rights, external rentals, ATMs, parking operations, and trademark licensing. Fiscal year 2018 revenue was about \$700,000.

### **6.5.4 Brooklyn College Foundation (BCF)**

The BCF is the private fundraising arm of the College. Funds are raised in the form of gifts from alumni and friends of the College, institutional grants, and earnings from both the endowment and other investments. The BCF has undergone various structural permutations. At present, it is a standalone, self-administered entity. Since FY 2006, BCF's net assets have risen by 79%, from \$51.7 million to \$92.4 million (close of FY 2018). Since FY 2007, the College has provided oversight of the Foundation's finances and managed its accounting operations. The College began managing its daily financial transactions and monitoring its budgets in FY 2015. The current Fundraising Plan can be found in Appendix 6.G.

### **6.5.5 CUNY Research Foundation (RF)**

The RF is a not-for-profit educational corporation with an “arms-length” relationship to CUNY. The RF manages private and government grants and contracts. In FY2018, 74 awards have provided \$9,140,184 to advance faculty research and student success programs at the College. To date, FY2019, first quarter has brought 45 awards totaling \$4,621,315 to the College. The RF maintains its own budgeting, reporting, and administrative processes, separate from those of the College. Indirect cost recoveries from funded projects through the RF typically generate between \$1.9 and \$2.5 million in funding that is used by the College to support and advance faculty

research and institutional priorities. Distribution of these funds is controlled by the College's senior administrators.

## **6.6 Improvements to Administrative Processes**

The following section provides in-depth examples of how the college improves its administrative processes. The examples underscore the roles of leadership, accountability, assessment, careful planning, broad stakeholder participation, teamwork, establishing metrics and targets, monitoring progress, using technology and reporting out play in the process.

### **6.6.1 College Facilities**

Our campus is one of the largest and oldest in the CUNY system, and its buildings vary in age and condition. Years of deferred maintenance have taken their toll, and preventative maintenance, in many cases, has fallen behind schedule. Consequently, the College has often struggled to fully maintain its infrastructure. It is unlikely that the College will be able to secure the funding to completely rebuild the entire infrastructure (currently estimated at \$940 million). Attention is therefore devoted to prioritizing needs and finding creative and effective strategies for addressing facilities challenges (SP4.E).

Facilities staffing levels are low because of reductions that have been made through attrition. The staffing variance between 2013 and 2018 is -15 (137 total full- and part-time staff in 2013; 122 in spring 2018). This is especially marked among custodial assistants (72 to 60).

In late spring 2018, the SVPFA, with the support of CUNY's central administration and the assistance of multiple working groups, embarked on an intensive 90-day effort to address the most critical facilities issues on campus. These included repairs to restroom facilities and a host of other general repair needs. The overall project was driven by the Facilities Success Team, with input and external guidance from an ad hoc committee of faculty, staff, and students. The project identified specific goals and outcomes, as well as metrics and a timeline.

The goal was to make significant and broad-based repairs. This required significant changes to the processes and procedures used by the Facilities unit. The effective management of tools and resources for maintenance and repair is supported by accurate record keeping, data collection and analysis, and rationalized planning. The process also sought to foreground the importance of this underlying knowledge, skill and ability set. Without this cognizance, any lasting change to the unit's practices would not occur.

Central to this was a concerted effort to improve and complete the data in the online facilities system (Archibus), with a focus on updating and correcting data and developing systems to streamline and facilitate use of the program. Changes were made to its internal workflow. New customized status messages for customers were created, and a scorecard to monitor progress and pending items was developed. This allowed for operational facilities staff to be more effectively deployed. The University is now migrating the College to a new web-based version of Archibus that provided enhanced functionality.

A comprehensive survey of needs was undertaken, and a 90-day initiative (the “90-Day Facilities Challenge”) took place from April to June. Additional resources were allocated through our Foundation to purchase additional supplies, temporary staff hired, and comprehensive repairs undertaken to address the most critical needs of the campus. Priority was also placed on communications, in order to keep the campus community informed about and engaged in the success of these efforts.

Over the 90-day period, the following successful outcomes were obtained: All 529 bathroom fixtures were repaired and 227 of the 228 of the general issues resolved (the one exception was a bathroom door in need of replacement; this occurred after the 90-day period): a success rate of 99.9%. The "BC Fix-it" was launched, and all custodial supervisors, plumbers, and carpenters were trained in its use. At the end of calendar year 2018, “BC Fix-it” was available to the campus community through the “BC Navigator” app. In order to capitalize on the momentum of the 90-Day Challenge, a plan was formulated to insure continued improvement.

An added benefit was that the project significantly improved the morale of the Facilities staff and provided concrete evidence to the entire College community that with appropriate strategies and collaboration, Brooklyn College can tackle and overcome challenges, even with insufficient budgets.

Surveys are being administered every semester to assess progress. The fall 2018 survey showed improvement in every survey item across student, faculty, and staff constituencies.

### **6.6.2 Improving the Procurement Department**

Procurement is a complex process at CUNY, necessitating adherence to and compliance with New York State guidelines and comprehensive legal review for contracts at CUNY’s Office of the General Counsel. To assess the actual performance, a system of daily data reporting was implemented in FY2015. This monitoring system has been continuously updated and refined, and currently consists of reports measuring a range of criteria, including buyer performance statistics; status of requisitions and purchase orders (by time and location in process), and reports on user errors and system glitches.

Examined diachronically, the data indicated the veracity of a range of issues connected to prioritization of workflow and processes. At the same time, the unit reported frequent and repeat errors in user requisitions; these are factors outside their control.

In November-December 2017, a survey was sent to the College community seeking feedback on the purchasing processes since prior user satisfaction information had been largely anecdotal. Analysis of the information collected confirmed that there was lack of clarity and understanding of the processes among end users. A corrective plan was implemented (SP4.B.a).

The unit was restructured internally so that more experienced employees were assigned to work on the complicated requisitions, while junior employees focused on requisitions that did not need to go to counsel or the state for review. The procurement card limit was also increased for some cardholders since the review process managed by the Compliance Office ensures the appropriate



use of procurement cards. A revamped training process for end users was developed and implemented in fall 2018. This initiative was coordinated with Human Resource Services to insure integration with their schedule of employee trainings, alignment with their larger processes and protocols for staff training and development, and correspondence with existing curricular training and format.

Finally, this effort has demonstrated that the static nature of the daily data reports lacks sufficient flexibility to help in resolving issues. The ever-growing array of reports undermined their original purpose; reviewing and acting upon the reports in-and-of-itself became a time-consuming process.

A new survey will be administered during February and March 2019 to assess end user satisfaction.

### **6.7 Annual Audits**

Brooklyn College's Compliance staff serves as liaison for the OMB Uniform Guidance (formally A-133) financial audit of the University. The Audit Liaison coordinates all departments involved in the collection of data and is responsible for responding to questions and requests from the University's auditors. The College is in compliance on all matters reviewed during this annual audit. Additionally, every three years the auditors perform a process review of administrative areas such as Human Resources, Budget, etc.

Independent audits of the Brooklyn College related entities are conducted annually on campus for the Auxiliary Enterprise Corporation, Brooklyn College Child Care Services, Brooklyn College Association and the Brooklyn College Student Center Services. In June of each year the University has a kickoff with the independent auditors and all the College's finance and accounting teams as part of the pre-planning process for each of the College's related entity audits. The Comptroller's Office serves as liaison for the external audit at Brooklyn College. The Comptroller's Office, the Business Office and the Office of Revenue Accounting are responsible for providing data requested by the independent auditors. The Brooklyn College Foundation's annual audit is conducted annually and is overseen by the Office of the Comptroller in conjunction with the Development Office of the Foundation. While the University selects the independent auditors for the related entities, the BCF's Audit and Finance Committee selects them for the Foundation. Financial statements and management letters are circulated to the Board of Directors of each entity for their review and approval. There are no concerns or matters reported by the external auditors and no follow-up required.

### **6.8 Recommendations Aligned with the College's Strategic Plan**

Based upon our analysis of Standard VI: Planning, Resources, and Institutional Improvement, we recommend the following:

- Because data collection and analyses are critical functions throughout the planning, budgeting and assessment processes, more attention needs to be given to prioritizing requests across the campus so that the offices that conduct the analyses and do the reporting can manage the processes effectively (SP4).

- While the Working Group found a great interest in getting data, the generated reports did not always match the need. More attention needs to focus on end user needs with regard to purpose, the analysis of the data, and its presentation in reporting to optimally guide use (SP4.A.a).



**New York City College Of Technology**  
of the City University of New York

# Self-Study

FOR THE

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## Middle States Commission on Higher Education

January 2018

## Standard VI: Planning, Resources, and Institutional Improvement

*The institution's planning processes, resources, and structures are aligned with each other and are sufficient to fulfill our mission and goals, to continuously assess and improve our programs and services, and to respond effectively to opportunities and challenges.*

**Current Snapshot:** City Tech's overarching institutional priorities over the past decade have been:

- To increase the number, quality, and diversity of full time tenure track faculty;
- To strengthen the physical and technological infrastructure by addressing deferred maintenance and institutional growth; and
- To ensure that technological and curricular resources are adequate to the academic needs of baccalaureate programs in new and rapidly developing fields.

The college has aligned and synchronized its planning processes with resource allocation processes at institutional and unit levels so that despite vicissitudes of public funding the college has been able to focus clearly on these priorities. These planning and resource allocation processes are transparent and inclusive; they have engaged broad participation among key sectors of the college community. The number of full-time faculty has grown from 304 in 2006 to 404 in 2017, a 33% increase over a decade. Major indicators of infrastructure investment include the creation of a major new academic building planned to open in 2018 and a major refurbishment of both the façade and interior of the Voorhees Building, which houses the majority of the departments in the School of Technology and Design. Finally, the transition of the college to a baccalaureate institution has entailed the creation of eleven new baccalaureate programs to date with requisite academic resources; five additional new programs are also in development. The priorities align directly with CUNY's Performance Management Process (PMP) goals, selected college focus goals, and institutional strategic planning goals as detailed in [Standard I](#).<sup>25</sup>

**Criterion 1. Institutional objectives, both institution-wide and for individual units, that are clearly stated, assessed appropriately, linked to mission and goal achievement, reflect conclusions drawn from assessment results, and are used for planning and resource allocation;**

As explained in Standard I, City Tech's mission is deeply embedded in CUNY's academic mission. The attainment of the college's goals and objectives is assessed annually in the PMP, which itself derives from the CUNY Master Plan. The PMP measures institutional effectiveness in three performance domains: academic quality, student success, and fiscal and managerial effectiveness. These correspond to the administrative structure of City Tech in which responsibility and accountability are vested in a vice president for each of these domains. The PMP reflects the annual goals and objectives set by senior level administrators in collaboration with academic deans, department chairs, faculty, and various unit directors for the areas they oversee. These key stakeholders are evaluated annually to review progress and prioritize new goals and objectives for the coming year. City Tech reports to the university the results for each PMP objective [[PMP Target Report - NYCCT 2015-2016](#)], and progress towards each performance target is assessed and benchmarked against peer CUNY colleges. The college also provides a narrative Overview of University and Sector Goals [[Year-End Progress Report - NYCCT, 2014-2015 College Focus Goals Report](#)]. The president meets with the chancellor to review annual progress and identify areas to be emphasized in the coming year. The University Data Books show

25. Requirement of Affiliation 10 – Institutional planning integrates goals for academic and institutional effectiveness and improvement.

trends in performance indicators by college. Results for 2016-2017 and earlier are available via the link [Performance Management](#) and on [City Tech's AIR Performance Management page](#). [[2011-2012 PMP Report](#), [2012-2013 PMP Report](#), [2013-2014 PMP Report](#), [2014-2015 PMP Report](#), [2015-2016 PMP Report](#), [2016-2017 PMP Report](#)].<sup>26</sup> College focus goals were added to the PMP in 2014 as a means of enabling individual college presidents to determine specific foci in collaboration with their respective college communities within their particular institutional context.

City Tech's Strategic Plan reflects the goals and objectives of the process by which it was created. The plan aligns resource allocation with strategic goals and is guided by the college mission statement, PMP Goals and Targets, and College Council deliberations.<sup>27</sup>

## **Criterion 2. Planning processes are documented, communicated, provide for constituent participation, and guided by assessment;**

Academic planning is discussed at length in Standards III, [Criteria 1](#) and [5](#). Enrollment management planning involves continuous monitoring of data and communications with academic departments to adjust courses and sections offered, and to maximize space usage [[2018-2019 Enrollment Projection](#), [FY2018 2020 Financial Projection](#)]. Planning for fiscal and managerial operations likewise follows processes that are bottom up and top down. The CUNY PMP and annual college planning processes described in [Criterion 1](#) above, and in [Standard I](#), ensure that academic departments and administrative units participate in developing strategic priorities for the allocation of resources. The processes involve gathering input from faculty, students, administration, and staff to identify priorities for operational expenditures and capital projects.

The college also gathers data and input from constituents with regular local, university, and national survey instruments, including CUNY Student Experience Surveys and the Collaborative on Academic Careers in Higher Education (COACHE) faculty satisfaction survey. Longitudinal data evaluating faculty assessment of all aspects the nature of their work is tracked and used for improvement. The COACHE Provost's Report is posted on the Faculty Commons AIR website [[COACHE Provosts Report 2015](#)].

Some examples of constituent participation include:

- The allocation of the student technology fee (described in Criterion 3 below) by a representative committee that includes student members;
- Consultation over the last two years with academic departments moving to the new building to ensure the learning environments are appropriate; and
- Consultation with department faculty and staff during the planning processes for recent major facilities projects, for example, for the Departments of Architectural Technology, Communication Design, Construction Management and Civil Engineering Technology, and Physics.

See [Standard III, Criterion 4](#) for details and further examples of new or modified instructional spaces, technology infrastructure, and specialized labs that have resulted from consultations with academic program faculty and staff.

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

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

### Criterion 3. Financial planning is aligned with mission, goals, and objectives;<sup>28</sup>

City Tech receives an operating budget from CUNY Central, which receives funding from New York State and New York City and collects tuition revenues from all colleges. The CUNY Central budget allocation takes into account student enrollment, personnel obligations, maintenance and service contracts, and operational needs [[CUNY-Operating-Budget-Overview](#); [CUNY-2017-2018-Budget-Request](#); [Budget & Finance – CUNY](#)]. Based on the budget allocations, financial plans are developed [[Financial Report Summary 2012-2015](#), [Financial Report Summary 2015-2016](#)]. The academic departments via the school deans and unit directors participate in the financial planning process by submitting budget requests and additional requests with a rationale. Additionally, the college requests capital funding through a CUNY process, and receives capital funds from the state, city council and the Brooklyn Borough President’s Office [[5-Year+Reso-A Capital Requests CityTech 2017](#), [Analysis of Available City Funding 5.20.16](#), [CUNY-Capital-Budget-FY-2017-2018 through 2021-2022](#), [CUNY Capital Budget fy 2016-2017](#)].<sup>29</sup> External grants provide additional funding for institutional initiatives and individual faculty research [[Grant Year-End Summary 2016](#), [OSP Annual Statistics](#)].

A provision of Governor Cuomo’s 2015 Opportunity Agenda allocated \$12 million of the state’s total appropriation to CUNY’s senior colleges for the submission of institutional performance improvement plans designed to advance state and university priorities regarding student academic success, expanding access, progression and degree completion, online education, use of digital technology for instruction and academic support, research, and workforce preparation and employer engagement. In October 2015, CUNY’s Board of Trustees approved a performance-funding program, the CUNY Strategic Investment Initiative, to allocate the state’s \$12 million to CUNY colleges for projects initiated or expanded during the 2015–2016 academic year. The Strategic Investment Initiative and CUNY’s longstanding PMP process (described in [Criterion 1](#) above) are aligned to incentivize colleges to advance state and university priorities [[CUNY Master Plan 2016-2020](#), page 115].

All students at CUNY campuses pay a technology fee (Tech Fee) to fund technology equipment, software licenses, and related expenditures to ensure access to necessary up-to-date technology in support of academic objectives. Except for an assessment to support university-wide initiatives, revenues from Tech Fee are retained by the colleges. The Board of Trustees mandates that the Tech Fees be used in a timely manner to benefit current students college-wide. The Tech Fee Committee, with members from across the college evaluates requests from departments and schools [[Student Technology Fee Plan 2016-2017](#), [Student Technology Fee Plan 2017-2018](#), [CUNY Tech Fee Policy](#)].

CUNY directs the budgeting process. City Tech’s operating funds available from the state have not increased at a proportional pace with mandated costs, such as salaries and benefits, which have increased consistently. It is a persistent challenge to continually engage policy makers and funders, to exhaust the possibilities of a dwindling budget, and identify new financial resources and grant opportunities to meet the needs of City Tech students. Nonetheless, through careful planning, City Tech has continued to operate efficiently with conservative annual and long-range budget planning, to maintain a financial plan focused on student success, and utilize tax-levy funds in a cautious manner [[Financial Report Summary 2012-2015](#), [Financial Report Summary 2015-2016](#), [FY2018 4-year FINANCIAL PLAN](#)]. As noted in the president’s 2015-2016 self-assessment, “the college maintained an academically-

28. Requirement of Affiliation 11 – The institution has documented financial resources, funding base, and plans for financial development... adequate to support its educational purposes and programs and to ensure financial stability.

29. Requirement of Affiliation 11 – The institution has documented financial resources, funding base, and plans for financial development, including those from any related entities.

focused financial plan, improved productivity, and continued to limit the amount of tax-levy funds expended on administration” [\[2015-2016 Self-Assessment - NYCCT\]](#).

#### **Criterion 4. Fiscal, human, physical and technical resources are adequate to support operations;**

**Adequacy of Fiscal Resources.** [See Criterion 3](#), above.

**Adequacy of Human Resources.** In spite of financial constraints and challenges the administration has balanced significant enrollment increases and aligned the hiring of new faculty while developing new bachelor’s programs to fulfill the college mission and meet growing workforce demands. Among the CUNY colleges, City Tech has maintained the distinction of allocating the highest percentage of operating budget directly to students, and operates with the lowest administrative costs as measured by the ratio of students to HEOs (Higher Education Officers) in the university [\[2015-2016 Self-Assessment - NYCCT\]](#). Hiring at the college is highly competitive and all administrators are hired according to well-established procedures [\[Search Process Flowchart, Roles and Responsibilities in the Search Process, Changes to Hiring Process\]](#). Accordingly, administrators have the credentials and experience required to achieve the college’s mission. City Tech has consistently prioritized the hiring of a diverse and highly qualified full-time faculty, successfully filling 32 positions in 2014-2015 and 29 in 2015-2016. An agreement between the university and the union to bring the teaching load at City Tech into alignment with the other senior colleges in the system was implemented in the 2014-2015 academic year, reducing the full-time faculty teaching workload from 24 to 21 hours. In 2016 CUNY and the Professional Staff Congress (PSC, CUNY’s largest union) agreed on a new contract providing ten percent retroactive salary increases, increased benefits and a signing bonus for faculty and professional staff. In continuation of prior contracts, new full-time tenure-track faculty are supported with 24 workload hours of reassigned time for research at full pay during their first five years of re-appointment.

#### Challenges and Opportunities Related to Human Resources:

With limited resources City Tech is challenged to improve the ratio of full-time faculty delivering instruction which currently sits at 40.8% [\[2015-2016 PMP Report, p 2\]](#). In recent years the university’s annual PMP has included targets for incremental increases, but City Tech’s significant faculty hiring has not outpaced steady growth in enrollment and programs, contractual workload reductions, and reassignment of faculty both for departmental administration and grant-supported projects. Fortunately, the college’s major metropolitan location grants access to a large and highly qualified pool of part-time faculty, many of whom work in the related fields and add significant talent and experience to the programs for the benefit of our students.

**Adequacy of Facilities.** Overview of campus facilities, space allocation, and campus maps can be found in [\[CUNY Campus Statistics 2016, City Tech Map, 5-Year+Reso-A Capital Requests CityTech 2017\]](#). Focused efforts at procuring capital projects have successfully supported the implementation of more than \$615 million over the past 10 years for catching up on deferred maintenance, renovations, and new construction at the college. A recent overview of major projects is provided in [Status of Major Projects NYCCT January 2016](#). Looking ahead, the college community anticipates the opening of the new academic building in 2018, with over 355,000 square feet of classrooms, laboratories, faculty offices, and public spaces that include a theater and a gymnasium. The construction of the new academic building will maximize physical space and support further program development. City Tech has completed numerous physical and technical infrastructure projects in accord with City Tech’s annual goals and

targets, and communicates the status of ongoing projects to the college community through the Office of Computing Information Services and Administration and Finance newsletters [[Administration and Finance Newsletters 2012-2017](#)].<sup>30</sup>

#### Challenges and Opportunities Related to Facilities Management:

- Efforts are underway to secure capital funds needed for the design and renovation of the Pearl Building, which to date includes a \$7.5 million allocation from the New York City Council [[5-Year+Reso-A Capital Requests CityTech 2016](#), [5-Year+Reso-A Capital Requests CityTech 2017](#)].<sup>31</sup> This project provides the opportunity to repurpose and restructure existing space with input from stakeholders. The facility will be vacated in 2017-2018 by programs being relocated to the new academic building;
- The challenges of lean state budgets and the space constraints of our physical location will likely persist. To continue to fulfill City Tech's mission of "broad access to high quality technological and professional education," we must explore options for expanded modalities, including partnerships to provide hybrid, online, and off-site instruction and experiential learning opportunities.

**Adequacy of Technology Resources.** Technological resources are essential to achieving the mission and goals of the institution, and the college has made tremendous strides toward an efficient IT structure.

#### Upgrades to instructional technology and IT resources are continuous and ongoing:

- All campus classrooms have been equipped with instructor workstations with presentation technology (approximately 205 classrooms);
- Three years ago the college added a second Technology Enhancement Center; each of the two centers provides more than 75 computers for general student use [[G600 and G608 Student Survey Spring 2017](#), [V217 Student Survey Spring 2017](#)];
- There are approximately 91 instructional computer labs throughout the college, with an average of three to five labs created annually;
- Recent enhancements to IT resources include: bulk software licensing by CUNY for products utilized by all campuses; implementation of mobile apps for student access to CUNYfirst; and upgrades and module implementations for enterprise-wide systems for course management; and
- Implementation of a newly redesigned, intuitive, and mobile-friendly college website is providing a more effective means of communication for the college community and external constituents.<sup>32</sup> Migration to a new network was implemented in November 2016 [[OCIS Newsletter Spring 2017](#), [Strategic Technology Initiatives Spreadsheet](#)].

#### Challenges and Opportunities Related to Technology Resources:

- Available capital funding provides opportunities to pursue needed IT and infrastructure initiatives;
- Collaboration with CUNY's Office of Computing and Information Services to pursue IT projects and software licensing will continue to provide economy-of-scale cost-savings; and
- Implementation of Resource 25 scheduling software will facilitate space assignments in order to maximize efficient use of classroom and general-purpose spaces campus-wide.

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30. Requirement of Affiliation 10 – The institution systematically evaluates its...other programs and makes public how well and in what ways it is accomplishing its purposes.

31. Requirement of Affiliation 11 – The institution has documented financial resources, funding base, and plans for financial development, including those from any related entities.

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



## **Criterion 5. Well-defined decision-making processes and clear assignment of responsibility and accountability;**

City Tech is one of 11 senior colleges, seven community colleges and four graduate or professional schools in the City University of New York. As outlined in Section 6204 of the New York Education Law, CUNY has a governing board of 17 trustees, with 10 members appointed by the Governor and five appointed by the Mayor of New York City with the advice and consent of the New York State Senate. The CUNY Board of Trustees (BOT) has oversight over all branches of CUNY and is responsible for governing and administering all constituent colleges. [[Bylaws CUNY Board of Trustees](#), [CUNY Board of Trustees Handbook](#), [Minutes of Board of Trustees Meetings](#)].

The BOT Bylaws outline the authority and duties of the chancellor, president, and deans, department chairs, and faculty at the individual colleges. The Chancellor is appointed by the BOT and serves as the chief executive, educational and administrative officer. The president of each college is appointed by the BOT upon recommendation of the Chancellor and has full authority over all matters of the college. The president of the college is an “advisor and executive agent of the chancellor ... with full discretionary power to carry into effect the bylaws, resolutions, and policies of the board, the lawful resolutions of any board committees, and policies, programs, and lawful resolutions of the several faculties and students where appropriate.” City Tech’s president identifies and implements institutional plans, staffs the organization, allocates resources, and directs the institution toward attaining the goals and objectives set forth in its mission, including the expansion and modernization of the physical structure of the college, the creation of partnerships that benefit the organization, the expansion of faculty lines, and increased emphasis on scholarly work. [[Bylaws CUNY Board of Trustees](#), Section 11.4; [BOT Manual of General Policy 5.05](#)].

City Tech’s three vice presidents (Provost and VP for Academic Affairs, VP for Enrollment Management and Student Affairs, and VP for Administration and Finance), the special counsel, and the executive director of the Office of Faculty and Staff Relations, report directly to the president. The reporting structures under the three vice presidents are represented in the organizational charts [[Organizational Chart NYCCT](#), [Organizational Chart Office of the President](#), [Organizational Chart Academic Affairs](#), [Organizational Chart Enrollment Management and Student Affairs](#), [Organizational Chart Administration and Finance](#)]. There is no college board of trustees .

The Personnel and Budget Committee (P&B) is chaired by the president and meets at least monthly during the academic year. The president provides fiscal updates at most meetings. In accordance with the BOT Bylaws, the college Personnel and Budget (P&B) Committee makes recommendations to the president regarding the appointment, tenure, and promotion of academic personnel following recommendations made at the department level. The P&B consists of 30 voting members—the chairs of the 28 departments (which includes the library and Students Affairs plus 26 academic departments), the provost and the dean of Continuing Education. The executive director of the Office of Faculty and Staff Relations (OFSR) and Labor Designee serves as secretary to the committee. Minutes of P&B meetings are available in the OFSR.

Section 8.11 in Article VIII of the BOT Bylaws addresses the power of individual colleges to establish their own governance plans. College Council establishes college policy on all matters except for those specifically reserved by the BOT Bylaws, state laws or collective bargaining agreements. City Tech’s governance plan outlines the constitution of College Council, departmental elections, and administrative accountability [[City Tech Governance Plan](#)]. College Council membership includes ex officio members

with voting rights (e.g., president, provost, all vice presidents, deans), chairs from each instructional department, and voting unit (including college laboratory technicians and higher education officer series), and elected delegates-at-large and student delegates. The governance plan outlines the power and duties of College Council's officers and areas of responsibility of its seven advisory committees: Budget, Building and Grounds, Curriculum, Legislative, Personnel, Students, and Technology. These Standing Committees meet once a month for deliberation and report at the monthly general meetings of the College Council.

The College Council Curriculum Committee evaluates curriculum, including the review of proposals to develop and/or modify curricula, and to formulate curriculum policy, after development and approval at the departmental level and sign-off by the dean. All new programs undergo another level of review at CUNY Office of Academic Affairs before receiving approval from New York State. CUNY and state guidelines require proposals to demonstrate that new programs meet workforce needs and are fiscally viable [[College Council Curriculum Committee](#)]. The Buildings and Grounds Committee is collaborating with the Technology Committee to produce new models of classroom design that incorporate general education principles. The Budget Committee is "responsible for recommendation, review and evaluation of policy relating to the financial planning, budget allocations, the use of allocated funds and long-term planning of the college" [[City Tech Governance Plan](#), Article V. D. 10].<sup>33</sup> The vice president for administration and finance is in attendance at the Budget Committee regularly. The committee is required to produce a report to College Council every academic year. The president also attends the monthly College Council general meetings and reports on matters of budget and administration, with opportunity for questions and responses from those in attendance.

Vice presidents, deans, other Executive Compensation Plan (ECP) administrators who oversee units, academic department chairs, Higher Education Officers (HEOs), and non-instructional professionals are evaluated regularly and systematically by their supervisors. Quantitative and qualitative goals and targets are submitted annually by administrators, deans, and department chairs; outcomes are reviewed at the end of the year and become a part of the record in the annual evaluation process<sup>34</sup> ([See Standard I, Criterion 4](#)).

Decision-making at City Tech is shaped by influential groups that include the president's cabinet, Personnel and Budget (P&B), departmental governance, College Council, and Student Government. The decision-making and organizational structures at City Tech are clearly delineated with defined reporting relationships, performance assessment, and accountability. College executive, administrative, and academic management is evaluated on annual goals and targets for their respective areas.

### **Criterion 6. Planning for facilities, infrastructure, and technology includes consideration of sustainability and deferred maintenance, and is linked to strategic and financial planning processes;**

CUNY develops an annual capital budget five-year request, which takes about six months to develop, beginning in April after the state budget ends. Meetings are held with senior staff at every college to discuss the progress of the existing construction projects, priorities, costs, and procurement. Over the summer, the facilities planning, construction and management staff refines details of projects, incorporates the results of state and city budgets, and updates scopes and costs. The college presidents

33. Requirement of Affiliation 11 – The institution demonstrates a record of responsible fiscal management, has a prepared budget for the current year

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

then approve their college programs and priorities, which are presented to the CUNY Board of Trustees in October [[CUNY Master Plan 2016-2020](#), page 106-7; [5-Year+Reso-A Capital Requests CityTech 2017; CUNY-Capital-Budget-FY-2017-2018 through 2021-2022](#)].<sup>35</sup> The individual colleges produce four-year financial plans with projected operating resources and expenditures that provide a roadmap for fiscal sustainability [[FY2018 4-year FINANCIAL PLAN](#)].

Catching up on deferred maintenance has been a major focus of capital planning at City Tech over the past decade [[Administration and Finance Newsletters 2012-2017](#), [Status of Major Projects NYCCT January 2016](#), [NYC Funding](#)]. City Tech continues to prioritize projects to address decades of deferred maintenance, including:

- The conversion of ill-utilized space to useful spaces and much needed classrooms: \$1,950,000
- Namm Building elevator replacement: \$2,900,000
- Voorhees Building elevator replacement: \$2,200,000
- Atrium Building elevator replacement: \$700,000
- New central plant serving the existing main campus complex and designed to also serve the new academic building currently in construction: \$70,000,000
- Renovation of Voorhees Building façade: \$38,000,000
- Renovation of the lobby, corridors, cafeteria and student lounge in the Voorhees Building: \$7,000,000
- Renovation of portion of the Pearl building to provide upgraded spaces for Communications Design programs: \$14,200,000
- Enhancements and upgrades in security systems: \$1,400,000
- Namm Building bathroom renovations to achieve ADA compliance and with modern and efficient equipment: \$4,500,000
- Implementation of a new e-mail system as a result of stakeholder needs for more flexibility in technology services and mobile devices
- Namm fire pump replacement: \$120,000
- Namm replacement of heat exchangers: \$495,000
- Namm roof and plaza replacement: \$2,600,000
- Atrium lighting upgrades: \$700,000
- Upgrades of Hospitality and Culinary Arts facilities: \$750,000
- Namm Building Complex Fire Alarm system upgrade: \$500,000
- Welcome Center: \$1,300,000
- Namm Hall Façade renovation: \$11,000,000
- Namm Hall kitchen and cafeteria renovation: \$1,500,000
- College Bookstore: \$800,000
- Accommodation for accessibility in the design of all new construction and renovation projects in accordance to the guidelines set by the Americans with Disabilities Act (Namm restrooms, new entrance to the Namm complex, new entrance to Voorhees Building)

The colleges and CUNY collaborate on technology initiatives needed for achieving strategic objectives. Such is evidenced in the University Technology Initiatives plan. Colleges and CUNY Central IT plan and facilitate university-wide initiatives through the IT Steering Committee, which is composed of college Chief Information Officer (CIO), University CIO, and faculty and academic representatives. The college Office of Computing Information Services (OCIS) constructs annual goals and targets for planning college-wide technology

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35. Requirement of Affiliation 11 – The institution has documented financial resources, funding base, and plans for financial development, including those from any related entities (including without limitation systems, religious sponsorship, and corporate ownership) adequate to support its educational purposes and programs and to ensure financial stability.

projects, upgrades, and maintenance based on input from the College Council Technology Committee and from the provost's Council on Academic Affairs. The implementation of a new email system, rescheduling of email password expirations and system maintenance, and goal-setting for a separate network that allows flexibility in teaching and research isolated from the secure campus network, virtual desktops and off-campus software access have resulted from user needs assessments.<sup>36</sup> [[CIS Goals Targets 2016-2017](#)]

CUNY Central IT collaborates with the colleges to assess needs for university-wide procurement contracts, maintenance contracts and software licensing. Examples include, but are not limited to the university-wide CISCO maintenance contract, Microsoft Software licensing and Internet Service provider contracts. A number of college-specific IT-related and facilities-related maintenance and equipment contracts promote cost-saving. Examples include college elevators, fire alarms, and other equipment utilized in academic programs such as radiologic technology mammography systems.

CUNY has taken a number of steps to improve the security of its data systems and to protect against disasters, including establishing information security forums, improving incident reporting and tracking of compliance, disseminating alerts and advisories, revising a security awareness-training module, implementing anti-phishing technology, applying more rigorous security architecture reviews, and coordinating centralized acquisition of security protections and services. CUNY also designed and launched a comprehensive program to bring professional best practices and a standardized approach to business continuity and disaster recovery (BCDR) planning university-wide [[CUNY Master Plan 2016-2020](#), page 113, [CUNY Information Security Policies and Procedures](#)]. The college's OCIS maintains a comprehensive BCDR plan. Critically identified data is replicated off-site. Colleges are working with university IT to build a more robust BCDR plan whereby colleges can replicate to university datacenters for business continuity purposes. CUNY is planning to deploy hybrid cloud services to improve IT service delivery efficiency and disaster preparedness across the university. Design is complete for a new state-of-the-art university data center with capacity for expansion and to offer disaster recovery computing environments to the colleges. CUNY will complete the new data center, migrate applications and operations, and go live by 2018 [[CUNY Master Plan 2016-2020](#), page 112].

City Tech maintains an [Emergency Response Plan](#), an [Emergency Response Guide](#), and various emergency and evacuation information resources available on the [Public Safety](#) webpages, including information how to react in an [active shooter scenario](#). All faculty and staff at CUNY are required to participate in an annual workplace violence prevention training program [[CUNY Policy Campus and Workplace Violence Prevention](#), [Fire Safety Director Maintenance Schedule](#)].

DASNY (the Dormitory Authority of the State of New York) and CUNY Central collaborate frequently to review facilities projects and university-wide technology initiatives. Opportunities exist through the continued development of university-wide maintenance agreements for similar equipment/services to minimize costs and ensure that preventative maintenance is a top priority. Planning is linked to strategic goals through the university PMP and goal-setting and resource request processes at the college and university levels.

## **Criterion 7. Annual independent audit confirms financial viability with evidence of follow-up on any concerns;**

Audits are conducted externally and internally. CUNY also conducts audits on a yearly basis. Additionally, all auxiliary entities are audited by an external auditor. There were no concerns reported and no follow-

36. Requirement of Affiliation 10 – Institutional planning integrates...the results of academic and institutional assessments

up required. [[KPMG Basic Financial Statements June 2015](#), [Auxiliary Enterprise Board of NYCCT FY16, AEB MINUTES JAN 28 2016](#), [AEB MINUTES MAY 19 2016](#), [AEB Bylaws NYCCT](#), [Auxiliary Enterprise Corp and Boards CUNY Guidelines](#), [City Tech Foundation Bylaws](#), [College Association Financial Statements](#)]. These audited financial statements<sup>37</sup> are submitted to MSCHE through the MSCHE annual reporting.

The **CUNY Research Foundation (RFCUNY)**, a 501(c)(3) organization, serves as the fiscal agent for all governmental grants awarded to City Tech and for all grants from private sources that support personnel costs. Awards under RFCUNY management for all CUNY institutions exceed \$400M annually. RFCUNY issues a consolidated financial statement each July, audited by KPMG LLP.<sup>38</sup>

### **Criterion 8. Strategies are in place to measure and assess the adequacy and efficient utilization of resources;**

City Tech is continually measuring the adequacy of the institution through the utilization of the City Tech Strategic Plan, 2014 – 2019, annual goals and targets processes, and assuring goals and objectives are supported and realized through surveys and reports. The annual CUNY Performance Management Process allows for linking planning and goals initiated by the university to be integrated by City Tech and then assessed. The CUNY Performance Management Process (PMP), as described in [Criterion 1 above](#), has provided a sustainable measurement tool to improve effectiveness and transparency. CUNY PMP data are analyzed and evaluated. The college then addresses shortcomings formally in the next year's goals and targets, reviews progress, and adopts and implements improvement strategies.<sup>39</sup>

In addition to the PMP data, local assessments are fully available and easily accessible with successful participation rates on [AIR website](#) [[AIR Surveys](#)]. Internal assessment surveys support the rigorous internal review by City Tech to assure transparency and compliance with planning and resource allocation. The COACHE Survey is a critical feedback tool on faculty satisfaction utilized by the college's administration and further evaluated by focus groups led by the Provost.

### **Criterion 9. Effectiveness of planning, resource allocation, and institutional renewal processes are periodically assessed.**

Senior level administrators, including the vice presidents and deans set annual goals and objectives for the areas they oversee and, at the end of the year, meet with the president to review progress and prioritize new goals and objectives for the coming year. Goals are linked to measurable targets that can be evaluated based on data provided by the annual university PMP reports. Likewise, directors of administrative units and academic departments set annual goals and assess their achievement and evaluate their progress with the president and provost. [[Performance Goals and Targets 2015-2016](#), [Performance Goals and Targets 2015-2016 for CUNY Executives](#), [CIS Goals Targets 2016-2017](#)]. In this way, each office operates in the context of clearly stated goals for which there exist transparent assessment measures [[See Standard I](#) for details].

37. Requirement of Affiliation 11 – The institution demonstrates a record of responsible fiscal management, has a prepared budget for the current year, and undergoes an external financial audit on an annual basis.

38. Requirement of Affiliation 11 – The institution...undergoes an external financial audit on an annual basis.

39. Requirement of Affiliation 8 – The institution systematically evaluates its educational and other programs

The CUNY Performance Management Process (PMP) links planning and goal setting by the university and its colleges and professional schools, measures annual progress towards key goals, such as raising academic quality, improving student success, and enhancing financial and management effectiveness. For each goal, the university articulates objectives with representative indicators, and the college identifies specific targets each year. At the end of the year, City Tech reports to the university the results for each objective. Progress towards each performance target is assessed and the president meets with the Chancellor to review the college's progress and identify areas to be emphasized in the coming year [[PMP Target Report - NYCCT 2015-2016](#), [Year-End Progress Report - NYCCT](#)].

**Conclusion and Future Focus:** City Tech has a tripartite organization with a vice president for each institutional function: academics, student life and development, and budget, finance, planning, and facilities ([See organizational charts in Criterion 5](#), above). These three vice presidents are responsible for the management and oversight of their respective areas and report directly to the president. The CUNY PMP assesses university-wide goal attainment by which each college president is evaluated annually. The PMP uses the principles of continuous improvement management to help advance each CUNY college along a comprehensive set of benchmarks of institutional effectiveness. At City Tech, the three major organizational domains are at varying levels of assessment implementation. In the academic sphere, the measurement of student learning outcomes is driven by faculty under the guidance of the Office of Assessment and Institutional Research (AIR) and governed by Middle States and specialized accreditation agencies for particular programs ([See Standard V](#)). Assessment in the academic domain is highly developed. Increasingly, assessment of the effectiveness of enrollment management and student support resources and initiatives is being integrated with college-wide academic assessment activities so that major institutional indicators such as retention and graduation reflect not only academic assessment but a more holistic incorporation of non-academic aspects of the student experience. This integration of student support assessment with academic assessment will continue to expand. The assessment of operational and managerial functions for non-academic units including budget, finance, planning, and facilities is required by the PMP, which also uses a continuous improvement model to measure institutional effectiveness against CUNY-wide benchmarks for non-academic functions. While benchmarking the effectiveness of these functions against other CUNY colleges reveals excellence in indicators such as percentage of the institutional budget spent directly on students, an effort will be made to make the assessment process more transparent and widely understood.

#### **Recommendation 4:**

***Refine our facilities and technology master plans to take advantage of new opportunities.  
(Standard VI and III)***

Optimize opportunities created by the new academic building, including space made available by the relocation of programs from the Pearl Building. To this end, the college will:

- Engage stakeholders in a cross-institutional review of facilities and technology plans in order to empower the college to fulfill its mission into the future: to attract external partners; to remain nimble and responsive to workforce needs; to support course availability and new modalities of instruction; to leverage technology for intellectual exchange and collaboration in an increasingly commuter context; and to cultivate a positive and cohesive institutional identity; and
- To respond to the increasingly interdisciplinary context for our programs, make resource sharing and collaboration a primary consideration.



## **University at Buffalo**

*Framework for Excellence*

*A Self-Study Submitted to the  
Middle States Commission on Higher Education*

*February 2014*

*Publication Date: 2/1/2014*

# Chapter two

## Building a Foundation for Excellence: Strategic Planning, Resource Allocation and Institutional Renewal

*Addresses Standards 2, 3 and 7*

### Standard 2 - Planning, Resource Allocation, and Institutional Renewal

An institution conducts ongoing planning and resource allocation based on its mission and goals, develops objectives to achieve them, and utilizes the results of its assessment activities for institutional renewal. Implementation and subsequent evaluation of the success of the strategic plan and resource allocation support the development and change necessary to improve and to maintain institutional quality.

### Standard 3 - Institutional Resources

The human, financial, technical, facilities, and other resources necessary to achieve an institution's mission and goals are available and accessible. In the context of the institution's mission, the effective and efficient uses of the institution's resources are analyzed as part of ongoing outcomes assessment.

### Standard 7 - Institutional Effectiveness

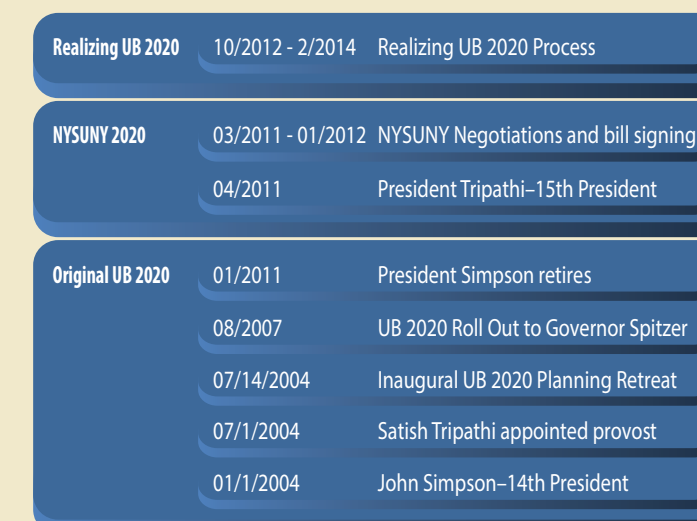
The institution has developed and implemented an assessment process that evaluates its overall effectiveness in achieving its mission and goals and its compliance with accreditation standards.



### Strategic Planning at UB — The UB 2020 Story

On January 1, 2004, John B. Simpson was appointed as UB's 14th president, and he selected Satish K. Tripathi as provost on July 1, 2004. The new leadership team saw an immediate need to assess the university's strengths, weaknesses and capacities for improvement. By September 2004, they had launched the initial phase of the UB 2020 strategic planning process. This chapter tells the story of the origins and evolution of UB 2020 and the projected impact of the plan on the next 10 years.

The UB 2020 timeline is presented in Figure 2.1. From September 2004 through 2007, the university completed its internal self-assessment and conceived the vision, goals and priorities of the UB 2020 plan. In 2007, UB introduced the plan to its supporters, SUNY and New York State government leaders. For three years, UB made proposal after proposal for the resources and authority to implement the plan. This advocacy effort galvanized public support in Western New York. However, because of the fiscal crisis of 2008 and the instability in leadership at the state-level, UB's proposals went unaddressed until 2011. In the first months of 2011, Satish K. Tripathi became UB's 15th president and, together with SUNY Chancellor Nancy Zimpher, led negotiations with newly elected Governor Andrew Cuomo leading to the passage of the NYSUNY 2020 legislation. In the time since NYSUNY 2020 became law, President Tripathi and new Provost Charles F. Zukoski have directed the campus effort to implement the next phase of UB 2020, known as Realizing UB 2020.

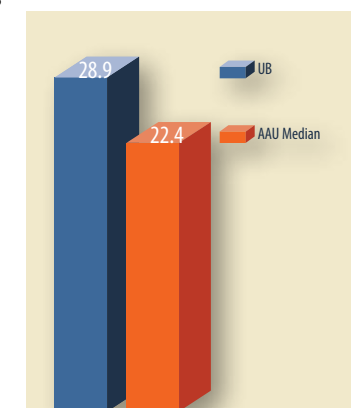


**Figure 2.1**  
UB 2020 Timeline

### UB 2020 — The Beginning

UB 2020 began with a process of self-assessment that examined faculty strength within and across disciplines, reviewed how the university allocated resources and the impact of those investments, inventoried facility condition and space utilization around the campus, and compared university performance, staffing, revenues and expenditures with those of peer AAU universities.<sup>75</sup> The lessons learned from the review were:

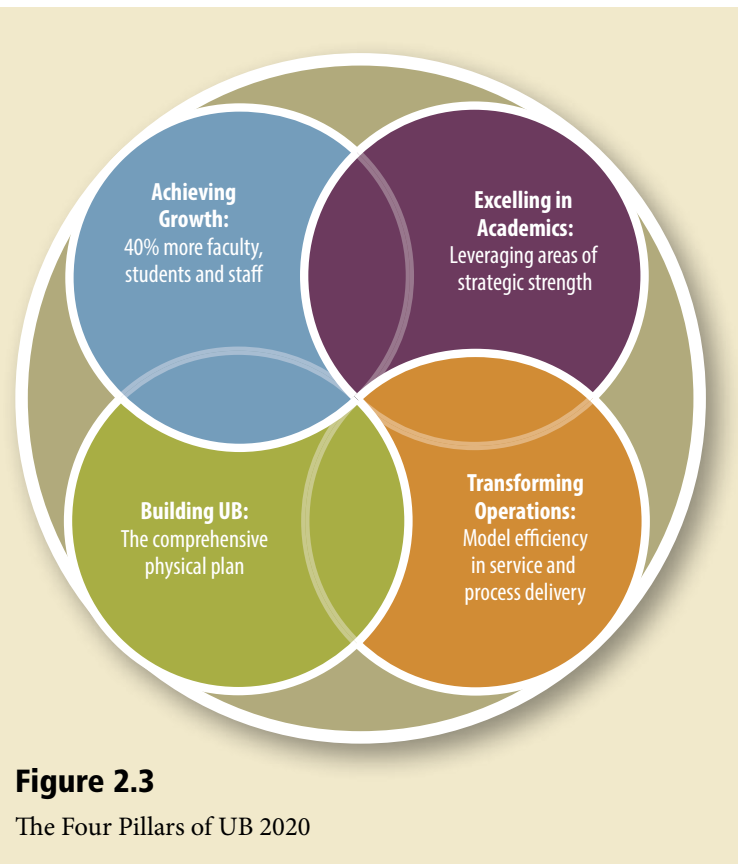
- UB's student/faculty ratio was significantly higher than peer AAU universities; (see Figure 2.2)
- UB's administrative operations were inefficient and in need of transformation;
- UB did not have a capital plan, deferred maintenance was at very high levels, and underdeveloped capital planning processes were ineffective in responding to strategic facility needs;
- UB was affordable and attracted very good students, but retention and graduation rates were not at expected levels based on the academic profile of entering cohorts; and
- UB did not have the financial capacity to remedy the most important issues revealed by the self-study.



**Figure 2.2**  
Comparison of Student to Faculty Ratios: Student FTE Divided by Nonmedical Faculty FTE, 2004



After the initial self-study was concluded, President Simpson and Provost Tripathi commenced a two-year strategic planning process that reached across the campus and resulted in UB 2020.<sup>3</sup> Featured in the plan were four pillars of bold action (see Figure 2.3) that would elevate UB from the level of a good university to a place among the best public research universities in the country.



### Achieving Growth — Faculty, Staff and Students

University leaders concluded that the only way to generate funding for faculty growth was to increase enrollment, especially at the undergraduate level. Sufficient growth would produce enough revenue to enable an increase in faculty large enough to reduce the student/faculty ratio to AAU competitive levels. UB proposed a plan to add 10,000 students, 1,000 faculty and 1,000 staff over a 10-15 year period. The university recognized that student, faculty and staff growth of this magnitude could not be supported without increased tax support and tuition rates, nor would the existing campus infrastructure support this large growth in campus population. Thus, UB proposed that New York State give the university authority to implement rational tuition and fee increases over the plan period. UB also asked the state to supply the means to implement the needed capital improvements to support this growth with state capital appropriations, or by authorizing campus autonomy to issue debt and enter into agreements with contractors, or a combination of both.

### Excelling in Academics — Leveraging Strategic Strengths and Building Quality Educational Programs

The UB 2020 planning process identified the areas where UB had built superior faculty strength through an extensive dialogue with faculty across the campus. What emerged was the conclusion that the university had strategic strength in eight areas:<sup>76</sup>

- Artistic Expression and the Performing Arts;
- Civic Engagement and Public Policy;
- Cultures and Texts;
- Extreme Events: Mitigation and Response;
- Health and Wellness Across the Lifespan;
- Information and Computing Technology;
- Integrated Nanostructured Systems; and
- Molecular Recognition in Biological Systems and Bioinformatics.

UB 2020 envisioned that growing the faculty in these areas would encourage multidisciplinary teams to improve UB's research reputation and attract major growth in research funding from federal and private

sources. Since its inception, the Strategic Strengths Initiative has resulted in 131 new faculty hires in these areas.<sup>77</sup> In 2006, the provost created the position of vice provost for strategic initiatives. The vice provost works closely with faculty leaders in each strength area and reports annually on the scholarly impact of the entire initiative.

The UB 2020 plan also recommended many improvements in the UB student experience. At the undergraduate level, a UB 2020 task force proposed the implementation of new programs and initiatives that are having a lasting impact, including (see Chapter 4 for further information and an evaluation of impact):<sup>78</sup>

- **Discovery Seminars:**<sup>79</sup> This program provides first- and second-year undergraduates the opportunity to engage with a distinguished faculty member around a thought-provoking topic in a small-class environment. Students are able to explore particular interests or unique topics and enhance their abilities to think critically and communicate effectively.
- **Undergraduate Academies:**<sup>80</sup> The academies are living and learning communities that bring together university students, faculty, staff and alumni to focus on three broad themes: Civic Engagement, Global Perspectives and Research Exploration. Participation is open to all undergraduate students. Opportunities include seminars, workshops, residential communities, field trips and community-building events. Two new academies were introduced in Fall 2012 with the broad themes of Entrepreneurship and Sustainability.
- **Center for Undergraduate Research and Creative Activities (CURCA):**<sup>81</sup> The center serves as a clearinghouse for undergraduate students interested in pursuing challenging research and creative opportunities that match their academic interests and career goals. It reviews project proposals and provides funding for undergraduate projects.

For graduate programs, the UB 2020 plan required the implementation of a systematic program-review process (see Chapter 4). Every program is reviewed by an external team on a five-year cycle coordinated by the Graduate School with deep involvement of the program faculty and departmental and school leadership.<sup>82</sup> The review teams make specific recommendations to enable programs to improve quality and target investment to address major deficiencies. UB 2020 also encourages appropriate attention to graduate-student support and the competitiveness of fellowship awards and TA/GA stipends (see Chapter 4 for additional description). In several fiscal years, the university made sizable investments from central and unit sources to increase TA/GA stipends in response to these recommendations.<sup>83</sup> The UB 2020 plan also suggested improvements in professional education that led to the creation of an Interprofessional Education (IPE) program in which students in professional programs in the Health Sciences, Engineering, Management, Law, Education, Social Work, and Architecture and Planning work together to address complex challenges requiring multiple types of professional skills.<sup>84</sup>

### Transforming Operations

The UB 2020 plan recommended a series of operational transformations to reduce costs and improve customer service.<sup>85</sup> These projects included:

- **The Information Technology (IT) Transformation:** The IT Transformation involved consolidation of common services, development of service-delivery tools and processes, and implementation of infrastructures to support better new modes of teaching, learning and scholarship. As an example, before the IT Transformation, there were 70 separate telephone

systems at UB. Following the transformation, more than 6,600 faculty and staff members use the same Voice Over Internet Protocol (VoIP) system, and 3,000 phone lines have been eliminated.

- **The Student Systems Transformation:** In 2004, UB operated an internally developed and maintained student-information system that was comprised of several systems that did not communicate effectively with each other. The lack of accurate, integrated student information undermined faculty and staff support of students. The Student Services Transformation moved the university to a single system, PeopleSoft, for all student-related data.
- **Environmental Stewardship:** In 2007, UB's president signed the American College and University Presidents' Climate Action Plan and, in August 2009, created the Environmental Stewardship Committee to assist with the development of a Climate Action Plan.<sup>86</sup> The primary goal of the plan is for UB to become carbon neutral by 2030. In September 2011, UB created a new position, chief sustainability officer, to provide leadership and direction for sustainability initiatives. On April 23, 2012, UB energized a solar array with 3,200 photovoltaic panels that produce 750,000 watts of energy to power hundreds of on-campus student apartments. UB also has partnered with Zipcar Inc. to provide students with the opportunity to share high-efficiency cars on an as-needed basis.
- **Digital Communication Transformation:** This transformation has resulted in a more mature, consistent and well-branded Web environment with shared tools, templates, standards, documentation, information architecture and staffing models.
- **Human Resources (HR) Strategic Transformation:** The HR Strategic Transformation attempted to change the way that HR services are delivered to the campus community. The approach was to collapse 61 separate HR units into three divisional service centers covering business services, student affairs and the academic enterprise. This concept encountered many obstacles and was not successfully completed. However, the HR Strategic Transformation was successful in creating the Organizational Development and Training Unit to oversee professional development and training opportunities for the entire campus community. Finally, PeopleAdmin was adopted to provide automated service delivery and reporting, with automated personnel transaction forms (PTFs) making personnel changes more efficient.
- **Sponsored Programs Improvement Initiative:** This initiative involved the merger of Sponsored Programs (pre-award services) and Grants and Contracts Services (post-award services) into one integrated unit, Sponsored Projects Services. The key objective of the merger was to improve services to principal investigators, creating a seamless process from a project's conception to the final close-out. This initiative has met with some success, but continued improvements are required. The university has taken steps in the past 12 months to bolster grant-development infrastructures with the creation of the Office of Research Advancement.

### Building UB – The Comprehensive Physical Plan

In 2004, UB did not have a current physical master plan, and even if one existed, the scope of the UB 2020 vision would have required a new plan. UB engaged Beyer, Blinder and Belle Architects and consulted with many campus and external stakeholders over a two-year period in an extensive capital planning process. The resulting plan — “Building UB: The Comprehensive Physical Plan”<sup>87</sup> — proposed a capital development strategy that would enable UB to realize its planned faculty, staff and student growth. The plan proposes new and more collaborative research facilities to support

the multidisciplinary effort of the strategic strengths. It calls for the simultaneous and integrated development of UB's three campuses and emphasizes the effective development of public and shared spaces and the building of memorable places to attract the best faculty, staff and students. The principles that guide the plan include:

- Promoting academic excellence, the interdisciplinary exchange of ideas and the development of vital intellectual communities;
- Enabling a united and accessible university campus with three distinctive and seamlessly interconnected campus centers;
- Reflecting the university's responsibility to its community by respecting and being shaped, in part, by public plans and policies;
- Providing the basics for long-range capital programming and the prudent management of university resources;
- Establishing UB as a leader in environmental stewardship and sustainable development and design; and
- Creating great and memorable places contributing to a high quality of campus life by fostering design excellence in campus architecture, landscape architecture and interiors.

“Building UB” recommended public-and-private campus development of more than \$5 billion in 2009 dollars. It serves today as the guiding document in the consideration of specific capital plans and investments. The major capital priorities of the university specified by this capital plan include:

- Relocating the School of Medicine and Biomedical Sciences to the Downtown Campus;
- The Clinical and Translational Research Center on the Downtown Campus within the Buffalo Niagara Medical Campus;
- The Heart of the Campus project — South and North campuses;
- The Student Recreation Center on the North Campus; and
- Reimagining the South Campus as UB's Graduate and Professional Education Center (relocating the Graduate School of Education, the School of Social Work and the Law School to the South Campus).

The Building UB plan could be implemented in various phases based upon the university's ability to grow and fund capital development. The plan also specified the campus policies required to manage the design and execution of projects contained in the plan.

### The Impact of UB 2020 — The 2005-2010 Period

Reflecting on the formative period of UB 2020, it is now clear that the scope of the first UB 2020 plan could not have been implemented in the political and fiscal context of that time. UB 2020 required an extraordinary investment of funds from outside the university and also significant changes in the relationship between UB, SUNY and New York State government that these institutions were not ready to allow. The enrollment growth plan was proposed at a time when state, national and regional high school graduation rates were beginning to decline. SUNY did not express support for a growth plan of this magnitude, and the state was not interested in funding a larger SUNY. Moreover, UB had long recognized the difficulty in attracting out-of-state students, and there were no indications that this would soon change. UB leaders also experienced vigorous resistance from other SUNY campuses to

UB plans that increased its enrollments and potentially diverted students from enrolling at other SUNY campuses. Without enrollment growth, there would be no financial engine to fund the full-scale plan. Perhaps even more devastating was the global financial collapse in 2008, which caused UB to shift from managing growth to intelligently distributing reduced funding to preserve quality and program breadth.

Even if the plan was not fully realized, the original UB 2020 planning process gave UB a bold and hopeful view of the future and of the obstacles it faced. The process uncovered institutional weaknesses and produced recommendations for addressing those weaknesses and measuring improvement. It offered a new academic strategy that was innovative when compared with peers and suggested areas of administrative transformation to be implemented whether enrollment growth occurred or not. The Building UB capital plan strengthened campus resolve to grow UB's downtown presence while also strengthening the North and South campuses. Finally, UB 2020 gave university leaders a message for the Western New York community about how and why UB's development would help the entire region. The UB 2020 plan became the region's highest priority, and community leaders and the Western New York delegation offered unrelenting and increasing support for UB 2020 through three legislative cycles. When Andrew Cuomo became the governor of New York State on January 1, 2011, he made UB 2020 an early priority for his administration.

### Realizing UB 2020 — The 2011-2013 Period

Shortly after taking office, Governor Cuomo approached President Tripathi and asked UB to work with his team to create an immediate, achievable implementation plan for UB 2020. These deliberations — which were expanded to include the SUNY Chancellor's Office and the presidents at SUNY Stony Brook, Albany and Binghamton — resulted in the announcement of NYSUNY 2020 in early 2012.<sup>88</sup> Under this act, UB and the other three SUNY university centers were given the assurance that New York State would authorize an increase in tuition for all programs at predictable rates over the next five years while maintaining state tax support at 2011 levels. This decision gave these campuses the ability to make recurring investments in support of strategic budget priorities. The state also offered a challenge grant that would match campus funds to build their highest-priority capital project.<sup>89</sup>

NYSUNY 2020 gave UB the opportunity to move forward with major aspects of the UB 2020 plan without having to grow enrollment. Under NYSUNY 2020, UB would have the funding to add more than 250 faculty members in key fields and strengthen the infrastructures that support their work. UB also would relocate the School of Medicine and Biomedical Sciences to the Downtown Campus within the Buffalo Niagara Medical Campus, bringing it together with key partners in a comprehensive Academic Health Center modeled after similar health centers in Cleveland and Pittsburgh. UB's application for NYSUNY 2020 support indicated that UB would reduce the student/faculty ratio and increase six-year graduation rates to peer AAU levels and increase externally supported sponsored research funding by as much as \$60 million per year by 2016. If it achieves all of these goals, UB will realize much of the original UB 2020 initiative and its promise to its communities.

The negotiations and resulting passage of NYSUNY 2020 took place during the time UB was experiencing a presidential leadership change. In April of 2011, Satish K. Tripathi was named UB's 15th president. In the succeeding months, he made a number of leadership changes, including a new provost and a new chief financial officer. He also initiated a reexamination of UB's mission, vision and goals (provided in Chapter 1) to guide the next phase of UB 2020 implementation.

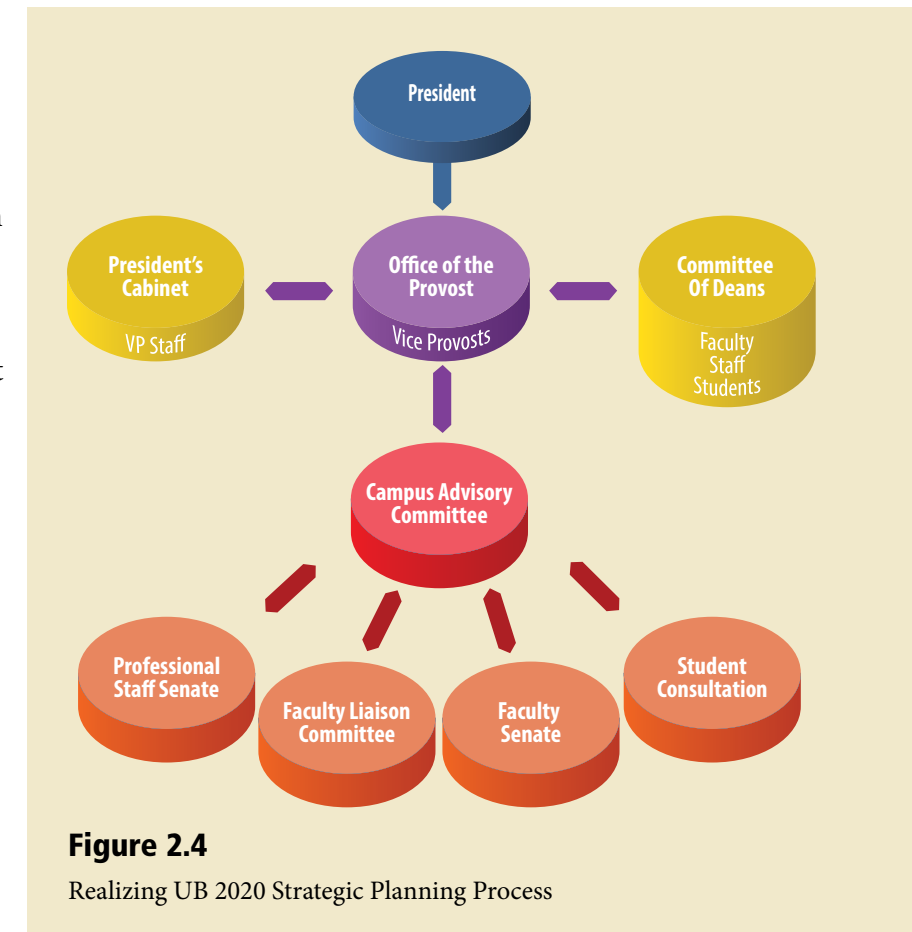
In June 2012, President Tripathi appointed Charles F. Zukoski as provost. In October 2012, in his annual State of the University Address, the president asked Provost Zukoski to lead a campuswide effort to formulate an implementation plan for UB 2020 following the passage of NYSUNY 2020.<sup>90</sup> Since October 2012, the provost has engaged the entire university community in a dialogue resulting in the publication of a document entitled "Realizing UB 2020: Achieving Academic Excellence"<sup>91</sup> in October 2013. Figure 2.4 provides an illustration of the extent to which the Realizing UB 2020 process engaged the campus community in developing the final report.

### A New Academic Strategy

Realizing UB 2020 proposes a new academic strategy with two core elements. The first is that UB will build Communities of Excellence with faculty, staff and students engaging with complex issues facing mankind and our built and natural environments. These communities will be immersed in select thematic areas with the goal of delivering education, scholarship and engagement to improve significantly the human condition. This concept extends well beyond the Strategic Strength Initiative in its attempt to integrate meaningful educational programming, original scholarship and engagement in and around key thematic areas. Second, UB's curriculum will be restructured to provide students with traits that will prepare them for productive and fulfilling life experiences. These traits reflect the core values guiding the education we offer to our students (see Chapter 4).

### Implementation Plan

The Realizing UB 2020 implementation plan focuses on achieving UB's goals through five key initiatives (See Table 2.1). The first is a plan to build faculty strength. UB has pledged to grow tenured/tenure-track faculty by 250 by 2015, and thus, the Realizing UB 2020 initiative is in large part a hiring plan. UB will grow with a clear sense of where added strength will produce the greatest impact and with a desire to increase faculty diversity. Furthermore, every effort will be made to increase the impact of existing faculty. The university will conduct a complete assessment of faculty performance and develop new compensation strategies to incentivize excellent faculty performance.



### Core Learning Traits for the UB Graduate:

- Possess deep domain knowledge and critical thinking.
- Collaborate in teams on complex problems.
- Experience and appreciate the diversity of many cultures, people across the world and life experiences.
- Cultivate a desire and skill to navigate the world.
- Exhibit excellent communication, information and digital literacy skills.
- Build a personal capacity for resilience and perseverance.
- Create a desire to engage in community affairs.
- Have pride in UB and contribute to the university's welfare throughout life.

Second, faculty growth will help strengthen the impact of the university’s research, scholarship and economic-development efforts. New and existing faculty will form the Communities of Excellence. At the same time, there will be concerted effort to strengthen the core academic disciplines and their doctoral programs since these are vital to a thriving research enterprise. UB will provide educational and research experiences to make it an increasingly attractive destination for doctoral study. The influx of faculty and more intensive programs will attract the best doctoral students.

Table 2.1 Realizing UB 2020 Goals and Implementation	
Implementation Initiative	Goals Targeted
1 — Tenure-Track Faculty Growth Plan	<ul style="list-style-type: none"> <li>• Faculty Strength and Scholarly Leadership</li> <li>• A Diverse Community</li> <li>• Enriching Education and Scholarship Through Community Engagement</li> <li>• Better Partnerships for Health-Care Outcomes</li> </ul>
2 — Communities of Excellence	<ul style="list-style-type: none"> <li>• Faculty Strength and Scholarly Leadership</li> <li>• A Diverse Community</li> <li>• Enriching Education and Scholarship Through Community Engagement</li> <li>• Better Partnerships for Health-Care Outcomes</li> </ul>
3 — Curricular Innovation	<ul style="list-style-type: none"> <li>• A Global University</li> </ul>
4 — A Fuller Community Engagement Agenda	<ul style="list-style-type: none"> <li>• Enriching Education and Scholarship Through Community Engagement</li> <li>• Better Partnerships for Health-Care Outcomes</li> </ul>
5 — An Infrastructure Strengthening Plan	<ul style="list-style-type: none"> <li>• Faculty Strength and Scholarly Leadership</li> <li>• Great Students Achieving Expectations</li> <li>• Support Structures for Faculty and Student Success</li> <li>• A Global University</li> <li>• Enriching Education and Scholarship Through Community Engagement</li> <li>• Better Partnerships for Health-Care Outcomes</li> </ul>

Third, UB will engage in meaningful curricular innovation and expand investments to promote student success. UB has focused all educational-program delivery and assessment around the promised student traits. The plan identifies new curricular requirements and commits the resources to implement: an experiential learning program, a global experience, a capstone course, a General Education Program that fits the needs of today’s student, and an interprofessional program that helps students in professional programs understand how their work intersects with that of those in other professions.

Fourth, UB will expand and more effectively coordinate its community and economic-engagement agenda. UB already engages many community partners, but these engagement activities are not connected by an effective and encompassing institutional strategy for engagement. The university will invest in programs, coordinating structures and communication strategies that align engagement strategies with institutional goals. UB will build partnerships that help our communities and add richness and purpose to the educational and scholarly activities of faculty and students inside the university.

Finally, university leaders understand the need to invest in infrastructures that enable all Realizing UB 2020 initiatives. These activities are dependent upon efficient and appropriately resourced support systems. UB will further increase operational excellence, the effective balancing of efficient operation with great service. This will entail new ways of delivering services and organizing staff and infrastructure funding.

During Fall 2013, the university conducted several parallel efforts to compile information needed by leadership to make decisions among competing priorities for hiring, investment and support programming to best achieve Realizing UB 2020 objectives. These activities will culminate in early 2014 in a retreat where senior leadership will make decisions about Realizing UB 2020 priorities for the next three years. The information-gathering activities currently underway include:

- **Realizing UB 2020 Task Forces:** Realizing UB 2020 calls for specific initiatives in areas that cut across the organizational structure of the university. There are more ideas than the university has the capacity to implement in the next three to five years. Over the summer of 2013, university leadership identified the need to form groups focused on specific areas related to Realizing UB 2020 to recommend priorities, costs, timelines and implementation strategies. These task forces are focused on the following areas: curriculum and assessment, research and innovation (this group will develop the ideas for operationalizing the Communities of Excellence concept), engagement, the student experience, advocacy, alumni engagement and philanthropy, and infrastructure. Each task force has been assigned a leader, membership representing perspectives from across the university, a charge and specific deliverables.
- **The Unit Impact and Standards Analysis:** UB is designing a more systematic program for assessing progress in achieving institutional and unit goals. There are three planned elements of this program. The first is the creation of an institutional scorecard that measures university progress over time in achieving each institutional goal. This scorecard will compare university improvement over, and achievement with, peer AAU institutions where appropriate. The second is a review of unit (including both academic and academic-support units) performance in key educational, scholarship, engagement and service-delivery areas that will be compared with national and discipline or service-specific standards. The third is a review of individual faculty-members performance compared with disciplinary specific national and UB standards in each academic unit. This analysis will support an institutional effort to better understand faculty strength and also where and how faculty productivity might be improved across the university.
- **A New Budget Model and the Realizing UB 2020 Funding Plan:** UB has undertaken a thorough examination of current resource-allocation methods to create a funding approach that aligns resources with institutional goals and strategies. It is likely that a new feature of this funding approach will be a performance-based allocation system that links some fraction of a unit’s budget to that unit’s performance in key areas related to achieving university goals.

### UB 2020 — An Enduring Vision

The features of the original UB 2020 vision continue to guide university decisions despite major changes in university finances, senior leadership and the higher-education landscape. With Realizing UB 2020, the university will grow its faculty base and implement initiatives to enable the institution to achieve the expectations promised to Governor Cuomo in UB’s NYSUNY 2020 proposal. Throughout UB 2020’s evolution, UB has kept focus on its mission as a major public research university. The UB 2020 vision has permeated the campus and helped the entire SUNY system achieve the passage of the NYSUNY 2020 bill. This accomplishment has enabled UB the opportunity to finally align the UB 2020 vision with sufficient resources to realize its promise.

## Institutional Resources

The original UB 2020 plan required large increases in enrollment, tuition revenue and state allocations for capital improvement to achieve its stated goals. These increases were not forthcoming. In fact, the university absorbed an extraordinary reduction in spending capacity of \$85 million over a four-year period beginning in 2009. Described here are the revenue and spending trends since 2005 and the impact of changing financial fortunes on efforts to implement UB 2020, which has yet to reach its full promise. This section begins with an overview of the university's core financial operating condition for the fiscal year ending June 30, 2012 and prior years.<sup>92</sup> Sources of core operating revenues include: state tax support, tuition and fees, service revenue, residence halls and apartments operations, endowment income and unrestricted gifts administered in the University at Buffalo Foundation, Research Foundation facility and administrative cost recovery and other revenue, and Campus Dining and Shops (CDS) agency revenue. While there are concerns about the extent to which UB relies on income from student enrollment and the position taken by New York State on capital funding, the NYSUNY 2020 program and university efforts to diversify revenue streams will enable UB to make progress in achieving institutional goals over the next several years. The section concludes with an examination of resources and trends in staffing, facilities and information-technology capacity.

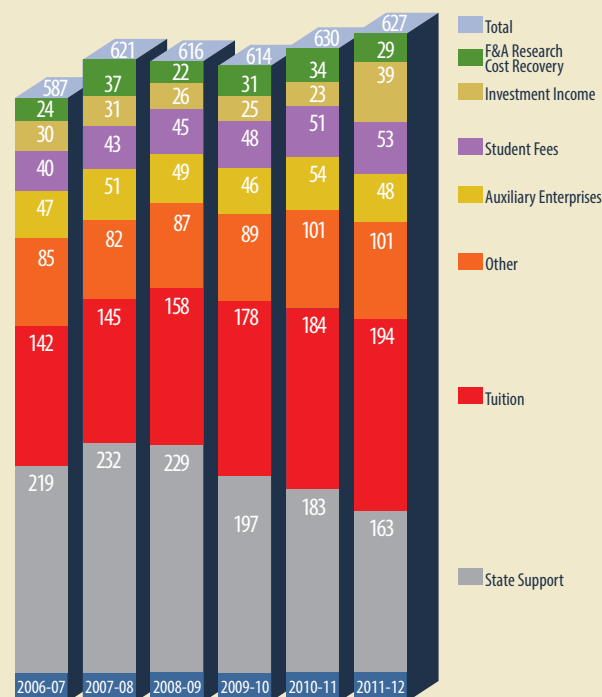
### Operating Revenues

In FY 2011, UB earned \$627 million in operating revenues across all sources. These revenues have increased 6.8 percent from FY 2006 levels but only 1.0 percent from FY 2007 levels. Revenues appropriated from New York State make up the largest fraction of funds available to the university.

These appropriations come in two forms — those supported by tax dollars and those supported by revenue targets, the largest of which is tuition paid by UB students. As Figure 2.5 indicates, New York State has reduced tax support from \$219 to \$163 million over this period and authorized large increases in tuition rates at the same time. With the passage of the NYSUNY 2020 agreement, tuition revenue will grow significantly and current levels of state support will be maintained over the next four years.

UB is also generating more income from student fees for particular services (e.g., health, transportation, technology) than in 2006-2009. Student tuition and fee revenues have been the only operating revenue streams to increase significantly for the university over this period. Facilities and administration (F&A) cost recovery from research programs has fluctuated, as have other income sources (such as sales and services, trademarks and licensing, athletics income, auxiliary services). Also, the value of UB's endowment has fluctuated significantly over this period, due largely to changing Wall Street fortunes (see Figure 2.6).

UB relies heavily upon income generated by student enrollment tuition, fees, dorm and dining revenues, and state tax allocation



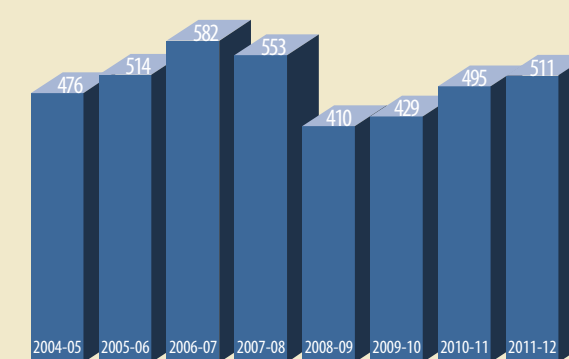
**Figure 2.5**  
Operating Revenue by Source, in Millions

per student — to operate the institution. UB does not have the authority to set tuition or comprehensive student-fee rates. The university is subject to the authority of New York State government for continued state tax fund allocations and payment of fringe benefits, as well as significant debt service costs for capital programs, and the formulation of tuition and fee policy. The resourcing of university and unit plans is largely dependent upon the policies and ongoing support of SUNY and New York State government officials.

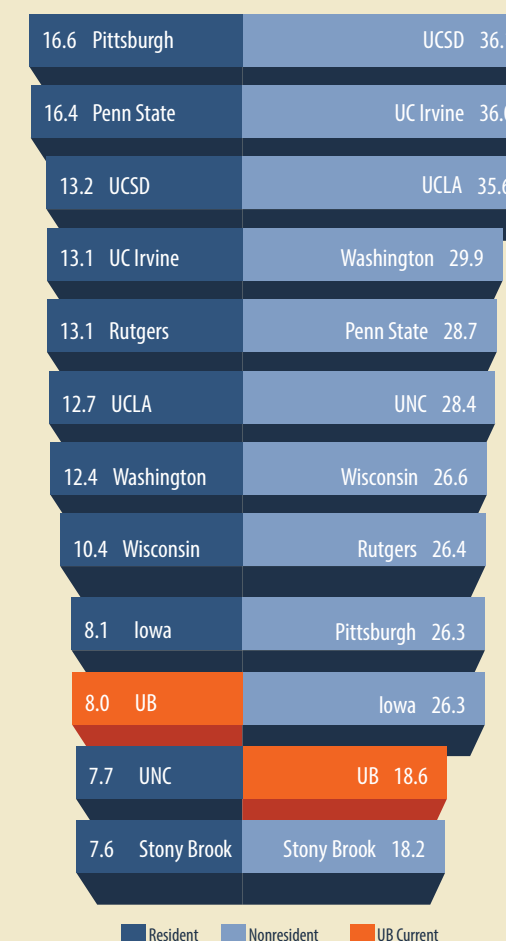
Looking forward, a major goal for UB is to diversify its operating revenue portfolio and reduce dependence on income from students and parents. The most urgent priority is to build fundraising capacity. Investments in the development organization have begun to realize a greater return in the form of increasing gift collections and commitments, but UB is not currently raising gift, corporation and foundations revenues at the rate enjoyed by many peer AAU universities.

With passage of the NYSUNY 2020 legislation, UB is assured of five years of stable state tax support (through FY 2015) at FY 2011 levels and the ability to increase tuition at predictable rates for all degree programs. Since UB tuition and fee rates are and will continue to be relatively low compared to peers (see Figure 2.7), we do not expect reduced enrollment or student quality resulting from predictable tuition increases during this period. In addition, baccalaureate degree recipients enjoy one of the lowest student debt levels in the country, and UB will continue to offer significant need- and merit-based aid programs to ensure that all qualified students can afford to enroll. The most important factor for UB's financial fortunes is the achievement of its enrollment goals. If UB meets enrollment goals in 2016, it will experience an increase projected to be from \$90 million to \$100 million greater than 2011 levels. The enrollment forecast for the next few years is positive and institutional effort to meet and exceed enrollment goals is vigorous (see Chapter 5). The NYSUNY 2020 program also authorizes UB to create an Academic Excellence and Success Fee that can be used for targeted academic and academic support program improvements.<sup>93</sup> This fee will grow from \$75 per student in FY 2011 to \$350 per student by FY 2015, generating nearly \$10 million in new recurring funds.

UB has emerged from a period of financial challenge and is at a point where operating revenues will increase substantially through FY 2015 and longer if rational tuition policies continue. The university has the base of resources needed to deliver its mission and an opportunity



**Figure 2.6**  
Endowment Market Value, in Millions, Date of Endowment Value Required End of Each Fiscal Year (Ending Market Value)



**Figure 2.7**  
AAU Public Undergraduate Tuition and Fees, in Thousands

afforded by NYSUNY 2020 to invest in the capacities to enable UB to improve its position among major public research universities. Investments in faculty strength made possible by NYSUNY 2020 will enable the university to improve the student educational experience while adding significant scholarly capacity to compete more effectively for research grants from federal and private sources.

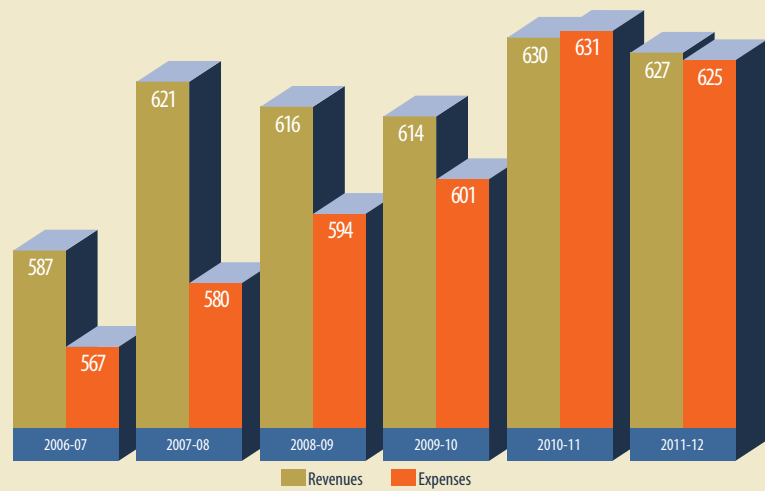
**Financial Condition — Operating Budget**

Despite the financial stresses of the years from FY 2008 to FY 2011, the university has managed its budget to maintain fiscal health and build sufficient reserves to make key investments where required and respond to financial risk when needed. The NYSUNY 2020 program has replenished recurring fund losses and given the university the opportunity to invest in the UB 2020 vision.

As Figure 2.8 illustrates, UB has spent no more than its annual operating revenues in any year except 2010-2011 when the university was experiencing the most acute impacts of the state tax budget reductions. Reserve funds have grown steadily since 2006-2007, with the exception of FY 2010 (see Table 2.2).

The university spends nearly 65 percent of its operating revenues on the salaries of faculty, staff and student employees (see Figure 2.9). This is relatively low compared to peer universities responsible for funding fringe benefit costs from campus-managed appropriations. The remaining 35 percent funds the nonpersonnel operating costs of the institution – utility contracts, other contractual services, supplies, equipment and travel. UB does not have the authority to negotiate collective bargaining agreements, manage fringe-benefit costs/contracts/service agreements, or issue and manage debt for capital projects. Instead, this authority rests with the state, which limits campus flexibility. The impact of changes in New York State policies and approaches in these areas may result in cost overruns that are passed on to the campus in the form of state-tax budget reductions. UB has maintained sufficient financial reserves for unforeseen contingencies. UB does not expect spending patterns to change unless the capital-funding responsibility shifts significantly to the university (see Capital Budget section below).

The university’s financial health is strong in consideration of the four ratios that make up the Composite Financial Index (CFI). Over the past several years, the mandatory requirement of recording Government Accounting



**Figure 2.8**  
Operating Revenues and Expenditures, in Millions

35 percent funds the nonpersonnel operating costs of the institution – utility contracts, other contractual services, supplies, equipment and travel. UB does not have the authority to negotiate collective bargaining agreements, manage fringe-benefit costs/contracts/service agreements, or issue and manage debt for capital projects. Instead, this authority rests with the state, which limits campus flexibility.



**Figure 2.9**  
Percent of Operating Expenditures by Expense Category

Standards Board (GASB) statement number 45<sup>94</sup> — Other Post Employment Benefits expense — is the major contributing factor to the lower than normal Primary Reserve Ratio, which prevents the university’s composite score from being in the 6.0-7.0 range. Even with the recording of this expense, the composite score is 3.0-4.0, which reflects a relatively strong financial condition.

In summary, UB exhibits financial health and disciplined spending. It has developed a financial plan to enable significant strategic investment, although the capital budget issue is a looming policy question. The NYSUNY 2020 program provides a momentary opportunity for visionary academic and financial leadership to create the institutional renewal envisioned by the UB 2020 plan.

**Table 2.2**

Available Balances 2007-2008 through 2011-2012 (\$ in Thousands)

Funding Source	2007-2008	2008-2009	2009-2010	2010-2011	2011-2012
F&A Cost Recovery	\$28,904	\$28,164	\$37,762	\$51,522	\$59,192
State Operating	45,801	51,826	51,814	32,972	-4,918
State Reimbursables (IFR, SUTRA & DIFR)	33,302	41,942	31,555	39,528	61,970
UB Foundation	74,345	79,868	89,226	84,148	93,522
Other	6,680	6,884	3,650	4,473	5,351
<b>Total</b>	<b>\$189,032</b>	<b>\$208,684</b>	<b>\$214,007</b>	<b>\$212,643</b>	<b>\$215,117</b>
\$ Change	NA	\$19,652	\$5,323	-\$1,364	\$2,474
% Change	NA	10.4%	2.6%	-0.6%	1.2%

**Human Capital**

The university’s greatest asset is its human capital. More than 5,400 FTE faculty and staff (excluding student employees) work at UB across all of its payrolls: 1,571 FTE faculty and 3,845 FTE staff. Across all units, the standards for becoming an employee of UB are high — 95 percent of full-time faculty members have doctorates or terminal degrees in their field, most from peer or better institutions. These faculty members are acknowledged in many disciplines as leaders in their fields. The staff at UB is among the most highly trained and sought after in the region.

Over the past 10 years, UB’s changing finances have impacted the ratio of staff-to-faculty levels. Figure 2.10 indicates that UB’s staff-to-faculty ratio is lowest among AAU peers. Faculty strength has been preserved at 2009 levels while staff FTE has declined by 150 FTE. Preserving the faculty base has been a major accomplishment, but UB has not made progress in right-sizing the faculty base to comparable peer AAU levels. The NYSUNY 2020 legislation allows the university to replenish faculty and staff lost in the period of budget reductions. UB plans to add 250 faculty and 250 staff by FY 2015 and is on pace to achieve staff growth targets as of Fall 2013. Faculty growth is likely to occur at a slower pace



**Figure 2.10**  
AAU Peers Staff to Faculty Ratios

than desired and may not reach expected levels in this same time frame. When UB does achieve this level of growth, the student-to-faculty ratio will be comparable to AAU peers (See Figure 2.2).

### The Capital Budget, Facilities and Space

The university owns 146 buildings across three campuses and seven off-campus sites, representing more than nine million square feet. A description of each building — including total square footage, construction completion date and architect — is available on the Facilities Planning and Design website.<sup>95</sup> The university also has more than 1,200 acres of undeveloped land and many available building sites, one of the university's most valuable assets.

The largest category of assigned space is for student living, comprising 16 percent of the total. Residence halls have a total capacity for 7,570 students. Offices (14 percent) and labs (13 percent) take up significantly more space than classrooms (three percent). Based on the UB results of a 2010 SUNY-wide space needs analysis,<sup>96</sup> the majority of academic units have space deficits. In all nonresidential buildings, there was a total deficit of 614,407 square feet. The projections for 2018 and 2023 suggest that as the number of faculty members increases, space needs will become more acute, making adherence to the university's space-management principles and processes even more critical.<sup>97</sup>

For the past 15 years, UB has enjoyed a steadily increasing New York State investment (bonded funds backed by New York State personal-income-tax revenues) to build new facilities and address critical infrastructure-repair and building-renewal needs. During the period from 2008-2009 through 2012-2013, the university was allocated more than \$500 million in capital funds for these purposes. This capital fund allowed for the commencement of the following projects:

- Clinical and Translational Research Centers (Downtown Campus, new construction);
- Purchase and renovation of the UB Gateway facility (Downtown Campus);
- The Educational Opportunity Center Building (Downtown Campus, new construction);
- Hayes/Crosby Hall — School of Architecture and Planning (South Campus, renovation);
- Wende Hall — School of Nursing (South Campus, renovation);
- School of Medicine and Biomedical Sciences Building (\$50 million match) (Downtown Campus, new construction);
- Barbara and Jack Davis Hall — School of Engineering and Applied Sciences (North Campus, new construction);
- John and Editha Kapoor Hall — School of Pharmacy and Pharmaceutical Sciences (South Campus, new construction);
- William R. Greiner Hall (North Campus, new construction) — sophomore suites residence hall funded through the University Residence Halls Association auxiliary services enterprise at UB;
- Classroom renovations (all campuses) — technology upgrades, life cycle replacements ; and
- More than \$250 million in critical infrastructure projects across all three campuses.

In 2011, UB engaged a master planning firm, RTKL, to help develop a Facilities Master Plan<sup>98</sup> and implementation strategy, drawing on the earlier Building UB plan, which identifies needs for capital improvements through 2023. These improvements will remedy the shortage of space identified in the space needs analysis. The cost of the full need totals nearly \$2.5 billion. In 2012, UB submitted its highest

priority needs — totaling more than \$600 million for the next five years for consideration in the SUNY capital planning process. The New York State budget for 2013 has not included funds for a new five-year capital plan for SUNY or UB. The governor has made the New York State capital-debt issue a priority state policy question and is examining alternative approaches for New York State capital budgeting in the future. Until this issue is resolved, UB must defer investment in capital programs or redirect operating funds for these purposes. Even if UB chooses the latter course of action, the university cannot issue its own debt or enter into public/private partnership agreements, lease/purchase agreements or similar legal structures. Without these authorities, large-scale capital projects will be difficult to move forward.

Under the NYSUNY 2020 program legislation, New York State approved UB's plan to construct a \$375 million School of Medicine and Biomedical Sciences building (on the Downtown Campus within the Buffalo Niagara Medical Campus). The state has given UB a challenge grant of \$35 million, authorized the borrowing of \$215 million of state-bonded funds and approved a reallocation of \$50 million in UB capital funds for the project. UB must provide a cash match of \$75 million and pay the debt service for the \$215 million of financing provided by the State. This agreement between New York State, SUNY and UB suggests possible modifications to the capital budgeting approach that the state may contemplate in the future. The principle of campus match is at the heart of that approach, together with the notion that the state would offer capital financing with the campus paying all of the costs of that debt for priority capital projects. This is an important financial issue. If New York State is shifting financial responsibility for capital improvement to SUNY campuses, state leaders also should rethink tuition policy and the use of tuition revenue to pay for capital projects as well. If these policy changes are not made, and the responsibility for capital funding devolves to the campus, UB will face serious trade-off decisions to meet its operating and capital budget needs.

### Information Technology Resources

The Office of Information Technology (UBIT)<sup>99</sup> reflects the complexity and variety of a large research university, providing centralized academic and computing infrastructure as the foundation for school and divisional information-technology organizations throughout campus. The collaborative nature of these organizations provides the university with stable, consistent and reliable services, while enabling nimble and responsive innovation at the departmental level. UBIT develops, maintains and supports information technology, instructional technology and telecommunications, including maintenance of the campus wired and wireless network, public computing sites, research computing, email, Web hosting, online file storage, remote access, computing alerts, business systems across the university (HUB, SIRI, MyUB, UBl earns, etc.) and telephones.

UBIT engages in regular strategic planning<sup>100</sup> that is informed by assessment results, including surveys of needs and satisfaction, peer benchmarking and active participation in meetings and collaborations with campus and regional partners. As a result, UBIT very effectively manages information technology resources in an ever-changing technology environment. UBIT helps the institution fulfill its mission in several important ways, including:

- **Virtualization:** As a direct result of UB's IT transformation, UBIT has virtualized nearly 700 physical servers. Virtualization drastically reduces time to deployment, simplifies adding resources to address service demands and contributes to energy-efficiency goals. "My Virtual

Computing Lab” provides students access to expensive analysis and synthesis software anywhere, on their own devices, and it reduces workstation administration costs.

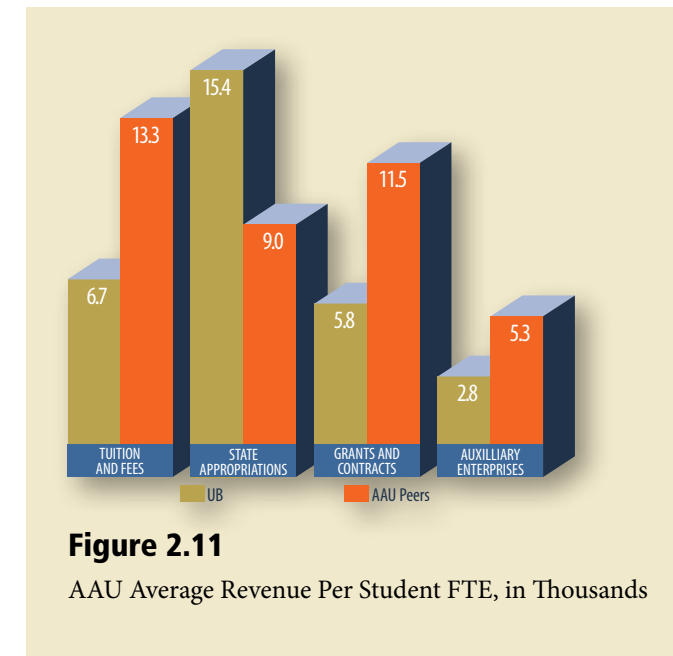
- **Mobility:** Students report an average 2.5 network-connected devices, which means teaching and learning can take place anywhere. UBIT provides mobile access to information resources, applications and services through the UB Mobile and Blackboard apps, mobile-friendly Web pages and UBIT’s ubiquitous secure Wi-Fi networks. Cellular providers participate in a distributed antennae system to increase services in all learning spaces.
- **Instructional technology:** There are 149 centrally scheduled classrooms equipped with technology ranging from basic video projection to multimedia capture. Academic departments also provide technology resources to support local curricular needs. Recent upgrades to classroom digital recording and distribution technology and implementation of virtual conferencing further expand instructional capacity beyond temporal and physical boundaries. UB’s program to similarly equip informal learning spaces encourages student collaboration.
- **Network:** A great university must have a stable, reliable and robust data communication network. UBIT is a leader in municipal, university, school and hospital regional networking. Its investments in redundant, fault-tolerant, high-speed campus networks continue to meet ever-growing service demands. Wi-Fi networks span all three campuses, and a wired residence halls network, ResNet, ensures high-speed access for resident students while conserving Wi-Fi spectrum for mobility demands.

### The Overall Resource Picture — Looking Forward

UB has a base of human, financial and capital resources appropriate to its mission as a public research university. These resources have been well-managed by university leaders and the university is in good fiscal health. Despite significant financial duress over the past five years, the university has preserved its range of academic programs and faculty base, and it has been blessed with a significant historical state investment to maintain existing facilities and build several new facilities. The state continues to pay fringe-benefit costs for personnel funded by state appropriation and all of the debt service for facilities. The campuses’ physical plant is expansive and land is plentiful and constitutes an extraordinary asset for the future. But the age of facilities and the impending relocation of the medical school give university leaders concern about the vibrancy of the South Campus if the next phases of the UB capital plan cannot be implemented in a timely manner. Further, the faculty continues to be too small, as was observed in 2004 at the outset of the UB 2020 discussion. Although UB is recruiting excellent faculty and overall the faculty is very strong, the strategic need still exists to grow the faculty to peer AAU levels and strengthen the infrastructures — human, technological and physical — that enable these faculty members to perform at their best. The quality of the IT infrastructure remains uneven. While UB has great research computing infrastructure and smart, capable IT staff around the university, administrative systems are not sufficiently reliable and educational technologies supporting instructional innovation have not been deployed to the extent available at AAU peer universities.

When compared with nearly all peer AAU universities, state-taxpayer investment in UB is larger, but overall UB gross revenue is well below the levels earned at those universities (see Figure 2.11). The major differences include tuition revenue (because of UB’s low tuition rates), grants and contract revenue, gift revenue, sales and services revenue, and investment return from much larger endowments held by these institutions. In short, UB’s peers have been much more successful in diversifying their revenue streams.

Looking forward, the NYSUNY 2020 legislation provides an opportunity that UB must supplement with significant growth in revenues from other sources. Hiring the very best faculty is an essential prerequisite for fundraising from private and governmental sources. If the rational tuition policy component of NYSUNY 2020 is extended after its first phase ends in 2015-2016, the university can continue to invest a margin of recurring funds for strategic priorities. The investment of these new tuition funds will determine UB’s ability to achieve university goals over time. While making these investments, the university is mindful of the dependence on enrollment revenue to operate and grow. Effective and strategic enrollment management will be increasingly important in the years ahead. Finally, the current state position on capital funding needs to be watched very closely. The longer the state delays in conceiving a new policy for the future, the more acute will be the need to divert operating funds to capital needs.



**Figure 2.11**  
AAU Average Revenue Per Student FTE, in Thousands

### Disciplined Resource Management — Financial Controls and Audits

UB’s administration is very conscious of its financial stewardship responsibility and seeks timely and continuous feedback from audits of its financial-management disciplines. The university is subject to regular audits by SUNY System Administration and the Office of the New York State Comptroller.<sup>101</sup> The Office of Internal Audit<sup>102</sup> examines the financial controls in individual units, including timely and accurate recording of financial transactions; efficient use of university resources; safeguarding of university assets; compliance with applicable laws, regulations, policies and procedures; and effectiveness in achieving departmental goals and objectives.

The following types of audits may be conducted by the Office of Internal Audit:

- **Operational Audit:** Examines an operating process to determine if resources are being used in the most efficient and effective way to meet the unit’s mission and objectives. Activities such as human resource services, cash handling, procurement and equipment inventories generally are subject to this type of audit.
- **Financial Audit:** Reviews the recording and reporting of financial transactions. The purpose of this type of audit is to provide management with assurances that financial information is recorded accurately in the university’s financial records and that these records support the information shown in the financial reports.
- **Compliance Audit:** Evaluates the university’s adherence to laws, regulations and internal and external policies governing the activity being reviewed. Examples of these requirements include state and federal laws, NCAA and OSHA regulations, and SUNY and UB policies and procedures.
- **Information System Audit:** Reviews the internal control environment and use of an automated information and transaction processing system. These audits typically evaluate system input, processing and output; data and physical security; backup and recovery plans; and system administration.
- **Investigative Audit:** Focuses on alleged civil or criminal violations of state or federal laws and alleged violations of university policies and procedures that may result in prosecution or disciplinary action.



Each spring, the Office of Internal Audit presents an audit plan to the university administration for review. Units may be selected for an audit based on requirements by state, federal or other regulatory agencies, or at the request of university management. They also may be selected as a result of other considerations — such as degree of risk of exposure to loss, results of the ongoing examination of internal controls, results of audits by external auditors, results of previous internal audits, extent of compliance with standard university policies and procedures, random selection on a rotating basis to ensure periodic contact with campus units, and/or changes in operations and/or personnel. In addition to performing audits, staff members in the Office of Internal Audit also provide consulting services for the university community to help units develop appropriate policies and procedures.

## UB 2020 and Institutional Effectiveness — Assessment and Renewal

The University at Buffalo is a complex, decentralized organization comprised of three campuses, 12 decanal units and numerous programs and administrative units. Assessment of institutional effectiveness is complex, yet essential to university success. This section describes how the university has assessed effectiveness in the UB 2020 era, highlights the university's institutional accomplishments over the past 10 years and indicates new directions for this assessment in the future.

UB's effectiveness as a whole is determined by the collective efforts of faculty, staff, and administrators in units and programs to achieve university goals. Assessment of the efforts of individuals, departments and decanal units help identify where improvements can be made to increase effectiveness at each level. Improvement in any of these three levels increases the university's overall effectiveness.

The origin of the UB 2020 plan and its evolution through leadership change, fiscal disturbance and the opportunity now afforded to realize much of the promise of the UB 2020 vision was described earlier in this chapter. During this period, the goals of the university were reviewed continually and updated. In 2011, President Tripathi published the seven goals that currently guide the university's course of action.<sup>103</sup> The strategic intent of these goals is summarized below:

- **Goal 1:** Build faculty strength, productivity and impact.
- **Goal 2:** Recruit great students and fulfill their educational expectations.
- **Goal 3:** Provide support structures ensuring faculty and student success.
- **Goal 4:** Create a diverse campus community.
- **Goal 5:** Become an increasingly global university.
- **Goal 6:** Engage our local community to enrich our student experience and regional well-being.
- **Goal 7:** Strengthen partnerships for improved regional health-care outcomes.

To assess effectiveness in achieving each of these goals, key indicators have been identified. These key indicators register improvement or decline based on unit and individual actions. Wherever possible at all levels, metrics include performance over time, improved performance relative to program standards and performance compared with peers. Two sets of peer institutions serve as institutional level benchmarks. The first set — Pittsburgh, Iowa, Stony Brook, Rutgers and UC Irvine — are similar in

size but higher-ranked public AAU universities. The second set — Washington, Michigan, Wisconsin, UCLA, UC San Diego — represent the type of institution UB hoped someday to emulate in size and stature with the fulfillment of the original UB 2020 vision. However, in light of the rescaled UB 2020 plan, comparisons with the first peer group provide the most appropriate indicators of institutional progress in key areas.

## Key Indicators of Institutional Effectiveness

### Goal 1 — Faculty Strength, Productivity and Impact

At the heart of the UB 2020 vision is the intention to build faculty strength comparable in size and capability with peer institutions. Key indicators of faculty strength include: total faculty size base and the number of ladder faculty; the student/faculty ratio and the student/ladder faculty ratio; and changes in the percentage of faculty with tenure over time. Since faculty compensation levels determine success in faculty recruitment and retention, comparison with peer faculty salary levels is another key indicator.

Standards of faculty productivity and impact vary across disciplines. At the institutional level, NSF Federal R&D expenditures, corporate and foundations research expenditures, honorific awards, publications, citations, conference proceedings, patents awarded, licensing income earned from patents and other intellectual property, number of doctoral degrees awarded, and number of postdoctoral fellows working with the faculty are primary metrics. Instructional impact and productivity typically have been measured in terms of undergraduate and graduate credit hours delivered and by the percentage of undergraduate credit hours taught by ladder, clinical and adjunct faculty.

The perceived strength of UB's faculty influences national and international rankings. Despite their methodological limitations, these rankings influence the choices of prospective faculty and students, donors and research sponsors. At UB, the rankings of most import are The Center for Measuring University Performances among public universities, U.S. News and World Report's Academic Peer Assessment Score and the Times Higher Education World University Rankings.

Table 2.4 illustrates measurable progress and achievement with respect to Goal 1. Several important conclusions can be drawn from a review of these data. The first and most important is that faculty size has been retained despite financial downturn; however, entering year three of the NYSUNY 2020 period, the faculty growth trajectory is lagging behind the goal of adding 250 net new tenure-track faculty. This is a key factor in planning and budget discussions with the academic units.

The university's faculty salary competitiveness improved in the 2004-2009 period when New York State was preserving state tax budgets and funding generous salary increase programs. Since 2009, this has changed and UB's rank among AAU peers for salary compensation has fallen. The provost is pursuing internal strategic compensation programs under Realizing UB 2020.

Federal and corporate research expenditures have grown since 2004 although federal expenditures do not yet match peer levels. Despite this growth, UB has not yet built a culture fully supportive of faculty entrepreneurship. Patent and licensing activity is short of peer levels despite large and growing amounts of corporate sponsorship. Much of that sponsorship is earned through relationships with

affiliated organizations such as Kaleida Health and the Roswell Park Cancer Institute and is, therefore, a somewhat misleading indicator of effectiveness as currently reported. Overall scholarly output is substantial, but not yet approaching peer AAU university levels. Understanding scholarly impact indices and standards of scholarly productivity in particular disciplines is becoming a more prominent aspect of unit assessment programs (discussed in greater detail below). UB faculty members on average, as evidenced by high student/ladder faculty ratios, teach more credit hours than peer AAU university faculty, yet UB also has a large number of teaching faculty and adjunct instructors generating a significant percentage of credit hours. As the Realizing UB 2020 curricular reforms take shape, the instructional expectations of tenured/tenure-track and nontenure-track faculty are under serious review.

<b>Table 2.4</b>				
Build Faculty Strength				
	2004	2010	Current	Peer Group
<b>Faculty Size</b>				
Total UB Faculty	2,309	2,268	2,270	3,188
Total Ladder Faculty	1,159	1,137	1,126	1,366
Student/Faculty ratio (non-medical)	28.9	30.7	28.9	26.6
% Credit hours Taught by Ladder Faculty			47%	42%
<b>Faculty Salary Ranks (out of 34 AAU Publics)</b>				
Professor	17	10	13	12
Associate Professor	10	9	10	14
Assistant Professor	23	17	19	21
<b>Research &amp; Development</b>				
NSF Federal R&D expenditures (in thousands)	\$147,607	\$167,099	\$193,613	\$269,734
Corporate/Foundation R&D expenditures (in thousands)	\$35,451	\$59,538	\$51,896	\$37,451
<b>US Patents</b>				
Issued	12	18	11	33
Licensing Income (in dollars)	\$271,526	\$727,240	\$592,976	\$5,381,404
<b>Scholarly Output</b>				
Journal Articles			7,031	10,115
Citations			79,645	160,663
Books			438	626
Conference Proceedings			126	178
Faculty Honors/Awards		166	189	352
Postdocs	328	285	299	368
Doctorates	299	279	305	414
<b>Rankings</b>				
MUP Ranking among Public Research Universities	35	33	42	27
U.S. News Undergraduate Rank	120	120	109	69
U.S. News Academic Reputation	3.1	2.9	3	3.4
Times Higher Education World University Rank	200+	200+	176	123

Journal articles include those from 2008-11. Citations include those from 2007-11. Books include those from 2003-11. Faculty honors/awards include various time frames (10 years in most cases; 20-50 for more prestigious awards such as National Academies or Nobel Prizes)

Based on UB's rankings, there is improvement over time in the Center Ranking, U.S. News and in the Times Higher Education World University rankings. If UB hires faculty at the pace envisioned in the UB 2020 plan, these rankings will improve further, as our overall performance levels improve compared with AAU peers. The UB 2020 hiring plans at the unit levels are reflective of these expectations and are informed by a continual review of these indicators.

**Goal 2 — Recruiting Great Students and Fulfilling Educational Expectations**

Chapters 4 and 5 provide descriptions of the university's efforts to educate for excellence and to foster learning and achievement. Numerous measures of the quality and preparedness of recruited students are presented in Chapter 5, along with the extent to which UB supports timely degree completion. Key indicators of effectiveness of achieving this goal include achievement of enrollment goals with improved quality of incoming student cohorts measured by median scores on standardized tests (SAT, GRE, LSAT, MCAT, PCAT), high-school average, transfer GPA, percentage of freshmen in the top 10 percent of their graduating class, acceptance rate for freshman applications, and yield rates of freshman admits. At the graduate level, the quality indicators other than the standardized admissions test scores are program-specific and do not easily lend themselves to a summary measure at the institutional level.

Further evidence of effectiveness is related to meeting students' educational expectations, such as their expectations for learning relevant knowledge and skills, completing a degree program in a timely manner and participating in an enriching educational experience. Key indicators include the number of degrees awarded, time to degree, four- and six-year cohort graduation rates and cohort retention rates from year-to-year, especially the critical first-to-second-year retention. Chapter 4 describes how the university is strengthening its efforts to assess and improve student learning. Until the mandated Office of Educational Innovation and Assessment is fully functional, staff within the offices of the Senior Vice Provost of Academic Affairs and University Accreditation and Assessment have been working with all academic program coordinators to implement comprehensive student learning assessment to inform curricular change and improve UB's educational effectiveness over time.

Beyond these typical measures, results of surveys of student perceptions, most notably the Student Opinion Survey and the National Survey for Student Engagement, indicate students' satisfaction with their educational experience (described more fully in Chapter 5). Surveys of student perceptions will be used in conjunction with assessments of student learning to evaluate the effectiveness of the new curricular requirements included in Realizing UB 2020, such as the global experience and the revamped General Education Program.

UB has made important advances over these 10 years in the attainment of this goal. Enrollment has grown steadily, largely because of an expanding presence in Singapore and the marked growth in interest in the STEM and health fields. While the freshman and transfer cohorts are growing, quality indicators, such as the median SAT, the percentage of freshmen in the top 10 percent of their high school graduating class, and transfer GPA, also are improving significantly, indicating that UB is a destination for high-achieving students. UB now is larger than the institutions in its identified AAU peer group, with a significant graduate/professional population. UB's comprehensive array of post-baccalaureate offerings represents a signature strength, and quality of graduate students has increased since 2004, as measured by GRE scores.

<b>Table 2.5</b>				
Recruit Great Students and Fulfill Their Educational Expectations				
	2004	2010	Today	Peer
<b>Enrollment</b>				
Total Enrollment	27,276	29,048	29,940	27,180
New Freshmen	3,183	3,388	3,701	4,398
New Transfer	1,695	1,945	1,923	1,487
New Graduate and Professional	2,501	2,791	3,658	1,942
<b>Student Quality</b>				
SAT Median	1150	1160	1160	1195
HS Average	3.6	3.7	3.7	3.8
Freshmen in Top 10% of HS Class	21%	25%	30%	51%
Freshman Acceptance	56%	52%	57%	56%
Freshman Yield	31%	29%	28%	28%
Transfer GPA	3.07	3.11	3.09	NA
GRE Median	1163	1167	1222	NA
<b>Student Satisfaction (NSSE)</b>				
1=Poor, 2=Fair, 3=Good, 4=Excellent				
How would you evaluate your entire educational experience at this institution?		3.02	3.08	3.24
To what extent has your experience at this institution contributed to your acquisition of a broad general education?		3.05	3.08	3.20
To what extent has your experience at this institution contributed to your ability to write clearly and effectively?		2.78	2.80	3.02
To what extent has your experience at this institution contributed to your ability to speak clearly and effectively?		2.71	2.75	2.85
To what extent has your experience at this institution contributed to your ability to think critically and analytically?		3.22	3.27	3.38
To what extent has your experience at this institution contributed to your ability to analyze quantitative problems?		3.06	3.13	3.11
To what extent has your experience at this institution contributed to developing an understanding of other racial and ethnic backgrounds?		2.67	2.69	2.59
<b>Degree Completion</b>				
Bachelor's degrees	3505	4111	4363	5036
Freshman Retention	84%	88%	88%	90%
Time to Undergraduate Degree (years)			4.34	4.13
4-Year Graduation Rate	34%	43%	47%	54%
6-Year Graduation Rate	60%	67%	71%	76%
Master's degrees	1901	2043	2240	1726
Research Doctorates	299	279	305	401
Professional Doctorates	557	640	591	348

Indicators of student success are improving as well, which may reflect the enrollment of students who are better prepared to succeed. UB's four- and six-year graduation rates have improved substantially since 2004, decreasing the gap in performance as compared with peers. The number of degrees awarded also has increased. With the Realizing UB 2020 curricular and student-services initiatives already underway, UB expects to completely close the AAU peer gap in these areas over the next 16 years. Finally, it appears that there is a growing appreciation of the student experience as reflected in student

responses on the National Survey of Student Engagement. Students express increasing satisfaction with their educational experience, the General Education Program and the development of writing, critical thinking and quantitative analysis skills.

**Goal 3 — Provide Support Structures that Ensure Faculty and Student Success**

The breadth of infrastructure supporting faculty and student success is large and difficult to capture with institutional-level indicators. Thus, assessment occurs at the unit level and through the resource-allocation process (described below). In the future, the portion of the operating budget that is directed to university infrastructure will be examined closely. This measure, when compared with spending patterns at peer institutions, will indicate whether UB has invested sufficiently in infrastructure and realized the appropriate level of efficiency from that investment. In addition, surveys of faculty (e.g. COACHE) and students (e.g. SUNY Student Opinion Survey) will be more routinely conducted and the results used to determine satisfaction with the support systems they rely on to study, teach and do scholarship. In past surveys, students have expressed a high level of satisfaction with most university facilities and services.

**Goal 4 — Create a Diverse Campus Community**

<b>Table 2.6</b>				
Create a Diverse Campus Community				
	2004	2010	Today	Peer
<b>Gender</b>				
Female full-time faculty	NA	34%	35%	37%
Female full-time staff	NA	53%	53%	59%
Female full-time students	47%	47%	47%	50%
<b>Race/Ethnicity</b>				
Underrepresented Minority full-time faculty	NA	7%	6%	6%
Underrepresented Minority full-time staff	NA	NA	9%	16%
Underrepresented Minority full-time students	10%	10%	12%	15%
<b>Student Success</b>				
Underrepresented Minority 4-year graduation rate	16%	24%	29%	42%
Underrepresented Minority 6-year graduation rate	47%	57%	59%	68%
<b>Economic</b>				
Undergraduate Pell	NA	31%	30%	29%
<b>Geographic</b>				
Western New York	48%	40%	38%	NA
Metro New York City	13%	15%	19%	NA
Other New York State	23%	22%	18%	NA
International	12%	18%	22%	NA
Campus-based	12%	16%	16%	NA
Overseas	4%	3%	6%	NA
Out-of-State	3%	5%	4%	NA
<b>Student Experience</b>				
To what extent has your experience at this institution contributed to developing an understanding of other racial and ethnic backgrounds?		2.67	2.69	2.59
To what extent does your institution encourage contact among students from different economic, social, and racial or ethnic backgrounds?		2.47	2.61	2.41

Note: Underrepresented groups include individuals identifying race/ethnicity other than White and Asian.

UB is building a diverse campus community. The measures used in the past to track progress are summarized in Table 2.6. It should be noted that our focus on diversity is not restricted to race or gender. The university seeks to attract faculty, staff and students from diverse geographic locales, socioeconomic backgrounds and intellectual perspectives. UB enrolls a very significant percentage of low-income college students. Further, UB is focused on understanding the comparability of success among diverse groups of students. In examining the success of students from different ethnic and financial backgrounds, graduation rates of students from underrepresented groups and from financially disadvantaged backgrounds has shown improvement since 2004. While their success has not yet reached the institutional norm, the success gap for these groups has closed significantly.

The gender and racial/ethnic diversity of faculty, staff and students has not changed markedly over the past 10 years, which points to insufficient progress toward the goal of increasing the representation of women and members of underrepresented groups at UB. The formation of the Commission on Academic Excellence and Equity in 2009 reflected this desire for increased diversity and concern about lack of tangible progress. The commission's final report, published on April 20, 2012, provided recommendations to help the university achieve this goal.<sup>104</sup> A significant action item resulting from this report was to create and fill the position of vice provost for equity and inclusion.<sup>105</sup> This search will be completed in early 2014. Another recommendation was that the vice provost work together with the Office of Institutional Analysis to create a more comprehensive dashboard of indicators measuring the impact of new and existing initiatives to increase campus diversity, work that also is scheduled to commence in early 2014. These recent efforts are expected to help increase diversity over the next 10 years.

**Goal 5 — Become an Increasingly Global University**

Key indicators of global impact include international enrollments at the Buffalo campuses, the percentage of students participating in study abroad opportunities, the number of offshore affiliation agreements, and the numbers of students enrolled in offshore programs. An additional indicator of global impact is the extent to which faculty collaborate with international colleagues.

<b>Table 2.7</b>				
Becoming an Increasingly Global University				
	2004	2010	Current	Peer
<b>Students</b>				
International Freshmen	5%	15%	12%	6%
<b>Scholarship</b>				
Journal Articles with International Co-Authorship			31%	33%
Citations from International Journals			39%	42%
<b>International Student Enrollment (Western New York Campuses)</b>				
Undergraduate	1,108	2,239	1,777	NA
Graduate	2,109	2,273	3,030	NA
<b>International Student Enrollment (Overseas Programs)</b>				
Undergraduate	0	644	1,507	NA
Graduate	98	178	157	NA

The metrics that best capture UB's leadership position in global impact are provided in Table 2.7. The data highlight UB's leadership among AAU peers in attracting and serving an international student population. UB is well-known as a destination for international students seeking a high-quality education. UB enrolls a very significant and growing number of international students, particularly at the graduate and professional level. While international freshmen are a smaller percentage of a much larger freshman class in 2013, international freshman and transfer enrollments are near record levels. At the graduate level, we are serving more international students than at any time in our history on our campuses in Western New York. Further, a large number of UB undergraduates participate in study-abroad opportunities.

What may be less well-known is the extent to which the university has built educational and research partnerships with institutions of higher education around the world. In 2012, UB maintained active partnerships with 83 leading universities in 30 countries. UB's branch campus in Singapore is the largest operated by a U.S. institution in that country, delivering seven programs and enrolling nearly 1,500 students. UB is also a leader in delivering programs in India, with two dual master's degrees offered at Amrita University. With the growing Singapore program and small, but vital graduate programs offered in India and in other locales, UB's presence is growing around the world. UB's faculty have many international scholarly collaborations as reflected in the peer-AAU level percentage of journal articles co-authored with faculty in other universities outside the U.S. Realizing UB 2020 further raises UB's level of commitment in this area with its intent to require that all students have a global experience and its call for an expanded global engagement agenda for the university.

**Goal 6 — Engage the Local Community to Enrich Student Experience and Regional Well-Being**

Although historically the university has established many contacts with the local community through a wide variety of programs and services, these activities have been fragmented and have not been sustained through a coordinated university engagement agenda. Realizing UB 2020 commits the university to an expanded community and economic-engagement agenda. The provost has appointed a UB 2020 Task Force to offer recommendations and an action plan to respond to this goal. Possible metrics of effectiveness that may be employed include: number of students involved in service or experiential learning; number of external outreach/public service/public engagement activities reported by faculty; number of active outreach/public service/public engagement grants or contracts; and number of externally recognized outreach/public service/public engagement programs. The university also continues to offer a rich array of cultural events, workshops and invited speakers that are well-attended by the campus and broader community.

**Goal 7 — Strengthen Partnerships for Improved Regional Health Care Outcomes**

As indicated above, UB is in the midst of a \$375 million project to relocate the School of Medicine and Biomedical Sciences from the South Campus to the Downtown Campus within the Buffalo Niagara Medical Campus. The relocation will position the school in close proximity to its most important health-care partners: Roswell Park Cancer Institute, Kaleida Health's Buffalo General Hospital, Gates Vascular Institute and the Hauptman-Woodward Institute. This is a critical step in the creation of a

comprehensive Academic Medical Center in Buffalo and is the first phase in a long-range plan to locate the five UB health sciences schools together on the Downtown Campus. The impact of the medical school relocation and build-out plan will include the addition of more than 100 new faculty practicing and conducting research in more than 20 new specialty areas, the capacity to train 160 new medical students per year, \$100 million in new annual clinic income, \$25 million in new annual research income and \$30 million in new annual gift income by 2020. This expanding medical center also will have broader economic and community impact in the City of Buffalo. Over the next year, a scorecard will be developed to track effectiveness in this goal area. These same metrics will be incorporated in the three-year planning process for each health-sciences school.

### **Aligning Unit Goals to Achieve University Goals: Strategic Resource Allocation and Assessment of Unit and Program Effectiveness**

UB's effectiveness in goal attainment depends on the work of individuals and units across the university. In the UB 2020 era, the university has improved its effort to determine how each unit and program contributes to these goals and what actions and resource decisions are needed to improve their effectiveness. Since 2004, the university has evolved planning and budgeting processes and introduced new forms of unit assessment, including periodic comprehensive program reviews, continual examination of space and capital development needs, and requirements for student learning assessment (see Chapter 4). Many academic units also are subject to national, regional and specialized accreditations that provide opportunities to assess their effectiveness against external standards.<sup>106</sup> The results of these assessment processes are used to improve programs, services, planning and budgeting. The standards and self-study requirements for specialized accreditations and comprehensive program reviews incorporate the assessment of educational effectiveness and student learning. In addition, all of the individual units/programs have developed planning, budgeting and assessment processes, and many academic units have identified their own peer institutions/groups for benchmarking purposes.

### **Resource Allocation for Strategic Purpose**

Over the past 10 years, university leaders have used resource allocation processes to assess unit activity and direct resources to those units and programs to improve overall university goal attainment. Prior to 2005, the university allocated funds to the academic departments based on credit hours. In addition, the provost maintained a central fund for strategic investments. In the years from 2006 through 2011, the provost abolished the credit-hour formula and required every academic and support unit to enter into a compact agreement with the university. In this agreement, the provost and unit leaders reached a shared understanding about unit plans, goals and performance expectations over a three-year period, as well as the budget necessary to achieve these expectations. The original compact agreements measured performance in the following areas: enrollment levels, retention rates, plans and funding for program innovation and revenue generation, sponsored research goals, external fundraising goals, and diversity goals. The compact process gave the president and the provost the opportunity to allocate and reallocate funds as necessary to reward performance, invest in emerging opportunities, and downsize underperforming programs and services. This process also was a mechanism to allocate new resources for implementing or achieving strategic UB 2020 goals. With built-in annual assessment, the leadership could track unit and university progress, accelerate initiatives and make midcourse corrections as necessary.<sup>83</sup>

As part of the initial launch of this process, the provost sequestered two percent of unit base budgets and invested those funds in the Strategic Strength Initiative. The president and provost also funded various administrative transformation initiatives, the formation of the Biomedical Engineering Department, and the strategic build-out of the medical school faculty through this process. This process did not result just in investment decisions. In 2006, the provost decided to close the School of Informatics because it was not meeting its expectations and its benefits no longer justified the university's continued investment. By the end of the decade, it was increasingly clear that the State and SUNY would not approve the changes necessary to launch any significant aspect of the UB 2020 plan. The compact agreement process had been designed to manage the new funds for UB 2020; but with the financial collapse in 2008 and the budget reductions ensuing over the next four years, the process became the mechanism to administer budget reductions.

In April 2011, President Tripathi was named UB's 15th president, and he appointed an interim provost shortly thereafter. In those same months, the outlines of the NYSUNY 2020 program took shape. NYSUNY 2020 made increased tuition revenue available for campus investment. Rather than pooling those funds for central allocation, the new interim provost implemented a revenue-sharing program to give deans significant fractions of the tuition revenue increase for unit initiatives. Instead of a compact agreement, each unit was required to develop a three-year plan with the understanding that it would receive 52.5 percent of the research and tuition income from enrollments generated beyond an established baseline level. Academic support units would receive 22.5 percent of the pooled revenue growth prorated to the size of their base budget and the provost and president would retain 25 percent of the income growth for discretionary strategic investment. Units were required to develop three-year plans to identify strategic priorities, enrollment, research and staffing goals, and a spending plan for the projected marginal tuition revenue.<sup>107</sup> The provost's central fund would be a competitive fund.<sup>108</sup> Proposals expected to have a significant impact in achieving university goals not funded by unit budgets would be funded through the competitive fund.

This new approach has been in place for nearly two years. Each unit has an active three-year plan. The competitive funding pool has been formed (the E-Fund) and two rounds of awards have been made. Over the first two cycles, 26 initiatives involving \$19 million in central funds have been committed to 22 units over the next three years. When these programs reach maturity, it is projected that 77 faculty and 33 staff members will be hired across academic and administrative units and these programs will generate \$36.7 million in additional sponsored research funding. Each award was given on a contingent basis for no more than three years, and the proposing units are required to identify annual performance expectations and describe an evaluation program. In each of the first three-years of funding, the programs will be reviewed for satisfactory progress toward the stated goals of the initiative. Longer-term recurring support will be provided if the initiative meets the test of its evaluation plan.

### **Recently Funded E-Fund Proposals:**

- A Human Capital Agenda for Educational and Economic Development
- Institute for the Strategic Enhancement of Educational Diversity (iSEED)
- Joining Forces: The UB Partnership for Excellence in Veteran Care (UBPEVC)
- Center for Leadership and Organizational Effectiveness (CLOE)
- Economic Justice Studies Project
- Built Environment, Health Behavior and Health Outcomes; A Transdisciplinary Research Initiative in Urban Planning and Public Health
- UB Center for Home Health and Well-Being Through Adaptive Smart Environments (Home-BASE)
- Institute for Bridge Engineering (IBE)
- Institute for Sustainable Transportation and Logistics (ISTL)
- Computational and Data-Enabled Science and Engineering (CDSE)

In August 2013, the president and provost held individual meetings with every major administrative officer (dean, vice president, vice provost) to review their progress in meeting three-year plan goals. The provost has prepared a summary report and presentations, shared with deans and vice presidents, describing the key findings of these reviews.<sup>109</sup>

- UB headcount enrollments have exceeded plan levels, but a number of units are not meeting enrollment goals while other units are enrolling well beyond plan. This enrollment volatility must be addressed as soon as possible;
- Tenure-track faculty hiring is well below planned levels and must be accelerated if we are to meet UB 2020 hiring goals;
- Sponsored research proposals and expenditures (planned and actual) also are well below planned levels. The lack of proposal growth is particularly concerning and requires examination and remedy as soon as possible. While sequestration is a reality, new tactics are required to increase proposal activity. Unit hiring plans should be examined to determine whether the mix of hiring should be adjusted so that more mid-level-career faculty bringing established research programs are hired in areas where research funding is on the rise; and
- Staff hiring is on pace with expectations, but the university should invest greater energy in staff development programs and opportunities.

Each unit leader has received a letter identifying institutional and unit-specific issues that require action as observed in the review. Three-year plan agreements will be modified after further discussions with unit leaders where issues have been identified. The results of the review also will influence decisions made in the annual senior leadership retreat and the new annual budget and planning process now under development.

### Assessment of Unit and Program Effectiveness

**The Capital Planning Process and the University Planning Board.** The University Planning Board was formed in 2008 and charged with the role of directing the strategic and tactical efforts needed to develop and implement the university's capital plan.<sup>110</sup> The board is responsible for the formulation of the vision, policies, processes, projects and funding plans for priority university capital-facilities projects. It creates the faculty-staff project teams responsible for each individual project, works with external partners to ensure coordination on other capital projects and defines the process and metrics for evaluating plan implementation success.

The board reports regularly to the president, deans, Faculty Senate and Professional Staff Senate, and collaborates with each as appropriate. The board also reports to and works closely with the University at Buffalo Council and with the governing boards of UB affiliates, such as the University at Buffalo Foundation, the Research Foundation of the State University of New York, UB|MD and medical practice plans affiliated with UB, UB Associates Inc., and the Buffalo 2020 Development Corporation.

Authority and responsibility include priority state-funded critical maintenance projects; strategic initiatives for campus development; all projects funded through campus-based revenues; and all capital-development initiatives funded through UB affiliates. The University Planning Board reviews and recommends to the president one-, three-, and five-year capital plans; approval of capital projects greater than \$1 million; resolution of approaches to capital acquisition, management, finance, budget, partners, and advocacy; and evaluation of progress toward project implementation.

The board presided over the completion of all of the major projects completed since 2008. Examples include Greiner Hall, Davis Hall, Kapoor Hall and the Child Care Center projects on both campuses as well as other significant capital projects. It also commissioned the development of the Facilities Master Plan. This plan, informed by a rigorous space needs assessment and by unit academic plans, identifies the facilities needs for the implementation of the 250 faculty hiring plan and the relocation of the medical school to the Downtown Campus within the Buffalo Niagara Medical Campus. With the transition in presidential leadership and a new executive leadership team, the board went into hiatus at the end of 2011, but there are plans to restart board activity in 2014.

**Comprehensive Program Reviews.** Through the Comprehensive Program Review process, UB conducts a well-developed periodic review of its academic programs on a five-to-seven-year cycle.<sup>82</sup> This practice provides structured opportunities for units to undertake thorough self-examination, identify needs and challenges and receive constructive evaluation from the review team. The self-study document is prepared by the department according to standard guidelines. The process begins with the self-study template that was expanded in 2010 to include descriptions of program learning outcomes, a plan for assessing those outcomes, assessment results and a description of any changes that have been made to the program based on assessment findings. Between Spring 2006 and Fall 2013, 292 degree programs have undergone review (out of 293 degree programs offered at UB as of the end of Fall 2013). Numerous recommendations made by the respective review teams have been implemented.

**Student Learning Outcomes Assessment.** The university's commitment to student learning is reflected in the following two institutional goals:

- UB will enhance the overall student educational experience while raising the academic profile of its undergraduate, graduate and professional students and significantly improving its undergraduate four- and six-year graduation rates; and
- UB will improve academic support infrastructures to provide state-of-the-art educational and research environments that advance faculty and students in their ongoing pursuit of excellence.

The assessment of student learning outcomes is the direct responsibility of the academic unit delivering the course or program. Each unit is expected to have:<sup>111</sup>

- Clearly articulated written statements, expressed in observable terms, of key program and unit-level goals that are linked to institutional goals and mission;
- Objectives and strategies to achieve those goals;
- A process for the collection and interpretation of assessment evidence for the achievement of those goals; and
- Documented use of the assessment results to improve programs and services with appropriate linkage to the institution's ongoing planning and resource-allocation processes.

The methodology and results relating to the assessment of student learning outcomes are described in detail in Chapter 4.

**Unit-Initiated Budgeting, Planning and Self-Assessment.** All major divisions of the university have established budget and planning processes within their unit. Although the extent and sophistication of these processes vary, these processes connect to the institutional budgeting and planning process effectively. Most units, because of external accreditation requirements or internal motivation or

both, conduct periodic reviews of strengths and weaknesses and use the results to implement course corrections or new initiatives. Perhaps the most impressive example of self-initiated assessment occurs in the University Life and Services division (described in greater detail in Chapter 5) where the many services offered through that unit undergo continuous and systematic review.<sup>112</sup> Although there is considerable time and energy given to unit assessments, UB is not centrally leveraging the information collected and lessons learned to facilitate unit and overall university improvements.

**Assessing Institutional Effectiveness in the Future:  
A New Structure and New Approaches**

This self-study process has confirmed that UB has made good progress in defining institutional effectiveness. The key indicators of institutional effectiveness identified above constitute a scorecard

**Spotlight on Assessment: Current Status of Effectiveness of Academic Program Assessment**

Over the past year, information about student learning assessment in academic programs has been collected to assess overall effectiveness of student-learning assessment activities. Sources of evidence included accreditation reports, program assessment plans, and annual academic assessment reports. A rubric was used to rate the quality of these assessment efforts, that is, how informative are these assessment efforts in informing relevant changes to programs, courses, and teaching methods?

As of June 2013, all undergraduate programs have established program learning outcomes, and 76 percent of programs are either excelling or achieving in this area. Seven percent of programs are still developing well-written measurable outcomes, and 17 percent have outcomes that require substantial revision. Among graduate/professional programs, 58 percent are excelling or achieving in the area of program learning outcomes, 24 percent are developing, 13 percent require substantial revision and six percent had not submitted outcomes for review.

As shown in the table, many programs at both the undergraduate and graduate/professional level are working toward effective assessment plans that include feasible, direct measures; meaningful methods for analyzing and reporting results; and use of results to inform program and/or course improvements. These findings reveal that there is still much work to be done to promote effective student learning assessment at the institution.

To move UB to the desired level of student-learning assessment, the following initiatives are being pursued:

- Greater capacity for assessment facilitation and support through the newly formed Office of Educational Innovation and Assessment;
- Regularly scheduled professional development opportunities in the areas of writing learning outcomes, curriculum mapping, feasible methods for collecting direct evidence, methods for analyzing and presenting evidence, and tying assessment results to improvement;
- Facilitation of peer networking and support in the area of academic assessment;
- Creation of an online resource library for assessment materials and sample assessment plans and reports; and
- Recognition programs to spotlight those programs with exemplary assessment work.

Assessment Results: Annual Program Assessment Plans								
Rubric Step:	Undergraduate				Graduate/Professional			
	Excelling or Achieving	Developing	Inadequate	Unknown	Excelling or Achieving	Developing	Inadequate	Unknown
Assessment Methods	40	39	20	0	47	35	13	6
Assessment Results	29	36	36	0	33	39	22	6
Suggestions in Response to Findings	36	29	36	0	34	38	22	6

of measures to examine continually goal achievement and how units and programs are contributing to institutional progress. However, there is a need for assessment efforts to be more systematic, and results need to be used more effectively in decision-making processes. An examination of the evolution of resource allocation and capital planning mechanisms in the UB 2020 years reveals that assessment efforts have, at times, been discontinuous and underutilized in priority-setting and investment-making at UB. However, key decisions in the past three years signal the recognition that a more systematic assessment effort is essential to UB's future success.

The first step, in 2010, was to create the Office of University Accreditation and Assessment (UA&A) to provide central support for assessment and to coordinate campus accreditation activities.<sup>113</sup> Much of the emphasis of UA&A has been on student learning assessment, including helping academic programs design and implement assessment plans, working with the Office of the Dean of Undergraduate Education to formulate an assessment plan for the General Education Program, compiling assessment results related to general education learning outcomes from across all undergraduate programs, and collaborating with the Teaching & Learning Center<sup>114</sup> in the identification of appropriate assessment workshops and resources.

The same year, the Institutional Standing Committee on Assessment<sup>115</sup> was formed as an advisory group to review, develop and implement assessment processes related to instructional effectiveness and learning outcomes. Some members of the committee also served on the MSCHE Self-Study Team devoted to examining the university's progress with regard to assessing institutional effectiveness and student learning. The term of membership is two years. However, many of the original members have remained on the committee for a second term (starting Fall 2012), and the membership has been broadened to include staff from administrative units.

The "Realizing UB 2020: Achieving Academic Excellence"<sup>91</sup> report lists as a key institutional value a "passion for continuous improvement." Concurrent with the beginning of the Realizing UB 2020 process, the provost asked the senior vice provost for academic affairs to convene a committee to examine central university efforts in supporting teaching effectiveness, the assessment of student learning and institutional effectiveness, and accreditation reporting. The Committee on Accreditation, Assessment and Pedagogical Innovation (CAAPI) was formed to examine a more integrated organizational structure for these three functions.<sup>116</sup>

Acting on the recommendations of CAAPI, the provost announced a revised organizational structure on July 26, 2013. The newly formed Office of Educational Innovation and Assessment (EIA) and the Office of Academic Planning, Budget and Evaluation (APBE) were designated as the two units charged with monitoring and support for assessment in administrative units and academic programs. Although APBE is charged with assessment of overall institutional effectiveness and accreditation reporting and EIA will monitor and support academic assessment and overall assessment of student learning, there will be a strong collaborative relationship between these two units that will be enhanced and supported in the future by the creation of a coordinating committee or council.

**The Office of Educational Innovation and Assessment.** The Office of Educational Innovation and Assessment, a new division within the Office of Academic Affairs,<sup>117</sup> is responsible for catalyzing pedagogical innovation and the introduction of new forms of educational delivery. This office also

will provide greater oversight, guidance and direction to the teaching/learning assessment processes conducted in academic units across the university. To build a foundation for both of these efforts, the Teaching & Learning Center (TLC) was moved from Faculty Affairs to this new division, bolstering the linkage between the university curriculum development process and current university expertise in pedagogical delivery. The TLC works with faculty, students and staff to promote instructional excellence at UB through the use of emerging technologies, evidence-based pedagogy and the latest research on learning, engagement and instructional innovation. In addition to providing one-on-one support for instruction, the TLC collaborates with academic departments and divisions across campus to sponsor workshops, seminars and peer-to-peer mentoring groups on all aspects of the teaching-learning process. UA&A and TLC have forged a strong partnership to deliver high-quality seminars and workshops related to program assessment. The committee continues to work closely with UA&A and EIA to promote a culture of continuous improvement. This group will serve a key role in ensuring that administrative and assessment activities remain integrated within the new organizational structure. The Institutional Standing Committee on Assessment will continue to serve as an advisory group to this unit.

**The Office of Academic, Planning, Budget and Evaluation.** Beginning August 1, 2013, APBE assumed responsibility for two key functions, accreditation reporting and the oversight of institutional effectiveness assessment, in addition to its function as the coordinator of resource-allocation processes and institutional analysis.<sup>118</sup> UA&A has moved into APBE, and the existing director of UA&A is continuing as the accreditation liaison to MSCHE under the supervision of the vice provost for academic planning, budget and evaluation. APBE will work closely with the vice president for finance and administration under the supervision of the provost in the coordination of the three-year budget planning and resource-allocation process, and the assessment activities embedded in that process. In addition, APBE will recommend to the provost the annual and long-range institutional effectiveness agenda and the strategies and tactics that will encompass the pursuit of that agenda. Within APBE, the Office of Institutional Analysis (OIA), will be the repository for all program accreditation information and has the primary institutional responsibility for the collection and analysis of quantitative and qualitative information regarding the institution, students, faculty, programs and services. The office provides analytical support for the planning, evaluation and policy initiatives of the provost and senior leadership; serves as the institution's strategic reporting office; and will support all new efforts to assess institutional effectiveness.

**Unit Impact and Standards Analysis.** The Realizing UB 2020 report concluded that university leadership must come to a better understanding about the different and unique contributions each academic and administrative unit makes to the achievement of institutional goals. This understanding can better inform how best to invest and encourage improvement across the university. There has been an explicit recognition that the typical metrics of effectiveness are not sufficient for this task for many academic units and all academic support units. The provost and APBE have designed a new process, the Unit Impact and Standards Analysis, to engage each academic and administrative unit in an information-rich interaction to identify the most appropriate ways to measure unit and individual effectiveness for units with very different missions.

Beginning in February 2014, APBE will share a profile of information with each unit indicating its contribution to the achievement of university goals. For academic units, the profile will include general unit characteristics at the decanal level and the department level, such as student-quality data, student

demographic information, faculty size and demographics and other basic indicators. Another section of the profile will be devoted to productivity measures, including instructional workload in total and per faculty member, degrees awarded, tuition revenue generated, research expenditures per capita and per assigned square foot, publications, citations, honorific awards and conference proceedings. Research and instructional workload levels will be compared with AAU universities using multiple sources of information, including the Delaware Study of Instructional Productivity, Academic Analytics and SCOPUS where appropriate. In addition to unit-level summaries, the profile reports on the productivity of every individual faculty member in the unit using most of the metrics referenced above.

For academic support units, APBE will share best-practice performance assessment techniques conducted at peer universities and standard metrics of performance where available (e.g., APPA benchmark data for facilities management). These profiles will be more skeletal than the academic unit profiles and will be developed in collaboration with the unit in an iterative manner.

Each unit will be asked to respond to its profiles in a number of ways. First, determining strengths and weaknesses of the available profile information in assessing how and how well the unit is contributing to institutional goals. Second, what alternative measures or qualitative assessments can and should be added or substituted for the metrics in the initial profile? Third, what are the standards that define effective performance in the unit using these metrics, and how well are the unit and its faculty and staff performing relative to that standard and compared to peers? The response to this question will help identify in a more concrete way strengths and needed improvements. Finally, what actions do unit leaders recommend to increase the overall performance of the unit?

This process will be implemented over a six-to nine-month period, and results will be used in several ways. First, a performance-funding component will be incorporated into the new resource-allocation methodology. This Unit Impact and Standards Analysis process will conclude with the formulation of a performance agreement with each unit. Unit funding will be linked to effective unit performance as defined in the agreement. The process will provide a more-informed basis for the targeted use of strategic investment funds to improve goal attainment. Not every unit contributes equally to every goal. This process gives university leadership better information to inform priority choices. It also will provide the information base to determine how to implement a compensation program for faculty and staff based on performance. Finally, this analysis can help to better inform stakeholders about UB's impact and effective stewardship of institutional resources.

## **Conclusion: Aligning Resources to Improve Effectiveness**

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UB is making significant modifications to the resource-allocation model. The current three-year planning process and revenue-sharing model places inordinate attention on credit-hour production as the primary measure of goal attainment when our mission and goals require a more diverse set of incentives and strategic choices. The Unit Impact and Standards Analysis will provide an empirical framework for this new approach. New indicators of effectiveness will be added, and the use of these



indicators in judgments about where and how to invest for the future will become more systematic. Improving the connection between assessment results and improvement efforts is the principal objective of the new planning and budgeting model. This improved connection is an essential next step to becoming a more effective university.

## Evidence

### Examples of evidence that the University at Buffalo meets Middle States Standard 2 are summarized below.

- Goals, objectives and strategies are clearly stated to reflect lessons from assessments, are linked to mission and goal achievement, and are used for planning and resource allocation. For example, the evolution of the UB 2020 plan and its relationship to the university's mission has been highly public, including speeches, advocacy briefings, grassroots processes eliciting constituent feedback and the publication of plan elements in all forms. This same approach has been used with the Realizing UB 2020 initiative.
- The evolution and scaling of UB 2020 from a 10,000-student growth plan to a "right-sizing" of the faculty to the current enrollment plan reflects a continual tuning based on financial assessments, unit performance assessment and external assessment. The assessment mechanisms embedded in the former compact-agreement resource allocation process and the current three-year plan process continually refine the performance expectations of particular units in service to the goals of the university as a whole.
- The essential processes of UB 2020 — strategic strength identification, revenue and costs assessments, administrative transformation initiatives and formulation of the Building UB Physical Plan — were highly "bottom up," constituent-based processes. The same is true for the Realizing UB 2020 planning process.
- The annual resource allocation process involves the strategic and financial leadership of every administrative division of the campus. The built-in assessment mechanisms of these processes allow for a continuous feedback loop from plan development to resource decisions to an assessment of impact to a reformulation of plan and unit strategy.
- Assigned responsibilities for improvement, as well as mechanisms to assure accountability, provide sufficient oversight of these processes. For example, three-year plans and E-Fund awards include mechanisms to report and review milestones. For cross-unit initiatives, such as HUB system implementation, Finish in 4 and the Strategic Strengths Initiative, a lead dean or senior officer is designated to coordinate the initiative and conduct annual-review and reporting activities to ensure that it reaches key milestones.
- Periodic assessment of the effectiveness of planning, resource allocation and institutional renewal processes, and the use of institutional resources is evident in the adaptability of the institution in refining the vision of UB 2020 in response to changing realities, as well as in the evolution of resource-allocation processes from an overly simplified enrollment formula in 2004 to the existing three-year plan model. Further, the adaptation of the Build UB Comprehensive

Physical Plan to the UB Facilities Master Plan 2013-2023 shows a sensitivity to the need to scale capital plans and capital-planning delivery mechanisms to changing needs and external realities.

### Examples of evidence that the University at Buffalo meets Middle States Standard 3 are summarized below:

- The resource-allocation process has attempted to identify, recognize and reward effective, efficient and quality performance. The UB 2020 transformation initiatives are specific examples of this effort, and the Realizing UB 2020 unit assessment initiative will ensure continuing quality-improvement efforts for academic and nonacademic units across the campus.
- The evolved resource-allocation processes are rational and clear in their rules of resource distribution and require convincing plans that define staffing and financial needs for unit initiatives, cross-unit initiatives and reserves for emerging opportunities and contingencies. Given the uncertainties of New York State's fiscal climate, tuition policy and the changing higher education landscape, the institution has chosen a rolling, three-year plan-development process.
- From "Building UB" to the SUNY/UB Facilities Master Plan to the UB capital request submitted for the 2013-2017 five-year SUNY capital planning process, the institution has created a comprehensive master plan that reflects all aspects of campus needs, from student living to classrooms to research and library spaces and infrastructure.
- The physical plan builds upon a complete review of facilities' condition, campus infrastructure condition and space needs assessment, which is based on assumptions of faculty, staff and program growth associated with UB's NYSUNY 2020 application and anticipated faculty research and growth equal to 250 FTE and \$60 million in research expenditures.
- The physical plan features the Heart of the Campus project on both North and South Campuses, which involved the complete overhaul of library facilities to accommodate the changing teaching/learning strategies being implemented in today's higher-education landscape.
- The facilities master plan anticipates educational equipment acquisition — classroom technology, classroom renovations and new learning spaces.
- Adequate institutional controls have been put in place to provide stewardship of institutional resources, and the university undergoes an annual independent audit to ensure that these controls are working effectively.

### Examples of evidence that the University at Buffalo meets Middle States Standard 7 are summarized below:

- The UB 2020 strategic planning blueprint has reshaped and publicly acknowledged a widely-shared mission statement and seven goals that all institutional activity will seek to meet. Through annual leadership retreats and a variety of consultation strategies to assess constituent perspectives, the university has engaged the campus community in shaping the mission and goal statements. The mission and goals are the guide posts that are used in the assessment of institutional performance and inform the resource allocation management process, the identification of academic goals supported by comprehensive programmatic and operational reviews, and the annual planning process which provides a coordinated, cross-university mechanism for institutional and unit assessment and continuous improvement. Individual units are responsible for assessing outcomes and progress toward their respective

goals. Accountability is ensured through documented annual reporting procedures and the connectivity of planning, assessment and resource allocations.

- The university is committed to build a comprehensive and coordinated institutional effectiveness agenda and has put in place the organizational structure dedicated to this objective.
- The university has conducted multiple facilities condition audits and other mechanisms to inform strategic decisions with regard to infrastructure investment, including facilities, information technology, student services and libraries, among others.
- The university employs several formal procedures to evaluate academic programs and services. These processes have resulted in meaningful changes across schools and programs. Comprehensive program reviews and external accreditation have been used to assess program effectiveness, improve curricular planning, inform faculty hiring and guide resource decisions.
- The university uses a variety of metrics and survey instruments to collect feedback on faculty and student needs, perceptions and satisfaction. The surveys provide opportunities for commentary on what is working, as well as opportunities for improvement. This information has been used to inform strategic planning and improve services.
- Regular performance evaluations have helped to identify areas for leadership change and professional development.
- A wide range of workshops and other resources relating to assessment are made available to faculty and staff through the Teaching & Learning Center.
- Nearly one-third of UB students are enrolled in programs with specialized accreditation, further ensuring these students are being taught to the highest standards of the relevant discipline/profession and that student learning outcomes and their assessment are well-established.
- Organizational restructuring will promote greater integration of student learning assessment with assessment of overall institutional effectiveness.
- The General Education Program is being revised and a comprehensive assessment plan is being implemented to guide program improvement.

- Evaluate faculty and staff hiring practices to ensure the most efficient and highest-quality hiring possible in the years ahead.
- Complete the reformulation of the university resource allocation model to achieve the appropriate balance between centralized discretionary allocation and revenue-sharing principles to maximize the strategic impact of the university resource-allocation process.
- Evaluate the sustainability and desirability of the current university enrollment plan.
- Improve university efforts to develop the full capabilities of our human resources.
- Develop new strategies and investment proposals to enable UB to reach the levels of sponsored research growth, philanthropic growth and corporate/industry sponsorship projected in the NYSUNY 2020 program agreement between UB, SUNY and the State.
- Develop a risk management strategy that defines and monitors key risk indicators, and develops responses to uncontrollable circumstances that allow the university to manage or prevent oncoming financial or other risks.
- Work internally and with SUNY to examine the efficiency and customer-service aspects of shared administrative service models and creative forms of in-sourcing (e.g. SUNY IT Lab) and outsourcing (e.g. cloud computing).
- Require expanded equipment replacement strategies across the institution.
- Create more and better UB 2020 dashboards and progress reports to convey performance in key metrics as a central aspect of the university's institutional effectiveness agenda.

## Future Directions

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UB 2020 is the university's plan to improve its standing among public AAU research universities, and UB is committed to achieving its full promise in the next 10 years. The following actions will help the university reach this aspiration and improve already effective planning and resource-allocation processes:

- Formulate a multi-year university implementation strategy that sequences Realizing UB 2020 priority initiatives and other university needs consistent with unit and institutional capacities (staffing, financial, ability to implement in parallel, etc.).
- Complete the Unit Impact and Standards Analysis and reach performance agreements with each unit of the university that connect their efforts explicitly with university goal attainment.
- Advocate with SUNY and New York State officials for new management tools and a continuation of key NYSUNY 2020 program features beyond 2015 (including the rational tuition increase program, TAP tuition credit program, capital planning and budget reform).

<b>Integrated Planning Budgeting and Assessment Timetable</b>			
	<b>PMP/Strategic Planning and Related Institutional Assessment</b>	<b>Budgeting</b>	<b>Student Learning Assessment</b>
September	<ul style="list-style-type: none"> <li>Report on last year progress and present annual action plan publicly (e.g., at State of College) for current year</li> </ul>	<ul style="list-style-type: none"> <li>Budget projections for current year and report on trends from previous years shared publicly (e.g., at State of College)</li> <li>College President responds to Chancellor's budget call for coming year</li> </ul>	<ul style="list-style-type: none"> <li>College-Wide Assessment Committee reviews program Learning Outcome Assessments</li> <li>Departments/Programs begin implementation of recommendations from previous year assessments</li> </ul>
October		<ul style="list-style-type: none"> <li>Colleges submit financial plans detailing the projected uses of their funds to CUNY Central for current fiscal year</li> <li>CUNY expenditure reports shared periodically for fiscal management (ongoing throughout year)</li> </ul>	<ul style="list-style-type: none"> <li>College-Wide Assessment Committee reviews program Learning Outcome Assessments</li> </ul>
November			<ul style="list-style-type: none"> <li>Academic Program Reviews submitted to UCASC or Graduate Studies Council</li> <li>CWAC sends reviews (assessment) of OA to programs</li> </ul>
December			<ul style="list-style-type: none"> <li>Collection of artifacts, analysis according to Gen Ed, course APR and non-APR protocols/rubrics</li> </ul>
January	<ul style="list-style-type: none"> <li>Submit mid-point reports on progress on action plan to President – discussed by divisions, Cabinet for program and financial implications</li> </ul>		<ul style="list-style-type: none"> <li></li> </ul>
February	<ul style="list-style-type: none"> <li>Areas of concern are targeted, necessary investments are anticipated, mid-course action plans implemented</li> </ul>		<ul style="list-style-type: none"> <li></li> </ul>
March			<ul style="list-style-type: none"> <li></li> </ul>
April	<ul style="list-style-type: none"> <li>Results from annualized and staggered surveys incorporated into KPIs and planning cycle</li> </ul>	<ul style="list-style-type: none"> <li>Divisional/departmental leadership submits budget proposals to President and CFO – based on</li> </ul>	<ul style="list-style-type: none"> <li>General Education annual assessment due</li> </ul>

<b>Integrated Planning Budgeting and Assessment Timetable</b>			
	<b>PMP/Strategic Planning and Related Institutional Assessment</b>	<b>Budgeting</b>	<b>Student Learning Assessment</b>
		action planning projections (see first column)	
May		<ul style="list-style-type: none"> <li>• Institutional Advancement projects revenue generation targets for upcoming year, allocates to priority programs</li> </ul>	
June	<ul style="list-style-type: none"> <li>• Finalize PMP end-of-year report for current year</li> <li>• Finalize PMP goals and targets for upcoming year</li> <li>• Annual collection of strategic plan KPI data by IE from Divisions</li> <li>• Updates to Strategic Plan Dashboard</li> <li>• Divisions draft action plan for the coming year – developed through inclusive process within divisions, then vetted by President and SLT – includes analysis of financial implications of action items for year that are discussed as part of budgeting process</li> </ul>	<ul style="list-style-type: none"> <li>• CUNY Central gives colleges initial allocation of their annual budgets. Additional allocations/adjustments made throughout the year</li> </ul>	<ul style="list-style-type: none"> <li>• Academic Program OA reports due to Director of Assessment</li> </ul>
July	<ul style="list-style-type: none"> <li>• President’s Leadership Council discusses divisional plans for upcoming year</li> </ul>		<ul style="list-style-type: none"> <li>• Provost integrates OA into Chairs’ evaluations</li> </ul>
August	<ul style="list-style-type: none"> <li>• Division plans finalized and integrated. Institutional Effectiveness compiles into a single one-year college-wide action plan</li> </ul>		

# Best Practices for Budget Consultations

## University Faculty Senate Budget Advisory Committee

*Version 1.0 February 25, 2019*

An important summer activity in the CUNY budget cycle is the development, by each campus, of a financial plan. These plans identify the revenues that each campus expects to receive, including targets for tuition and fee revenues. The plans then identify how the funds are to be spent to support campus programs and operations including the salaries of faculty and staff. The plans are eventually submitted for approval by the University Budget Office.

The Budget Office issues a memorandum of Financial Plan instructions to the campuses, including the requirement that the plans be fiscally balanced (spending cannot exceed available funds) and that the Presidents of each campus must provide for consultations with elected student and faculty leaders.<sup>1</sup> As an elected faculty leader you will be invited for these consultations and we encourage you to fully participate.

This statement describes best practices by faculty governance leaders for these consultations.

### **1. Advance Planning**

During the spring semester, identify the faculty governance leaders who will be participating in the consultations. It may also be important to determine the availabilities of participating faculty governance leaders if the consultations take place during the summer. Then clarify with your campus administration their expectations for the consultations.

Also consider the relationship between your faculty consultation group and your campus Committee on Faculty Personnel and Budget,<sup>2</sup> or its equivalent, which is the body that will actually vote on the financial plan. You might form an informal faculty/chairs caucus, or you might have an official faculty budget consultation committee.

If their approach is unsatisfactory, explain the situation to UFS leaders who may be able to assist you. A goal is to develop and plan and resolve conflicting expectations in advance.

### **2. Financial Document Archive**

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<sup>1</sup> Section VIII.8.7.c of the CUNY Bylaws says: "Within the period prescribed by the chancellor, the president shall prepare the annual tentative budget and submit it to the committee for its recommendations. The committee shall make its recommendations within the period prescribed by the chancellor and submit them to the president. The president shall submit to the chancellor, within the period prescribed by the chancellor, such tentative annual budget, together with his/her comments and recommendations and any comments and recommendations of the committee."

<sup>2</sup> Section VIII.8.a of the CUNY Bylaws says "There shall be in each college a committee on faculty personnel and budget or equivalent committee. The chairperson of this committee shall be the president. The members of the committee may include the department chairs, the vice president of academic affairs and one or more deans designated by the president.

A faculty member should be designated to maintain a Financial Document Archive so that there is a central resource used by faculty governance leaders to access documents that have already been provided, as well as to access copies of similar documents from prior years.

Documents to consider for archiving include:

- The most recent annual financial report of CUNY, which includes a very useful “dashboard” on each campus summarizing enrollment, employment, revenue and expenditure trends;
- The latest draft financial plan or drafts of the plan, including the supporting tables;
- A multi-year table of full-time positions, identifying faculty lines separately from other positions;
- Your campus Auxiliary Enterprise Corporation budget, recent annual financial statement, bylaws, and most recent IRS 990 return.<sup>3</sup>
- Important contracts of the Auxiliary Enterprise corporation, such as the contract for food services.
- Your campus foundation budget, recent annual financial statement, bylaws, and most recent IRS 990 return.
- Your campus student activities corporation budget, recent annual financial statement, bylaws, and most recent IRS 990 return.
- Any other supporting entity budget, bylaws, and most recent IRS 990 return. These are separate corporations that in some campuses are included in the auxiliary enterprise corporation and in some campuses are separate, like performing arts centers or child care centers.
- Reports of allocations of indirect funds associated with your campus from the Research Foundation;
- Budgets and financial reports for any differential tuitions, excellence fees and program supplement fees that are charged at your campus;
- The facilities and capital projects plan for your campus;
- The requests for city council Resolution A funds for capital projects.

It is also reasonable to ask for a copy of the Financial Plan once it is submitted and approved.

### **3. Early Consultations**

Ideally, consultations should also take place during the spring semester, so that once the allocation memorandum arrives from CUNY, final adjustments are being made to a general plan worked out in advance. Proposals and recommendations presented during the spring semester will have more influence than proposals and recommendations presented just before the financial Plan is submitted.

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<sup>3</sup> Note that IRS 990 forms are public documents that can be downloaded online. However, there are delays in posting the returns, so campus officials may have more recent 990s that are not yet posted.

The financial plan is a multi-year document, including the following tables:

- Table I - Revenue Projection
- Table II - Multi-Year Plan
- Table III - Anticipated Additional Funds
- Table IV - Multi-Year Hiring Plan
- Table V - IFR/Fund Code 11 Program Summary
- Table VI - Procurement Plan
- Table VII - Community ACE Cash Deposit Schedule

Expenditures such as payroll have to be managed by making informed decisions about employee hiring and replacement over time, and the multi-year hiring plan can be informative.

#### **4. Documents to Request When Consultation is Initiated**

While you should have many documents in your archive, it is reasonable for you to ask for documents to review immediately in advance of the consultations. Documents to consider requesting include:

- The latest draft financial plan or drafts of the key tables;
- The latest University quarterly financial report;
- An updated multi-year table of full-time positions, identifying faculty lines separately from other positions;
- Updates of the budgets and financial statements of your campus corporations;
- Updates of reports of allocations of indirect funds associated with your campus from the Research Foundation;
- The facilities and capital projects plan for your campus;
- The requests for city council Resolution A funds for capital projects.

It is also reasonable to ask for a copy of the final version of the Financial Plan once it is submitted and approved.

#### **5. Issues to Consider**

As you review and discuss the documents, consider the following strategy issues:

- What priority issues are relevant to the approval of the Financial Plan?
- How will you communicate your assessment of the financial plan. You might consider drafting a statement to your campus Committee of Faculty Personnel and Budget, or its equivalent. That is the committee which will vote on the financial plan. Alternatively you might draft a resolution for the Committee to take up, reflecting the positions of the faculty.

Also consider the following specific issues:

- Are the student admissions and enrollment projections reasonable?
- Have numbers of faculty lines been increasing in proportion to enrollment?
- Are non-faculty positions growing at a rate that exceeds the growth of tenure-track faculty positions? Is there a rationale for the difference in growth?
- What are the plans for faculty and academic support staff in the “multi-year hiring” section of the financial plan.
- How are the Auxiliary Enterprise Corporation surplus funds, and the surplus funds of related corporate entities, being expended to support the college?
- How are campus foundation funds being expended to support the college? What policy is applied to determine the proportion of funds to be expended?
- How are facility maintenance and space issues being addressed?
- What is the CUTRA surplus at the start of the fiscal year, and what CUTRA balance is anticipated at the end of the fiscal year?
- If there are differential tuitions, excellence fees and program supplement fees that are charged at your campus, what evidence is available that the funds are expended in accord with the requirements exacted with the tuitions and fees were established?

It is probably impractical to consider all of these issues on one meeting, but additional meetings should be scheduled during the academic year to go over these topics.